



## Board of Directors

Brian Brennan, Director  
Richard Hajas, Director  
Neil Cole, Director

Mary Bergen, Director  
Pete Kaiser, Director

CASITAS MUNICIPAL WATER DISTRICT  
Meeting to be held at the

The meeting will be held via teleconference.

Join Zoom Meeting <https://zoom.us/j/91094478837?pwd=VnNOQTZyQVk4K2pnaWpjYVl1TkpRdz09>  
Meeting ID: 910 9447 8837 Passcode: 736519

To join the meeting via telephone call (888) 788-0099 or (877) 853-5247 Enter Meeting ID: 910 9447 8837#  
Passcode: 736519#

December 08, 2021 @ 4:00 PM

Right to be heard: Members of the public have a right to address the Board directly on any item of interest to the public which is within the subject matter jurisdiction of the Board. The request to be heard should be made immediately before the Board's consideration of the item. No action shall be taken on any item not appearing on the agenda unless the action is otherwise authorized by subdivision (b) of §54954.2 of the Government Code and except that members of a legislative body or its staff may briefly respond to statements made or questions posed by persons exercising their public testimony rights under section 54954.3 of the Government Code.

Special Accommodations: If you require special accommodations for attendance at or participation in this meeting, please notify our office 24 hours in advance at (805) 649-2251, ext. 113. (Govt. Code Section 54954.1 and 54954.2(a)).

CS1. CALL TO ORDER - CLOSED SESSION - 4:00 P.M.

CS2. ROLL CALL

CS3. PUBLIC COMMENTS - on Closed Session items only.

CS4. CLOSED SESSION

CONFERENCE WITH LEGAL COUNSEL – EXISTING LITIGATION (Government Code Section 54956.9(a) Santa Barbara Channelkeeper v. State Water Resources Control Board, City of San Buenaventura, et al.; and City of San Buenaventura v Duncan Abbott, et al., Cross Complaint; Superior Court of the State of California, County of Los Angeles, Case No. 19STCP01176.

Conference with Real Property Negotiators pursuant to California Government Code Section 54956.8 for APN 022-0-140-64 and APN 022-0-140-68, Willem and Bethalyn Jonker. District Negotiator: General Manager, Mike Flood.

1. CALL TO ORDER - Regular Session at 5:00
2. ROLL CALL
3. CLOSED SESSION REPORT
4. AGENDA CONFIRMATION
5. PUBLIC COMMENTS - Presentation on District related items that are not on the agenda - three minute limit.
6. CONSENT AGENDA
  - 6.a. Accounts Payable Report.  
[Accounts Payable Report.pdf](#)
  - 6.b. Minutes of the November 24 Board Meeting.  
[11 24 2021 Mnotes.pdf](#)
  - 6.c. Resolution proclaiming a local emergency persists, re-ratifying the proclamation of a State of Emergency by Executive Order, and re-authorizing remote teleconference meetings of the legislative bodies of Casitas Municipal Water District for the period December 10, 2021 to January 9, 2022 pursuant to Brown Act provisions.  
[Resolution Subsequent AB 361.pdf](#)
  - 6.d. Resolution Approving Memberships for 2022.  
[Membership Resolution.pdf](#)
7. ACTION ITEMS
  - 7.a. Discussion and possible action on the Letter of Intent from the Tulare Irrigation District regarding the transfer of Casitas MWD's State Water Project Table A supplies.  
[Board Memo on TID LOI 120821.pdf](#)  
[Tulare Letter of Intent\\_TID 12-3-21 ATT1.pdf](#)

- 7.b. Review and approval of the Casitas MWD Fiscal Year 2020-2021 Annual Comprehensive Financial Report.  
[Casitas Gov Ltr Concl 20-21 Draft #1.pdf](#)  
[Casitas MWD 20-21 FS Draft #4.pdf](#)
- 7.c. Recommendation to schedule a Special Meeting on December 15, 2021 at 5:00 p.m. and cancel the regularly scheduled Board Meeting of December 22, 2021.
- 7.d. Schedule a public hearing on the programmatic permit at the Casitas MWD Robles Diversion facility for January 12, 2022.  
[Robles\\_RM\\_Program\\_BoardMemo\\_12.02.2021 \(1\).pdf](#)  
[ATT1\\_Project Description\\_ June 2021 with appendices.pdf](#)
- 7.e. Declare two decommissioned ammonia tanks at the Marion Walker Treatment Plant surplus and direct staff to place them in an online auction.  
  
[Board Memo on Surplus Ammonia Tanks - 120821.pdf](#)
- 7.f. Resolution approving of the annexation of 1000 Burnham Road (APN 032-0-202-075) into the Ventura River Water District.  
[Board Memo VRWD Annexation Request 120821.pdf](#)  
[VRWD Annexation Request Letter ATT1.pdf](#)
- 7.g. Appointment of an Ad-Hoc Imported Water Supply Projects Committee.
- 7.h. Authorize Task Order to Rincon Consultants to support EDA ARPA Tourism Grant for LCRA.  
[EDA ARPA.pdf](#)
- 7.i. Determine bids for pipeline construction will only be accepted from the list of pre-qualified contractors for 2022 and the contractors who provided labor and equipment schedules may perform emergency pipeline repairs using their 2022 rate schedule.  
[Contractor Pre-Qual Board Memo 2021208 \(1\).pdf](#)
- 7.j. Denial of a claim at 5510 Casitas Pass Road, Ventura Ca.  
[Board Memo regarding denial of a claim at 5510 Casitas Pass Rd. 120821.pdf](#)  
[Claim.pdf](#)  
[Claim Photos.pdf](#)
- 8. LAKE CASITAS IMPROVEMENT FOUNDATION ANNUAL MEETING
  - 8.a. Call to Order

- 8.b. Public Comments
- 8.c. Review and Approve Treasurers Report.  
[LCIF Treasurer's Report 06-30-2021 \(1\).pdf](#)
- 8.d. Adjourn Lake Casitas Improvement Foundation Meeting.

9. INFORMATION ITEMS

- 9.a. State Water Project Intertie Report.  
[SWP Intertie Project Cost 11-30-21.pdf](#)
- 9.b. CFD 2013 Report.  
[Casitas MWD CFD No. 2013-1 \(Ojai\) SB 165 Report \(2021\) v2.pdf](#)
- 9.c. Adjudication Charges Report.  
[Adjudication Charges YTD 11.30.21.pdf](#)
- 9.d. Financial Statement Summary for September.  
[Financial Statements 09-30-2021 Summary Updated.pdf](#)
- 9.e. Non-budgeted Items Log.  
[Non-Budgeted Items Log.pdf](#)
- 9.f. Investment Report.  
[Investment Report 11.30.2021.pdf](#)

10. GENERAL MANAGER COMMENTS

11. BOARD OF DIRECTOR REPORTS ON MEETINGS ATTENDED

12. BOARD OF DIRECTOR COMMENTS PER GOVERNMENT CODE SECTION 54954.2(a).

13. ADJOURNMENT



**CASITAS MUNICIPAL WATER DISTRICT**  
**General Fund Check Authorization**  
**Checks Dated 11/18/2021 - 12/01/2021**  
**Presented to the Board of Directors For Approval December 8, 2021**

<b>Check</b>	<b>Payee</b>		<b>Description</b>	<b>Amount</b>
001085	Payables Fund Account	# 9759651478	Accounts Payable Batch 112421	\$ 298,701.39
001086	Payables Fund Account	# 9759651478	Accounts Payable Batch 120121	\$ 255,136.83
				<u>\$ 553,838.22</u>
001087	Payroll Fund Account	# 9469730919	Estimated Payroll 12/16/21	\$ 234,000.00
001088	Payroll Fund Account	# 9469730919	Estimated Payroll 12/30/21	\$ 234,000.00
			Total	<u>\$ 1,021,838.22</u>

Publication of check register is in compliance with Section 53065.6 of the Government Code which requires the District to disclose reimbursements to employees and/or directors.

The above numbered checks, 001085-001088 have been duly audited is hereby certified as correct.

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Janyne Brown, Chief Financial Officer

## *A/P Fund*

Publication of check register is in compliance with Section 53065.6 of the Government Code which requires the District to disclose reimbursements to employees and/or directors.

001085    A/P Checks:                    044874-044939  
          A/P Draft                    000234-000235  
          Voids:  
          044915 - Meiners Oaks ACE Hardware - Continuation of detail of check 044914  
          044916 - Meiners Oaks ACE Hardware - Continuation of detail of check 044914

001086    A/P Checks:                    044940-044989  
          A/P Draft                    000236-000241  
          Voids:  
          044964 - Meiners Oaks ACE Hardware - Continuation of detail of check 044963



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Janyne Brown , Chief Financial Officer

CERTIFICATION

Payroll disbursements for the pay period ending 11/27/21  
Pay Date 12/02/21  
have been duly audited and are  
hereby certified as correct.

Signed: Jayne Brown  
Jayne Brown

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
C-CHECK	VOID CHECK	V	11/24/2021			044915		
C-CHECK	VOID CHECK	V	11/24/2021			044916		
C-CHECK	VOID CHECK	V	12/01/2021			044964		

\* \* T O T A L S \* \*

	NO	INVOICE AMOUNT	DISCOUNTS	CHECK AMOUNT
REGULAR CHECKS:	0	0.00	0.00	0.00
HAND CHECKS:	0	0.00	0.00	0.00
DRAFTS:	0	0.00	0.00	0.00
EFT:	0	0.00	0.00	0.00
NON CHECKS:	0	0.00	0.00	0.00
VOID CHECKS:	3			
VOID DEBITS		0.00		
VOID CREDITS		0.00	0.00	

TOTAL ERRORS: 0

VENDOR SET: 01	BANK:	TOTALS:	NO	INVOICE AMOUNT	DISCOUNTS	CHECK AMOUNT
			3	0.00	0.00	0.00
BANK:		TOTALS:	3	0.00	0.00	0.00

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
00128	INTERNAL REVENUE SERVICE							
I-T1 202111181941	Federal Withholding	D	11/18/2021	246.32		000234		
I-T3 202111181941	SS Withholding	D	11/18/2021	334.20		000234		
I-T4 202111181941	Medicare Withholding	D	11/18/2021	78.16		000234		658.68
00049	STATE OF CALIFORNIA							
I-T2 202111181941	STATE WITHHOLDING (CA)	D	11/18/2021	67.41		000235		67.41
02583	WageWorks							
I-INV1405821	FSA Monthly Admin Fee	D	12/01/2021	175.00		000236		175.00
00128	INTERNAL REVENUE SERVICE							
I-T1 202111291943	Federal Withholding	D	12/01/2021	41,188.42		000237		
I-T3 202111291943	SS Withholding	D	12/01/2021	31,857.52		000237		
I-T4 202111291943	Medicare Withholding	D	12/01/2021	9,858.06		000237		82,904.00
00187	CALPERS							
I-PBB202111291943	PERS BUY BACK	D	12/01/2021	130.46		000238		
I-PBP202111291943	PERS BUY BACK	D	12/01/2021	161.96		000238		
I-PEB202111291943	PEPRA EMPLOYEES PORTION	D	12/01/2021	8,659.66		000238		
I-PEM202111291943	PERS EMPLOYEE PORTION MGMT	D	12/01/2021	1,774.91		000238		
I-PER202111291943	PERS EMPLOYEE PORTION	D	12/01/2021	7,175.38		000238		
I-PRB202111291943	PEBRA EMPLOYER PORTION	D	12/01/2021	9,737.29		000238		
I-PRR202111291943	PERS EMPLOYER PORTION	D	12/01/2021	11,829.71		000238		39,469.37
00180	S.E.I.U. - LOCAL 721							
I-COP202111291943	SEIU 721 COPE	D	12/01/2021	27.50		000239		
I-UND202111291943	UNION DUES	D	12/01/2021	839.50		000239		867.00
00049	STATE OF CALIFORNIA							
I-T2 202111291943	STATE WITHHOLDING (CA)	D	12/01/2021	15,823.47		000240		15,823.47
05790	STATE OF OREGON							
I-OST202111291943	OR STATE TRANSIT TAX	D	12/01/2021	5.63		000241		
I-T2 202111291943	STATE WITHHOLDING (OR)	D	12/01/2021	417.59		000241		423.22
00004	ACWA JOINT POWERS INSURANCE AU							
I-0676605	Health Insurance 12/21	R	11/24/2021	166,003.76		044874		166,003.76
01325	Aflac Worldwide Headquarters							
I-025200	Supplemental Insurance 11/21	R	11/24/2021	3,342.22		044875		3,342.22
00010	AIRGAS USA LLC							
I-9119541024	Wheel Combo - PL	R	11/24/2021	52.04		044876		
I-9984044558	Gas Cylinder Rental - PL	R	11/24/2021	367.59		044876		419.63

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
03044	Amazon Capital Services							
I-1141-T4CX-41DY	20V Battery Pack - LCRA	R	11/24/2021	265.96		044877		
I-11FT-YWVF-C7Y3	Dewalt 5 Piece Bits Set -MAINT	R	11/24/2021	282.27		044877		
I-16VQ-Q6FX-KH3R	Wall Calendar - LCRA	R	11/24/2021	24.50		044877		
I-16VX-31YG-D4GH	Computer Battery - PR	R	11/24/2021	56.82		044877		
I-1HLL-7NW3-X7FY	FR Pants - EM	R	11/24/2021	343.16		044877		
I-1HRN-3NRL-XWH3	18V Batteries - LCRA	R	11/24/2021	160.86		044877		
I-1KCX-XTRY-DPPD	Safe Cabinet - ADM	R	11/24/2021	137.27		044877		
I-1PGW-11DH-LPDF	1000 Watt Coolant Heater - EM	R	11/24/2021	132.07		044877		
I-1V6Y-1PM7-VH3Q	Oscillating Tool - LCRA	R	11/24/2021	106.18		044877		
I-1XFP-KWLX-HGR3	1000 Watt Coolant Heater - EM	R	11/24/2021	132.07		044877		
I-1XLP-RVWP-31N4	Oscillating Tool - MAINT	R	11/24/2021	113.25		044877		1,754.41
00014	AQUA-FLO SUPPLY							
I-SI1831635	Metal Bolted Coupling - PL	R	11/24/2021	170.38		044878		
I-SI1834356	Down Spout Drain - MAINT	R	11/24/2021	38.73		044878		209.11
03429	AT&T							
I-1795816603	Acct#8310009376372	R	11/24/2021	1,302.40		044879		1,302.40
03429	AT&T							
I-2695306603	Acct#8310009376326	R	11/24/2021	1,302.40		044880		1,302.40
00030	B&R TOOL AND SUPPLY CO							
C-1900966119	Wheel Cutter Return - PL	R	11/24/2021	58.94CR		044881		
I-1900966001	Pocket Tape - PL	R	11/24/2021	152.44		044881		
I-1900966002	Welding/Safety Supplies - PL	R	11/24/2021	371.89		044881		
I-1900966121	Turbine Oil - TP	R	11/24/2021	340.49		044881		
I-1900966126	Air King Safety Clip - PL	R	11/24/2021	208.12		044881		
I-1900966188	Fire Hydrant Meter Barrel Lock	R	11/24/2021	296.31		044881		1,310.31
00679	BAKERSFIELD PIPE & SUPPLY INC							
I-S2820250.001	PL Supplies - PL	R	11/24/2021	302.26		044882		
I-S2867503.001	Cla Val Parts - PL	R	11/24/2021	192.27		044882		
I-S2868922.001	Clamps - ENG	R	11/24/2021	128.88		044882		
I-S2870948.001	THD Half CPLG - ENG	R	11/24/2021	8.62		044882		632.03
02818	Bay City Fab							
I-10680	8" Pipes - ENG	R	11/24/2021	646.50		044883		646.50
03207	BMI PacWest Inc.							
I-015552	AC Maintenance - TP	R	11/24/2021	732.00		044884		732.00

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
03059	Brenntag Pacific Inc. Sodium Bisulfite - TP	R	11/24/2021	683.75		044885		683.75
02983	Cal-Western Weed Control, Inc. Dam Spraying - MAINT	R	11/24/2021	2,000.00		044886		2,000.00
04678	Cla-Val, Soundcast, Griswold C Retainer Disc - PL	R	11/24/2021	1,605.76		044887		
	I-832981 Cla-Val Parts - PL	R	11/24/2021	16,451.30		044887		
	I-833144 Body Assy - PL	R	11/24/2021	1,532.98		044887		
	I-833185 Rebuilt Main Valve-Gorham Well	R	11/24/2021	3,449.98		044887		
	I-833201 ClaVal Maint 4 Mutual	R	11/24/2021	5,635.00		044887		
	I-833202 ClaVal Maint Mutual Well #5	R	11/24/2021	4,881.87		044887		
	I-833257 Disc 100 - PL	R	11/24/2021	4,102.14		044887		37,659.03
00061	COMPUWAVE Battery Backups - MAINT	R	11/24/2021	313.17		044888		313.17
00062	CONSOLIDATED ELECTRICAL Parts for PLC Automation Upgr	R	11/24/2021	3,087.88		044889		
	I-9009-1013919 Reclaim Sump Contractor - TP	R	11/24/2021	257.79		044889		3,345.67
02041	Custom Mailing Solutions, Inc Mailing CCR Postcard - PR	R	11/24/2021	2,749.58		044890		
	I-9420 2021 Fall Newsletters - Mail	R	11/24/2021	6,276.00		044890		9,025.58
01001	CUSTOM PRINTING CCR Postcard - PR	R	11/24/2021	1,115.27		044891		
	I-161252 2021 Fall Newsletter - PR	R	11/24/2021	3,377.67		044891		4,492.94
02480	David Taussig & Associates, In D21-00115 CFD Tax Admin	R	11/24/2021	1,415.22		044892		1,415.22
00086	E.J. Harrison & Sons Inc Acct#1C00114748	R	11/24/2021	60.00		044893		60.00
00086	E.J. Harrison & Sons Inc Acct#1C00054240	R	11/24/2021	424.98		044894		424.98
00095	FAMCON PIPE & SUPPLY 12" Romac - PL	R	11/24/2021	1,051.05		044895		
	I-S100066339.001 MJ X FLG 12" & Water Plug - PL	R	11/24/2021	270.16		044895		
	I-S100066573.001 Gaskets & Fittings - PL	R	11/24/2021	119.05		044895		1,440.26

