

**City of Manteca**  
**SSMP Audit Response Protocol**  
**April 4, 2014**

**Who is inspecting?**

Regional Water Quality Control Board (RWQCB), State Water Resources Control Board – Office of Enforcement (SWRCB), and United States Environmental Protection Agency (USEPA) will most likely be the inspectors that will conduct an audit of the City of Manteca’s Sewer System Management Plan.

**Why are they conducting an audit?**

The purpose for the audit will most likely be:

- Evaluate adequacy of discharger SSO preparedness and field response activities
- ID violations and/or areas of concern
- Assist Enrollee’s in reducing SSOs and their impacts on public health and the environment
- Promote program compliance and conformity
- Check “accuracy” of SSO reporting including interviews with collection system staff
- Evaluate discharger’s inspection and maintenance procedures, including record keeping practices, methodologies, and calculations for estimating SSO volume discharged

**What to expect during an audit**

Typically inspections have occurred over a span of one to two days with the inspectors interviewing the engineering and supervisory staff first then the staff that performs the actual collection system maintenance. The inspectors then request to go into the field to visit and inspect key sewer system assets such as lift/pump stations, force mains, assets located at problem sites and/or former SSO locations. During the inspection maintain meeting and conversation notes and take photographs or video of the sites that are inspected. Record date, time, location, and who attended both meetings and site visits. Capture any critical observations or comments from the inspectors.

**City Protocol if an audit occurs**

When a City staff is notified in writing, by phone or in-person that an audit will occur, the first person at the City to be notified is the Deputy Director of Public Works - Engineering and the Water Quality Control Facility (WQCF) Superintendent. They will be the City staff that will organize the response for the City during the audit activities.

The Deputy Director of Public Works and WQCF Superintendent will request from the inspectors a list of information and an overview of what the audit will entail if it is not clear in the form of communication notifying the City of the audit.

It is very important that City staff involved in the operation and maintenance of the collection system is in alignment and aware of the procedures required for responding to SSOs, maintenance activities and documentation requirements. In other words should an audit occur

and the inspectors ask the WQCF Superintendent for SSO response procedures they can accurately describe the process and will be the same response as the Collections System Supervisor or one of the of Maintenance Workers.

Since the City may not be provided a lot of time to respond to the inspectors request for information, the City will designate a person that will be responsible for keeping a log of where all of the anticipated documents are located as a reference, which may include:

- Hard copies, electronic records (including CMMS system data), historic customer call-in records, training documentation, financial information, maintenance worker logs and field documentation. A Pre-Inspection Questionnaire (Attachment 1) is attached to provide an example of the documentation and questions that are asked of a publicly owned sewer system agency.
- Records to support data certified in CIWIQS; be able to provide documentation for all certified SSOs for the past five years. (Can the CIWIQS report be duplicated from the hard copy documentation?)
- Provide the documentation for maintenance of sewer assets such as pump stations, manholes, pipes, ARVs, cleanouts and lampholes. Make sure what is reported in SSMP is in alignment with hard copy documentation and in alignment with what will be described to inspectors in person by supervisors and maintenance workers.
- Provide documentation of 2-year self-audits conducted in order to provide evidence of data collection for measurement and monitoring of performance.

Other areas to be checked include: sewer maintenance equipment, SSO emergency /backup equipment, spare parts list and location, and maintenance worker knowledge in using the equipment, equipment repair logs, spare part inventories, or other equipment. Also, staff familiarity with the SSMP, Waste Discharge Requirements and Amended Monitoring and Reporting Program. Attachment 2 provides an excerpt from the Amended MRP, which describes the Record Keeping requirements:

#### **Audit documentation and closure**

- Generate a file for the audit response, both hard copy and electronic filing locations.
- Document the inspection with a letter to the inspector summarizing the discussions and follow-up procedures with who will be responsible and by when to respond to the inspector's requirements.
- Document any data or information provided to the inspectors with a cover letter and reference that it is meeting the requirement and the timeline that it was asked for to confirm you met the schedule or not.
- Document any follow-up meetings or additional inspections as described above.
- Document when the audit is complete and confirm that this is the case with the inspector.
- Conduct a debrief after the audit is complete, modify the response procedures and data management procedures as needed to improve the City's preparedness and response for the next audit.
- Maintain the records from the audit for at least five (5) years.

# **Attachment 1**

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Pre-Inspection Questionnaire



SEWER COLLECTION SYSTEM  
**PRE-INSPECTION QUESTIONNAIRE**  
Version 1.5

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**PART 1 — DESCRIPTION**

This Sewer Collection System Pre-Inspection Questionnaire (Questionnaire) includes mandatory questions specific to the requirements in the Sanitary Sewer System Waste Discharge Requirements Water Quality Order No. 2006-0003-DWQ (hereafter SSSWDR), and its accompanying Amended Monitoring Plan Order No. 2008-0002-EXEC (hereafter Amended MRP).

All of the questions in this Questionnaire must be answered by the Enrollee (one Questionnaire for each collection system only) to demonstrate how the agency is complying with the SSSWDR and the Amended MRP. All responses provided in the Questionnaire along with the documentation required to be submitted by each Enrollee (see Part 3, Section 1) will be used by the Water Boards to prioritize inspection and enforcement activities statewide for the SSSWDR.

