This Settlement Agreement and Stipulation for Entry of Administrative Civil Liability Order (Stipulated Order or Order) is entered into by and between the Prosecution Team for the California Regional Water Quality Control Board, Central Valley Region (Central Valley Water Board or Board) and City of Williams (Discharger) (the Board and the Discharger are collectively referred to as the Parties) and is presented to the Board or its delegatee, for adoption as an Order by settlement, pursuant to Government Code 11415.60. This Order is based on allegations that the Discharger violated provisions of Waste Discharge Requirements (WDRs) Order’s R5-2008-0185-01 and R5-2014-0078 (NPDES CA0077933).

A. RECITALS

1. The Discharger owns and operates the City of Williams Wastewater Treatment Plant (Facility) which provides sewerage service to the community of Williams in Colusa County. Treated municipal wastewater is discharged to Salt Creek, a water of the United States.


3. On 6 June 2014, effective 1 August 2014, the Central Valley Water Board issued WDRs Order R5-2014-0078 which contained new requirements and rescinded Order R5-2008-0185-01, except for enforcement purposes.

4. On 6 June 2014, the Board adopted Time Schedule Order (TSO) R5-2014-0079, which allows the Discharger to implement additional actions to comply with nitrate plus nitrite final effluent limits. On 22 August 2016 in a technical report submitted by the Discharger, monitoring data was provided supporting the fact that operational adjustments had achieved compliance with the nitrate plus nitrite final effluent limits specified in Order R5-2014-0078. The Discharger is in full compliance with final effluent limitation for nitrate plus nitrite contained in its current WDRs; therefore, TSO R5-2014-0079 was rescinded on 7 April 2017 by Order R5-2017-0055.

5. On 13 September 2013, the Assistant Executive Officer of the Central Valley Water Board issued Administrative Civil Liability (ACLO) R5-2013-0580 for mandatory minimum penalties (MMPs) for an effluent aluminum violation which occurred between 1 April 2012 and 30 April 2013. The Discharger was allowed to apply the entire penalty of $3,000 towards a compliance project. On 22 July 2013, the Discharger submitted documentation showing that it had spent approximately $4,200 making repairs to the tertiary filter system and providing onsite training to staff to optimize filter operations. The repairs and training eliminated the need to use an aluminum-based coagulant at high dosages to reduce turbidity, and therefore prevented future aluminum violations.
6. On 5 February 2018, Central Valley Water Board staff issued the Discharger a draft Record of Violations (ROV) for the period of 1 May 2013 through 31 December 2017. The Discharger responded on 28 February 2018 and disagreed with the date of total coliform violations on 16 November 2017 and 17 November 2017. Board staff updated the violations to reflect the correct dates of 7 November 2017 and 8 November 2017. The Discharger also had concerns with the 31 May 2013 cyanide violation that was reported value was 0.0051 µg/L. Board staff reviewed the data and found that the cyanide violation will remain as a violation because the reported value of 0.0051 mg/L converts to 5.1 µg/L, which is above the effluent limitation of 4.3 µg/L.

7. On 5 March 2018, the Assistant Executive Officer of the Central Valley Water Board issued an Administrative Civil Liability Complaint (ACLC) R5-2018-0512 for MMPs for effluent limitation violations that occurred between 1 May 2013 and 31 December 2017. Board staff extended the violation period and reviewed effluent limitation violations through 31 May 2018; identifying six additional ammonia nitrogen violations and two additional total coliform violations, which are subject to MMPs and were not previously cited in the ACLC. In addition, this Order allows penalties to be applied to a compliance project as allowed by Water Code section 13385 (k).

8. Water Code section 13385(h) and (i) require assessment of mandatory penalties and state, in part, the following:

Water Code section 13385(h)(1) states:

Notwithstanding any other provision of this division, and except as provided in subdivisions (j), (k), and (l), a mandatory minimum penalty of three thousand dollars ($3,000) shall be assessed for each serious violation.

Water Code section 13385(h)(2) states:

For the purposes of this section, a “serious violation” means any waste discharge that violates the effluent limitations contained in the applicable waste discharge requirements for a Group II pollutant, as specified in Appendix A to Section 123.45 of Title 40 of the Code of Federal Regulations, by 20 percent or more or for a Group I pollutant, as specified in Appendix A to Section 123.45 of Title 40 of the Code of Federal Regulations, by 40 percent or more.