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
00093	FEDERAL EXPRESS Shipping - LAB	R	11/24/2021	36.45		044896		36.45
00099	FGL ENVIRONMENTAL							
I-114761A	Nitrate Monitoring 10/19/21	R	11/24/2021	43.00		044897		
I-115230A	Nitrate Monitoring 10/26/21	R	11/24/2021	47.00		044897		
I-115591A	OWS-San Antonio TP-Mn 11/01/21	R	11/24/2021	30.00		044897		
I-115592A	OWS-San Antonio TP MN11/01/21	R	11/24/2021	15.00		044897		135.00
00101	FISHER SCIENTIFIC							
I-5521143	MacConkey Plates - LAB	R	11/24/2021	37.07		044898		
I-5788046	Water Bath Treatment - LAB	R	11/24/2021	70.59		044898		107.66
00104	FRED'S TIRE MAN							
I-135860	Flat Repair - Unit 115	R	11/24/2021	20.00		044899		20.00
00106	FRONTIER PAINT							
I-F0277661	Paint - EM	R	11/24/2021	31.68		044900		31.68
00115	GRAINGER, INC							
I-9106783773	Suction Strainer - ENG	R	11/24/2021	38.99		044901		
I-9122785224	Pipe Threading Die - EM	R	11/24/2021	549.12		044901		588.11
00121	HACH COMPANY							
I-12744468	Chlor Reagent Set & Pre-assy K	R	11/24/2021	493.61		044902		493.61
05746	Hasa Inc.							
I-786955	Sodium Hypochlorite - TP	R	11/24/2021	2,466.33		044903		
I-789088	Chlorine for Ojai Sys. - TP	R	11/24/2021	1,606.85		044903		4,073.18
05708	Daniel J Holloway							
I-Nov 21	Reimburse Expenses 11/21	R	11/24/2021	113.58		044904		113.58
00596	HOME DEPOT							
I-2522083	Fittings - GARAGE	R	11/24/2021	68.95		044905		
I-6353386	Material for Wall/Pad - PL	R	11/24/2021	484.72		044905		
I-9014673	Concrete Block - PL	R	11/24/2021	394.58		044905		
I-9014674	Pallet Fee - PL	R	11/24/2021	16.39		044905		
I-9094063	Parts for Pressure Washer - GA	R	11/24/2021	322.03		044905		1,286.67
00894	HOSE-MAN, INC.							
I-5291169-0001-05	Hose - GARAGE	R	11/24/2021	32.64		044906		32.64



VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
00131	JCI JONES CHEMICALS, INC							
I-872722	Chlorine - TP, CM 872743	R	11/24/2021	2,490.00		044907		2,490.00
00935	PETER M. KAISER							
I-Sept 21	Reimburse Expenses 09/21	R	11/24/2021	51.52		044908		51.52
02396	Kemira Water Solutions, Inc.							
I-9017733960	Ferric Sulfate - TP	R	11/24/2021	6,988.80		044909		6,988.80
01161	LAKE CASITAS MARINA CAFE							
I-072121	Employee Apprciation Event	R	11/24/2021	1,247.32		044910		1,247.32
00527	LINCOLN AQUATICS							
I-NH918476	Buffered Muriatic Acid - TP	R	11/24/2021	136.94		044911		136.94
00329	MCMMASTER-CARR SUPPLY CO.							
I-68188069	Fittings - ENG	R	11/24/2021	1,046.53		044912		
I-68206439	Stainless Steel Tubing - ENG	R	11/24/2021	198.09		044912		
I-68788046	Wire Rope - LAB	R	11/24/2021	391.51		044912		1,636.13
02129	Tracy Medeiros							
I-112421	1102WC180000001 11/13-11/26/21	R	11/24/2021	580.00		044913		580.00
00151	MEINERS OAKS ACE HARDWARE							
C-985683	Gutter Return - LCRA	R	11/24/2021	8.58CR		044914		
C-988036	Gas Can Return - MAINT	R	11/24/2021	30.24CR		044914		
I-982968	Snap Hooks & Duck Tape - FISH	R	11/24/2021	29.72		044914		
I-985314	Tools & Supplies - FISH	R	11/24/2021	493.94		044914		
I-986505	Primer Spray - FISH	R	11/24/2021	63.07		044914		
I-986593	Bar Clamp & Adhesive - FISH	R	11/24/2021	27.92		044914		
I-987774	Bolts & Screws - FISH	R	11/24/2021	2.75		044914		
I-987780	Trash Bags & Batteries - TP	R	11/24/2021	60.03		044914		
I-987888	Screws & Pipe - MAINT	R	11/24/2021	62.08		044914		
I-987943	1/2 #4 Rebar - LCRA	R	11/24/2021	42.90		044914		
I-987969	Penetrating Catalyst - FISH	R	11/24/2021	5.85		044914		
I-988007	Glue & Painters Tape - LCRA	R	11/24/2021	26.12		044914		
I-988017	Cleaners/Painters Tape - EM	R	11/24/2021	36.41		044914		
I-988023	1X4-8' Pine - LCRA	R	11/24/2021	203.36		044914		
I-988044	Canned Air, Bolts & Screws-GAR	R	11/24/2021	55.86		044914		
I-988086	Screen Cloth - WP	R	11/24/2021	9.75		044914		
I-988089	Torx Bit - MAINT	R	11/24/2021	15.60		044914		
I-988099	Glue, Bolts & Screws - TP	R	11/24/2021	56.18		044914		
I-988122	Glue, Bolts & Screws - FISH	R	11/24/2021	8.15		044914		
I-988143	Plywood - MAINT	R	11/24/2021	56.04		044914		
I-988188	Safety Glasses & Gloves - FISH	R	11/24/2021	51.17		044914		
I-988257	Truck Stock - UT	R	11/24/2021	92.50		044914		
I-988264	Bolts & Screws - GARAGE	R	11/24/2021	8.19		044914		
I-988322	Electrical Tape & Catalyst-FIS	R	11/24/2021	12.28		044914		
I-988342	Fittings - GARAGE	R	11/24/2021	6.83		044914		1,387.88

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
03724	Michael K. Nunley & Associates							
I-9780	OVPP Performance Evaluation	R	11/24/2021	5,830.58		044917		5,830.58
03444	Mission Linen Supply							
I-515919033	Uniform Pants - PL	R	11/24/2021	34.87		044918		
I-515919034	Uniform Pants - MAINT	R	11/24/2021	27.64		044918		
I-515919038	Uniform Pants - TP	R	11/24/2021	40.39		044918		
I-515963327	Uniform Pants - PL	R	11/24/2021	34.87		044918		
I-515963328	Uniform Pants - MAINT	R	11/24/2021	27.64		044918		
I-515963331	Uniform Pants - TP	R	11/24/2021	40.39		044918		205.80
01570	Ojai Auto Supply							
I-531705	3 Pc Mat - Unit 59	R	11/24/2021	40.83		044919		40.83
00168	OJAI VALLEY NEWS							
I-300042090	Ojai Magazine - PR	R	11/24/2021	475.00		044920		
I-300042276	Ad 11/19/21	R	11/24/2021	150.00		044920		625.00
00747	OST TRUCKS & CRANES, INC.							
I-263524	Hydraulic Crane - LCRA	R	11/24/2021	904.50		044921		904.50
05713	Pops Auto Repair							
I-0149	Window Tint - Unit 49	R	11/24/2021	350.00		044922		350.00
00627	PORT SUPPLY							
I-04049	Raingear - EM	R	11/24/2021	292.30		044923		292.30
00790	PROFORMA							
I-BI85005621A	Jacket Embroidery - UT	R	11/24/2021	80.81		044924		
I-BI85005680A	Shirts Logo - EM	R	11/24/2021	80.81		044924		161.62
00788	QUINN COMPANY							
I-PCN10004150	Radiator Cap - EM	R	11/24/2021	110.65		044925		110.65
00306	Rincon Consultants, Inc.							
I-35028	Robles Prog. Permits - ENG	R	11/24/2021	3,240.00		044926		
I-35053	West Ojai Meter Relocation-ENG	R	11/24/2021	2,540.25		044926		
I-35056	VTA-Carp Intertie Service-ENG	R	11/24/2021	2,061.75		044926		
I-35067	Matilija Dam Habitat Cons Plan	R	11/24/2021	4,441.25		044926		12,283.25
00215	SOUTHERN CALIFORNIA EDISON							
I-112021	Acct#700625798978	R	11/24/2021	121.02		044927		
I-112321a	Acct#700237081885	R	11/24/2021	795.59		044927		
I-112321b	Acct#700356078152	R	11/24/2021	143.70		044927		1,060.31

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
02703	Sunbelt Rentals							
I-105170290-0019	Emergency Generator-Arbolada	R	11/24/2021	2,767.36		044928		
I-118603500-0001	Plate Tamper Rental - PL	R	11/24/2021	112.88		044928		
I-119618597-0001	Plate Tamper Rental - PL	R	11/24/2021	112.86		044928		2,993.10
02643	Take Care by WageWorks							
I-13499050	Reimburse Med/Dep Care	R	11/24/2021	44.33		044929		
I-13511459	Reimburse Med/Dep Care	R	11/24/2021	266.00		044929		310.33
01959	The Wharf							
C-252398	Jacket Return - MAINT	R	11/24/2021	10.78CR		044930		
I-242148	Jacket - UT	R	11/24/2021	323.03		044930		
I-251637	Jackets - MAINT	R	11/24/2021	365.97		044930		
I-251880	Jacket - MAINT	R	11/24/2021	235.86		044930		
I-252403	Jackets - UT	R	11/24/2021	59.21		044930		973.29
05903	Trassig Corp							
C-23498b	Accrue Use Tax	R	11/24/2021	13.77CR		044931		
D-23498a	Accrue Use Tax	R	11/24/2021	13.77		044931		
I-23498	Base Layer Buffings - LCRA	R	11/24/2021	354.05		044931		354.05
01512	TRENCH SHORING COMPANY							
I-29693	Trench Plate Rental - PL	R	11/24/2021	397.60		044932		397.60
00232	UTILITY SERVICES ASSOCIATES							
I-126430	Leak Detection - PL	R	11/24/2021	7,221.00		044933		7,221.00
00246	VENTURA COUNTY AIR POLLUTION							
I-1045337	VCAPCD Permit, TP Generator	R	11/24/2021	652.00		044934		652.00
00253	VENTURA HYDRAULIC & MACHINE							
I-2021325	Bobcat Repair Part - Unit 104	R	11/24/2021	356.66		044935		356.66
09955	VENTURA WHOLESALE ELECTRIC							
I-289347	Cuting Pliers & Reel - GARAGE	R	11/24/2021	135.12		044936		135.12
05028	Weck Analytical Environmental							
I-W1K1430-casitasmun	Monthly Plant Effluent- LAB	R	11/24/2021	183.60		044937		183.60
00330	WHITE CAP CONSTRUCTION SUPPLY							
I-10015196052	Rincon Repair - PL	R	11/24/2021	180.99		044938		180.99
1	HESS, LESLIE							
I-000202111231942	US REFUND	R	11/24/2021	2,400.18		044939		2,400.18

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
02587	A&M LAWNMOWER SHOP							
I-51270	Oil Change - MAINT	R	12/01/2021	80.00		044940		
I-51271	Oil Change - UT	R	12/01/2021	115.00		044940		195.00
03044	Amazon Capital Services							
I-11YW-6MCG-TC4H	Safety Earmuffs - MAINT	R	12/01/2021	65.30		044941		
I-11YX-4MDD-W6FX	Phone Case & Charger - LCRA	R	12/01/2021	85.73		044941		
I-1KCX-XTRY-77P3	Dewalt Angel Gringer - LCRA	R	12/01/2021	150.10		044941		
I-1MFT-1NTX-JP7W	Earbuds - IT	R	12/01/2021	52.55		044941		
I-1XFP-KWLX-MJJ9	Blk/Red Printer Ribbon - LCRA	R	12/01/2021	17.15		044941		370.83
00014	AQUA-FLO SUPPLY							
I-SI1828604	Electrical Coupling & Fittings	R	12/01/2021	484.76		044942		
I-SI1840655	Coupling - TP	R	12/01/2021	1.87		044942		486.63
02179	Art Street Interactive							
I-2309	Reservation Sys. Hosting/Maint	R	12/01/2021	549.70		044943		549.70
01666	AT & T							
I-00017382656	Acct#9391062398	R	12/01/2021	55.05		044944		55.05
00021	AWA OF VENTURA COUNTY							
I-06-13755	Water Wise Training - MGMT/BOA	R	12/01/2021	100.00		044945		100.00
00030	B&R TOOL AND SUPPLY CO							
I-1900966611	12" Pipe Cap - PL	R	12/01/2021	112.43		044946		
I-1900966815	16 Ft Step Ladder - MAINT	R	12/01/2021	953.59		044946		1,066.02
00679	BAKERSFIELD PIPE & SUPPLY INC							
I-S2867503.002	3/8" Ball Valves - PL	R	12/01/2021	346.60		044947		346.60
01843	COASTAL COPY							
I-985337	Copier Usage - LCRA	R	12/01/2021	146.84		044948		146.84
00059	COASTAL PIPCO							
I-S2163442.001	Fittings - TP	R	12/01/2021	34.33		044949		34.33
03910	DoiT International USA, INC							
I-IN214005082	Google Apps 11/21	R	12/01/2021	1,608.00		044950		1,608.00
00086	E.J. Harrison & Sons Inc							
I-5636a	Acct#1C00053370	R	12/01/2021	271.77		044951		271.77

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
00086 I-5654	E.J. Harrison & Sons Inc Acct#1C00054230	R	12/01/2021	2,632.97		044952		2,632.97
00013 I-0767674	FERGUSON ENTERPRISES INC Sensor Valve Flush - MAINT	R	12/01/2021	359.61		044953		359.61
00106 I-F0277261b	FRONTIER PAINT Deep Base - LCRA	R	12/01/2021	23.09		044954		23.09
02720 I-10668001	Garda CL West, Inc. Armored Truck Service	R	12/01/2021	424.40		044955		424.40
05890 I-65359523	Henry Pratt Company, LLC Stem Cover Adaptor - ENG	R	12/01/2021	527.67		044956		527.67
00596 I-2902173	HOME DEPOT Front Exterior Door - LCRA/WP	R	12/01/2021	493.81		044957		493.81
05884 I-IN048750	Ibis Scientific, LLC Serological Pipette - LAB	R	12/01/2021	271.49		044958		271.49
02344 I-43063A	Janitek Cleaning Solutions Janitorial Service - DO	R	12/01/2021	2,477.95		044959		2,477.95
00131 I-873400	JCI JONES CHEMICALS, INC Chlorine - TP, CM 873411	R	12/01/2021	3,182.55		044960		3,182.55
01270 I-Nov 21	SCOTT LEWIS Reimburse Expenses 11/21	R	12/01/2021	1,234.40		044961		1,234.40
00329 C-68905791 I-68413675 I-68806697	MCMaster-CARR SUPPLY CO. Fuel-Level Gauge - EM Fuel-Level Gauge - EM Fuel-Level Gauge - EM	R R R	12/01/2021 12/01/2021 12/01/2021	68.87CR 68.87 110.33		044962 044962 044962		  110.33
00151 I-988172 I-988201 I-988267 I-988423 I-988603 I-988702 I-988708 I-988725 I-988764 I-988768 I-988771 I-988787	MEINERS OAKS ACE HARDWARE Gloves - LCRA Steel Rods & Screws - LCRA Base Paint - LCRA Snap Tie Swivel - LCRA Tape - LCRA Shed Paint - LCRA Magnetic Hooks - LCRA Bolts & Screws - MAINT Shed Paint - LCRA Weather Stripping & Screws -UT Valve Tube & Coupling - TP Doorstops - ENG	R R R R R R R R R R R R	12/01/2021 12/01/2021 12/01/2021 12/01/2021 12/01/2021 12/01/2021 12/01/2021 12/01/2021 12/01/2021 12/01/2021 12/01/2021 12/01/2021	29.26 30.68 205.66 39.98 19.51 162.74 11.82 16.37 157.86 36.60 20.56 8.77		044963 044963 044963 044963 044963 044963 044963 044963 044963 044963 044963 044963		

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
I-988813	Hooks/Clips - LCRA	R	12/01/2021	28.35		044963		
I-988870	Light Timer - LCRA	R	12/01/2021	21.45		044963		789.61
05915	Jesse Nimmo							
I-1027767	Camping Cancellation - LCRA	R	12/01/2021	189.00		044965		189.00
01627	OSCAR'S TREE SERVICE							
I-15941	Trimming Storage Area - LCRA	R	12/01/2021	950.00		044966		950.00
03392	Pres Tech Equipment Company							
I-INV-000432	Anti-Freeze Tank Lid -Unit 150	R	12/01/2021	116.26		044967		116.26
00790	PROFORMA							
I-BI85005655A	Hats/T-Shirts - LCRA	R	12/01/2021	302.69		044968		302.69
10042	PSR ENVIRONMENTAL SERVICE, INC							
I-10611	Gas Tank Maint - GARAGE	R	12/01/2021	1,378.50		044969		1,378.50
00306	Rincon Consultants, Inc.							
I-35098	Robles Forebay Env Consult-ENG	R	12/01/2021	7,450.25		044970		
I-35099	Grand Ave Env Service - ENG	R	12/01/2021	2,312.50		044970		
I-35100	Environmental Monitoring - ENG	R	12/01/2021	10,280.85		044970		20,043.60
01172	RP BARRICADE							
I-60411	Reflectors - MAINT	R	12/01/2021	176.43		044971		176.43
05916	Marie Sampson							
I-1030095	Camping Cancelation - LCRA	R	12/01/2021	202.00		044972		202.00
02756	SC Fuels							
I-2009153-IN	Gas - DO	R	12/01/2021	6,429.24		044973		6,429.24
05917	Hector Soltero							
I-1035555	Camping Cancellation - LCRA	R	12/01/2021	202.00		044974		202.00
00215	SOUTHERN CALIFORNIA EDISON							
I-112421a	Acct#700533992421	R	12/01/2021	18,657.51		044975		
I-112421b	Acct#700387230310	R	12/01/2021	22.23		044975		
I-112921	Acct#700533992421	R	12/01/2021	27,257.65		044975		45,937.39
00216	Southern California Gas Co.							
I-112921a	Acct#00801443003	R	12/01/2021	510.27		044976		
I-112921b	Acct#18231433006	R	12/01/2021	71.01		044976		581.28

