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Appendix 10-B  
Annual Audit Report

## City of Ukiah/Ukiah Valley Sanitation District

### Sewer System Management Plan

### Annual Audit Report

(Template)

Date of Audit: \_\_\_\_\_

Name(s) of Auditor(s): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

System Overview	
Miles of gravity sewer mains	
Miles of force main	
Total miles of all sewer lines	
Number of pump stations	
Miles of private sewer mains, excluding laterals	
Miles of private sewer laterals	
Population served	
Current average monthly single-family residential sewer rate	

#### ***Report Organization***

The following sections are organized as the SSMP elements appear in Statewide Order 2006-003-DWQ, in this SSMP, and in the SSMP Comprehensive Audit Form. The responses provided on the Comprehensive Audit Form will help to complete this audit report. Suggested or other possible reference materials are also listed with each element.

***Element 1: Goal***

1. Are the goals stated in the SSMP still appropriate and accurate?  
(circle one) Y      N
  
2. If the answer to Question 1 is NO, please identify which goals require revision or replacement, the reason for such action, the content of the revised or new goal, and the schedule for implementation or updates. Comments for a YES response may also be provided here.

***Element 2: Organization***

Possible/Suggested Reference Material

- City Organization Chart
- Telephone/E-mail Contact List

3. Is the SSMP current with agency organization and staffing contact information? (circle one)                      Y            N

4. If the answer to Question 3 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.

***Element 3: Legal Authority***

Possible/Suggested Reference Material

- Ordinances
- State Orders
- Enforcement Actions

5. Does the SSMP contain current information about the City’s legal authority? (circle one)                                 Y         N

6. Does the SSMP contain current information about the District’s legal authority? (circle one)                                 Y         N

7. Does the City/District have sufficient legal authority to control sewer use and maintenance? (circle one)                                 Y         N

8. If the answer to Questions 5, 6, and/or 7 is NO, please describe the content and schedule for necessary changes. Comments for a YES response may also be provided here.

***Element 4: Operation and Maintenance***

**4.a. Collection System Maps**

Possible/Suggested Reference Material

- Summary of information included in the City’s mapping and GIS systems for the entire collection system.

9. Does the SSMP contain current information about the City/District’s sanitary sewer maps? (circle one) Y    N

10. Are the City/District’s sewer collection system maps complete, current, and sufficiently detailed? (circle one) Y    N

11. Are the City/County’s storm drainage maps complete, current, and sufficiently detailed? (circle one) Y    N

12. If the answer to Questions 8, 9, and/or 10 is NO, please identify what information or maps require revision or replacement, the reason for such action, the content of the revised or new information and/or maps, and the schedule for implementation or updates. Comments for a YES response may also be provided here.

**4.b. Resources and Budget**

Possible/Suggested Reference Material

- Current Capital Improvement Plan (CIP)
- Current Operating Budget

13. Does the SSMP contain current information about the City's/District's resources and budget? (circle one) Y    N

14. Are the City's/District's resources and budget sufficient to support effective sewer system management? (circle one) Y    N

15. Does the City's/District's planning efforts support long-term goals? (circle one) Y    N

16. If the answer to Questions 13, 14, and/or 15 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.

**4.c. Prioritized Preventative Maintenance**

Possible/Suggested Reference Material

- Cleaning Schedules
- List or Map of Hotspots
- Work Orders
- Service Call Data
- Customer Feedback

17. Does the SSMP contain current information about the City's preventative maintenance activities for both the City and District collection system? (circle one)                            Y          N

18. Considering the information in Tables 1, 2, and 3 [following in Elements 6, 7, and 8, respectively], are the City's preventative maintenance activities sufficient and effective in reducing and preventing SSOs and blockages? (circle one)                            Y          N

19. If the answer to Questions 17 and/or 18 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.



**4.d. Scheduled Inspections and Condition Assessment**

Possible/Suggested Reference Material

- Inspection Reports
- Infiltration and Inflow (I&I) Monitoring Studies and Reports
- Pipe and Manhole Condition Data

