

CALIFORNIA REGIONAL WATER QUALITY CONTROL BOARD  
CENTRAL VALLEY REGION

ADMINISTRATIVE CIVIL LIABILITY COMPLAINT R5-2017-0509

MANDATORY PENALTY  
IN THE MATTER OF

CALIFORNIA DEPARTMENT OF CORRECTIONS AND REHABILITATION  
DEUEL VOCATIONAL INSTITUTION  
WASTEWATER TREATMENT FACILITY  
SAN JOAQUIN COUNTY

This Complaint is issued to the California Department of Corrections and Rehabilitation (hereafter Discharger) pursuant to California Water Code (Water Code) section 13385, which authorizes the imposition of Administrative Civil Liability, Water Code section 13323, which authorizes the Executive Officer to issue this Complaint and Water Code section 7, which authorizes the delegation of the Executive Officer's authority to a deputy, in this case the Assistant Executive Officer. This Complaint is based on allegations that the Discharger violated provisions of Waste Discharge Requirements (WDRs) Order R5-2014-0014-01 (NPDES CA0078093).

The Assistant Executive Officer of the Central Valley Regional Water Quality Control Board (Central Valley Water Board or Board) alleges the following:

1. The Discharger owns and operates the Deuel Vocational Institution Wastewater Treatment Plant (Facility), a collection treatment and disposal system, which provides sewerage service to the Deuel Vocational Institution. Treated municipal wastewater is discharged into Deuel Drain, tributary to Paradise Cut and Old River, which are part of the Sacramento-San Joaquin Delta and waters of the United States.
2. In order to regulate discharges from the Facility, on 7 February 2014, effective 29 March 2014, the Central Valley Water Board issued WDRs Order R5-2014-0014, which contained new requirements and rescinded WDRs Order R5-2008-0164, except for enforcement purposes. On 9 October 2014, the Board amended the WDRs by adopting WDRs Order R5-2014-0014-01, which allows for participation in the Delta Regional Monitoring Program.
3. On 30 March 2015, the Assistant Executive Officer issued Cleanup and Abatement Order R5-2015-0704 to the Discharger for violations of the WDRs due to inadequate operation and maintenance of the Facility, including the membrane bioreactor (MBR), which resulted in effluent limitation violations. The CAO contains requirements to bring the Discharger back into compliance with the WDRs.
4. On 28 March 2016, the Executive Officer of the Central Valley Water Board issued Administrative Civil Liability Complaint (ACLC) R5-2016-0523 for mandatory minimum penalties for effluent violations from 1 April 2014 through 31 December 2015. The Discharger paid the civil liability and the Board considers those effluent violations specifically listed in Attachment A to ACLC R5-2016-0523 to be resolved.
5. On 22 July 2016, the Executive Officer of the Central Valley Water Board issued Administrative Civil Liability Complaint (ACLC) R5-2016-0536 for failing to submit technical reports as required by CAO R5-2015-0704, continuing to discharge in violation of the WDRs between 1 January 2016 and 30 April 2016, and failing to properly operate and maintain the Facility as required by the WDRs. In part, ACLC R5-2016-0536 assesses discretionary penalties for effluent limit violations that occurred from 1 January 2016 and 30 April 2016. ACLC R5-2016-0536 is currently in the

process of being resolved under confidential settlement negotiations between Board staff and the Discharger.

6. On 24 January 2017, Central Valley Water Board staff issued a draft Record of Violations (ROV) to the Discharger for the period between 1 May 2016 and 30 November 2016. The Discharger did not submit comments in response to the ROV. This Complaint extends the ROV period through 31 January 2017; two additional total coliform violations were found in addition to those cited in the ROV.
7. This Complaint addresses administrative civil liability for effluent limitation violations that occurred between 1 May 2016 and 31 January 2017. These violations are specifically identified as subject to mandatory minimum penalties in Attachment A to this Complaint, which is attached hereto and incorporated herein by reference.
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. Water Code section 13323 states, in part:

Any executive officer of a regional board may issue a complaint to any person on whom administrative civil liability may be imposed pursuant to this article. The complaint shall allege the

act or failure to act that constitutes a violation of law, the provision authorizing civil liability to be imposed pursuant to this article, and the proposed civil liability.