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
01147	SUPERIOR GATE SYSTEMS							
I-4611	Digital Key Pad - LCRA	R	12/01/2021	650.00		044977		
I-4615	Gate Repair Canal - MAINT	R	12/01/2021	3,200.00		044977		3,850.00
02643	Take Care by WageWorks							
I-13534071	Reimburse Med/Dep Care	R	12/01/2021	126.10		044978		
I-13544611	Reimburse Med/Dep Care	R	12/01/2021	796.00		044978		922.10
05914	Lenaya Velarde							
I-1033519	Camping Cancellation - LCRA	R	12/01/2021	110.00		044979		110.00
03758	County of Ventura - Fleet Serv							
I-9117-2110	Fleet Service - Unit 80	R	12/01/2021	830.57		044980		830.57
00663	WAXIE SANITARY SUPPLY							
I-80467044	Janitorial Supplies - DO	R	12/01/2021	1,951.70		044981		
I-80481292	Janitorial Supplies - LCRA	R	12/01/2021	3,002.34		044981		4,954.04
04010	CALIFORNIA STATE DISBURSEMENT							
I-CS5202111291943	200000001181291	R	12/01/2021	386.30		044982		386.30
02823	Franchise Tax Board							
I-G08202111291943	STATE TAX GARNISHMENT	R	12/01/2021	500.00		044983		500.00
00124	ICMA RETIREMENT TRUST - 457							
I-DCI202111291943	DEFERRED COMP FLAT	R	12/01/2021	750.00		044984		
I-DI%202111291943	DEFERRED COMP PERCENT	R	12/01/2021	99.52		044984		849.52
00985	NATIONWIDE RETIREMENT SOLUTION							
I-CUN202111291943	457 CATCH UP	R	12/01/2021	480.77		044985		
I-DCN202111291943	DEFERRED COMP FLAT	R	12/01/2021	7,468.57		044985		
I-DN%202111291943	DEFERRED COMP PERCENT	R	12/01/2021	453.75		044985		8,403.09
1	COLEMAN IV, F W							
I-000202111301945	US REFUND	R	12/01/2021	217.25		044986		217.25
1	KEVALA, RUBY							
I-000202111301944	US REFUND	R	12/01/2021	23.28		044987		23.28
1	MURILLO, NATHAN							
I-000202111301946	US REFUND	R	12/01/2021	78.68		044988		78.68
1	INTERMOUNTAIN SLURRY							
I-000202111301947	US REFUND	R	12/01/2021	181.08		044989		181.08

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
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* * T O T A L S * *		NO	INVOICE AMOUNT	DISCOUNTS	CHECK AMOUNT
REGULAR CHECKS:		113	413,548.25	0.00	413,548.25
HAND CHECKS:		0	0.00	0.00	0.00
DRAFTS:		8	140,388.15	0.00	140,388.15
EFT:		0	0.00	0.00	0.00
NON CHECKS:		0	0.00	0.00	0.00
VOID CHECKS:		0	VOID DEBITS	0.00	
			VOID CREDITS	0.00	

TOTAL ERRORS: 0

VENDOR SET: 01	BANK: AP	TOTALS:	NO	INVOICE AMOUNT	DISCOUNTS	CHECK AMOUNT
			121	553,936.40	0.00	553,936.40
BANK: AP		TOTALS:	121	553,936.40	0.00	553,936.40
REPORT TOTALS:			121	553,936.40	0.00	553,936.40

Void Check #44764 (\$98.18)

Total \$553,838.22



## *Adjudication Charge Fund Account*

Publication of check register is in compliance with Section 53065.6 of the Government Code which requires the District to disclose reimbursements to employees and/or directors.

Adj. Checks:                   000041-000042

Voids:



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Janyne Brown , Chief Financial Officer

VENDOR I.D.	NAME	STATUS	CHECK DATE	INVOICE AMOUNT	DISCOUNT	CHECK NO	CHECK STATUS	CHECK AMOUNT
00194	City of Ojai							
I-111821	Adjudication -Kear Groundwater	R	11/24/2021	3,200.00		000041		3,200.00
05782	GSI Water Solutions, Inc							
I-00888.002-1	Technical Consulting Serv. ADJ	R	12/01/2021	4,999.97		000042		4,999.97

* * T O T A L S * *	NO	INVOICE AMOUNT	DISCOUNTS	CHECK AMOUNT
REGULAR CHECKS:	2	8,199.97	0.00	8,199.97
HAND CHECKS:	0	0.00	0.00	0.00
DRAFTS:	0	0.00	0.00	0.00
EFT:	0	0.00	0.00	0.00
NON CHECKS:	0	0.00	0.00	0.00
VOID CHECKS:	0	VOID DEBITS 0.00		
		VOID CREDITS 0.00	0.00	0.00

TOTAL ERRORS: 0

VENDOR SET: 01 BANK: ADJ TOTALS:	NO	INVOICE AMOUNT	DISCOUNTS	CHECK AMOUNT
	2	8,199.97	0.00	8,199.97
BANK: ADJ TOTALS:	2	8,199.97	0.00	8,199.97
REPORT TOTALS:	2	8,199.97	0.00	8,199.97

**Casitas Municipal Water District**  
**Reimbursement Disclosure Report (1)**  
**Fiscal Year 2021/22**  
**July 1, 2021-June 30, 2022**

<u>Date paid</u>	<u>Board of Director/Employee</u>	<u>Description</u>	<u>Amount Paid</u>
7/14/2021	Scott Lewis	Fisheries Supplies	\$ 222.44
7/14/2021	Scott Lewis	Car Rental 06/04-06/17	\$ 1,217.44
7/14/2021	Scott Lewis	Hotel 06/06-06/16	\$ 957.00
7/14/2021	Brian Taylor	Hotel 06/20-06/24	\$ 858.94
7/14/2021	Aaron Wall	ARC Lifeguard Instructor Review	\$ 120.00
7/21/2021	Jesus Garcia	Safety Boot Stipend	\$ 170.00
7/21/2021	David Pope	Work T-Shirts	\$ 204.85
7/28/2021	Corban Suggs	Tuition Reimbursement	\$ 319.00
8/11/2021	Gonzalo Carbajal-Ramirez	Safety Boot Stipend	\$ 170.00
8/11/2021	Ramiro Garcia	Safety Boot Stipend	\$ 170.00
8/11/2021	Vincent Godinez	Safety Boot Stipend	\$ 170.00
8/11/2021	Spencer Hair	Safety Boot Stipend	\$ 170.00
8/11/2021	Gerardo M Herrera	Safety Boot Stipend	\$ 170.00
8/11/2021	Eric Lara	Safety Boot Stipend	\$ 170.00
8/11/2021	Mario Mariscal	Safety Boot Stipend	\$ 170.00
8/11/2021	Luis Mejia	Safety Boot Stipend	\$ 170.00
8/11/2021	David Pope	Safety Boot Stipend	\$ 170.00
8/11/2021	Edgar Ramos Jr.	Safety Boot Stipend	\$ 170.00
8/11/2021	Michael Robles	Safety Boot Stipend	\$ 170.00
8/11/2021	Jose Ruiz	Safety Boot Stipend	\$ 170.00
8/11/2021	Brian Taylor	Safety Boot Stipend	\$ 170.00
8/18/2021	Gerardo M Herrera	Class Expenses	\$ 168.00
8/25/2021	Luke Soholt	Property Taxes Damtender's Residence	\$ 386.26
9/22/2021	Michael Gibson	Private Vehicle Mileage	\$ 122.64
9/22/2021	Scott Lewis	Hotel 08/14/21-08/25/21	\$ 1,105.94
9/22/2021	Scott Lewis	Car Rental 08/13/21-08/26/21	\$ 1,533.05
10/6/2021	Lindsay Cao	CWEA Renewal	\$ 192.00
10/6/2021	Joel Cox	Distribution 4 Certification	\$ 235.00
10/6/2021	Joe Martinez III	WWA Symposium - Advance	\$ 1,240.00
10/13/2021	Willis Hand	T5 Renewal of Certification	\$ 105.00
10/13/2021	Ian McMahan	Pressure Hose - Unit 95	\$ 158.41
10/20/2021	Michael Shields	D5 Certification Renewal	\$ 105.00
10/27/2021	Scott Lewis	Hotel 09/25/21-10/02/21	\$ 658.42
11/3/2021	Gerardo M Herrera	Class Registration	\$ 151.00
11/3/2021	Joe Martinez III	WWA Trade Show	\$ 499.00
11/3/2021	Aaron Wall	Flight WWA Trade Show	\$ 217.92
11/3/2021	Aaron Wall	Hotel 10/17/21-10/21/21 WWA Trade Ahow	\$ 1,427.60
11/3/2021	Aaron Wall	Garage Door	\$ 462.25
11/10/2021	Alex Kelso	Water Treatment Plan Operation Class	\$ 166.53
11/17/2021	Greg Romey	Food & Drinks for Crew - Main Leak	\$ 171.62
11/17/2021	Greg Romey	ASSP Membership Renewal	\$ 230.00
12/1/2021	Scott Lewis	Hotel 11/14/21-11/21/21	\$ 626.22

1) Reimbursement Disclosure Report prepared pursuant to California Government Code 53065.5

Minutes of the Casitas Municipal Water District  
Board Meeting Held  
November 24, 2021

A meeting of the Board of Directors was held November 24, 2021. The meeting was held via teleconference.

1. CALL TO ORDER

President Brennan called the meeting to order at 10:00 a.m.

2. ROLL CALL

Directors Bergen, Kaiser, Cole, Hajas and Brennan are present. Also present are GM Flood, AGM Dyer, EA Vieira and Counsel Mathews.

3. AGENDA CONFIRMATION

There were no changes.

4. PUBLIC COMMENTS - Presentation on District related items that are not on the agenda - three minute limit.

Bruce Kuebler of Ventura River Water District read a letter into the record commenting on the connection to State Water.

Jim Kentosh, Director at Meiners Oaks Water District asked how to be better informed on what is happening with State Water.

5. CONSENT AGENDA

5.a. Accounts Payable Report.  
[Accounts Payable Report.pdf](#)

5.b. Minutes of the November 10, 2021 Board Meeting.  
[11 10 2021 Minutes.pdf](#)

The Consent Agenda was offered by Director Kaiser, seconded by Director Cole and adopted by the following roll call vote:

AYES:	Directors:	Bergen, Kaiser, Cole, Hajas, Brennan
NOES:	Directors:	None
ABSENT:	Directors:	None

6. ACTION ITEMS

6.a. Approval of the revised Casitas MWD Investment Policy.  
[Investment Policy Board Memo](#)

[11.24.2021.pdf Proposed CMWD Investment Policy 112421 ATT1.pdf](#)  
[InvestmentPolicy02242021 ATT2.pdf](#)

On the motion of Director Kaiser, seconded by Director Cole, the above recommendation was passed by the following roll call vote:

AYES:	Directors:	Bergen, Kaiser, Cole, Hajas, Brennan
NOES:	Directors:	None
ABSENT:	Directors:	None

6.b. Discussion and possible action on the December 2021 Casitas MWD Board Meeting schedule.

The board discussed holding a special meeting on December 15<sup>th</sup> and cancelling the December 22<sup>nd</sup> meeting but decided to table the item until the December 8<sup>th</sup> Board Meeting.

Ashley, a member of the public, requested more information on alternative plans to running out of water. President Brennan suggested she review the prior meetings and presentations on the website for the information.

6.c. Recommend approval of Professional Services related to Economic Development Administration (EDA) American Rescue Plan Act (ARPA) Tourism Grant for Lake Casitas Recreation Area (LCRA).

6.c.i Authorize a Task Order to MNS Engineers, Inc., to provide grant writing services for the EDA ARPA Tourism Grant for Lake Casitas Recreation Area in an amount not to exceed \$25,048.00.

6.c.ii Authorize a Task Order to MNS Engineers, Inc., to provide professional engineering services for the LCRA Sewer Phases 1 and 2 to support the EDA ARPA Tourism grant application in an amount not to exceed \$144,542.00.

6.c.iii Authorize a Task Order to Rincon Consultants, Inc. to provide professional environmental consulting services for the LCRA Sewer Project in an amount not to exceed \$74,205.00.

[LCRA EDA ARPA Grant.pdf](#)

On the motion of Director Kaiser, seconded by Director Cole, items 6.c.i and 6.c.ii are approved and 6.c.iii is tabled to the December 8<sup>th</sup> Board Meeting. This was approved by the following roll call vote:

AYES:	Directors:	Bergen, Kaiser, Cole, Hajas, Brennan
NOES:	Directors:	None
ABSENT:	Directors:	None

- 6.d. Authorize a Task Order to Rincon Consultants, Inc. to provide professional environmental consulting services for the LCRA Vegetation Management Program in an amount not to exceed \$29,725.00.  
[LCRA Vegetation.pdf](#)

The board discussed the item and it was decided that it would be tabled and brought back to a meeting in January.

- 6.e. Consider McNamara request for temporary meter extension.  
[McNamara Request.pdf](#)

On the motion of Director Bergen, seconded by Director Cole, the request for extension was denied by the following roll call vote:

AYES:	Directors:	Bergen, Kaiser, Cole, Hajas, Brennan
NOES:	Directors:	None
ABSENT:	Directors:	None

- 6.f. Discussion and possible action on the Letter of Intent from the Tulare Irrigation District.  
[Board Memo on TID LOI 112421.pdf](#)  
[Casitas and Tulare Letter of Intent LOI TID ATT1.pdf](#) [Casitas-TID Proposed Pricing Schedule ATT2.pdf](#)

The board discussed the letter of intent and requested that the item come back to the board December 8<sup>th</sup>.

Public comments were made by Burt Handy.

## 7. DISCUSSION ITEMS/PRESENTATIONS

- 7.a. Discussion of Casitas MWD Redistricting.  
[Board Memo on Redistricting 112421.pdf](#)

Mr. Flood informed the board that he would be request proposals from consultants.

## 8. INFORMATION ITEMS

- 8.a. Recreation Committee Minutes.  
[Rec Minutes 110921.pdf](#)
- 8.b. Monthly Hydrology Report.  
[Hydrology October 2021.pdf](#)
- 8.c. Monthly Engineering Report.  
[Engineering Report.pdf](#)

- 8.d. Casitas MWD comment letter on the Draft Ojai Basin Groundwater Management Agency Groundwater Sustainability Plan.  
[DRAFT Casitas Comment Letter on OBGMA GSP 112421.pdf](#)

On the motion of Director Kaiser, seconded by Director Bergen, the Information items were received and filed by the following roll call vote:

AYES:	Directors:	Bergen, Kaiser, Cole, Hajas, Brennan
NOES:	Directors:	None
ABSENT:	Directors:	None

9. GENERAL MANAGER COMMENTS

Mr. Flood informed the board that he contacted Provost and Pritchard to solicit help with the in lieu issue and some of the things we need to consider. Additionally, we are moving into the budget season. Staff will be meeting in January and February and a draft budget will be present to the Finance committee in March. We anticipate marked increases in some expenditures.

10. BOARD OF DIRECTOR REPORTS ON MEETINGS ATTENDED

President Brennan attended the AWA WaterWise meeting. Director Kaiser also attended that meeting and the November 15<sup>th</sup> UVRGSA meeting. Directors Bergen and Hajas also attended the UVRGSA meeting.

11. BOARD OF DIRECTOR COMMENTS PER GOVERNMENT CODE SECTION 54954.2(a).

President Brennan asked that the potential for goats grazing around the diversion canal come back on the agenda in the future or perhaps a report back in General Manager Comments.

President Brennan moved the meeting to closed session at 11:23 a.m.

12. CLOSED SESSION

- 12.a. CONFERENCE WITH LEGAL COUNSEL – EXISTING LITIGATION  
(Government Code Section 54956.9(a) Santa Barbara Channelkeeper v. State Water Resources Control Board, City of San Buenaventura, et al.; and City of San Buenaventura v Duncan Abbott, et al., Cross Complaint; Superior Court of the State of California, County of Los Angeles, Case No. 19STCP01176.
- 12.b. Conference with Labor Negotiators (Govt. Code Sec. 54957.6) Agency Designated Representatives: Colin Tanner and Diana Impeartrice  
Employee Organization: Supervisory & Professional, General Unit and Recreation Unit.

12.c. CONFERENCE WITH LEGAL COUNSEL – ANTICIPATED LITIGATION  
(Government Code §54956.9(b))  
Number of potential cases: 1

President Brennan moved the meeting back into open session at 12:18 p.m. with Mr. Mathews stating the board met in closed session with general and special counsel and the labor negotiator, there is was no reportable action.

13. ADJOURNMENT

President Brennan adjourned the meeting at 12:19 p.m.

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Neil Cole, Secretary



RESOLUTION NO. 2021-

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE CASITAS MUNICIPAL WATER DISTRICT PROCLAIMING A LOCAL EMERGENCY PERSISTS, RE-RATIFYING THE PROCLAMATION OF A STATE OF EMERGENCY BY EXECUTIVE ORDER, AND RE-AUTHORIZING REMOTE TELECONFERENCE MEETINGS OF THE LEGISLATIVE BODIES OF CASITAS MUNICIPAL WATER DISTRICT FOR THE PERIOD DECEMBER 10, 2021 to JANUARY 9, 2022 PURSUANT TO BROWN ACT PROVISIONS.