20. Does the SSMP contain current information about the inspections and condition assessment for both the City and District systems? (circle one) Y      N

21. Are the City’s scheduled inspections and condition assessment system effective in locating, identifying, and addressing deficiencies? (circle one) Y      N

22. If the answer to Questions 20 and/or 21 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.

**4.e. Contingency Equipment and Replacement Inventories**

Possible/Suggested Reference Material

- Funds Spent on Equipment and Materials
- Equipment and Parts Inventory

23. Does the SSMP contain current information about the City's/District's equipment and replacement inventories? (circle one) Y      N

24. Are contingency equipment and replacement parts sufficient to respond to emergencies and properly conduct regular maintenance? (circle one) Y      N

25. If the answer to Questions 23 and/or 24 is NO, please identify what information requires revision or replacement, what equipment or parts need to be obtained, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.

#### **4.f. Training**

Possible/Suggested Reference Material

- Employee Training Records

- |  |   |   |
|--|---|---|
| 26. Does the SSMP contain current information about the training expectations and programs for the staff that operates both the City and District systems? (circle one)  | Y | N |
| 27. Do supervisors believe that their staff is sufficiently trained? (circle one)  | Y | N |
| 28. Are staff satisfied with the training opportunities and support offered to them? (circle one)  | Y | N |
| 29. If the answer to Questions 26, 27, and/or 28 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here. |   |   |

**4.g. Outreach to Plumbers and Building Contractors**

Possible/Suggested Reference Material

- Fliers/Mailings
- Mailing Lists

30. Does the SSMP contain up-to-date information about the City and District's outreach to plumbers and building contractors? (circle one) Y    N

31. Have the City and District conducted or participated in any outreach activities to plumbers and building contractors? (circle one) Y    N

32. If the answer to Questions 30 and/or 31 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.

***Element 5: Design and Performance Provisions***

Possible/Suggested Reference Material

- Design and Construction Standards
- Ordinances

33. Does the SSMP contain up-to-date information about the City's/District's design and construction standards? (circle one) Y      N

34. Are the design and construction standards, as well as inspection and testing standards for new and rehabilitated facilities, sufficiently comprehensive and up-to-date? (circle one) Y      N

35. If the answer to Questions 33 and/or 34 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.

***Element 6: Overflow Emergency Response Plan***

Possible/Suggested Reference Material

- Data Submitted to CIWQS
- Service Call Data

36. Does the SSMP contain up-to-date information about the overflow emergency response plan used for both the City and District systems? Y      N  
(circle one)

37. Considering the information in Table 1, is the overflow emergency response plan (OERP) effective in handling SSOs? (circle one) Y      N

38. If the answer to Questions 36 and/or 37 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.

**Table 1**  
**Annual SSO Statistics**

<b>Indicator</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
Number of SSOs (total)	2	5	1		
Wet season SSOs <sup>(1)</sup>	2	3	1		
Dry season SSOs	0	2	0		
Number of SSOs (by volume range)					
< 10 gallons	0	0	0		
10 – 99 gallons	1	1	0		
100 – 999 gallons	1	4	1		
1,000 – 9,999 gallons	0	0	0		
≥ 10,000 gallons	0	0	0		
Total SSO Volume					
Volume reaching waters of the State	800	1,838	0		
Volume not contained, but also not reaching waters of the State	0	0	0		
Volume recovered	300	418	300		
Net volume (total minus recovered)	500	1,420	0		
Number of SSOs per 100 miles of sewer per year <sup>(2)</sup>	2.22	5.56	1.11		
Volume of SSOs per 100 miles of sewer per year <sup>(2)</sup>	889	2,042	333		
Total volume conveyed to the WWTP (million gallons)					
Total Volume SSO/Total Volume conveyed, gallons/Million gallons					
Number of SSOs (by cause)					
Blockages	2	5	1		
Roots	0	0	0		
Grease	0	0	0		
Debris	2	3	0		
Debris from Laterals	0	0	0		
Animal Carcass	0	0	0		
Construction Debris	0	0	0		
Multiple Causes	0	2	1		
Infrastructure Failure	0	0	0		
Inflow & Infiltration (I&I)	0	0	0		
Power Failure	0	0	0		
Flow Capacity Deficiency	0	0	0		
Natural Disaster	0	0	0		
Bypass	0	0	0		
Cause Unknown	0	0	0		
Average Emergency Response Time (minutes)					
Business Hours	15	12	20		
Non-business Hours	NA	25	NA		
Number of locations with multiple SSOs	0	0	0		