Water Code section 13385 subdivision (i)(1) states, in part:

Notwithstanding any other provision of this division, and except as provided in subdivisions (j), (k), and (l), a mandatory minimum penalty of three thousand dollars ($3,000) shall be assessed for each violation whenever the person does any of the following four or more times in any period of six consecutive months, except that the requirement to assess the mandatory minimum penalty shall not be applicable to the first three violations:

(A) Violates a waste discharge requirement effluent limitation.
(B) Fails to file a report pursuant to Section 13260.
(C) Files an incomplete report pursuant to Section 13260.
(D) Violates a toxicity effluent limitation contained in the applicable waste discharge requirements where the waste discharge requirements do not contain pollutant-specific effluent limitations for toxic pollutants.
9. WDRs Order R5-2008-0185-01 Final Effluent Limitations—Discharge Point 001 IV.A.1.a. state in part:
   
a. The Discharger shall maintain compliance with the effluent limitations specified in Table 6:

   Table 6. Effluent Limitations

<table>
<thead>
<tr>
<th>Parameter</th>
<th>Units</th>
<th>Effluent Limitations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Average Monthly</td>
</tr>
<tr>
<td>Cyanide</td>
<td>µg/L</td>
<td>4.3</td>
</tr>
</tbody>
</table>

10. WDRs Order R5-2014-0078, Final Effluent Limitations—Discharge Point 001 IV.A.1.a. state in part:

   a. The Discharger shall maintain compliance with the effluent limitations specified in Table 4:

   Table 4. Effluent Limitations

<table>
<thead>
<tr>
<th>Parameter</th>
<th>Units</th>
<th>Effluent Limitations</th>
</tr>
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<tbody>
<tr>
<td></td>
<td></td>
<td>Average Monthly</td>
</tr>
<tr>
<td>Ammonia Nitrogen, Total (as N)</td>
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<td>0.9</td>
</tr>
<tr>
<td></td>
<td>lbs/day¹</td>
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</table>

¹ Based on an average dry weather flow of 0.5 MGD.

11. WDRs Order R5-2014-0078, Final Effluent Limitations IV.A.1.d., include, in part, the following effluent limitations:

   f. Total Coliform Organisms. Effluent total coliform organisms shall not exceed the following, with compliance measured at Monitoring Location UVS-002:
      i. 2.2 most probable number (MPN) per 100 mL, as a 7-day median;
      ii. 23 MPN/100 mL, more than once in any 30-day period; and
      iii. 240 MPN/100 mL, at any time.

12. According to the Discharger’s self-monitoring reports, the Discharger committed ten (10) Group I serious violations and eleven (11) non-serious violations of the above effluent limitations contained in WDRs Order R5-2014-0078 as shown in Attachment A. Three (3) of the non-serious violations fall within the first three violations in a 180-day period, thus are not subject to mandatory minimum penalties. The other five (5) non-serious violations are subject to mandatory penalties under Water Code section 13385 subdivision (i)(1) because these violations were preceded by three or more effluent limit violations within a 180-day period. The ten (10) Group 1 serious violations are defined as serious, because the measured concentration of the Group I constituents exceeded the maximum prescribed levels by more than 40 percent. The mandatory minimum penalty for these violations is **fifty-four thousand dollars ($54,000)**. This Order addresses administrative civil liability for the effluent violations that occurred between 1 May 2013 to 31 May 2018, as identified in Attachment A to this Order.
13. Water Code section 13385 (k) states:

(1) In lieu of assessing all or a portion of the mandatory minimum penalties pursuant to subdivisions (h) and (i) against a publicly owned treatment works serving a small community, the state board or the regional board may elect to require the publicly owned treatment works to spend an equivalent amount towards the completion of a compliance project proposed by the publicly owned treatment works, if the state board or the regional board finds all of the following:

(A) The compliance project is designed to correct the violations within five years.

(B) The compliance project is in accordance with the enforcement policy of the state board, excluding any provision in the policy that is inconsistent with this section.

(C) The publicly owned treatment works has prepared a financing plan to complete the compliance project.