WHEREAS, the Casitas Municipal Water District is committed to preserving and nurturing public access and participation in meetings of the Board of Directors; and

WHEREAS, all meetings of Casitas Municipal Water District's legislative bodies are open and public, as required by the Ralph M. Brown Act (Cal. Gov. Code 54950 – 54963), so that any member of the public may attend, participate, and watch the District's legislative bodies conduct their business; and

WHEREAS, the Brown Act, Government Code section 54953(e), makes provision for remote teleconferencing participation in meetings by members of a legislative body, without compliance with the requirements of Government Code section 54953(b)(3), subject to the existence of certain conditions; and

WHEREAS, a required condition is that a state of emergency is declared by the Governor pursuant to Government Code section 8625, proclaiming the existence of conditions of disaster or of extreme peril to the safety of persons and property within the state caused by conditions as described in Government Code section 8558; and

WHEREAS, a proclamation is made when there is an actual incident, threat of disaster, or extreme peril to the safety of persons and property within the jurisdictions that are within the District's boundaries, caused by natural, technological or human-caused disasters; and

WHEREAS, it is further required that state or local officials have imposed or recommended measures to promote social distancing, or, the legislative body meeting in person would present imminent risks to the health and safety of attendees; and

WHEREAS, the Board of Directors previously adopted a Resolution, Number 2021-23 on October 13, 2021, AND Resolution Number 2021-24 on November 10, 2021 finding that the requisite conditions exist for the legislative bodies of Casitas Municipal Water District to conduct remote teleconference meetings without compliance with paragraph (3) of subdivision (b) of section 54953; and

WHEREAS, as a condition of extending the use of the provisions found in section 54953(e), the Board of Directors must reconsider the circumstances of the state of emergency that exists in the District, and the Board of Directors has done so; and

WHEREAS, emergency conditions persist in the District, specifically, a state of emergency remains active; and

WHEREAS, Ventura County Health Office Orders continue to promote social distancing requirement and meeting in person would present imminent risk to health and safety of attendees by creating conditions that could cause and/or contribute to the spread of COVID-19; and; and

WHEREAS, the Board of Directors does hereby find that State of Emergency, and Social Distancing requirements and conditions causing imminent risk to attendees has caused, and will continue to cause,

conditions of peril to the safety of persons within the District that are likely to be beyond the control of services, personnel, equipment, and facilities of the District, and desires to affirm a local emergency exists and re-ratify the proclamation of state of emergency by the Governor of the State of California and local orders for social distancing; and

WHEREAS, as a consequence of the local emergency persisting, the Board of Directors does hereby find that the legislative bodies of Casitas Municipal Water District shall continue to conduct their meetings without compliance with paragraph (3) of subdivision (b) of Government Code section 54953, as authorized by subdivision (e) of section 54953, and that such legislative bodies shall continue to comply with the requirements to provide the public with access to the meetings as prescribed in paragraph (2) of subdivision (e) of section 54953; and

WHEREAS, Casitas Municipal Water District has taken measures to ensure meeting access for the public via the Zoom platform including electronic video and telephone access.

NOW, THEREFORE, THE BOARD OF DIRECTORS OF CASITAS MUNICIPAL WATER DISTRICT DOES HEREBY RESOLVE AS FOLLOWS:

Section 1. Recitals. The Recitals set forth above are true and correct and are incorporated into this Resolution by this reference.

Section 2. Affirmation that Local Emergency Persists. The Board of Directors hereby considers the conditions of the state of emergency in the District and proclaims that a local emergency persists throughout the District, and meeting in person would present imminent risk.

Section 3. Re-ratification of Governor's Proclamation of a State of Emergency. The Board hereby ratifies the Governor of the State of California's Proclamation of State of Emergency, effective as of its issuance date of March 4, 2020.

Section 4. Remote Teleconference Meetings. The Staff, General Manager and legislative bodies of Casitas Municipal Water District are hereby authorized and directed to take all actions necessary to carry out the intent and purpose of this Resolution including, continuing to conduct open and public meetings in accordance with Government Code section 54953(e) and other applicable provisions of the Brown Act.

Section 5. Effective Date of Resolution. This Resolution shall take effect immediately upon its adoption and shall be effective until the earlier of (i) January 9, 2022, or such time the Board of Directors adopts a subsequent resolution in accordance with Government Code section 54953(e)(3) to extend the time during which the legislative bodies of Casitas Municipal Water District may continue to teleconference without compliance with paragraph (3) of subdivision (b) of section 54953.

PASSED AND ADOPTED by the Board of Directors of Casitas Municipal Water District, this 8th day of December, 2021.

\_\_\_\_\_  
Brian Brennan, President

Attest:

\_\_\_\_\_  
Neil Cole, Secretary

CASITAS MUNICIPAL WATER DISTRICT

RESOLUTION NO. 2021-

RESOLUTION APPROVING MEMBERSHIPS FOR THE WATER SYSTEM AND LAKE CASITAS RECREATION AREA FOR 2022

Whereas, the Water Code section 71597 provides that the Board may obtain memberships in associations for the purpose of furtherance of subjects relating to the powers and duties of the district by passing a resolution with 4/5<sup>ths</sup> vote, and

Whereas, the Board considered memberships at its Board Meeting and approved the following memberships; and

Whereas, it is felt that approving them in one motion will reduce staff work on the individual items.

Now, Therefore Be It Resolved by the Board of Directors of the Casitas Municipal Water District that the following memberships are approved:

1. Membership in the Association of Water Agencies of Ventura County. Approved Membership for \$6000, sponsorship for the Symposium for \$2,500, and \$2,500 for the Regan Library Event.
2. Membership in the National Notary Association in the amount of \$69.
3. Membership in Government Finance Officers Association in the amount of \$160.
4. Membership in the Society for Human Resource Management in the amount of \$440.
5. Membership in the California Association of Public Purchasing Officers costing \$275 in 2020.
6. Membership in the State Water Contractors. Casitas pays only a quarter of these costs. The cost for 2021 was \$54,740.
7. Membership in the California Association of Public Information Officers in the amount of \$275.
8. Membership in the Ventura County Special Districts Association in the amount of \$150.
9. Membership in CALPELRA in the amount of \$370.
10. Membership in the American Water Works Association in the amount of \$473.
11. Membership in the Association of California Water Agencies in the amount of \$24,245.
12. Membership in the California Special Districts Association in the amount of \$8,195.
13. Membership in the Ventura Chamber of Commerce in the amount of \$940.

14. Membership in the Ojai Chamber of Commerce in the amount of \$690.
15. Membership in the California Water Efficiency Partnership (CalWEP) and Alliance for Water Efficiency (AWE) \$2,681.96 was paid in 2021.
16. California Parks & Recreation Society paid \$555 in 2021.
17. S. California Public Pool Operators Association at \$30.
18. United States Water Fitness Association at \$125.
19. World Waterpark Association at \$419.
20. Pesticide Applicators Professional Association at \$90.
21. California Park Rangers Association at \$110.
22. Channel Counties Water Utilities Association administered by AWA at \$150.
23. North American Lake Management Society in the amount of \$140.
24. American Fisheries Society in the amount of \$250.
25. Membership in California Lake Management Society at \$40.
26. California Association for Recreational Fishing in the amount of \$300.
27. Membership in the Irrigation Association in the amount of \$100.
28. Membership in the American Society of Safety Engineers in the amount of \$195.
29. Membership in the Maintenance Superintendents Associations in the amount of \$75.
30. Membership in American Public Works Association in the amount of \$760.
31. Membership in the American Society of Safety Professionals in the amount of \$230.

ADOPTED this 8<sup>th</sup> day of December, 2021.

Signed:

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Brian Brennan, Vice President  
Casitas Municipal Water District

Attest:

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Neil Cole, Secretary  
Casitas Municipal Water District

# MEMORANDUM

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TO: Board of Directors  
From: Michael L. Flood, General Manager  
RE: **Discussion and possible action on the Letter of Intent from the Tulare Irrigation District regarding the transfer of Casitas MWD's State Water Project Table A supplies.**  
Date: December 3, 2021

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## RECOMMENDATION:

Approve the Letter of Intent for exclusive negotiations for a period of 90 days as outlined in the Tulare Irrigation District Letter of Intent.

## BACKGROUND:

Casitas currently holds the rights to 5,000 Acre-Feet of State Water Project (SWP) Table A water supply allocation.

Casitas currently has no ability to have its SWP Table A water supply allocation delivered into its service area.

Casitas is currently considering projects that would construct facilities that would allow it to take delivery but they are not expected to be complete for approximately four years.

Casitas has executed four annual exchange agreements in recent years, three with San Geronio Pass Water Agency and one with Central Coast Water Authority.

Casitas MWD staff has recently received a Letter of Intent from the Tulare Irrigation District proposing exclusive negotiations with Casitas MWD on a five-year agreement (calendar year 2022 through calendar year 2026) for the transfer of Casitas' SWP Table A water supply.

During the Board Meeting of November 23, 2021, the Board expressed concerns over some of the terms in Tulare Irrigation District's Letter of Intent and asked for the item to be brought back to a future Board Meeting.

## DISCUSSION:

Casitas has executed the following agreements for the exchange/transfer of its SWP Table A water supply over the last four calendar years:

### Past State Water Project Table A Agreements

2021: Transferred – 250 AF; No Return  
Final Compensation: \$ 175,000

2020: Exchanged – 1,000 AF; Return - 250 AF (25%) (Return by 2030);  
Final Compensation: \$ 606,183

2019: Exchanged - 650 AF; Return - 325 AF (50%) (Return by 2029)  
Final Compensation: \$ 111,448

2018: Exchanged - 1,750 AF; Return - 700 AF (40%) (Return by 2028)  
Final Compensation: \$ 749,822

At the November 23, 2021 Board Meeting, the Board expressed concerns about some of the language in the term sheet, specifically the ability to discuss possible exchange agreements with other potential transfer partners. Additionally, there were concerns that there needed to be expanded flexibility for Casitas to opt out of the arrangement should the District's projects to import this water be completed sooner.

The letter was revised by Tulare to take those concerns into account.

Tulare Irrigation District is proposing to negotiate a five-year agreement with Casitas MWD for its SWP Table A supply that would be expected to contain the following principles:

1. Casitas MWD would agree to transfer up to 5,000 Acre-Feet of its SWP Table A water supply allocation annually to an exchange partner of Tulare Irrigation District's choosing.
2. Tulare Irrigation District will pay all costs in association with the delivery of the water supply.
3. The agreement would have a five-year term beginning in calendar year 2022 and ending in calendar year 2026.
4. Beginning in the fourth year of the agreement, Casitas would have the ability to take its SWP Table A supply should it desire to do so.

5. Pricing would be similar to that shown in Attachment A which has a price per Acre-Foot sliding-scale based on the amount of SWP Table A allocation in each given year.
6. Casitas would retain the ability to discuss other options with potential transfer partners during the 90-day Detailed Term Sheet negotiation period and would provide Tulare notification.

The aggregate proceeds from this agreement would range from \$175,000 for a 5% SWP allocation year up to \$1,375,000 for a 100% SWP allocation year.

Tulare Irrigation District has provided a Letter of Intent that will allow the two agencies to exclusively negotiate the terms of the agreement referred to in the letter as a 'Detailed Term Sheet'.

Tulare will also use this time to secure an agreement with another transfer partner that will take physical delivery of the water.

Should the Casitas MWD Board decide to approve the Tulare Irrigation District Letter of Intent, the parties would have until approximately February 17, 2022 to negotiate the Detailed Term Sheet ahead of executing a final agreement.

This timing would allow Casitas MWD to seek another transfer or exchange partner for its 2022 SWP Table A water supply should agreeable terms not be settled upon with Tulare Irrigation District.

Staff recommends that the Board approve Tulare's Letter of Intent and to also direct Casitas staff to bring back the Detailed Term Sheet to the Board as soon as possible but no later than the February 23, 2022 Board Meeting.

#### BUDGETARY IMPACTS:

This agreement would allow Casitas to offset its fixed costs for the State Water Project which vary but are approximately \$800,000 annually.



# TULARE IRRIGATION DISTRICT

6826 Avenue 240 Tulare, California 93274 Telephone (559) 686-3425

November 17, 2021

Mr. Michael Flood  
General Manager, Casitas Municipal Water District  
1055 Ventura Avenue  
Oak View, CA 93022

**RE: Letter of Intent for Casitas Excess Table A Water**

Dear Mr. Flood:

On behalf of the Tulare Irrigation District, we appreciated the opportunity to discuss your potential excess Table A supplies. After our conversation, we continued the discussion with our Board of Directors and they have approved the following terms for this letter of intent. We believe that the proposed terms will provide you with a revenue stream during the time that your water is available, and it will provide us with needed water to fulfill our demand needs throughout changing hydrological conditions.

The Letter of Intent is intended only as an outline of the terms and conditions of a proposed water transfer agreement between the Casitas Municipal Water District and Tulare Irrigation District and, except as expressly provided below with respect to the sections labeled 'Confidentiality' and 'Period of Exclusive Negotiations', will only become binding upon the execution of mutually agreeable definitive documents (Definitive Agreement).

**Recitals:**

- A. The Casitas Municipal Water District (Casitas) obtained the rights to the Ventura County Watershed Protection District's State Water Contract in 1971 in the amount of 20,000 AF of Table A water supply although the VCWPD remains the named contractor on the State Water Contract. Casitas subcontracted 15,000 AF of that Table A supply to other Ventura County water users but retained the rights to 5,000 AF of Table A entitlement from the State Water Project. Casitas does not currently have the ability to deliver that water directly to its service area. Casitas wishes to transfer up to 5,000 acre-feet per year of surplus water (Transfer Water) during the Term (as defined below) from its existing supply of Table A contract water from the State Water Project (Table A Water). Casitas does not anticipate needing any portion of the Transfer Water for the first four years of the of the Term.



- B. Tulare Irrigation District (Tulare) is a Central Valley Project Contractor based in Tulare County, California. Tulare desires to complete a transfer with Casitas for the Transfer Water.
- C. The Transfer Water is intended to be exchanged with a contractor of Tulare's choice that can take physical delivery of the Transfer Water. Tulare will be responsible for securing the exchange agreement with its selected contractor.
- D. Subject to their Board of Directors approval, the Parties now desire to establish a 90-day exclusive negotiations period during which they will develop and preliminarily agree to a detailed term sheet (Detailed Term Sheet) defining the terms and conditions of a transfer agreement providing for the transfer of the Table A Water to TID (Definitive Agreement) which the Parties would execute following appropriate permitting and environmental review.

### **Agreement for Exclusive Negotiations Period**

- 1. Period of Exclusive Negotiations:** Casitas and Tulare will exclusively negotiate the preparation, execution and delivery of a Detailed Term Sheet within 90 days of the date of this Letter of Intent (Exclusivity Period). The Exclusivity provisions in this section apply only to the water supplies specifically addressed in Section 2 of this agreement, and Casitas has no further obligation for exclusivity in negotiating with Tulare beyond these amounts enumerated. During the Exclusivity Period, Casitas can initiate, solicit, respond to, or participate in inquiries, proposals, negotiations or discussions with respect to offers (if any) received on the Transfer Water and will provide Tulare notification of same within 5 days. However, Casitas cannot enter into any formal agreement relating to the Transfer Water within the Exclusivity Period. During this time, it is Tulare's intention to determine its exchange partner who can take physical delivery of that water and secure necessary agreements with them.
- 2. Anticipated Terms to Be Negotiated during Exclusivity Period:** The Parties intend to address the following terms in the Detailed Term Sheet:
  - a. Quantity of Transfer Water:** The Parties intend that the Detailed Term Sheet will provide for the transfer to Tulare of up to approximately 5,000 AF of Casitas' Table A Water from the San Luis Reservoir per year.
  - b. Delivery Costs:** Tulare will make all necessary arrangements with DWR for the conveyance of the Transfer Water to desired point(s) of delivery and will be responsible for delivery costs associated therewith.
  - c. Term:** The term of the Definitive Agreement is anticipated be for a Five (5) Year term beginning in Calendar Year 2022 and ending in Calendar Year 2026. Casitas will retain the ability to opt-out of the fourth or fifth year should a project allowing delivery of SWP Table A supply be available for delivery of this supply into Casitas' service area. The term may be extended by mutual consent of both parties should conditions remain agreeable to both parties beyond the term.



such party will remain responsible for its employees', agents' and affiliates' affiliate's compliance with these confidentiality restrictions); or (c) is, as of the time of disclosure, public knowledge without the fault of the receiving party. Notwithstanding anything in this Agreement to the contrary, Casitas and Tulare may disclose without violating this Term Sheet confidential information to the extent such information is required to be disclosed by law including pursuant to a court order or the California Public Records or Brown Acts (Government Code Sections 6250, 54950, et seq.).

- 6. Notice** Written notice may be provided by either party to the other by first-class mail, postage prepaid, to the following addresses:

Mr. Michael Flood  
General Manager, Casitas Municipal Water District  
1055 Ventura Avenue  
Oak View, CA 93022

Mr. Aaron Fukuda  
General Manager, Tulare Irrigation District  
P.O. Box 1920  
Tulare, CA 93275

This Letter of Intent is entered into subject to the understanding that no party is bound to any transfer agreement unless and until a Definitive Agreement is authorized by the Tulare Board of Directors and duly executed by the Parties.

Tulare Irrigation District

By: \_\_\_\_\_  
Aaron Fukuda, General Manager

Date: November 17, 2021

Read and Approved

Casitas Mutual Water District

By: \_\_\_\_\_  
Michael Flood, General Manager

Date: \_\_\_\_\_



Board of Directors  
Casitas Municipal Water District  
Oak View, California

We have audited the financial statements of Casitas Municipal Water District (the District) as of and for the year ended June 30, 2021, and have issued our report thereon dated REPORT DATE. We have previously communicated to you information about our responsibilities under auditing standards generally accepted in the United States of America, as well as certain information related to the planned scope and timing of our audit. Professional standards also require that we communicate to you the following information related to our audit.

### **Significant audit findings**

#### ***Qualitative aspects of accounting practices***

##### *Accounting policies*

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by Casitas Municipal Water District are described in Note 1 to the financial statements.

No new accounting policies were adopted, and the application of existing policies was not changed during 2021.

We noted no transactions entered into by the entity during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

##### *Accounting estimates*

Accounting estimates are an integral part of the financial statements prepared by management and are based on management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. The most sensitive estimates affecting the financial statements were:

- Management's estimate of the water-in-storage inventory is based on the District's engineer's estimate of water in the lake and the District's diversion facility costs, general and administrative costs, and depreciation of state water project assets.
- The annual required contributions, pension expense, net pension liability, and corresponding deferred outflows of resources and deferred inflows of resources for the District's public defined benefit plans with CalPERS are based on an actuarial valuation provided by CalPERS.

- The OPEB actuarially determined contribution, OPEB expense, net OPEB liability, and corresponding deferred outflows of resources and deferred inflows of resources for the District's defined benefit OPEB plan are based upon several key assumptions that are set by management with the assistance of an independent third-party actuary. These key assumptions include anticipated investment rate of return, health-care cost trends, mortality, and certain amortization periods.

We evaluated the key factors and assumptions used to develop these estimates in determining that it is reasonable in relation to the financial statements taken as a whole.