**PART 2 — INSTRUCTIONS**

1. Complete all questions in the Questionnaire.
2. Save an electronic copy of the completed Pre-Inspection Questionnaire (in MS Word), and the other documentation required for your collection system (see Part 3, Section 1). Print the last page of this Questionnaire and sign it in ink. Submit the electronic copy (e.g., CD) and the original completed last page to:

State Water Resources Control Board  
 Office of Enforcement, Special Investigations Unit  
 1001 I Street, 16<sup>th</sup> Floor, Sacramento, CA 95814

**PART 3 — REQUIRED INFORMATION**

**1 DOCUMENTATION**

Please mail an electronic copy (e.g., CD) of the following documents to:

State Water Resources Control Board  
 Office of Enforcement, Special Investigations Unit  
 1001 I Street, 16<sup>th</sup> Floor, Sacramento, CA 95814

- 1.1 Sewer System Management Plan [(SSMP) [Sanitary Sewer System General Waste Discharge Requirements (SSSWDR), Sect. D.13] and any documents referenced within the SSMP. Also include documentation showing approval of the SSMP by your agency’s local governing board (e.g., Board Resolution or other documentation).
- 1.2 SSMP Program Audit<sup>1</sup> [SSSWDR, Sect. D.13(x)], if not contained within your agency’s SSMP
- 1.3 Sewer System Area Map [SSSWDR, Sect. D.13(iv)], if not contained within your agency’s SSMP
- 1.4 Local Sewer Use Ordinance [SSSWDR, Sects. D.13(iii) and D.13(vi)], if not contained within your agency’s SSMP
- 1.5 Evidence of Agency’s SSO Field Response Documentation [SSSWDR, Amended MRP, B.5], if not contained within your agency’s SSMP
- 1.6 Rehabilitation and Replacement Plan [SSSWDR, Sect. D.13(iv)(c)], if not contained within your agency’s SSMP

<sup>1</sup> To satisfy SSSWDR, Sect. D.13(x), the SSMP Audit must occur at least every two years following the original approval date of the agency’s SSMP by the local governing board. The SSMP Audit must measure the effectiveness and compliance of an Enrollee’s SSMP.

- 1.7 Capital Improvement Plan (CIP) Schedule for System Evaluation and Capacity Assurance Plan (SECAP) [SSSWDR, Sect. D.13(viii)], if not contained within your agency's SSMP

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## 2 Basic Information

2.1 Collection System Waste Discharge ID number (WDID) and Collection System Name: \_\_\_\_\_

2.2 Collection System Main Point(s) of Contact (name, title, address, email, and telephone number):  
\_\_\_\_\_

2.3 Type of Sanitary Sewer System (select ONE of the following: Municipal, Park, School, Military, Hospital, Prison, Airport, Port, Other)

2.4 What is the population served by your agency's sanitary sewer system?

2.5 What is this fiscal year's budget for operation and maintenance sanitary sewer system facilities?

2.6 What is this fiscal year's budget for capital expenditures for sanitary sewer system facilities?

*For questions 2.7 - 2.10, please identify the total number of employees (technical and mechanical) for your agency's sanitary sewer system (including pump station operations) working within the different classifications listed below.*

2.7 Entry Level (Less than 2 years experience)

Number of agency employees?

2.8 Journey Level (Greater than or equal to 2 years experience)

Number of agency employees?

2.9 Supervisory Level

Number of agency employees?

2.10 Managerial Level

Number of agency employees?

*For questions 2.11 – 2.14, please identify the total number of employees who hold CWEA Certification for Collection System Maintenance for your agency's sanitary sewer system (including pump station operations) for the various Certificates and Grades levels listed below.*

2.11 Grade I

Number of certified (Grade I Collection System Maintenance) agency employees:

Number of certified (Grade I Plant Maintenance Technologist) agency employees:

2.12 Grade II

Number of certified (Grade II Collection System Maintenance) agency employees:

Number of certified (Grade II Electrical/Instrumentation Technologist) agency employees:

Number of certified (Grade II Mechanical Technologist) agency employees:

2.13 Grade III

Number of certified (Grade III Collection System Maintenance) agency employees:

Number of certified (Grade III Electrical/Instrumentation Technologist) agency employees:

Number of certified (Grade III Mechanical Technologist) agency employees:

**2.14 Grade IV**

Number of certified (Grade IV Collection System Maintenance) agency employees:

Number of certified (Grade IV Electrical/Instrumentation Technologist) agency employees:

Number of certified (Grade IV Mechanical Technologist) agency employees:

**2.15 Estimated Size Distribution of Assets**

<b>Diameter of sewer pipe</b>	<b>Gravity Sewers (miles)</b>	<b>Force Mains (miles)</b>
6 inches or less	[# or ENTER ZERO]	[# or ENTER ZERO]
8 inches	[# or ENTER ZERO]	[# or ENTER ZERO]
9 - 18 inches	[# or ENTER ZERO]	[# or ENTER ZERO]
19 - 36 inches	[# or ENTER ZERO]	[# or ENTER ZERO]
> 36 inches	[# or ENTER ZERO]	[# or ENTER ZERO]
Unknown Diameter	[# or ENTER ZERO]	[# or ENTER ZERO]
Totals	[# or ENTER ZERO]	[# or ENTER ZERO]

2.16 For which portion of sewer service laterals is your agency responsible?

(If None, skip question 2.17.)