(2) For the purposes of this subdivision, “a publicly owned treatment works serving a small community” means a publicly owned treatment works serving a population of 20,000 persons or fewer or a rural county, with a financial hardship as determined by the state board after considering such factors as median income of the residents, rate of unemployment, or low population density in the service area of the publicly owned treatment works.

14. On December 2015, the Discharger conducted a Median Household Income (MHI) surveys to determine City of William’s eligibility for funding by state and federal funding programs and sources. On 13 June 2016, State Water Resource Control Board’s Division of Financial Assistance approved City of William’s MHI study and determined that the City’s MHI is $33,419 with a population of 5,166 and, thus, designated the Facility as serving a small community with a financial hardship. City of William’s MHI survey is valid until 2020.

15. The 2017 State Water Resources Control Board’s Water Quality Enforcement Policy (Enforcement Policy) delegates the Regional Boards the authority to determine whether a publicly owned treatment works serves a small community with financial hardship. Central Valley Water Board determined that City of Williams Wastewater Treatment Plant is a publicly owned treatment works and is serving a small community with financial hardship. As a result of the conclusions described in Findings 15 above, the Central Valley Water Board determined that City of William’s Wastewater Treatment Plant is publicly owned treatment works and is serving a small community with financial hardship.

16. On 21 May 2018, the Discharger met with Board staff to discuss possible compliance projects to satisfy the outstanding mandatory minimum penalties described in Attachment A of this Order. On 19 June 2018, the Discharger submitted a proposal to complete a “Aeration Basin Process Control Improvement Project” (Compliance Project) to improve the Facility’s aeration basin nitrification/denitrification process control to prevent future ammonia and total coliform violations. Additional information and requirements for the Compliance Project are contained in Attachment B of this Order, hereby incorporated by this reference.

17. Board staff finds that the proposed Compliance Project qualifies as a compliance project within the meaning of Water Code section 13385 (k) because it will remedy future violations for ammonia and total coliform. The Compliance Project is in accordance with the Enforcement Policy
and has been designed to correct the violations that have led to this Administrative Civil Liability Order within five years. The Discharger has completed a financing plan to complete the Compliance Project. The amount that the Discharger will expend on the Compliance Project is in excess of the mandatory minimum penalty that the Board is required to assess under Water Code sections 13385(h) and (i) for the violations listed in Attachment A of this Order.

18. The Parties have engaged in settlement negotiations and agree to fully settle the matter without administrative or civil litigation and by presenting this Stipulated Order to the Board or its delegatee for adoption as an Order by settlement, pursuant to Government Code section 11415.60. The liability imposed by this Order was reached using the Enforcement Policy, as described in Attachment A. The Prosecution Staff believes that the resolution of the alleged violation is fair and reasonable and fulfills all its enforcement objectives, that no further action is warranted concerning the specific violations alleged in Attachment A, except as provided in this Stipulated Order, and that this Stipulated Order is in the best interest of the public.

B. STIPULATIONS

1. **Jurisdiction:** The Parties agree that the Board has subject matter jurisdiction over the matters alleged in this action and personal jurisdiction over the Parties to this Stipulation.

2. **Mandatory Minimum Penalty:** The Discharger hereby agrees to pay an administrative civil liability in the amount of **fifty-four thousand dollars ($54,000)** to resolve the Water Code violations, as follows:

   A. **Compliance Project:** The **fifty-four thousand dollars ($54,000)** penalty is suspended pending the Discharger’s compliance with the time schedule and requirements to complete its Compliance Project, as detailed in Attachment B of this Order. If the Discharger completes the Compliance Project by the specified date, the suspended penalty is dismissed.

   I. **Extensions:** The Executive Officer may extend the abovementioned deadlines if the Discharger demonstrates that unforeseeable contingencies have created delays, provided that the Discharger continues to undertake all appropriate measures to meet the deadlines. The Discharger shall make any deadline extension request in writing. Under no circumstances may the completion of the Compliance Project extend past five (5) years from the issuance of this Order.