#### **Financial statement disclosures**

Certain financial statement disclosures are particularly sensitive because of their significance to financial statement users. The most sensitive disclosures affecting the financial statements were reported in Note 11 regarding the other post-employment benefits plan and Note 12 regarding the defined benefit pension plan.

The financial statement disclosures are neutral, consistent, and clear.

#### ***Difficulties encountered in performing the audit***

We encountered no significant difficulties in dealing with management in performing and completing our audit.

#### ***Uncorrected misstatements***

Professional standards require us to accumulate all misstatements identified during the audit, other than those that are clearly trivial, and communicate them to the appropriate level of management. Management did not identify, and we did not notify them of any uncorrected financial statement misstatements.

#### ***Corrected misstatements***

Management did not identify, and we did not notify them of any financial statement misstatements detected as a result of audit procedures.

#### ***Disagreements with management***

For purposes of this letter, a disagreement with management is a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditors' report. No such disagreements arose during our audit.

#### ***Management representations***

We have requested certain representations from management that are included in the attached management representation letter dated REPORT DATE.

#### ***Management consultations with other independent accountants***

In some cases, management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a "second opinion" on certain situations. If a consultation involves application of an accounting principle to the entity's financial statements or a determination of the type of auditors' opinion that may be expressed on those statements, our professional standards require the consulting accountant to check with us to determine that the consultant has all the relevant facts. To our knowledge, there were no such consultations with other accountants.

**Significant issues discussed with management prior to engagement**

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to engagement as the entity’s auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our engagement.

**Other information in documents containing audited financial statements**

With respect to the required supplementary information (RSI) accompanying the financial statements, we made certain inquiries of management about the methods of preparing the RSI, including whether the RSI has been measured and presented in accordance with prescribed guidelines, whether the methods of measurement and preparation have been changed from the prior period and the reasons for any such changes, and whether there were any significant assumptions or interpretations underlying the measurement or presentation of the RSI. We compared the RSI for consistency with management’s responses to the foregoing inquiries, the basic financial statements, and other knowledge obtained during the audit of the basic financial statements. Because these limited procedures do not provide sufficient evidence, we did not express an opinion or provide any assurance on the RSI.

With respect to the Schedule of Revenues, Expenses and Changes in Net Position – Budget to Actual, Combining Balance Sheets, Combining Schedule of Revenues and Expenses, Detail Schedule of Operating Expenses – Utility Department, and Detail Schedule of Operating Revenues and Expenses – Recreation Department and Adjudication, (collectively, the supplementary information) accompanying the financial statements, on which we were engaged to report in relation to the financial statements as a whole, we made certain inquiries of management and evaluated the form, content, and methods of preparing the information to determine that the information complies with accounting principles generally accepted in the United States of America, the method of preparing it has not changed from the prior period or the reasons for such changes, and the information is appropriate and complete in relation to our audit of the financial statements. We compared and reconciled the supplementary information to the underlying accounting records used to prepare the financial statements or to the financial statements themselves. We have issued our report thereon dated **REPORT DATE**.

The introductory and statistical sections accompanying the financial statements, which are the responsibility of management, were prepared for purposes of additional analysis and are not a required part of the financial statements. Such information was not subjected to the auditing procedures applied in the audit of the financial statements, and, accordingly, we did not express an opinion or provide any assurance on it.

\* \* \*

This communication is intended solely for the information and use of the board of directors and management of Casitas Municipal Water District and is not intended to be, and should not be, used by anyone other than these specified parties.

**CliftonLarsonAllen LLP**

Irvine, California  
REPORT DATE

# Casitas Municipal Water District

*Annual Comprehensive Financial Report  
For the Years Ended June 30, 2021 and 2020*



1055 Ventura Avenue, Oak View, California 93022 - 805.649.2251  
[www.casitaswater.org](http://www.casitaswater.org)









**CASITAS MUNICIPAL WATER DISTRICT  
Oak View, California**

**ANNUAL COMPREHENSIVE FINANCIAL REPORT**

**YEARS ENDED JUNE 30, 2021 AND 2020**

Prepared by:

Janyne Brown – Chief Financial Officer

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**CASITAS MUNICIPAL WATER DISTRICT  
ANNUAL COMPREHENSIVE FINANCIAL REPORT  
YEARS ENDED JUNE 30, 2021 AND 2020**

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**CASITAS MUNICIPAL WATER DISTRICT  
ANNUAL COMPREHENSIVE FINANCIAL REPORT  
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## INTRODUCTORY SECTION

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October 29, 2021

Board of Directors  
Casitas Municipal Water District

## Introduction

It is our pleasure to submit the Annual Comprehensive Financial Report for the Casitas Municipal Water District (District) for the years ended June 30, 2021 and 2020, following guidelines set forth by the Governmental Accounting Standards Board. District staff prepared this financial report. The District is ultimately responsible for both the accuracy of the data and completeness and the fairness of presentation, including all disclosure in this financial report. We believe that the data presented is accurate in all material respects. This report is designed in a manner that we believe necessary to enhance your understanding of the District's financial position and activities.

Generally Accepted Accounting Principles (GAAP) requires that management provide a narrative introduction, overview and analysis to accompany the financial statements in the form of the Management's Discussion and Analysis (MD&A) section. This letter of transmittal is designed to complement the MD&A and should be read in conjunction with it. The District's MD&A can be found immediately after the Independent Auditor's Report.

## District Structure and Leadership

The Casitas Municipal Water District is a special district of the State of California that provides domestic and agricultural water services to the western portion of Ventura County. The District's Board of Directors is composed of five members who are elected in specified election divisions. The Directors serve terms of four years with an election held every two years for alternating divisions. The District also provides recreational activities at Lake Casitas. The water district and the lake activities are accounted for as an enterprise fund.

Formed in 1952, the District was the inspiration of area civic leaders, cattlemen, and citrus ranchers who were frustrated by a severe drought and subsequent water rationing. Between 1952 and 1956, when ground was broken for Casitas Dam, the District sought and obtained commitments for 50-year federal loans to construct Casitas Dam and the Robles-Casitas Diversion Canal. Engineers drilled through 1,800 feet of rock for the outlet tunnel, and built an earthen dam with 9.2 million cubic yards of earth. Final cost of the reservoir, dam and Lake Casitas Recreation Area was \$20 million.

Drawing from the 105-square mile watershed, Lake Casitas began to form in the Santa Ana Valley. In 1978, 19 years after the dam's completion, the lake overflowed for the first time. With a capacity of 237,761-acre feet (Updated 2017), the reservoir has a shoreline of 35 miles and provides water to over 65,000 people.

Water quality is strictly controlled in the surrounding 3,200-acre Charles M. Teague Memorial Watershed. Since 1974, the federal government has spent more than \$25 million to purchase lands in the watershed to preserve water quality from the pollution of over development.

Casitas Municipal Water District has been a strong proponent of watershed protection and lake management. The efforts to protect the Lake Casitas watershed and lake management practices developed by the District provide an excellent quality of water to the customers. Regulatory changes affecting surface waters had moved the District through considerations for filtration avoidance to the conclusion that construction of a water filtration plant was necessary to meet regulatory requirements. The Marion R. Walker Pressure Filtration Plant was designed and constructed to meet those requirements and became fully operational on November 6, 1997. Casitas was

proud to receive a water supply permit from the Department of Health Services granting the District permission to supply water for domestic purposes after completion of the treatment plant.

In 2017, Casitas acquired the Ojai Water System from Golden State Water Company (GSWC). Prior to this, GSWC had been a wholesale customer of Casitas. Ojai Water System customers are now direct customers of Casitas. The Ojai Water System includes the Ojai Wellfield on the east end of Ojai with six groundwater wells. These wells are located in the Ojai Groundwater Basin and currently provide approximately 1,800 AFY of supply.

### **Economic Condition and Outlook**

On January 30<sup>th</sup>, 2020, the World Health Organization (WHO) announced a global health emergency because of an outbreak of a new strain of coronavirus (the COVID-19 outbreak). In March 2020, the COVID-19 outbreak was classified as a pandemic. The full impact of the COVID-19 outbreak continues to evolve and it is uncertain as to the full magnitude that the pandemic will have on the Districts financial condition, liquidity, and future operations.

Additionally, California's water supply continues to be a concern due to projected population increases and drought conditions. This concern has increased interest in conservation and in irrigation methods and systems. The District has led the area in its conservation efforts and will continue to make strides in this area.

### **Internal Control Structure**

District management is responsible for the establishment and maintenance of the internal control structure that ensures the assets of the District are protected from loss, theft or misuse. The internal control structure also ensures adequate accounting data is compiled to allow for the preparation of financial statements in conformity with generally accepted accounting principles. The District's internal control structure is designed to provide reasonable assurance that these objectives are met. The concept of reasonable assurance recognizes that (1) the cost of a control should not exceed the benefits likely to be derived, and (2) the valuation of costs and benefits require estimates and judgments by management.

### **Budgetary Control**

The District's Board of Director's annually adopts an operating and capital budget prior to the new fiscal year. The budget authorizes and provides the basis for reporting and control of financial operations and accountability for the District's enterprise operations and capital projects.

The budget and reporting treatment applied to the District is consistent with the accrual basis of accounting and financial statement basis.

### **Investment Policy**

The Board of Directors have adopted an investment policy that conforms to state law, District ordinance and resolutions, prudent money management, and the "prudent person" standards. The objective of the Investment Policy is safety, liquidity and yield. District funds are invested in the State Treasurer's Local Agency Investment Fund, County of Ventura Pooled Money Investment Fund, U.S. Treasury Bills, Notes and Bonds, and institutional savings and checking accounts.

### **Water Rate and District Revenues**

District policy direction ensures that all revenues from user charges and surcharges generated from District customers must support all District operations including capital project funding. Accordingly, water rates are reviewed periodically. Water rates are user charges imposed on customers for services and are the primary component of the District's revenue. Water rates are composed of a commodity (usage) charge and a fixed (readiness-to-serve) charge.

The City of Ventura initiated a water rights adjudication of four groundwater basins within the Ventura River watershed. The basins named in the lawsuit include: Upper Ventura River Groundwater Basin, Lower Ventura River Groundwater Basin, Ojai Valley Groundwater Basin, and Upper Ojai Valley Groundwater Basin. The outcome of the adjudication is currently unknown and Casitas continues to actively defend and protect its water



rights. As a result of the water right adjudication, a pass-through fee for the expected costs associated with the lawsuit, was added as an additional fixed charge. The pass through fee was passed through a proposition 218 process and became effective July 1, 2020.

### **Audit and Financial Reporting**

State Law and Bond covenants require the District to obtain an annual audit of its financial statements by an independent certified public accountant. The accounting firm of Clifton Larson Allen, LLP has conducted the audit of the District's financial statements. Their unmodified Independent Auditor's Report appears in the Financial Section.

### **Awards and Acknowledgements**

For the year ended June 30, 2020, the District received for the 27<sup>th</sup> year the Government Finance Officers Association of the United States and Canada's (GFOA) *Certificate of Achievement for Excellence in Financial Reporting*. In order to be awarded a Certificate of Achievement, a governmental unit must publish an easily readable and efficiently organized CAFR. This report must satisfy both generally accepted accounting principles and applicable legal requirements.

A Certificate of Achievement is valid for a period of one year only. We believe that our current Annual Comprehensive Financial Report continues to meet the Certificate of Achievement Program's requirements and we are submitting it to the GFOA to determine its eligibility for another certificate.

Preparation of this report was accomplished by the combined efforts of District staff. We appreciate the dedicated efforts and professionalism that our staff members bring to the District. We would also like to thank the members of the Board of Directors for their continued support in the planning and implementation of the Casitas Municipal Water District's fiscal policies.

Respectfully submitted,

---

Michael Flood  
General Manager

---

Janyne Brown  
Chief Financial Officer

**CASITAS MUNICIPAL WATER DISTRICT  
 DIRECTORY  
 JULY 1, 2020 – JUNE 30, 2021**

**Board of Directors**

Board Member	Division	Date of Original Election of Appointment	Ending Date of Term
Brian Brennan	Division 1	November, 2018	December, 2022
Neil Cole	Division 2	November, 2020	December, 2024
Pete Kaiser	Division 3	November, 2002	December, 2024
Mary Bergen*	Division 4	May 26, 2021	December, 2022
Richard Hajas	Division 5	November, 2020	December, 2024

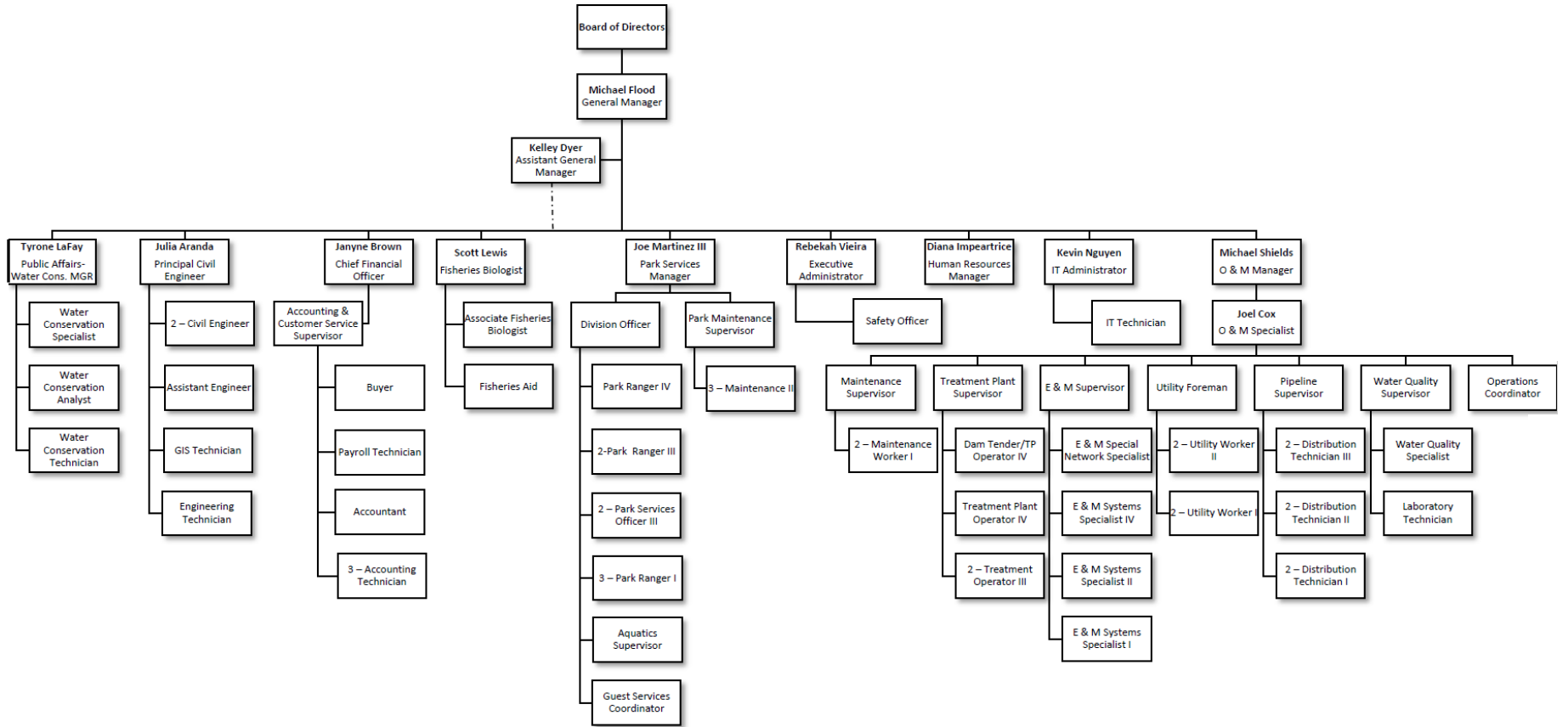
\* Replaced Angelo Spandrio who was elected November, 2018

**Staff**

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Michael Flood	General Manager
Kelley Dyer	Assistant General Manager
Rebekah Vieira	Executive Administrator
Diana Impeartrice	Human Resources
Janyne Brown	Chief Financial Officer
Julia Aranda	Principal Civil Engineer
Joe Martinez III	Park Services Manager
Michael Shields	O&M Manager
Scott Lewis	Fisheries Biologist
Gregory Romey	Safety Officer
Tyrone LaFay	Public Affairs & Water Conservation Manager

# CASITAS MUNICIPAL WATER DISTRICT ORGANIZATIONAL CHART





Government Finance Officers Association

Certificate of  
Achievement  
for Excellence  
in Financial  
Reporting

Presented to

**Casitas Municipal Water District  
California**

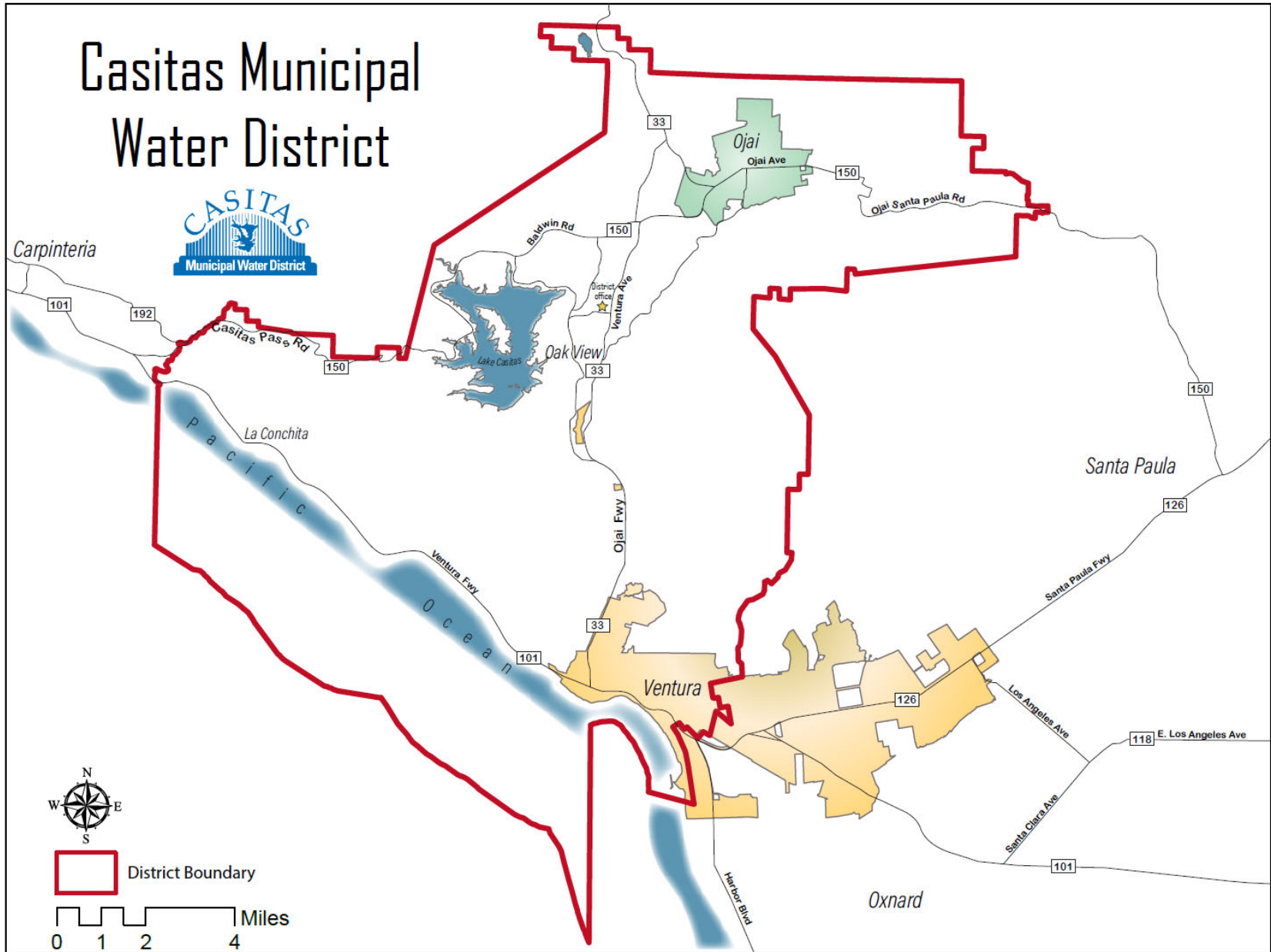
For its Annual Comprehensive  
Financial Report  
For the Fiscal Year Ended

June 30, 2020

*Christopher P. Morill*

Executive Director/CEO

# Casitas Municipal Water District



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## FINANCIAL SECTION

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## INDEPENDENT AUDITORS' REPORT

Board of Directors  
Casitas Municipal Water District  
Oak View, California

### **Report on the Financial Statements**

We have audited the accompanying financial statements of Casitas Municipal Water District (District) as of and for the years ended June 30, 2021 and 2020, and the related notes to the financial statements, which collectively comprise the District's basic financial statements as listed in the table of contents.