2.17 Estimated total miles of sewer service laterals (upper and lower) for which your agency is responsible?

2.18 Number of sewer service lateral connections?

2.19 Estimated total miles of easements within your sanitary sewer system?

2.20 What is your total easement sewer system cleaning production in miles/year?

2.21 What is your total gravity sewer system cleaning production in miles/year?

2.22 Does your agency own any separately enrolled collection systems? [Y/N]

2.23 If yes to question 2.22, which collection system(s) does your agency own?

Collection System name(s):

Collection System WDID(s):

2.24 Which wastewater treatment plant(s) (WWTPs) ultimately receive wastewater from this collection system?

Receiving Treatment Plant name(s):

Receiving Treatment Plant WDID(s):

2.25 For question 2.24, does your agency own this/these WWTP(s)? [Y/N]

2.26 Does your collection system discharge into any other collection system(s)]? [Y/N]

2.27 If yes to question 2.26, which collection system(s) receive wastewater from this collection system?

Receiving Collection System name(s):

Receiving Collection System WDID(s):

2.28 Do any upstream collection systems greater than 25,000 gallons/day (gpd) discharge into this collection system? [Y/N]

2.29 If yes to question 2.28, which collection system(s) discharge into this collection system?

Upstream Collection System name(s):

Upstream Collection System WDID(s):

2.30 Estimated Collection System Flow Characteristics for your collection system:

Average Daily Dry Weather Flow (MGD)	Peak Daily Wet Weather Flow (MGD)
[# or Unknown]	[# or Unknown]
Enter description here how info. Is derived (based on EDUs measured, etc.)	Enter description here how info. Is derived (based on EDUs measured, etc.)

2.31 How many pump stations are there throughout the sewer collection system?

2.32 How many feet of above ground gravity pipelines are there throughout the sewer collection system?

2.33 How many feet of above ground pressurized pipelines are located throughout the sewer collection system?

2.34 How many air relief valves (ARVs) are located throughout the sewer collection system?

2.35 How many siphons are there throughout the sewer collection system?

2.36 Specify the percentage of piping and the number of pump stations constructed in the following table below:  
(note: total percentage must equal 100%)

Age	Source of Age Info. (records, estimated, etc.)	Gravity & Pressure Sewers (%)	Pump Stations <sup>2</sup> 25k Gal/day & Over (number of stations)	Pump Stations <sup>1</sup> Under 25k Gal/day (number of stations)
2000 - Present		[%]	[# or ENTER ZERO]	[# or ENTER ZERO]
1980 - 1999		[%]	[# or ENTER ZERO]	[# or ENTER ZERO]
1960 - 1979		[%]	[# or ENTER ZERO]	[# or ENTER ZERO]
1940 - 1959		[%]	[# or ENTER ZERO]	[# or ENTER ZERO]
1920 - 1939		[%]	[# or ENTER ZERO]	[# or ENTER ZERO]
1900 - 1919		[%]	[# or ENTER ZERO]	[# or ENTER ZERO]
Before 1900		[%]	[# or ENTER ZERO]	[# or ENTER ZERO]
Unknown Age		[%]	[# or ENTER ZERO]	[# or ENTER ZERO]
Totals		[%]	[# or ENTER ZERO]	[# or ENTER ZERO]

<sup>1</sup> For pump stations, flow categories are the maximum flow rate occurring over a 24-hr period based on annual operating data. Age is date asset was originally constructed.

### 3 ORGANIZATION

#### Local Governing Board Information

3.1 [SSSWDR, Sect. D.13(ii)]: Is/are your agency's Legally Responsible Official(s) and Data Submitter(s) registration information up-to-date with the State Water Board? [Y/N]

3.2 [SSSWDR, Sect. D.13(ii)]: If your local governing board has an internet website, please specify the internet address here:

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3.3 [SSSWDR, Sect. D.13(ii)]: Please list the names and titles of each of your agency's current governing board members:

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## Sewer System Management Plan Information

3.4 [SSSWDR, Sect. E.]: Is your agency's SSMP available on your agency's website? [Y/N]

3.5 [SSSWDR, Sect. E.]: If yes to question 3.4, please provide the internet address here: \_\_\_\_\_

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## 4 SEWER SYSTEM ASSETS

### General System Information

4.1 [SSSWDR, Findings 2 & 3]: Please specify the basis for the population estimate in question 2.4 (e.g., official census data, estimated by agency, etc.)?

4.2 [SSSWDR, Sects. D.8, D.10]: What is the approximate size of the service area served by the sewer collection system for your agency, in square miles? [# or Unknown]

4.3 [SSSWDR, Sects. D.8, D.10]: Please describe the terrain within your agency's sewer service area (Mountainous, Hilly, Flat, Valley, etc.)?

4.4 [SSSWDR, Sects. D.8, D.10]: Please specify what percentage of the collection system's flow comes from residential, commercial, industrial, and institutional sources. [% FOR EACH or Unknown]

### Asset Mapping

4.5 [SSSWDR, D.13(iv)]: Has your agency identified and mapped all the gravity sewer line segments, public access points (manholes, lamp holes, rod holes, etc.), pumping facilities, pressure pipes and valves, and stormwater-related facilities? [Y/N]

4.6 [SSSWDR, D.13(iv)]: Does your agency currently have sewer system assets mapped in a Geographic Information System (GIS)? [Y/N]

4.7 [SSSWDR, D.13(iv)]: Does your agency currently have stormwater-related facilities mapped in GIS? [Y/N]

4.8 [SSSWDR, D.8 and D.10]: What is the estimated number of gravity sewer line pipe segments located throughout the collection system? [# or Unknown]

4.9 [SSSWDR, D.13(iv)]: Does your agency have a formal review process in place to ensure that any mapping issues noted by field staff or others are addressed? [Y/N]

4.10 [SSSWDR, D.13(iv)]: Please indicate the total number of public access points (manholes, lamp holes, rod holes, etc.) located within your sewer collection system. [# or Unknown]

### Sewer Service Laterals [SSSWDR, D.8, D.13(iv)]

4.11 Has your agency ever historically owned or maintained any portion of sewer service laterals? [Y/N or Unknown]

4.12 Does your agency have a voluntary sewer service lateral incentive program in place? [Y/N]

4.13 How many incoming complaints did your agency receive for privately-owned sewer service lateral problems in the previous fiscal year? [# or Unknown]