10. WDRs Order R5-2014-0014-01, Effluent Limitations IV.1. include, in part, the following effluent limitations:

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

**Table 4. Effluent Limitation**

| Parameter                    | Units | Effluent Limitation |                |               |
|------------------------------|-------|---------------------|----------------|---------------|
|                              |       | Average Monthly     | Weekly Average | Maximum Daily |
| Nitrate Plus Nitrite (as N ) | mg/L  | 10                  | --             | --            |

11. WDRs Order R5-2014-0014-01, Effluent Limitations IV.A.1.f. include, in part, the following effluent limitations:

f. **Total Coliform Organisms.** Effluent total coliform organisms shall not exceed:

- i. 2.2 most probable number (MPN) per 100 mL, as 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 eight (8) non-serious violations of the above effluent limitations contained in WDRs Order R5-2014-0014-01. All eight (8) 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 mandatory minimum penalty for these violations is **twenty four thousand dollars (\$24,000)**.
13. The total amount of the mandatory penalties assessed for the alleged effluent limitation violations is **twenty four thousand dollars (\$24,000)**. As stated herein, a detailed list of the alleged effluent violations is included in Attachment A. This Complaint addresses administrative civil liability for violations that are specifically identified as subject to mandatory minimum penalties in Attachment A.
14. On 21 December 2015, the Executive Officer designated Andrew Altevogt, Assistant Executive Officer, as the Lead Prosecution Officer for all enforcement matters originating in the Central Valley Region. The 21 December 2015 Delegation of Authority also authorizes Andrew Altevogt to issue Administrative Civil Liability Complaints.
15. Issuance of this Administrative Civil Liability Complaint to enforce Water Code Division 7, Chapter 5.5 is exempt from the provisions of the California Environmental Quality Act (Pub. Resources Code section 21000 et seq.), in accordance with California Code of Regulations, title 14, section 15321(a)(2).

**THE CALIFORNIA DEPARTMENT OF CORRECTIONS AND REHABILITATION IS HEREBY GIVEN NOTICE THAT:**

1. The Assistant Executive Officer of the Central Valley Water Board proposes that the Discharger be assessed an Administrative Civil Liability in the amount of **twenty four thousand dollars (\$24,000)**.
2. A hearing on this matter will be held at the Central Valley Water Board meeting scheduled on **8/9 June 2017**, unless the Discharger does one of the following by **10 April 2017**.
  - a) Waives the hearing by completing the attached form (checking off the box next to Option 1) and returning it to the Central Valley Water Board. In addition, submits payment for the proposed civil liability of **twenty four thousand dollars (\$24,000)** to the State Water Board with a copy of the check to the Central Valley Water Board; or
  - b) Requests to engage in settlement discussions by checking the box next to Option 2 on the attached form, and returning it to the Board along with a letter describing the issues to be discussed. The Central Valley Water Board must agree to the postponement; or
  - c) Requests to delay the hearing by checking off the box next to Option 3 on the attached form, and returning it to the Board along with a letter describing the proposed length of delay and the issues to be discussed. The Central Valley Water Board must agree to the postponement.
3. If a hearing on this matter is held, the Central Valley Water Board will consider whether to affirm, reject, or modify the proposed Administrative Civil Liability, or whether to refer the matter to the Attorney General for recovery of judicial civil liability.
4. If this matter proceeds to hearing, the Assistant Executive Officer reserves the right to amend the proposed amount of civil liability to conform to the evidence presented, including but not limited to, increasing the proposed amount to account for the costs of enforcement (including staff, legal and expert witness costs) incurred after the date of the issuance of this Complaint through completion of the hearing.

*Original signed by*

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ANDREW ALTEVOGT, Assistant Executive Officer

13 March 2017

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DATE

Attachment A: Record of Violations

**WAIVER FORM  
FOR ADMINISTRATIVE CIVIL LIABILITY COMPLAINT**

By signing this waiver, I affirm and acknowledge the following:

I am duly authorized to represent the California Department of Corrections and Rehabilitation (hereafter Discharger) in connection with Administrative Civil Liability Complaint R5-2017-0509 (hereafter Complaint). I am informed that California Water Code section 13323, subdivision (b), states that, "a hearing before the regional board shall be conducted within 90 days after the party has been served. The person who has been issued a complaint may waive the right to a hearing."