(1) Wet season is defined as November through April, with the dry season being May through October. This seasonal categorization does not reflect actual conditions at the time of a SSO event.

(2) Based on approximately 90 miles of sewer pipe for City and District.

***Element 7: Fats, Oils, and Grease (FOG) Control Plan***

Possible/Suggested Reference Material

- List or Map of FOG Sources in Service Area
- List or Map of Hotspots
- Cleaning Schedules
- Food Service Establishment Inspection Reports or Summaries
- Data Submitted to CIWQS
- Service Call Data

**Table 2  
 FOG Control Statistics**

	2007	2008	2009	2010	2011
Number of SSOs caused by FOG					
Planned cleaning (linear foot)					
Unplanned cleaning (linear foot)					
Ratio of planned to unplanned cleaning (linear foot)					
Number of FOG inspections completed					

\* (NOTES)

39. Does the SSMP contain current information about the FOG plan?  
 (circle one) Y      N

40. Considering the information in Table 2, is the current FOG program  
 effective in documenting and controlling FOG sources?  
 (circle one) Y      N

41. If the answer to Questions 39 and/or 40 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.



***Element 8: System Evaluation and Capacity Assurance Plan (SECAP)***

Possible/Suggested Reference Material

- Capacity Assessment Reports
- Current Capital Improvement Plan (CIP)
- SSO Data

**Table 3  
 SSOs Caused by Hydraulic Limitations**

	2007	2008	2009	2010	2011
Number of SSOs caused by capacity limitations					

42. Does the SSMP contain current information about the capacity assessment for the City and District systems? (circle one) Y    N
43. Has a capacity assessment identifying and addressing any hydraulic deficiencies been completed for the City and District systems? (circle one) Y    N

44. If the answer to Questions 42 and/or 43 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.

***Element 9: Monitoring, Measurement, and Program Modifications***

45. Does the SSMP contain up-to-date information about the City and District's data collection and organization procedures? (circle one) Y      N
46. Are the s data collection and organization procedures sufficient to evaluate the effectiveness of its SSMP for the City and District's systems? (circle one) Y      N
47. If the answer to Questions 45 and/or 46 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.

***Element 10: SSMP Program Audits***

48. Has this SSMP Audit be submitted with the Annual Report due to the North Coast Regional Water Quality Control Board on March 15 of each year?  
(circle one)

Y      N

***Element 11: Communication Program***

Possible/Suggested Reference Material

- Mailings and Mailing List
- Website
- Customer Feedback
- Communication Records with Plumbers, and Building Contractors
- Other Communications Records, such as Newspaper Ads, Site Postings, or Other Outreach Materials

49. Does the SSMP contain up-to-date information about the City's/District's public outreach activities? (circle one) Y N

50. Does the SSMP contain current information about the City's/District's outreach to plumbers and building contractors? (circle one) Y N

51. Has the City's/District's effectively communicated with the public, other agencies, and/or plumbers and building contractors about the SSMP and addressed any feedback? (circle one) Y N

52. If the answer to Questions 49, 50, and/or 51 is NO, please identify what information requires revision or replacement, the reason for such action, the content of the revised or new information, and the schedule for implementation or updates. Comments for a YES response may also be provided here.