4.14 How many service calls did your agency respond to in the field for privately-owned service lateral problems in the previous fiscal year? [# or Unknown]

### Pumping Facility Assets

For questions 4.15 – 4.32 refer to your pump station assets from question 2.31 (above)

- 4.15 [SSSWDR, D.8, D.13(iv)]: Has your agency mapped each pump station's actual GPS coordinates? [Y/N]
- 4.16 [SSSWDR, D.8, D.13(iv)]: Has your agency conducted a risk assessment for each asset? [Y/N]
- 4.17 [SSSWDR, D.8 and D.10]: How many of these assets have redundant pipelines installed? [#]
- 4.18 [SSSWDR, D.8 and D.10]: How many have dedicated emergency stand-by power generators located onsite? [#]
- 4.19 [SSSWDR, D.8 and D.10]: Has your agency developed standard and emergency operating procedures for each asset in the event of a power and/or pumping failure? [Y/N]
- 4.20 [SSSWDR, D.8 and D.10]: Has your agency determined the lowest hydraulic overflow point(s) and calculated the longest possible holding time(s) for each asset? [Y/N]
- 4.21 [SSSWDR, D.6(iii) and (vi), D.8 and D.10]: Has your agency identified critical spare parts for each asset? [Y/N]
- 4.22 [SSSWDR, D.6(iii) and (vi), D.8 and D.10]: For question 4.21, does your agency maintain the spare parts identified for each asset? [Y/N]
- 4.23 [SSSWDR, D.8 and D.10]: How many facilities are located within 100 feet of a surface water, creek or drainage channel? [#]
- 4.24 [SSSWDR, D.8 and D.10]: How many are located within 20 feet of a storm drain inlet? [#]
- 4.25 [SSSWDR, D.8 and D.10]: How many pump stations are equipped with audible and/or visual alarms located in public view to expedite notification to your agency in the event of an SSO? [#]
- 4.26 [SSSWDR, D.8 and D.10]: How many pump stations are equipped with an Auto Dialer Alarm System(s) for detecting pump failure and/or high wet well levels? [#]
- 4.27 [SSSWDR, D.8 and D.10]: How many have a supervisory, control and data acquisition system (SCADA) installed and operational? [#]
- 4.28 [SSSWDR, D.8 and D.10]: For question 4.27, how many can be remotely operated? [#]
- 4.29 [SSSWDR, D.8 and D.10]: How many pump stations display emergency notification signage, including agency contact information, in public view to expedite notification to your agency in the event of an SSO? [#]
- 4.30 [SSSWDR, D.8 and D.10]: Does your agency implement vandalism control efforts to discourage unauthorized access and/or vandalism to these assets? [#]
- 4.31 [SSSWDR, D.8 and D.10]: How many pump stations have built-in pumping bypass capability for emergency use? [#]
- 4.32 [SSSWDR, D.8 and D.10]: How many have electrical power connections installed to allow for the use of portable emergency generators? [#]

#### Force Main Sewer Assets

- 4.33 [SSSWDR, D.8, D.13(iv)]: How many sewer force mains are owned by your agency? [#]
- 4.34 [SSSWDR, D.8, D.13(iv)]: For the assets in question 4.33, has your agency conducted a risk assessment for each asset? [Y/N]
- 4.36 [SSSWDR, D.8 and D.10]: For the assets in question 4.33, how many have a dedicated corrosion protection system(s) installed? [#]
- 4.37 [SSSWDR, D.8 and D.10]: For the assets in question 4.33, what is the total number of air relief valves installed? [#]

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## 5 FINANCIAL INFORMATION

### Funding Sources and Revenues [SSSWDR, D.9]

- 5.1 Does your agency utilize an Enterprise Fund for services provided to the public? [Y/N]
- 5.2 If yes to question 5.1, what are the total estimated annual revenues generated from this fund? [#]
- 5.3 If yes to 5.1, what is the current fund balance? [#]
- 5.4 Please provide a brief description of all sewer collection system funding source(s) (e.g., user fees, annual budget allocation, property taxes, etc.).
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- 5.5 What is your agency's total number of billed sewer connections? [# OR Unknown]
- 5.6 What is your agency's total number of billed customers for sewer service? [# OR Unknown]
- 5.7 What is your agency's current average monthly household user fee for sewage collection only? [\$ or Unknown]
- 5.8 For the answer in 5.7, what is your agency's sewer fee rate basis (e.g., measured flow, calculated flow, flat fee, etc.)
- 5.9 Has your local governing board approved any future sewer use fee increase(s)? [Y/N]

### Operations, Maintenance and Capital Funds and Expenditures [SSSWDR, Sects. D.9]

- 5.10 How much did your agency spend in the last fiscal year for operations and maintenance activities (O&M) of sewer assets? [\$]
- 5.11 How much did your agency spend in the last fiscal year on capital expenditures for sewer assets (e.g., new pipelines or equipment)? [\$]

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## 6 LOCAL SEWER USE ORDINANCE [SSSWDR, D.13(iii) and/or D.13(vii)]