### ***Management's Responsibility for the Financial Statements***

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### ***Auditors' Responsibility***

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the District's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

***Opinion***

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the District as of June 30, 2021 and 2020, and the changes in its financial position and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

***Other Matters***

***Required Supplementary Information***

Accounting principles generally accepted in the United States of America require that the Management's Discussion and Analysis, Schedule of the Proportionate Share of the Net Pension Liability, Schedule of the Contributions to the Pension Plan, Schedule of Changes in the Net OPEB Liability and Related Ratios, and Schedule of Contributions to the OPEB Plan be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

***Other Information***

Our audit was conducted for the purpose of forming an opinion on the financial statements that collectively comprise the District's basic financial statements. The introductory section, supplementary information consisting of schedule of revenues, expenses and changes in net position – budget to actual, combining balance sheets, combining schedule of revenues and expenses, detail schedule of operating expenses – utility department, and detail schedule of operating revenues and expenses – recreation department and adjudication fund, and the statistical information section, as listed in the table of contents, are presented for purposes of additional analysis and are not a required part of the basic financial statements.

The supplementary information, as listed in the table of contents, is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the supplementary information is fairly stated in all material respects in relation to the basic financial statements as a whole.

**Other Matters (Continued)**

*Other Information (Continued)*

The introductory and statistical sections have not been subjected to the auditing procedures applied in the audit of the basic financial statements and, accordingly, we do not express an opinion or provide any assurance on them.

**Other Reporting Required by Government Auditing Standards**

In accordance with *Government Auditing Standards*, we have also issued a separate report dated REPORT DATE, on our consideration of the District's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the District's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the District's internal control over financial reporting and compliance.

**CliftonLarsonAllen LLP**

Irvine California  
REPORT DATE

**CASITAS MUNICIPAL WATER DISTRICT  
MANAGEMENT'S DISCUSSION AND ANALYSIS (UNAUDITED)  
YEARS ENDED JUNE 30, 2021 AND 2020**

Management's Discussion and Analysis (MD&A) offers readers of Casitas Municipal Water District's financial statements a narrative overview of the District's financial activities for the year ended June 30, 2021 and 2020. This MD&A presents financial highlights, an overview of the accompanying financial statements, an analysis of net position and results of operation, a current-to prior year analysis for the past three years, a discussion on restrictions, commitments and limitations, and a discussion of significant activity involving capital assets and long-term debt. Please read in conjunction with the financial statements, which follow this section.

**FINANCIAL HIGHLIGHTS**

- In fiscal year 2021, the District's net position decreased 4.6%, or \$2,397,919 from the prior year's net position of \$51,900,916 to \$49,502,997, as a result of this year's operations.
- In fiscal year 2020, the District's net position decreased 15.8%, or \$9,742,571 from the prior year's net position of \$61,643,487 to \$51,900,916, as a result of that year's operations.
- In fiscal year 2021, operating revenues increased by 48%, or \$6,661,452 from \$13,868,822 to \$20,530,274 from the prior year, primarily due to an increase in retail water consumption of \$3,849,701 and an increase in recreation revenue of \$1,138,155.
- In fiscal year 2020, operating revenues decreased by 5.16%, or \$754,000 from \$14,622,822 to \$13,868,822 from the prior year, primarily due to a decrease in recreation revenue of \$1,347,405 as a result of the COVID-19 outbreak.
- In fiscal year 2021, operating expenses before depreciation and change in water-in-storage decreased by 5.79% or \$1,365,712 from \$23,568,429 to \$22,202,717 from the prior year, primarily due to a decrease in engineering expenses.
- In fiscal year 2020, operating expenses before depreciation and change in water-in-storage increased by 26.49% or \$4,936,026 from \$18,632,403 to \$23,568,429, from the prior year, primarily due to an increase in general and administrative expenses of \$2,637,061 and engineering expenses of \$1,615,325.

**REQUIRED FINANCIAL STATEMENTS**

This annual report consists of a series of financial statements. The Balance Sheets, Statements of Revenues, Expenses and Changes in Net Position, and Statements of Cash Flows provide information about the activities and performance of the District using accounting methods similar to those used by private sector companies.

The Balance Sheets includes all of the District's investments in resources (assets), deferred outflows of resources, the obligations to creditors (liabilities), and deferred inflows of resources. It also provides the basis for computing a rate of return, evaluating the capital structure of the District and assessing the liquidity and financial flexibility of the District. All of the current year's revenue and expenses are accounted for in the Statement of Revenues, Expenses, and Changes in Net Position. This statement measures the success of the District's operations over the past two years and can be used to determine if the District has successfully recovered all of its costs through it rates and other charges. This statement can also be used to evaluate profitability and credit worthiness. The final required financial statement is the Statement of Cash Flows, which provides information about the District's cash receipts and cash payments during the reporting periods. The Statements of Cash Flows reports cash receipts, cash payments and net changes in cash resulting from operations, investing, non-capital financing, and capital and related financing activities and provides answers to such questions as where did cash come from, what was cash used for, and what was the change in cash balance during the reporting period.

**CASITAS MUNICIPAL WATER DISTRICT  
MANAGEMENT'S DISCUSSION AND ANALYSIS (UNAUDITED)  
YEARS ENDED JUNE 30, 2021 AND 2020**

**FINANCIAL ANALYSIS OF THE DISTRICT**

One of the most important questions about the District's finances is, "Is the District better off or worse as a result of this year's activities?" The Balance Sheets and Statements of Revenues, Expenses, and Changes in Net Position report information about the District in a way that helps answer this question.

These statements include all assets, deferred outflows of resources, liabilities, and deferred inflows of resources using the accrual basis of accounting, which is similar to the accounting method used by most private sector companies. All of the current year's revenues and expenses are taken into account regardless of when the cash is received or paid.

These two statements report the District's net position and changes in them. You can think of the District's net position – the difference between assets, deferred outflows of resources, liabilities and deferred inflows of resources – as one way to measure the District's financial health, or financial position. Over time, increases or decreases in the District's net position are one indicator of whether its financial health is improving or deteriorating. However, one will need to consider other non-financial factors such as changes in economic conditions, population growth, zoning, and new or changed government legislation.

**Condensed Balance Sheets**

	<u>June 30, 2021</u>	<u>June 30, 2020</u>	<u>Change</u>	<u>June 30, 2019</u>	<u>Change</u>
<b>Assets:</b>					
Current assets	\$24,057,940	\$23,968,116	\$89,824	\$28,634,184	(\$4,666,068)
Non-current assets	19,739,851	23,670,608	(3,930,757)	15,666,074	8,004,534
Capital assets, net	<u>86,989,350</u>	<u>85,273,007</u>	<u>1,716,343</u>	<u>80,988,067</u>	<u>4,284,940</u>
<b>Total assets</b>	<u>130,787,141</u>	<u>132,911,731</u>	<u>(2,124,590)</u>	<u>125,288,325</u>	<u>7,623,406</u>
<b>Deferred outflows of resources</b>	<u>14,394,184</u>	<u>13,374,468</u>	<u>1,019,716</u>	<u>11,760,469</u>	<u>1,613,999</u>
<b>Total assets and deferred outflows of resources</b>	<u>\$145,181,325</u>	<u>\$146,286,199</u>	<u>(\$1,104,874)</u>	<u>\$137,048,794</u>	<u>\$9,237,405</u>
<b>Liabilities:</b>					
Current liabilities	\$3,875,670	\$5,178,795	(\$1,303,125)	\$3,482,566	\$1,696,229
Non-current liabilities	<u>89,210,666</u>	<u>88,462,550</u>	<u>748,116</u>	<u>70,675,042</u>	<u>17,787,508</u>
<b>Total liabilities</b>	<u>93,086,336</u>	<u>93,641,345</u>	<u>(555,009)</u>	<u>74,157,608</u>	<u>19,483,737</u>
<b>Deferred inflows of resources</b>	<u>2,591,992</u>	<u>743,938</u>	<u>1,848,054</u>	<u>1,247,699</u>	<u>(503,761)</u>
<b>Net position:</b>					
Net Investment in capital assets	37,569,004	36,991,071	577,933	39,302,535	(2,311,464)
Restricted	290,903	-	290,903	19,296	(19,296)
Unrestricted	<u>11,643,090</u>	<u>14,909,845</u>	<u>(3,266,755)</u>	<u>22,321,656</u>	<u>(7,411,811)</u>
<b>Total net position</b>	<u>49,502,997</u>	<u>51,900,916</u>	<u>(2,397,919)</u>	<u>61,643,487</u>	<u>(9,742,571)</u>
<b>Total liabilities, deferred inflows of resources, and net position</b>	<u>\$145,181,325</u>	<u>\$146,286,199</u>	<u>(\$1,104,874)</u>	<u>\$137,048,794</u>	<u>\$9,237,405</u>

As noted earlier, net position may serve over time as a useful indicator of a government's financial position. In the case of the District, assets and deferred outflows of resources of the District exceeded liabilities and deferred inflows of resources by \$49,502,997, \$51,900,916, \$61,643,487 as of June 30, 2021, 2020, and 2019, respectively.

By far the largest portion of the District's net position (76% as of June 30, 2021, 71% as of June 30, 2020, and 64% as of June 30, 2019) reflects the District's net investment in capital assets (net depreciation) less any related debt used to acquire those assets that is still outstanding. The District uses these capital assets to provide services to its customers; consequently, these assets are not available for future spending.

**CASITAS MUNICIPAL WATER DISTRICT  
MANAGEMENT'S DISCUSSION AND ANALYSIS (UNAUDITED)  
YEARS ENDED JUNE 30, 2021 AND 2020**

At the end of years 2021, 2020, and 2019, the District showed a positive balance in its unrestricted net position of \$11,643,090, \$14,909,845, and \$22,321,656, respectively, which may be utilized in future years.

**Condensed Statements of Revenues, Expenses, and Changes in Net Position**

	June 30, 2021	June 30, 2020	Change	June 30, 2019	Change
Operating revenues	\$20,530,274	\$13,868,822	\$6,661,452	\$14,622,822	(\$754,000)
Operating expenses	(23,065,487)	(23,707,662)	642,175	(15,204,627)	(8,503,035)
<b>Operating income before depreciation</b>	<b>(2,535,213)</b>	<b>(9,838,840)</b>	<b>7,303,627</b>	<b>(581,805)</b>	<b>(9,257,035)</b>
Depreciation expense	(4,673,866)	(4,600,052)	(73,814)	(4,116,269)	(483,783)
<b>Operating income (loss)</b>	<b>(7,209,079)</b>	<b>(14,438,892)</b>	<b>7,229,813</b>	<b>(4,698,074)</b>	<b>(9,740,818)</b>
Non-operating revenues (expenses), net	4,742,078	4,484,819	257,259	5,774,254	(1,289,435)
<b>Net loss before capital contributions</b>	<b>(2,467,001)</b>	<b>(9,954,073)</b>	<b>7,487,072</b>	<b>1,076,180</b>	<b>(11,030,253)</b>
Capital contributions	69,082	211,502	(142,420)	537,395	(325,893)
<b>Change in net position</b>	<b>(2,397,919)</b>	<b>(9,742,571)</b>	<b>7,344,652</b>	<b>1,613,575</b>	<b>(11,356,146)</b>
Net position:					
<b>Beginning of year</b>	<b>51,900,916</b>	<b>61,643,487</b>	<b>(9,742,571)</b>	<b>60,029,912</b>	<b>1,613,575</b>
<b>Prior period adjustment</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>End of year</b>	<b>\$49,502,997</b>	<b>\$51,900,916</b>	<b>(\$2,397,919)</b>	<b>\$61,643,487</b>	<b>(9,742,571)</b>

The statement of revenues, expenses and changes in net position shows how the District's net position changed during the fiscal years. In the case of the District, the District's net position decreased by \$2,397,919 and \$9,742,571 for the years ended June 30, 2021 and 2020 respectively. For year ended June 30, 2019 the District's net position increased by \$1,613,575.

**Total Revenues**

	June 30, 2021	June 30, 2020	Increase (Decrease)	June 30, 2019	Increase (Decrease)
<b>Operating revenues:</b>					
Retail water consumption	\$7,032,599	\$4,950,033	\$2,082,566	\$4,186,214	\$763,819
Wholesale water sales	2,462,897	1,189,931	1,272,966	1,357,357	(167,426)
Monthly water service charge	5,027,142	4,532,973	494,169	4,034,503	498,470
Recreation revenue	3,685,302	2,547,147	1,138,155	3,894,552	(1,347,405)
Other water charges and services	2,322,334	648,738	1,673,596	1,150,196	(501,458)
<b>Total operating revenues</b>	<b>20,530,274</b>	<b>13,868,822</b>	<b>6,661,452</b>	<b>14,622,822</b>	<b>(754,000)</b>
<b>Non-operating:</b>					
Property taxes- ad valorem	2,661,798	2,496,711	165,087	2,415,294	81,417
Pass-through property tax increment	229,483	138,605	90,878	134,018	4,587
Property tax assessment for SWP	917,616	780,860	136,756	728,773	52,087
State water project water sales to other agencies	771,941	111,449	660,492	749,823	(638,374)
CFD 2013-1 assessment	2,810,939	2,703,730	107,209	2,653,389	50,341
Mira Monte assessment	19,070	19,149	(79)	19,159	(10)
Investment earnings	(20,657)	1,315,926	(1,336,583)	1,413,695	(97,769)
Adjudication	584,095	-	584,095	-	-
Other non-operating revenues/ (expenses), net	241,447	88,623	152,824	62,385	26,238
<b>Total non-operating</b>	<b>8,215,732</b>	<b>7,655,053</b>	<b>560,679</b>	<b>8,176,536</b>	<b>(521,483)</b>
<b>Total revenues</b>	<b>\$28,746,006</b>	<b>\$21,523,875</b>	<b>\$7,222,131</b>	<b>\$22,799,358</b>	<b>(1,275,483)</b>

In fiscal year 2021, operating revenues increased by 48%, or \$6,661,452 from \$13,868,822 to \$20,530,274, from the prior year, primarily due to an increase in water consumption of \$3,849,701 and an increase in recreation revenue of \$1,138,155.

**CASITAS MUNICIPAL WATER DISTRICT  
MANAGEMENT'S DISCUSSION AND ANALYSIS (UNAUDITED)  
YEARS ENDED JUNE 30, 2021 AND 2020**

In fiscal year 2020, operating revenues decreased by 5.16%, or \$754,000 from \$14,622,822 to \$13,868,822, from the prior year, primarily due to a decrease in recreation revenue of \$1,347,405 as a result of the COVID-19 outbreak that started in the winter of 2020.

In fiscal year 2019, operating revenues decreased by 1.4% or \$206,983 from \$14,829,805 to \$14,622,822 from the prior year, primarily due to a decrease in retail water consumption of \$795,900 as a result of the rain events received in the District's service area during the winter and spring of 2019.

On May 10, 2017, the District instituted a rate increase of 12% for both the retail water consumption and monthly water service charge. As a result July 1<sup>st</sup> of every year through 2021 the retail water consumption and monthly water service charge will be increased by 12%.