   II. **Failure to Complete Compliance Project:** If, in the judgment of the Executive Officer, the Discharger fails to complete the Compliance Project in accordance with the specified time schedule or fails to construct the Compliance Project in accordance with Attachment B of this Order without obtaining Central Valley Water Board approval, the suspended mandatory minimum penalty ($54,000) must be paid within 30 days of notification by the Executive Officer of such failure to the State Water Pollution Cleanup and Abatement Account.

      a) Payment of the previously suspended administrative civil liability amount does not relieve the Discharger of its independent obligation to take necessary actions to achieve compliance.

      b) The Discharger must obtain explicit approval from the Executive
Officer for any significant departures from the project outline in Attachment B of this Order. Failure to obtain approval for any significant departures will result in the assessment of the full amount of the suspended mandatory minimum penalty.

3. **Compliance with Applicable Laws:** The Discharger understands that payment of administrative civil liability in accordance with the terms of this Order and/or compliance with the terms of this Order is not a substitute for compliance with applicable laws, and that continuing violations of the type alleged above may subject it to further enforcement, including additional administrative civil liability.

4. **Attorney’s Fees and Costs:** Each Party shall bear all attorneys’ fees and costs arising from the Party’s own counsel in connection with the matters set forth herein.

5. **Matters Covered by this Stipulation:** Upon adoption by the Board, or its delegee, as an Order, this Stipulation represents a final and binding resolution and settlement of all claims, violations or causes of action alleged above or which could have been asserted by the Board based on the specific facts alleged against the Discharger. The provisions of this Stipulation are expressly conditioned on the Discharger’s full payment of administrative civil liability by the deadline specified in Stipulation 2 herein.

6. **Public Notice:** The Discharger and the Board Prosecution Team understand that this Stipulation and Order must be noticed for a 30-day public review and comment period prior to consideration by the Board, or its delegee. In the event objections are raised during the public review and comment period, the Board or its delegee may, under certain circumstances, require a public hearing regarding the Stipulation and Order. In that event, the Parties agree to meet and confer concerning any such objections, and may agree to revise or adjust the proposed Order as necessary or advisable under the circumstances.

7. **Addressing Objections Raised During Public Comment Period:** The Parties agree that the procedure contemplated for adopting the Order by the Board and review of this Stipulation by the public is lawful and adequate. In the event procedural objections are raised prior to the Order becoming effective, the Parties agree to meet and confer concerning any such objections, and may agree to revise or adjust the procedure as necessary or advisable under the circumstances.

8. **No Waiver of Right to Enforce:** The failure of the Prosecution Team, the Central Valley Water Board or its delegee to enforce any provision of this Stipulated Order shall in no way be deemed a waiver of such provision, or in any way affect the validity of the Order. The failure of the Prosecution Team, the Central Valley Water Board or its delegee to enforce any such provision shall not preclude any of them from later enforcing the same or any other provision of this Stipulated Order.

9. **Interpretation:** This Stipulation and Order shall be construed as if the Parties prepared it jointly. Any uncertainty or ambiguity shall not be interpreted against any one Party. The Discharger is represented by counsel in this matter.

10. **Modification:** This Stipulation and Order shall not be modified by any of the Parties by oral representation made before or after its execution. All modifications must be in writing, signed by all Parties, and approved by the Board or its delegee.
11. **If the Order Does Not Take Effect:** In the event that this Order does not take effect because it is not approved by the Board, or its delegate, or is vacated in whole or in part by the State Water Board or a court, the Parties acknowledge that they expect to proceed to a contested evidentiary hearing before the Board to determine whether to assess administrative civil liabilities for the underlying alleged violations, unless the Parties agree otherwise. The Parties agree that all oral and written statements and agreements made during the course of settlement discussions will not be admissible as evidence in the hearing. The Parties agree to waive any and all objections based on settlement communications in this matter, including, but not limited to:

   I. Objections related to prejudice or bias of any of the Board members or their advisors and any other objections that are premised in whole or in part on the fact that the Board members or their advisors were exposed to some of the material facts and the Parties’ settlement positions as a consequence of reviewing the Stipulation and/or the Order, and therefore may have formed impressions or conclusions prior to any contested evidentiary hearing on the violations alleged in Attachment A in this matter; or

   II. Laches or delay or other equitable defenses based on the time period for administrative or judicial review to the extent this period has been extended by these settlement proceedings.

12. **Waiver of Hearing:** The Discharger has been informed of the rights provided by Water Code section 13323, subdivision (b), and hereby waives its right to a hearing before the Board prior to the adoption of the Order.