- 6.1 Does your agency have an adopted sewer use ordinance (Ordinance)? [Y/N]
- If no to question 6.1, skip to question 7.1
- 6.2 Specify the date of last update/change of your agency's local Ordinance approved by your agency's local governing board. [DATE]
- 6.3 Specify the time frequency in which the Ordinance is reviewed. [FREQ]
- 6.4 Does your agency have legal authority within the Ordinance to limit and enforce illicit discharges from upstream public and/or private satellite collection system(s)? [Y/N]
- 6.5 If no to question 6.4, does your agency have service agreements or other procedures to limit and enforce illicit discharges from upstream public and/or private satellite collection system(s)? [Y/N]
- 6.6 Does the Ordinance ban inflow from stormwater sources? [Y/N]
- 6.7 Does the Ordinance specify who owns and/or maintains the sewer service lateral from the building foundation to the property line (upper lateral portion)? [Y/N]
- 6.8 Does the Ordinance specify who owns and/or maintains the sewer service lateral from the property line to the sewer main line (lower lateral portion)? [Y/N]
- 6.9 Does the Ordinance require testing and/or inspection of the sewer service lateral upon remodeling, renovations and/or transfer of property/residence? [Y/N]

- 6.10 Does the Ordinance prohibit illicit discharges from service connections into the sewer? [Y/N]
- 6.11 Does the Ordinance require sewers and connections to be properly designed and constructed? [Y/N]
- 6.12 Does the Ordinance require proper maintenance, inspection and repairs of laterals? [Y/N]
- 6.13 Does the Ordinance limit the discharge of fats, oils and grease (FOG) and other debris that may cause blockages? [Y/N]
- 6.14 Does the Ordinance give your agency the authority to inspect grease producing facilities? [Y/N]
- 6.15 Does the Ordinance reference the Uniform Building Code? [Y/N]
- 6.16 Does the Ordinance reference the California Plumbing Code? [Y/N]
- 6.17 Does the Ordinance give your agency the authority to inspect, maintain and repair assets located within sewer easements? [Y/N]
- 6.18 Does the Ordinance provide your agency with the proper authority to issue notices of violation (NOVs)? [Y/N]
- 6.19 If yes to question 6.18, how many NOVs has your agency issued in the past 3 years? [# or Unknown]
- 6.20 Does the Ordinance provide your agency with the proper authority to issue enforcement penalties for violators? [Y/N]
- 6.21 If yes to question 6.20, how many enforcement penalties has your agency issued in the past 3 years? [# or Unknown]
- 6.22 Does Ordinance provide your agency with the proper authority to ban connections and/or disconnect services for violators? [Y/N]
- 6.23 If yes to question 6.22, how many actions has your agency undertaken in the past 3 years? [Y/N]
- 6.24 Does the Ordinance provide your agency with the authority to limit future development and/or building? [Y/N]
- 6.25 If yes to question 6.24, how many actions has your agency undertaken in the past 3 years? [# or Unknown]

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## 7 CAPITAL IMPROVEMENT PLAN

- 7.1 [SSSWDR, D.9]: What is the approval date of your Sewer Capital Improvement Plan (Sewer CIP) by your agency's local governing board? [M/D/Y]
- 7.2 [SSSWDR, D.8 and D.13(iv)]: For question 7.1, is your Sewer CIP available on the internet for public review? [Y/N]
- 7.3 [SSSWDR, D.8 and D.13(iv)]: If yes to question 7.2, please specify the internet address:  
\_\_\_\_\_
- 7.4 [SSSWDR, D.8 and D.13(iv)]: What is the projected date of your next Sewer CIP update? [M/D/Y]

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## 8 OPERATIONS AND MAINTENANCE PROGRAM

### Computerized Maintenance Management System (CMMS)

- 8.1 [SSSWDR, D.8 and D.13(iv)]: Does your agency use a computerized maintenance management system (CMMS) to generate work orders and track sewer maintenance, operations and management information? [Y/N]
- 8.2 [SSSWDR, D.7 and D.13(iv)]: If yes to question 8.1, is CMMS data used for ongoing strategies to eliminate/reduce SSOs? [Y/N]
- 8.3 [SSSWDR, D.7 and D.13(iv)]: If yes to question 8.1, is the CMMS data used to evaluate cleaning production rates? [Y/N]
- 8.4 [SSSWDR, D.7, D.13(iv) and D.13(ix)]: If yes to question 8.1, does your agency use the CMMS information to provide data for tracking system trends, problems and/or performance? [Y/N]
- 8.5 [SSSWDR, D.7, D.13(iv) and D.13(ix)]: If no to question 8.1, does your agency have a different method in place to provide data for tracking system trends, problems and/or performance? [Y/N]