- (OPTION 1: Check here if the Discharger waives the hearing requirement and will pay in full.)**
- a. I hereby waive any right the Discharger may have to a hearing before the Central Valley Water Board.
  - b. I certify that the Discharger will remit payment for the proposed civil liability in the full amount of **twenty four thousand dollars (\$24,000)** by check that references "ACL Complaint R5-2017-0509" made payable to the *State Water Pollution Cleanup and Abatement Account*. Payment must be received by the State Water Resources Control Board, Accounting Office, Attn: ACL Payment at PO Box 1888, Sacramento, California, 95812-1888 by **10 April 2017**. The waiver and a copy of the check must be submitted to the Central Valley Water Board at 11020 Sun Center Drive #200, Attn: Wendy Wyels, Rancho Cordova, California, 95670 by **10 April 2017**.
  - c. I understand the payment of the above amount constitutes a proposed settlement of the Complaint, and that any settlement will not become final until after a 30-day public notice and comment period. Should the Central Valley Water Board receive significant new information or comments during this comment period, the Central Valley Water Board's Assistant Executive Officer may withdraw the complaint, return payment, and issue a new complaint. I also understand that approval of the settlement will result in the Discharger having waived the right to contest the allegations in the Complaint and the imposition of civil liability.
  - d. I understand that payment of the above amount is not a substitute for compliance with applicable laws and that continuing violations of the type alleged in the Complaint may subject the Discharger to further enforcement, including additional civil liability.
- (OPTION 2: Check here if the Discharger waives the 90-day hearing requirement in order to engage in settlement discussions.)** I hereby waive any right the Discharger may have to a hearing before the Central Valley Water Board within 90 days after service of the complaint, but I reserve the ability to request a hearing in the future. I certify that the Discharger will promptly engage the Central Valley Water Board Prosecution Team in settlement discussions to attempt to resolve the outstanding violation(s). By checking this box, the Discharger requests that the Central Valley Water Board delay the hearing so that the Discharger and the Prosecution Team can discuss settlement. The Discharger must provide a letter describing the issues to be discussed in settlement. It remains within the discretion of the Central Valley Water Board to agree to delay the hearing. Any proposed settlement is subject to the conditions described above under "Option 1."
- (OPTION 3: Check here if the Discharger waives the 90-day hearing requirement in order to extend the hearing date and/or hearing deadlines. Attach a separate sheet with the amount of additional time requested and the rationale.)** I hereby waive any right the Discharger may have to a hearing before the Central Valley Water Board within 90 days after service of the complaint. By checking this box, the Discharger requests that the Central Valley Water Board delay the hearing and/or hearing deadlines so that the Discharger may have additional time to prepare for the hearing. It remains within the discretion of the Central Valley Water Board to approve the extension.

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(Print Name and Title)

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(Signature)

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(Date)

**ATTACHMENT A**  
**RECORD OF VIOLATIONS FOR ASSESSING MANDATORY MINIMUM PENALTIES**

**California Department of Corrections and Rehabilitation Deuel Vocational Institution**  
**RECORD OF VIOLATIONS (1 May 2016 – 31 January 2017) MANDATORY PENALTIES**  
(Data reported under Monitoring and Reporting Program R5-2014-0014-01)

|   | <u>Date</u> | <u>Parameter</u>     | <u>Units</u> | <u>WDRs<br/>Limit</u> | <u>Measured</u> | <u>Period</u>   | <u>Remarks</u> | <u>CIWQS</u> |
|---|-------------|----------------------|--------------|-----------------------|-----------------|-----------------|----------------|--------------|
| * | 13-Apr-16   | Total Coliform       | MPN/100 mL   | 2.2                   | 23              | 7-Day Median    | 4              | 1008108      |
| * | 27-Apr-16   | Total Coliform       | MPN/100 mL   | 2.2                   | 4.5             | 7-Day Median    | 4              | 1008106      |
| * | 30-Apr-16   | Nitrite Plus Nitrate | MPN/100 mL   | 10                    | 14              | Monthly Average | 4              | 1008107      |
| 1 | 14-Jun-16   | Total Coliform       | MPN/100 mL   | 2.2                   | 23              | 7-Day Median    | 4              | 1010861      |
| 2 | 21-Jun-16   | Total Coliform       | MPN/100 mL   | 2.2                   | 4.5             | 7-Day Median    | 4              | 1010860      |
| 3 | 28-Jun-16   | Total Coliform       | MPN/100 mL   | 2.2                   | 13              | 7-Day Median    | 4              | 1010862      |
| 4 | 26-Jul-16   | Total Coliform       | MPN/100 mL   | 2.2                   | 23              | 7-Day Median    | 4              | 1012128      |
| 5 | 30-Sep-16   | Nitrite Plus Nitrate | mg/L         | 10                    | 12              | Monthly Average | 4              | 1014289      |
| 6 | 18-Oct-16   | Total Coliform       | MPN/100 mL   | 2.2                   | 4.5             | 7-Day Median    | 4              | 1016189      |
| 7 | 10-Jan-17   | Total Coliform       | MPN/100 mL   | 2.2                   | 7.8             | 7-Day Median    | 4              | 1021093      |
| 8 | 18-Jan-17   | Total Coliform       | MPN/100 mL   | 2.2                   | 4.5             | 7-Day Median    | 4              | 1021094      |

\* Supporting violations are subject to MMPs, which are currently in the process of being resolved under confidential settlement negotiations between Board staff and the Discharger.

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.

| <u>VIOLATIONS AS OF:</u>                       | <u>1/31/2017</u> |
|--|------------------|
| Group I Serious Violations:                    | 0                |
| Group II Serious Violations:                   | 0                |
| Non-Serious Violations Not Subject to MMPs:    | 0                |
| <u>Non-Serious Violations Subject to MMPs:</u> | <u>8</u>         |
| <b>Total Violations Subject to MMPs:</b>       | <b>8</b>         |

**Mandatory Minimum Penalty = (8 Non-Serious Violations Subject to MMPs) x \$3,000 = \$24,000**