13. **Waiver of Right to Petition:** The Discharger hereby waives its right to petition the Board’s adoption of the Order for review by the State Water Board, and further waives its rights, if any, to appeal the same to a California Superior Court and/or any California appellate level court.

14. **The Discharger’s Covenant Not to Sue:** The Discharger covenants not to sue or pursue any administrative or civil claim(s) against any State Agency or the State of California, their officers, Board Members, employees, representatives, agents, or attorneys arising out of or relating to any matter expressly addressed by this Stipulation and Order.

15. **Authority to Bind:** Each person executing this Stipulation in a representative capacity represents and warrants that he or she is authorized to execute this Stipulation on behalf of and to bind the entity on whose behalf he or she executes the Stipulation.

16. **Counterpart Signatures:** This Stipulation may be executed and delivered in any number of counterparts, each of which when executed and delivered shall be deemed to be an original, but such counterparts shall together constitute one document. Further, this Stipulation may be executed by facsimile or electronic signature, and any such facsimile or electronic signature by any Party hereto shall be deemed to be an original signature and shall be binding on such Party to the same extent as if such facsimile or electronic signature were an original signature.

17. **Effective Date:** This Stipulation is effective and binding on the Parties upon the entry of this Order by the Board or its delegate, which incorporates the terms of this Stipulation.

18. **Incorporated Attachments:** Attachment A and Attachment B are incorporated by reference and are made fully a part of this Settlement Agreement as though set forth herein.
IT IS SO STIPULATED¹:

Original Signed By 9/4/2018
Andrew Altevogt, Assistant Executive Officer Date
Central Valley Water Board Prosecution Team

Original Signed By 9/5/2018
Frank Kennedy Date
City Administrator

¹ The final version of this document may include more than one page with the same page number to accommodate the various executing signatures.
C. ORDER OF THE CENTRAL VALLEY WATER BOARD

1. The terms of the foregoing Stipulated Order are fully incorporated herein and made part of this Order of the Central Valley Water Board.

2. This is an action to enforce the laws and regulations administered by the Central Valley Water Board. The Central Valley Water Board, acting through its Executive Officer, finds that issuance of this Order is exempt from the provisions of the California Environmental Quality Act (Public Resources Code section 21000 et seq.), in accordance with sections 15061(b)(3) and 15321(a)(2), of Title 14 of the California Code of Regulations.

3. The Executive Officer of the Central Valley Water Board is authorized to refer this matter directly to the Attorney General for enforcement if the Discharger fails to perform any of its obligations under this Order.

Pursuant to Section 13323 of the California Water Coe and Section 11415.60 of the California Government Code, **IT IS HEREBY ORDERED** by the Central Valley Water Board.

By:

Original Signed By
Patrick Pulupa, Executive Officer
Central Valley Water Board

Date
10/11/2018

Attachment A: Record of Violations Subject to Mandatory Penalties
Attachment B: Compliance Project Description
<table>
<thead>
<tr>
<th>Date</th>
<th>Parameter</th>
<th>Units</th>
<th>WDRs</th>
<th>Measured</th>
<th>Period</th>
<th>Remarks</th>
<th>CIWQS</th>
</tr>
</thead>
<tbody>
<tr>
<td>31-May-13</td>
<td>Cyanide, Total (as CN)</td>
<td>µg/L</td>
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<td>5.1</td>
<td>Monthly Average</td>
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<td>6-Nov-17</td>
<td>Total Coliform</td>
<td>MPN/100ml</td>
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<td>4.5</td>
<td>7-Day Median</td>
<td>3</td>
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<td>MPN/100ml</td>
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<td>4.5</td>
<td>7-Day Median</td>
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<td>mg/L</td>
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<td>4.2</td>
<td>Maximum Daily</td>
<td>1</td>
<td>1035744</td>
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<td>lbs/day</td>
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<td>12.9</td>
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<td>Total Coliform</td>
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<td>7-Day Median</td>
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<td>mg/L</td>
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<td>4.5</td>
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<td>4</td>
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<td>20-Dec-17</td>
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<tr>
<td>Date</td>
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<td>Units</td>
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<td>21</td>
<td>Total Coliform</td>
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<td>13</td>
<td>7-day Median</td>
<td>4</td>
<td>1044981</td>
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</table>

Remarks:

1. Serious Violation: For Group I pollutants that exceed the effluent limitation by 40 percent or more.
2. Serious Violation: For Group II pollutants that exceed the effluent limitation by 20 percent or more.
3. Non-serious violation falls within the first three violations in a 180-day period, thus is not subject to mandatory minimum penalties. Penalties that may be assessed for this violation are discretionary. This violation is not addressed or resolved in this ROV.
4. Non-serious violation subject to mandatory minimum penalties.