## Inspections, Operations and Management Activities

- 8.6 [SSSWDR, D.8, D.13(iv)]: What was your agency's total gravity sewer collection system cleaning production (hydro flushing, mechanical and hand rodding) over the past 12 months (miles per year)? [# or Unknown]
- 8.7 [SSSWDR, D.8, D.13(iv)]: What is your agency's total gravity sewer collection system cleaning production scheduled (hydro flushing, mechanical and hand rodding) for the next 12 months (miles per year)? [# or Unknown]
- 8.8 [SSSWDR, D.8, D.13(iv)]: What was your agency's total video (CCTV) Inspection production in the past 12 months (miles)? [# or Unknown]
- 8.9 [SSSWDR, D.8, D.13(iv)]: What is your agency's total video (CCTV) inspection production scheduled for the next 12 months (miles)? [# or Unknown]
- 8.10 [SSSWDR, D.8, D.13(iv)]: Does your agency have a method in use for reviewing and analyzing force main sewers and their components? [Y/N]
- 8.11 [SSSWDR, D.7 and D.13(iv)]: What is the total number of focused problem areas ("SSO hot spots") located throughout the collection system? [# or Unknown]
- 8.12 [SSSWDR, D.8 and D.10]: Does your agency have a program to inspect and maintain air relief valves (ARVs)? [Y/N/ n/a]
- 8.13 [SSSWDR, D.8 and D.10]: How many ARVs are not accessible for inspection/maintenance? [#/ n/a]
- 8.14 [SSSWDR, D.7 and D.13(iv)]: What was the total number of ARVs exercised and cleaned in past 12 months? [# or Unknown]
- 8.15 [SSSWDR, D.7 and D.13(iv)]: What is the total number of ARVs planned to be exercised and cleaned in the next 12 months? [# or Unknown]
- 8.16 [SSSWDR, D.13(iv)]: What is the total number of public access points (manholes, lamp holes, rod holes, etc.) inspected in the past 12 months? [# or Unknown]
- 8.17 [SSSWDR, D.13(iv)]: What is the total number of public access points (manholes, lamp holes, rod holes, etc.) scheduled to be inspected in the next 12 months? [# or Unknown]
- 8.18 [SSSWDR, D.13(iv)]: Does your agency visually inspect pipeline routes at least annually, and after major storms, earthquakes or other events that could damage these assets, to check for sink holes or leaks along force main(s)? [Y/N]
- 8.19 [SSSWDR, D.13(iv)]: How many above ground crossings (if applicable) were inspected in the past 12 months? [#, N/A or Unknown]
- 8.20 [SSSWDR, D.13(iv)]: How many siphons (if applicable) were inspected in the past 12 months? [#, N/A or Unknown]
- 8.21 [SSSWDR, D.13(iv)]: Does your agency have a process to identify areas subject to excess hydrogen sulfide corrosion? [Y or N]
- 8.22 [SSSWDR, D.13(iv)]: Does your agency have a formal pipe grading process in place to identify pipe discontinuities? [Y or N]
- 8.23 [SSSWDR, D.13(iv)]: Does your agency require video (CCTV) inspections before and after cleaning to measure the effectiveness of these activities? [#]
- 8.24 [SSSWDR, D.13(iv)]: Does your agency video (CCTV) inspect pipes after all SSO(s)? [Y/N]
- 8.25 [SSSWDR, D.13(iv)]: Does your agency conduct smoke, dye or other tests to check for illicit connections? [Y/N]
- 8.26 [SSSWDR, D.13(iv)]: If yes to question 8.25, how many miles of sewer system were tested in the past 12 months? [# or Unknown]
- 8.27 [SSSWDR, D.13(iv)]: Does your agency use video (CCTV) to monitor discharger compliance for illicit connections? [Y/N]
- 8.28 [SSSWDR, D.13(iv)]: If yes to question 8.27, list the total number of miles of video (CCTV) inspection conducted for this purpose in the past 12 months. [# or Unknown]

- 8.29 [SSSWDR, D.13(iv) and D.13(viii)]: Does your agency have formal agreements in place to increase resources through established mutual assistance agreements with other agencies/contractors for wet weather episodes or for SSO response activities? [Y/N]
- 8.30 [SSSWDR, D.13(iv) and D.13(viii)]: Does your agency have a program in place to identify areas with inflow and infiltration (I/I) ? [Y/N]
- 8.31 [SSSWDR, D.13(iv) and D.13(viii)]: If yes to question 8.30, estimate the total number of miles identified by this program. [# or Unknown]
- 8.32 [SSSWDR, D.13(iv)]: Does your agency have an active root control program in place? [Y/N]
- 8.33 [SSSWDR, D.13(iv)]: If yes to question 8.32, please list the type(s) of control efforts in place (e.g., chemical, mechanical, etc.).
- 8.34 [SSSWDR, D.13(iv)]: If your agency uses chemical(s) for root control, please list chemical(s) used. [N/A if no chem. root program]

**Fats, Oils and Grease [SSSWDR, D.13(iv) and D.13(viii)]**

- 8.35 Does your agency have a commercial FOG program in place? [Y/N]
- 8.36 If no to question 8.35, has your agency justified in its SSMP why a FOG program is not needed? [Y/N]
- 8.37 If yes to question 8.35, does your agency have a FOG Ordinance separate from the sewer use ordinance? [Y/N]
- 8.38 If yes to question 8.37, please list the FOG Ordinance citation number:
- 8.39 If yes to question 8.35, approximately how many food service establishments (FSEs) such as restaurants, schools, hospitals, jails, and convalescent homes are subject to FOG control. [#]
- 8.40 If yes to question 8.35, what is the total number of FSE permits issued for FOG control? [#]
- 8.41 If yes to question 8.35, what is the total number of dedicated FSE FOG inspectors? [#]
- 8.42 If yes to question 8.35, how many FSE FOG inspections were conducted in past 12 months? [#]
- 8.43 If yes to question 8.35, how many FSE FOG enforcement action(s) were initiated in the past 12 months?
- 8.44 If yes to question 8.35, how many FSE FOG inspections are planned for the next 12 months? [#]
- 8.45 Does your agency have a residential FOG program in place? [Y/N]
- 8.46 If yes to question 8.45, briefly describe the program: \_\_\_\_\_  
\_\_\_\_\_

**Sewer Contract Services**

- 8.47 [SSSWDR, D.8 and D.13(iv)]: Does your agency retain contract service(s) for sewer collection system maintenance, operations, and/or management? [Y/N]
- 8.48 [SSSWDR, D.8 and D.13(iv)]: If yes to question 8.47, for services in excess of \$10,000/year, please provide some basic information about these services in the table below:

Contractor Name	Description (cleaning, root control, repairs, , etc.)	Frequency of Contract	Budget (annual \$)

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**9 SSO EMERGENCY RESPONSE PROGRAM [SSSWDR, D.13(vi)]**