**Total Expenses**

	June 30, 2021	June 30, 2020	Increase (Decrease)	June 30, 2019	Increase (Decrease)
<b>Operating expenses:</b>					
Fisheries	\$611,328	\$643,362	(\$32,034)	\$508,342	\$135,020
Engineering	1,705,802	3,760,968	(2,055,166)	2,145,325	1,615,643
Water Treatment	2,055,465	2,159,537	(104,072)	1,857,252	302,285
Water Quality	788,802	759,507	29,295	605,329	154,178
Utilities Maintenance	998,651	858,103	140,548	564,996	293,107
Electrical Mechanical	3,119,031	2,579,106	539,925	2,096,916	482,190
Pipeline	1,923,244	1,776,037	147,207	1,829,649	(53,612)
Recreation expenses	4,680,979	4,875,183	(194,204)	5,687,798	(812,615)
Operations Maintenance	681,238	602,664	78,574	419,895	182,769
General and administrative	5,638,177	5,553,962	84,215	2,916,901	2,637,061
Change in water-in-storage inventory	862,770	139,233	723,537	(3,427,776)	3,567,009
<b>Operating expenses before depreciation</b>	<b>23,065,487</b>	<b>23,707,662</b>	<b>(642,175)</b>	<b>15,204,627</b>	<b>8,503,035</b>
Depreciation	4,673,866	4,600,052	73,814	4,116,269	483,783
<b>Total operating expenses</b>	<b>27,739,353</b>	<b>28,307,714</b>	<b>(568,361)</b>	<b>19,320,896</b>	<b>8,986,818</b>
<b>Non-operating:</b>					
State water project expense	759,852	629,730	130,122	716,634	(86,904)
Tax collection expense	43,386	42,176	1,210	39,366	2,810
Interest expense- Long-term debt	2,348,841	2,201,167	147,674	1,630,667	570,500
Amortization of Bond Insurance on CFD 2013-1	22,413	18,349	4,064	15,615	2,734
Acquisition expense of CFD 2013-1	-	-	-	-	-
Adjudication	293,892	-	293,892	-	-
Bond and Administrative Fees	5,270	2,750	2,520	-	2,750
Cost of debt issuance	-	276,062	(276,062)	-	276,062
<b>Total non-operating</b>	<b>3,473,654</b>	<b>3,170,234</b>	<b>303,420</b>	<b>2,402,282</b>	<b>767,952</b>
<b>Total expenses</b>	<b>31,213,007</b>	<b>31,477,948</b>	<b>(264,941)</b>	<b>21,723,178</b>	<b>9,754,770</b>

In fiscal year 2021, operating expenses before depreciation and change in water-in-storage inventory, decreased by 5.79% or \$1,365,712 from \$23,568,429 to \$22,202,717, from the prior year, primarily due to a decrease in engineering expenses of \$2,055,166 offset with increases within electrical mechanical and general and administrative expenses. The \$2 million decrease relates to outside contracts and supplies and materials within the engineering department that is offset with an increase of approximately \$882,791 in power purchased, OPEB costs, and repairs and maintenance for the District fleet.

**CASITAS MUNICIPAL WATER DISTRICT  
MANAGEMENT'S DISCUSSION AND ANALYSIS (UNAUDITED)  
YEARS ENDED JUNE 30, 2021 AND 2020**

In fiscal year 2020, operating expenses before depreciation and change in water-in-storage inventory, increased by 26.49% or \$4,936,026 from \$18,632,403 to \$23,568,429, from the prior year, primarily due to an increase in general and administrative expenses of \$2,637,061 and \$1,615,325 in engineering expenses. Of the \$2.6 million approximately \$1.3 million relates to salaries and benefits including OPEB and pension costs, and \$1 million relates to the overhead charged to recreation. Of the \$1.6 million relating to engineering expenses approximately \$1.3 million relates to outside contracts and supplies and materials.

In fiscal year 2019, operating expenses before depreciation and change in water-in-storage inventory, increased by 13.80% or \$2,259,737 from \$16,372,666 to \$18,632,403, from the prior year, primarily due to operational cost in every area other than electrical mechanical.

**Capital Assets**

	Balance <u>June 30, 2021</u>	Balance <u>June 30, 2020</u>	Balance <u>June 30, 2019</u>
<b>Capital assets:</b>			
Non-depreciable assets	\$17,180,822	\$14,128,730	\$10,156,756
Depreciable assets	151,219,140	147,881,023	143,328,644
Accumulated depreciation	<u>(81,410,612)</u>	<u>(76,736,746)</u>	<u>(72,497,333)</u>
<b>Total capital assets, net</b>	<u><u>86,989,350</u></u>	<u><u>85,273,007</u></u>	<u><u>80,988,067</u></u>

At the end of year 2021, 2020 and 2019, the District's investment in capital assets amounted to \$86,989,350, \$85,273,007, and \$80,988,067 (net of accumulated depreciation), respectively. Capital asset additions amounted to \$7,742,932 and \$10,986,658 for various projects primarily related to Ojai water facilities within the Community Facilities District 2013-1 (CFD 2013-1) for the years ended June 30, 2021 and 2020, respectively. See Note 6 for further information.

**Debt Administration**

The long-term debt of the District is summarized below:

	Balance <u>June 30, 2021</u>	Balance <u>June 30, 2020</u>	Balance <u>June 30, 2019</u>
<b>Long-term debt:</b>			
Reimbursement agreement	\$2,394,073	\$2,471,301	\$2,548,529
Assessment bonds payable	-	19,500	38,500
Loans payable	297,863	586,414	865,830
Lease Payable	144,021	-	-
Special tax bonds	<u>56,595,673</u>	<u>57,212,099</u>	<u>43,600,925</u>
<b>Total long-term debt</b>	<u><u>59,431,630</u></u>	<u><u>60,289,314</u></u>	<u><u>47,053,784</u></u>

Long term debt decreased by \$857,684 for the year ended June 30, 2021, due to principal payments along with premium amortization on the long-term debt. In fiscal year 2020, Long-term debt increased by \$13,235,530 due to the District issuing special tax bonds for capital improvements related to Ojai water facilities within CFD 2013-1. See Notes 9 and 10 for further information.



**CASITAS MUNICIPAL WATER DISTRICT  
MANAGEMENT'S DISCUSSION AND ANALYSIS (UNAUDITED)  
YEARS ENDED JUNE 30, 2021 AND 2020**

**NOTES TO THE BASIC FINANCIAL STATEMENTS**

The notes provide additional information that is essential to a full understanding of the data provided in the basic financial statements.

**CONDITIONS AFFECTING CURRENT FINANCIAL POSITION**

On January 30th, 2020, the World Health Organization (WHO) announced a global health emergency because of an outbreak of a new strain of coronavirus (the COVID-19 outbreak). In March 2020, the COVID-19 outbreak was classified as a pandemic. The full impact of the COVID-19 outbreak continues to evolve and it is uncertain as to the full magnitude that the pandemic will have on the Districts financial condition, liquidity, and future operations.

**CONTACTING THE DISTRICT'S FINANCIAL MANAGEMENT**

This financial report is designed to provide the District's funding sources, customers, stakeholders, and other interested parties with an overview of the District's financial operations and financial condition. Should the reader have questions regarding the information included in this report or wish to request additional financial information, please contact the District's Chief Financial Officer at 1055 Ventura Avenue, Oak View, California 93022 or (805) 649-2251 x 103.

**CASITAS MUNICIPAL WATER DISTRICT  
BALANCE SHEETS  
JUNE 30, 2021 AND 2020**

<b>ASSETS AND DEFERRED OUTFLOWS OF RESOURCES</b>	2021	2020
<b>CURRENT ASSETS</b>		
Cash and Cash Equivalents	\$ 6,957,587	\$ 4,997,466
Investments	11,185,313	14,594,051
Accrued Interest Receivable	70,238	84,570
Accounts Receivable, Net	4,859,629	3,393,373
Materials and Supplies Inventory	67,175	120,360
Prepaid Expenses	917,998	778,296
Total Current Assets	24,057,940	23,968,116
<b>NONCURRENT ASSETS</b>		
Restricted - Cash and Cash Equivalents	11,067,448	14,136,135
Restricted - Special Assessments Receivable	700	-
Water-in-Storage Inventory	8,671,703	9,534,473
Capital Assets - Not Being Depreciated	17,180,822	14,128,730
Capital Assets - Being Depreciated, Net	69,808,528	71,144,277
Total Noncurrent Assets	106,729,201	108,943,615
Total Assets	130,787,141	132,911,731
<b>DEFERRED OUTFLOWS OF RESOURCES</b>		
Deferred Loss on CFD 2013-1	3,276,786	3,482,657
OPEB Related Deferred Outflows of Resources	9,101,533	7,845,322
Pension Related Deferred Outflows of Resources	2,015,865	2,046,489
Total Deferred Outflows of Resources	14,394,184	13,374,468
Total Assets and Deferred Outflows of Resources	\$ 145,181,325	\$ 146,286,199

See accompanying Notes to Basic Financial Statements.

**CASITAS MUNICIPAL WATER DISTRICT  
BALANCE SHEETS (CONTINUED)  
JUNE 30, 2021 AND 2020**

<b>LIABILITIES, DEFERRED INFLOWS OF RESOURCES, AND NET POSITION</b>	2021	2020
<b>CURRENT LIABILITIES</b>		
Accounts Payable and Accrued Expenses	\$ 1,591,184	\$ 3,003,316
Deposits and Unearned Revenue	274,960	216,542
Accrued Interest Payable	777,881	782,407
Long-Term Liabilities - Due Within One Year:		
Compensated Absences	415,200	376,249
Reimbursement Agreement	77,228	77,228
Assessment Bonds Payable	-	19,500
Long-Term Debt	739,217	703,553
Total Current Liabilities	3,875,670	5,178,795
<b>NONCURRENT LIABILITIES</b>		
Long-Term Liabilities - Due in More than One Year:		
Compensated Absences	622,800	564,374
Reimbursement Agreement	2,316,845	2,394,073
Long-Term Debt	56,298,340	57,094,960
Net OPEB Liability	20,385,793	19,700,201
Net Pension Liability	9,586,888	8,708,942
Total Noncurrent Liabilities	89,210,666	88,462,550
Total Liabilities	93,086,336	93,641,345
<b>DEFERRED INFLOWS OF RESOURCES</b>		
OPEB Related Deferred Outflows of Resources	2,485,981	203,122
Pension Related Deferred Outflows of Resources	106,011	540,816
Total Deferred Inflows of Resources	2,591,992	743,938
<b>NET POSITION</b>		
Net Investment in Capital Assets	37,569,004	36,991,071
Restricted for Improvement Assessment	700	-
Restricted for Adjudication	290,203	-
Unrestricted	11,643,090	14,909,845
Total Net Position	49,502,997	51,900,916
Total Liabilities, Deferred Inflows of Resources, and Net Position	\$ 145,181,325	\$ 146,286,199

See accompanying Notes to Basic Financial Statements.

**CASITAS MUNICIPAL WATER DISTRICT  
STATEMENTS OF REVENUE, EXPENSES, AND CHANGES IN NET POSITION  
YEARS ENDED JUNE 30, 2021 AND 2020**

	2021	2020
<b>OPERATING REVENUES</b>		
Retail Water Consumption	\$ 7,032,599	\$ 4,950,033
Wholesale Water Sales	2,462,897	1,189,931
Monthly Water Service Charge	5,027,142	4,532,973
Recreation Revenue	3,685,302	2,547,147
Other Water Charges and Services	2,322,334	648,738
Total Operating Revenues	20,530,274	13,868,822
<b>OPERATING EXPENSES</b>		
Fisheries	611,328	643,362
Engineering	1,705,802	3,760,968
Water Treatment	2,055,465	2,159,537
Water Quality	788,802	759,507
Utilities Maintenance	998,651	858,103
Electrical Mechanical	3,119,031	2,579,106
Pipeline	1,923,244	1,776,037
Recreation Expenses	4,680,979	4,875,183
Operations Maintenance	681,238	602,664
General and Administrative	5,638,177	5,553,962
Change in Water-in-Storage Inventory	862,770	139,233
Total Operating Expenses	23,065,487	23,707,662
<b>OPERATING LOSS BEFORE DEPRECIATION</b>	(2,535,213)	(9,838,840)
Depreciation - Water Departments	(4,372,348)	(4,281,871)
Depreciation - Recreation Department	(301,518)	(318,181)
<b>OPERATING LOSS</b>	(7,209,079)	(14,438,892)
<b>NONOPERATING REVENUES (EXPENSES)</b>		
Property Taxes - Ad Valorem	2,661,798	2,496,711
Pass-Through Property Tax Increment	229,483	138,605
Property Tax Assessment for State Water Project	917,616	780,860
State Water Project Water Sales to Other Agencies	771,941	111,449
State Water Project Expense	(759,852)	(629,730)
CFD 2013-1 Assessment	2,810,939	2,703,730
Mira Monte Assessment	19,070	19,149
Tax Collection Expense	(43,386)	(42,176)
Investment Earnings	(20,657)	1,315,926
Interest Expense - Long-Term Debt	(2,348,841)	(2,201,167)
Amortization of Bond Insurance on CFD 2013-1	(22,413)	(18,349)
Costs of Debt Issuance	-	(276,062)
Bond and Administrative Fees	(5,270)	(2,750)
Adjudication charge	584,095	-
Adjudication costs	(293,892)	-
Other, Net	241,447	88,623
Total Nonoperating Revenues (Expenses), Net	4,742,078	4,484,819
<b>NET INCOME (LOSS) BEFORE CAPITAL CONTRIBUTIONS</b>	(2,467,001)	(9,954,073)
<b>CAPITAL CONTRIBUTIONS</b>		
Federal, State, and Local Grants	69,082	211,502
Total Capital Contributions	69,082	211,502
<b>CHANGE IN NET POSITION</b>	(2,397,919)	(9,742,571)
Net Position - Beginning of Year	51,900,916	61,643,487
<b>NET POSITION - END OF YEAR</b>	\$ 49,502,997	\$ 51,900,916

See accompanying Notes to Basic Financial Statements.

**CASITAS MUNICIPAL WATER DISTRICT  
STATEMENTS OF CASH FLOWS  
YEARS ENDED JUNE 30, 2021 AND 2020**

	2021	2020
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Cash Receipts from Customers and Others	\$ 20,663,984	\$ 12,791,250
Cash Paid to Employees for Salaries and Benefits	(12,550,406)	(12,538,689)
Cash Paid to Vendors and Suppliers for Materials and Services	<u>(9,942,206)</u>	<u>(8,384,699)</u>
Net Cash Used by Operating Activities	<u>(1,828,628)</u>	<u>(8,132,138)</u>
<b>CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES</b>		
Proceeds from Property Taxes and Assessments	6,694,141	6,205,801
Tax Collection Expense	<u>(43,386)</u>	<u>(42,176)</u>
Net Cash Provided by Noncapital Financing Activities	<u>6,650,755</u>	<u>6,163,625</u>
<b>CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES</b>		
Acquisition and Construction of Capital Assets	(6,194,755)	(8,884,992)
Proceeds from Capital Grants	69,082	211,502
Principal Paid on Long-Term Debt	(851,711)	(565,644)
Payment of Costs of Issuance	-	(276,062)
Receipt of Bond Proceeds	-	13,976,659
Interest Paid on Long-Term Debt	<u>(2,349,001)</u>	<u>(2,027,516)</u>
Net Cash Provided (Used) by Capital and Related Financing Activities	<u>(9,326,385)</u>	<u>2,433,947</u>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		
Proceeds from the Sale or Maturity of Investments	3,039,604	5,523,434
Investment Earnings	<u>356,088</u>	<u>631,498</u>
Net Cash Provided by Investing Activities	<u>3,395,692</u>	<u>6,154,932</u>
<b>NET INCREASE (DECREASE) IN CASH AND CASH EQUIVALENTS</b>	(1,108,566)	6,620,366
Cash and Cash Equivalents - Beginning of Year	<u>19,133,601</u>	<u>12,513,235</u>
<b>CASH AND CASH EQUIVALENTS - END OF YEAR</b>	<u>\$ 18,025,035</u>	<u>\$ 19,133,601</u>
<b>RECONCILIATION OF CASH AND CASH EQUIVALENTS TO THE BALANCE SHEET</b>		
Cash and Cash Equivalents	\$ 6,957,587	\$ 4,997,466
Restricted Assets - Cash and Cash Equivalents	<u>11,067,448</u>	<u>14,136,135</u>
Total Cash and Cash Equivalents	<u>\$ 18,025,035</u>	<u>\$ 19,133,601</u>

See accompanying Notes to Basic Financial Statements.

**CASITAS MUNICIPAL WATER DISTRICT  
STATEMENTS OF CASH FLOWS (CONTINUED)  
YEARS ENDED JUNE 30, 2021 AND 2020**

	2021	2020
<b>RECONCILIATION OF OPERATING LOSS TO NET CASH USED BY OPERATING ACTIVITIES</b>		
Operating Loss	\$ (7,209,079)	\$ (14,438,892)
Adjustments to Reconcile Operating Loss to Net Cash Used by Operating Activities:		
Depreciation	4,673,866	4,600,052
State Water Project Water Sales to Other Agencies	771,941	111,449
State Water Project Expense	(759,852)	(629,730)
Bond and Administrative Fees	(5,270)	-
Adjudication charges	584,095	-
Adjudication costs	(293,892)	-
Other, Net	241,447	88,623
Change in Assets - (Increase) Decrease:		
Accounts Receivable	(1,522,191)	(1,424,715)
Materials and Supplies Inventory	53,185	(3,026)
Prepaid Expenses	(155,316)	(336,374)
Water-in-Storage Inventory	862,770	139,233
Change in Deferred Outflows of Resources - (Increase) Decrease:		
OPEB Related Deferred Outflows of Resources	(1,256,211)	(2,219,489)
Pension Related Deferred Outflows of Resources	30,624	397,587
Change in Liabilities - Increase (Decrease):		
Accounts Payable and Accrued Expenses	(1,412,132)	1,086,677
Deposits and Unearned Revenue	58,418	147,071
Compensated Absences	97,377	166,356
Net OPEB Liability	685,592	3,812,559
Net Pension Liabilities	877,946	874,242
Change in Deferred Inflows of Resources - Increase (Decrease):		
OPEB Related Deferred Inflows of Resources	2,282,859	(24,492)
Pension Related Deferred Inflows of Resources	(434,805)	(479,269)
Total Adjustments	5,380,451	6,306,754
Net Cash Used by Operating Activities	\$ (1,828,628)	\$ (8,132,138)
<b>NONCASH INVESTING, CAPITAL, AND FINANCING TRANSACTIONS</b>		
Change in Fair-Value of Investments	\$ (362,413)	\$ 731,167
Issuance of Capital Leases	\$ 195,454	\$ -

See accompanying Notes to Basic Financial Statements.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 1 DESCRIPTION OF ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

**A. Description of the Organization**

Established in 1952, the Casitas Municipal Water District (District) provides domestic and agricultural water to the western portion of Ventura County. The District is governed by a five-member Board of Directors who serves overlapping four-year terms.