VIOLATIONS AS OF: 5/31/2018

<p>| | |</p>
<table>
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<tr>
<th></th>
<th></th>
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</thead>
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<tr>
<td>Group I Serious Violations:</td>
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<tr>
<td>Group II Serious Violations:</td>
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<tr>
<td>Non-Serious Violations Not Subject to MMPs:</td>
<td>3</td>
</tr>
<tr>
<td>Non-Serious Violations Subject to MMPs:</td>
<td>8</td>
</tr>
<tr>
<td>Total Violations Subject to MMPs:</td>
<td>18</td>
</tr>
</tbody>
</table>

Mandatory Minimum Penalty

(10 Group I Serious Violations + 8 Non-Serious Violations Subject to MMPs) x $3,000 = $54,000
Compliance Project Description

Project Title: Aeration Basin Process Control Improvement Project

Geographic Area of Interest: The City of Williams Wastewater Treatment Plant

Name of Responsible Entity: City of Williams

Contact Information:

Frank Kennedy, City Administrator
City of Williams
810 E Street
P.O. Box 310
Williams, CA 95987
(530) 473-2955
fkennedy@cityofwilliams.org

Project Description:

The Aeration Basin Process Control Improvement Project (Project) is proposed to mitigate effluent limitation violations by improving the Facility’s nitrification/denitrification process control. The Discharger proposes two improvement projects described below.

Proposed Improvements

I. **Install an online continuous ammonia probe** at the head of the ultra violet system to measure ammonia concentrations and make process changes in real time, rather than awaiting lab sample results nearly a week later. Programming improvements will also be required to integrate the new ammonia probe into Supervisory Control and Data Acquisition (SCADA) system.

II. **Install a fourth aeration basin blower** for additional dissolved oxygen management and redundancy since all existing blowers are in operation at times. Programming improvements will also be made to integrate the new blower into SCADA. This will include reconfiguring the existing control panel to accommodate the fourth blower.

Estimated Cost of Project Completion:

The goals of the Compliance Project are to prevent future ammonia and total coliform organism violations, as previously described. The Compliance Project, in total, is expected to cost in excess of $60,000; $54,000 of MMPs associated with this Order will be used to fund the Project. Phase I has an estimated budget of $20,000 and Phase II has an estimated budget of $40,000. More than one contractor will be doing the work, as it is expected to be completed in phases.

Project construction of the ammonia probe is expected to be completed no later than January 2019, while construction and integration of the fourth blower will be completed by December 2020.
ATTACHMENT B
ADMINISTRATIVE CIVIL LIABILITY ORDER R5-2018-0519

Water body, beneficial use and/or pollutant addressed by this Project:

The Project will lead to a reduction of ammonia and total coliform discharged to Salt Creek, which is tributary to the Sacramento River.

Project Schedule, Budget, and Deliverables:

1. Financing and Budget: The Discharger has completed a financing plan to complete the Compliance Project. City of Williams has allocated $90,000 for the 2018-2019 fiscal year sewer fund, and $54,000 will be used from the sewer fund to complete the Compliance Project.

2. Quarterly Progress Reports. Beginning with the Fourth Quarter 2018, quarterly progress reports shall be submitted by the last day of the month following the end of each quarter (i.e. the Fourth Quarter 2018 progress report will be submitted by 30 January 2019, and will cover the period from 1 October through 31 December 2018). Each progress report will describe the work completed during the quarter.

   Deliverable: Quarterly Progress Reports  
   Due Date: Last day of the month following the end of each quarter

3. Final Report. The Discharger shall include a summary of all tasks completed per this Project, an analysis of the success of the Project, and a post-Project accounting of all expenditures. The accounting shall clearly show whether the final cost of the completed Project is less than, equal to, or more than the suspended liability of $54,000. The report shall be completed under penalty of perjury.

   Deliverable: Final Report  
   Due Date: 28 February 2021