- 9.1 Does your agency's SSO Emergency Response Plan incorporate procedures for pump stations/force main sewers? [Y/N]
- 9.2 Does your agency have a dispatcher(s) within your agency to handle, dispatch and document incoming complaints from your sewer system customers? [Y/N]
- 9.3 If yes to 9.2, does your agency utilize a dispatch radio system for notifying collection crews who respond to SSOs? [Y/N]
- 9.4 If yes to 9.3, please list the frequency(s) in use for the dispatch radio system: \_\_\_\_\_
- 9.5 Does your agency have standard operating procedures (SOPs) in place to test and document, at least once per year, the performance of its after-hours emergency notification system(s)? [Y/N]
- 9.6 Does your agency provide and document any scenario-based SSO emergency response simulation training for collections staff at least on an annual basis to ensure staff are properly trained and prepared in the event of an SSO? [Y/N]
- 9.7 If yes to 9.6, does this training include practical exercises including researching SSO start times and calculating the SSO volume spilled and recovered? [Y/N]
- 9.8 Do your emergency operating procedures (EOPs) include requirements to determine the impact of an SSO, including accelerated or additional environmental monitoring? [Y/N]

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**10 SSO REDUCTION PERFORMANCE AND MONITORING PROGRAM [SSSWDR, D.13(ix)]**

- 10.1 Does your agency have a process in place to collect data to monitor performance of its SSMP and efforts in reducing SSOs? [Y/N]
- 10.2 If yes to question 9.1, does your agency use the data collected to update SSMP program elements? [Y/N]

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**11 COLLECTIONS STAFFING AND TRAINING**

- 11.1 [SSSWDR, D.9]: What is the total number of dedicated sewer maintenance crews in place at your agency? [#]
- 11.2 [SSSWDR, D.9]: For question 11.1, how many staff are typically in each maintenance crew? [#]
- 11.3 [SSSWDR, D.9 and D.13(iv)(d)]: Does your agency have a program in place to identify and document the core competencies/capabilities of collections staff at least on an annual basis (examples include sewer line cleaning, point repairs, video (CCTV) inspection, pump station maintenance, excavation, utility line locating, etc.)? [Y/N]
- 11.4 [SSSWDR, D.9]: If yes to question 11.3, does this program identify gap(s) in competencies/capabilities of collections staff? [Y/N]
- 11.5 [SSSWDR, E]: Does your agency require collections staff to review the SSSWDR and the agency's SSMP at least annually? [Y/N]
- 11.6 [SSSWDR, D.9]: Does your agency use a workforce planning/retention program to ensure adequate future collections staff? [Y/N]
- 11.7 [SSSWDR, D.8 and D.13(iv) and (vi)]: Does your agency provide initial and recurrent training to appropriate staff [including outside contractor(s)] regarding your agency's SSO Emergency Response Plan and O&M programs? [Y/N]
- 11.8 [SSSWDR, D.8 and D.13(iv) and (vi)]: If yes to 11.7, what is the total number of individuals trained in the past 12 months. [#]
- 11.9 [SSSWDR, D.8 and D.13(iv) and (vi)]: For contracted sewer services, do your contracting specifications contain specific language requiring initial and recurrent training of contractor staff regarding your agency's SSO Emergency Response Plan and O&M programs? [Y/N]

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**12 MAJOR EQUIPMENT INVENTORY [SSSWDR, D.4, D.7, D.8, D.13(iv)]**

- 12.1 How many combination truck(s) (hydro flush/vacuum models) are owned and/or leased by your agency? [#]
- 12.2 For question 12.1, how many have a dedicated logbook(s) to document fieldwork activities? [#]
- 12.3 How many hydro flusher(s) are owned and/or leased by your agency? [#]
- 12.4 How many mechanical rodder(s) are owned and/or leased by your agency? [#]
- 12.5 How many video (CCTV) inspection vehicle(s) are owned and/or leased by your agency? [#]
- 12.6 How many utility truck(s) are owned and/or leased by your agency? [#]
- 12.7 How many portable sewage pump(s) are owned and/or leased by your agency? [#]
- 12.8 How many portable generator(s) are owned and/or leased by your agency? [#]
- 12.9 Does your agency own equipment designed to block the storm drain system, in an emergency, to prevent untreated or partially treated wastewater from reaching surface waters? [Y/N]

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**13 EXTERNAL COMMUNICATIONS PROGRAM**

- 13.1 [SSSWDR, D.13(xi)]: Does your agency have a program in place for communicating on a regular basis with the public regarding the development, implementation, and performance of its SSMP?
- 13.2 [SSSWDR, D.13(xi)]: Does your agency have a program in place for communicating with upstream or downstream satellite sewer system(s) connected to its collection system? [Y/N or N/A]
- 13.3 [SSSWDR, D.11]: Does your agency participate in responding to Underground Service Alert(s) (USA) or other similar organizations to identify and mark sewer lines? [Y/N]
- 13.4 [SSSWDR, D.7, D.13(iv), G, and Amended MRP]: Does your agency's communication program give the public the opportunity to provide input as your SSMP is being implemented? [Y/N]

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**14 NOTIFICATION, REPORTING AND RECORD KEEPING**

- 14.1 [SSSWDR, Amended MRP B(5)]: Are all the records required in the Amended MRP, B(5) ("Record Keeping") readily available for review by the Water Boards? [Y/N]
- 14.2 [SSSWDR, Amended MRP, B(5)]: Does your agency maintain a list and description of all sewer-related complaints from customers for the past 5 years, including calls received after normal working hours? [Y/N]
- 14.3 [SSSWDR, Amended MRP, B(5)]: If yes to question 14.2, does this include information for privately owned sewer laterals? [Y/N]
- 14.4 [SSSWDR, G, and Amended MRP]: Does your agency have a quality assurance/quality control (QA/QC) procedure in place for review of technical information collected by field staff prior to certification of the SSO report(s) in the Water Board's online reporting system (CIWQS) by the Legally Responsible Official(s)? [Y/N]
- 14.5 [SSSWDR, G and Amended MRP]: Does your agency require crews to take photos of all SSOs? [Y/N]
- 14.6 [SSSWDR, G and Amended MRP]: If no to question 14.5, does your agency at least require crews to take photos of SSOs that result in backups into structures? [Y/N]
- 14.7 [SSSWDR, G and Amended MRP]: Does your agency have a procedure(s) in place for collecting field information to assist in determining the actual SSO start time? [Y/N]

- 14.8 [SSSWDR, G and Amended MRP]: Does your agency use SOPs to estimate SSO volume spilled, recovered and not recovered, including estimation of cleanup water used? [Y/N]
- 14.9 [SSSWDR, G and Amended MRP]: Does your agency regularly update initial reports given to the California Emergency Management Agency, local health department, and Regional Board as information develops regarding SSOs requiring notification? [Y/N]
- 14.10 [Amended MRP, B.6]: Does your agency maintain water quality monitoring records as required by the Amended MRP, section B(6)?

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## 15 SSO PREVENTION AND MITIGATION

- 15.1 [SSSWDR, D.13(ix)]: Does your agency generate SSO reduction performance metric(s) for its collection system for use in future planning? [Y/N]
- 15.2 [SSSWDR, D.13(ix)]: Does your agency have a program in place to conduct periodic video (CCTV) inspections of areas throughout the collection system that have never been evaluated by video (CCTV) to date? [Y/N or N/A]
- 15.3 [SSSWDR, D.13(ix)]: Does your agency document meetings between O&M and source control staff, if applicable? [Y/N or N/A]
- 15.4 [SSSWDR, 8 and D.6]: Does your agency document meetings between O&M and engineering staff to discuss system problem areas and projects, if applicable? [Y/N or N/A]
- 15.5 [SSSWDR, 8 and D.6]: Does your agency hold post-SSO briefings with collections staff, management and others involved, to evaluate root cause of SSOs and document service changes necessary to be prepared in responding to SSOs in the future? [Y/N]
- 15.6 [SSSWDR, 8 and D.6]: Does your agency pursue investigation of upstream satellite(s) or potential illicit dischargers as part of the SSO cause determination process? [Y/N]
- 15.7 [SSSWDR, 8 and D.6]: Does your agency adjust sewer collection system cleaning interval(s) for problem areas based on review and analysis of each past SSO? [Y/N]
- 15.8 [SSSWDR, 8 and D.6]: How many of the SSOs over the past 12 months were preventable through more proactive maintenance? [# OR Unknown]
- 15.9 [SSSWDR, 8 and D.6]: How many of the SSOs over the past 4 years occurred at repeat locations? [# OR Unknown]

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**15 DECLARATION**

**INSTRUCTIONS: Please print this page, sign it, and mail the original of this page to:**

State Water Resources Control Board  
Office of Enforcement, Special Investigations Unit  
1001 I Street, 16<sup>th</sup> Floor, Sacramento, CA 95814

*I, \_\_\_\_\_, the approved Legally Responsible Official (LRO) of collection system (name and Waste Discharge ID#) \_\_\_\_\_ certify under penalty of law that based on my inquiry of the person or persons who manage this system, or those persons directly responsible for gathering the information, the information in this Pre-Inspection Questionnaire (Version 1.0) is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of a fine or imprisonment, for knowing violations.*

\_\_\_\_\_  
Legally Responsible Official Signature

\_\_\_\_\_  
Date

## **Attachment 2**

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Excerpt from the Amended MRP

## **ATTACHMENT 2**

### **Excerpt from the Amended MRP**

#### **E. RECORD KEEPING REQUIREMENTS:**

The following records shall be maintained by the enrollee for a minimum of five (5) years and shall be made available for review by the RWQCB and SWRCB (Water Boards) during an onsite inspection or through an information request:

1. General Records: The enrollee shall maintain records to document compliance with all provisions of the SSS WDRs and this MRP for each sanitary sewer system owned including any required records generated by an enrollee's sanitary sewer system contractor(s).
2. SSO Records: The enrollee shall maintain records for each SSO event, including but not limited to:
  - i. Complaint records documenting how the enrollee responded to all notifications of possible or actual SSOs, both during and after business hours, including complaints that do not result in SSOs. Each complaint record shall, at a minimum, include the following information:
    - a. Date, time, and method of notification.
    - b. Date and time the complainant or informant first noticed the SSO.
    - c. Narrative description of the complaint, including any information the caller can provide regarding whether or not the complainant or informant reporting the potential SSO knows if the SSO has reached surface waters, drainage channels or storm drains.
    - d. Follow-up return contact information for complainant or informant for each complaint received, if not reported anonymously.
    - e. Final resolution of the complaint.
  - ii. Records documenting steps and/or remedial actions undertaken by enrollee, using all available information, to comply with section D.7 of the SSS WDRs.
  - iii. Records documenting how all estimate(s) of volume(s) discharged and, if applicable, volume(s) recovered were calculated.
3. Records documenting all changes made to the SSMP since its last certification indicating when a subsection(s) of the SSMP was changed and/or updated and who authorized the change or update. These records shall be attached to the SSMP.
4. Electronic monitoring records relied upon for documenting SSO events and/or estimating the SSO volume discharged, including, but not limited to records from:
  - i. Supervisory Control and Data Acquisition (SCADA) systems
  - ii. Alarm system(s)
  - iii. Flow monitoring device(s) or other instrument(s) used to estimate wastewater levels, flow rates and/or volumes.