The District is the primary governmental unit based on the foundation of a separately elected governing board that is elected by the citizens in a general popular election. Component units are legally separate organizations for which the elected officials of the primary government are financially accountable. The District is financially accountable if it appoints a voting majority of the organization's governing body and: 1) it is able to impose its will on that organization, or 2) there is a potential for the organization to provide specific financial benefits to, or impose specific financial burdens on, the primary government, or 3) the primary government holds a majority equity interest of an organization. The District has no component units.

**B. Basis of Presentation, Measurement Focus, and Basis of Accounting**

The District reports its activities as an enterprise fund, which is used to account for operations that are financed and operated in a manner similar to a private business enterprise, where the intent of the District is that the costs (including depreciation) of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges.

Measurement focus is a term used to describe which transactions are recorded within the various financial statements. Basis of accounting refers to when transactions are recorded regardless of the measurement focus applied. The accompanying financial statements are reported using the economic resources measurement focus and the accrual basis of accounting. Under the economic measurement focus all assets, deferred outflows of resources, liabilities and deferred inflows of resources (whether current or noncurrent) associated with these activities are included in the statement of net position. The statement of revenues, expenses, and changes in net position present increases (revenues) and decreases (expenses) in total net position. Under the accrual basis of accounting, revenues are recorded when earned and expenses are recorded at the time liabilities are incurred, regardless of when the related cash flows take place. Nonexchange transactions, in which the District gives (or receives) value without directly receiving (or giving) equal value in exchange, include property taxes, grants, entitlements, and donations. Revenue from grants, entitlements, and donations is recognized in the year in which all eligibility requirements have been satisfied.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 1 DESCRIPTION OF ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**B. Basis of Presentation, Measurement Focus, and Basis of Accounting (Continued)**

Operating revenues are those revenues that are generated from the primary operations of the District. The District reports a measure of operations by presenting the change in net position from operations as operating income in the statement of revenues, expenses, and changes in net position. Operating activities are defined by the District as all activities other than property taxes, financing, and investing activities (interest expense and investment income), grants and subsidies, and other infrequently occurring transactions of a nonoperating nature. Operating expenses are those expenses that are essential to the primary operations of the District. All other expenses are reported as nonoperating expenses.

**C. Assets, Deferred Outflows of Resources, Liabilities, Deferred Inflows of Resources, and Net Position**

**1. Cash and Cash Equivalents**

For purposes of the statement of cash flows, the District considers all highly liquid investments with a maturity of 90 days or less, when purchased, to be cash equivalents.

**2. Investments**

Investments are reported at fair value, which is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Investments in governmental investment pools are reported at fair value based on the fair value per share of the pool's underlying portfolio (in relation to the amortized cost of that portfolio). Changes in fair value that occur during a fiscal year are recognized as investment earnings reported for that fiscal year. Investment earnings includes interest earnings, changes in fair value, and any gains or losses realized upon the liquidation or sale of investments.

In accordance with fair value measurements, the District categorizes its assets and liabilities measured at fair value into a three-level hierarchy based on the priority of the inputs to the valuation technique used to determine fair value. The fair value hierarchy gives the highest priority to quoted prices in active markets for identical assets or liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3). If the inputs used in the determination of the fair value measurement fall within different levels of the hierarchy, the categorization is based on the lowest level input that is significant to the fair value measurement.



**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 1 DESCRIPTION OF ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**C. Assets, Deferred Outflows of Resources, Liabilities, Deferred Inflows of Resources, and Net Position (Continued)**

**2. Investments (Continued)**

Financial assets and liabilities recorded on the balance sheet are categorized based on the inputs to the valuation techniques as follows:

*Level 1* – Inputs that reflect unadjusted quoted prices in active markets for identical investments, such as stocks, corporate and government bonds. The District has the ability to access the holding and quoted prices as of the measurement date.

*Level 2* – Inputs, other than quoted prices, that are observable for the asset or liability either directly or indirectly, including inputs from markets that are not considered to be active.

*Level 3* – Inputs that are unobservable. Unobservable inputs reflect the District's own assumptions about the factors market participants would use in pricing an investment and is based on the best information available in the circumstances.

**3. Receivables and Allowance for Doubtful Accounts**

Customer accounts receivable consist of amounts owed by private individuals and organizations for services rendered in the regular course of business operations. Receivables are shown net of allowances for doubtful accounts. Uncollectable accounts are based on prior experience and management's assessment of the collectability of existing accounts. If balances are determined to be uncollectible, they are written off as bad debt expense. Management has evaluated the accounts and has established an allowance in the amounts of \$107,340 and \$82,144 as of June 30, 2021 and June 30, 2020, respectively, due to uncertainties regarding COVID-19.

**4. Prepaids**

Certain payments of vendors reflect costs applicable to future accounting periods and are recorded as prepaid items.

**5. Customer Deposits**

Based on a customer's credit-worthiness, the District may require a deposit deemed reasonable by the District. These deposits are held to pay-off close out bills or to cover delinquent payments.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 1 DESCRIPTION OF ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**C. Assets, Deferred Outflows of Resources, Liabilities, Deferred Inflows of Resources, and Net Position (Continued)**

**6. Materials and Supplies Inventory**

Inventory consists primarily of materials and supplies used in the construction and maintenance of the water system and is stated at cost on a first-in, first-out basis.

**7. Water-in-Storage Inventory**

Water-in-storage inventory consists of the water in Lake Casitas that flows from streams, rainfall, and diverted water. The value of water inventory is determined based upon the quantity of water in storage in Lake Casitas and the costs to divert the water into the lake on a first-in, first-out basis using the consumption method. A base year of June 30, 2011 was determined to have lake levels that equaled full capacity. In years when the lake level decreases, a reduction is made to inventory equal to the acre-foot reduction as a pro-rata portion of the base year inventory balance. In years when the lake level increases, the diversion costs are capitalized into inventory and tracked as additional values that can be used to relieve inventory once the base year costs have been exhausted

**8. Capital Assets**

Capital assets acquired and/or constructed are capitalized at historical cost. Contributed assets are recorded at acquisition value at date of donation. It is the District's policy to capitalize assets costing over \$5,000 and a useful life of more than one year. The provision for depreciation is computed using the straight-line method over the estimated service lives of the capital assets. Estimated service lives for the District's classes of assets are as follows:

<u>Description</u>	<u>Estimated Lives</u>
State Water Project Entitlement	72 Years
Transmission and Distribution System	50 to 100 Years
Pumping Plant	10 to 30 Years
Water Treatment Plant	10 to 30 Years
Buildings and Structures	10 to 30 Years
Equipment	5 to 20 Years
Fish Ladder	25 to 50 Years
Recreation Assets	25 to 50 Years
Alternate Swimming Facility	25 Years

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 1 DESCRIPTION OF ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**C. Assets, Deferred Outflows of Resources, Liabilities, Deferred Inflows of Resources, and Net Position (Continued)**

**9. Deferred Outflows/Inflows of Resources**

In addition to assets, the statement of net position reports a separate section for deferred outflows of resources. This separate financial statement element, deferred outflows of resources, represents a consumption of net position that applies to a future period and so will not be recognized as an outflow of resources (expense) until that time. The District has the following items that qualify for reporting in this category:

- Deferred outflow related to a loss on refunding. A deferred loss on refunding results from the difference in the carrying value of the refunded debt and its reacquisition price. This amount is deferred and amortized over the shorter of the life of the refunded or refunding debt.
- Deferred outflows related to pension and OPEB for employer contributions made after the measurement date of the net pension liability and the net OPEB liability.
- Deferred outflows related to pension and OPEB for changes in assumptions. These amounts are amortized over a closed period equal to the average of the expected remaining services lives of all employees that are provided with pensions or retiree health benefits through the plans.
- Deferred outflows related to pension resulting from the net difference in projected and actual earnings on investments of the pension. These amounts are amortized over five years.
- Deferred outflows related to pension for differences between expected and actual experience and changes in proportion and differences between employer contributions and the proportionate share of contributions. These amounts are amortized over a closed period equal to the average of the expected remaining services lives of all employees that are provided with pensions through the plan.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 1 DESCRIPTION OF ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**C. Assets, Deferred Outflows of Resources, Liabilities, Deferred Inflows of Resources, and Net Position (Continued)**

**9. Deferred Outflows/Inflows of Resources (Continued)**

In addition to liabilities, the statement of net position reports a separate section for deferred inflows of resources. This separate financial statement element, deferred inflows of resources, represents an acquisition of net position that applies to a future period and will not be recognized as an inflow of resources (revenue) until that time. The District has the following items that qualify for reporting in this category:

- Deferred inflows related to pension and OPEB for differences between expected and actual experience. These amounts are amortized over a closed period equal to the average of the expected remaining services lives of all employees that are provided with pensions or retiree health benefits through the plan.
- Deferred inflows related to pension and OPEB resulting from the net difference in projected and actual earnings on investments of the pension and OPEB plans' fiduciary net position. These amounts are amortized over five years.
- Deferred inflows from pensions resulting from changes in assumptions and changes in proportion and differences between employer contributions and the proportionate share of contributions. These amounts are amortized over a closed period equal to the average of the expected remaining service lives of all employees that are provided with pensions through the plans.

**10. Compensated Absences**

The District's personnel policies provide for accumulation of vacation and sick leave (employee benefits). Liabilities for vacation leave are recorded when benefits are earned. Full cash payment for all unused vacation leave is available to employees upon retirement or termination. Partial cash payment for accrued sick leave is available upon retirement or termination if certain criteria are met (8-years of employment and upon retirement or termination will receive 50% of accrued benefits).

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 1 DESCRIPTION OF ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**C. Assets, Deferred Outflows of Resources, Liabilities, Deferred Inflows of Resources, and Net Position (Continued)**

**11. Pensions**

For purposes of measuring the net pension liability and deferred outflows/inflows of resources related to pensions, and pension expense, information about the fiduciary net position of the District's California Public Employees' Retirement System (CalPERS) plans and addition to/deductions from the Plans' fiduciary net position have been determined on the same basis as they are reported by CalPERS. For this purpose, benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value.

**12. Postemployment Benefits Other Than Pensions (OPEB)**

For purposes of measuring the net OPEB liability, deferred outflows/inflows of resources related to OPEB, and OPEB expense, information about the fiduciary net position of the District's OPEB plan and additions to/deductions from the plan's fiduciary net position have been determined on the same basis as they are reported by the plan. For this purpose, the plan recognizes benefit payments when due and payable in accordance with the benefit terms. Investments are reported at fair value, except for money market investments and participating interest-earning investment contracts that have a maturity at the time of purchase of one year or less, which are reported at cost.

**13. Net Position**

Net position is classified into three components: net investment in capital assets; restricted; and unrestricted. These classifications are defined as follows:

- **Net Investment in Capital Assets** – This component of net position consists of capital assets, including restricted capital assets, net of accumulated depreciation and reduced by the outstanding balances of any bonds, mortgages, notes, or other borrowings or payables that are attributable to the acquisition, construction, or improvement of those assets. If there are significant unspent related debt proceeds at year-end, the portion of the debt attributable to the unspent proceeds are not included in the calculation of net investment in capital assets. Rather, that portion of the debt is included in the same net position component as the unspent proceeds.
- **Restricted** – This component of net position consists of constraints placed on net position use through external constraints imposed by creditors (such as through debt covenants), grantors, contributors, or laws or regulations of other governments or constraints imposed by law through constitutional provisions or enabling legislation.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 1 DESCRIPTION OF ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**C. Assets, Deferred Outflows of Resources, Liabilities, Deferred Inflows of Resources, and Net Position (Continued)**

**13. Net Position (Continued)**

- **Unrestricted Net Position** – This component of net position consists of net position that does not meet the definition of "net investment in capital assets" or "restricted".

When both restricted and unrestricted resources are available for use, it is the District's policy to use restricted resources first, then unrestricted resources as they are needed.

**D. Operating Revenues and Expenses**

Operating revenues, such as charges for services (retail water sales, wholesale water sales, monthly water charge, recreation revenue, and other water charges and services), result from exchange transactions associated with the principal activity of the District. Nonoperating revenues, such as property taxes, assessments, investment earnings, adjudication charges, and other such items, result from nonexchange activities in which the District receives value without directly giving equal value in exchange.

Operating expenses include the costs of providing water and related services (fisheries, engineering, water treatment, water quality, utilities maintenance, electrical mechanical, pipeline, operations maintenance, and change in water-in-storage inventory), general and administrative expenses, recreation expenses, and depreciation on capital assets. All expenses not meeting this definition are reported as nonoperating expenses.

**E. Property Taxes and Assessments**

Property taxes are levied based on a fiscal year (July 1 - June 30) each year. The property tax assessments are formally due on November 1 and February 1, and become delinquent after December 10 and April 10, respectively. Taxes become a lien on the property effective January 1 of the preceding year.

**F. Capital Contributions**

Capital contributions represent federal, state, and local grants received for the construction of capital projects.

**G. Reclassifications**

Certain amounts in the June 30, 2020 financial statements have been reclassified for comparative purposes to conform to the presentation in the June 30, 2021 financial statements. There was no change in reported net income or net position related to these reclassifications.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 1 DESCRIPTION OF ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**H. Use of Estimates**

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets, deferred outflows of resources, liabilities, and deferred inflows of resources and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenditures during the reported period. Actual results could differ from those estimates.

**I. State Water Project Participation Rights**

The District participates in the State Water Project (Project) entitling it to certain water rights. The District's participation in the Project is through cash payments. Monies used for the construction of capital assets, such as pipelines, pumping facilities, storage facilities, etc., are recorded as State Water Project entitlement rights and amortized over the life of the agreements within capital assets. Certain projects also require payments for on-going maintenance; those payments are charged to expenses as incurred.

**NOTE 2 CASH AND INVESTMENTS**

Cash and investments were classified in the accompanying financial statements as follows:

Description	June 30,	
	2021	2020
Cash and Cash Equivalents	\$ 6,957,587	\$ 4,997,466
Investments	11,185,313	14,594,051
Restricted - Cash and Cash Equivalents	11,067,448	14,136,135
Total	<u>\$ 29,210,348</u>	<u>\$ 33,727,652</u>

Cash and investments consisted of the following:

Description	June 30,	
	2021	2020
Cash on Hand	\$ 6,800	\$ 4,800
Demand Deposits Held in Financial Institutions	6,352,160	4,943,815
Other Cash and Cash Equivalents:		
Deposits in Money-Market Funds	595,084	45,370
Deposits in the Local Agency Investment Fund (LAIF)	482	478
Deposits in the Ventura County Pooled Investment Fund	3,061	3,003
Subtotal: Cash and Cash Equivalents	<u>6,957,587</u>	<u>4,997,466</u>
Investments	11,185,313	14,594,051
Restricted - Investments with Fiscal Agent	11,067,448	14,136,135
Total	<u>\$ 29,210,348</u>	<u>\$ 33,727,652</u>

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 2 CASH AND INVESTMENTS (CONTINUED)**

**Custodial Credit Risk – Deposits**

Custodial credit risk is the risk that in the event of a bank failure, the Authority’s deposits may not be returned to it. The District does not have a policy for custodial credit risk for deposits. Cash balances held in banks are insured up to \$250,000 by the Federal Depository Insurance Corporation (FDIC) and are collateralized by the respective financial institutions. In addition, the California Government Code requires that a financial institution secure deposits made by State or local governmental units by pledging securities in an undivided collateral pool held by a depository regulated under State law (unless so waived by the governmental unit). The market value of the pledged securities in the collateral pool must equal at least 110% of the total amount deposited by the public agencies. California law also allows financial institutions to secure public deposits by pledging first trust deed mortgage notes having a value of 150% of the secured public deposits. At June 30, 2021 and 2020, all of the District’s deposits with financial institutions were covered by federal depository insurance limits or were held in collateralized accounts.

**Authorized Investments and Investment Policy**

The table below identifies the investment types that are authorized for the District by the California Government Code (or District’s investment policy, where more restrictive). The table also identifies certain provisions of the California Government Code (or the District’s investment policy, where more restrictive) that address interest rate risk, credit risk, and concentration of credit risk.

This table does not address the investments of debt proceeds held by bond trustees that are governed by the provisions of debt agreements of the District, rather than the general provisions of the California Government Code or the District’s investment policy. This table also does not address investments of the employer contributions to the OPEB trusts that are governed by the agreement between the District and the trustees, rather than the general provisions of the California Government Code or the District’s investment policy.

Authorized Investment Type	Maximum Maturity	Maximum Percentage of Portfolio	Maximum Investment in One Issuer
U.S. Treasury Obligations	5-Years*	None	None
Government Sponsored Entities Securities	5-Years*	None	None
Non-negotiable Certificates of Deposit	5-Years*	None	25%
Money Market Mutual Funds	5-Years	20%	25%
Collateralized Bank Deposits	None	None	None
County Pooled Investment Funds	None	None	None
California Local Agency Investment Fund (LAIF)	None	95%	None

\* The District’s investment policy allows for a maximum maturity of ten years. However, the California Government Code limit’s the maturity to five years but allows the Board express authority to make investments either specifically or as a part of an investment program approved by the Board that exceeds this five-year maturity limit. Such approval must be issued no less than three months prior to the purchase of any security exceeding the five-year maturity limit.



**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 2 CASH AND INVESTMENTS (CONTINUED)**

**Money-Market Mutual Funds**

Money-market mutual funds are an investment whose objective is to earn modest investment earnings while maintaining a net asset value (NAV) of \$1 per share (which is the funds main goal – preservation of principal). A money-market mutual fund's portfolio is typically comprised of short-term, or less than one year, securities representing high-quality, liquid debt and monetary instruments with minimal credit risk. Money-market mutual funds are not subject to the fair value hierarchy. For financial reporting purposes, the District considers money market funds a cash equivalent due to their highly liquid nature and NAV of \$1 per share.

**Ventura County Pooled Investment Fund (VCPIF)**

The District is a voluntary participant in the Ventura County Pooled Investment Fund (VCPIF) pursuant to Government Code Section 53694. The cash flow needs of participants are monitored daily to ensure that sufficient liquidity is maintained to meet the needs of those participants. At the time deposits are made, the Ventura County Treasurer may require the depositing entity to provide annual cash flow projections or an anticipated withdrawal schedule for deposits in excess of \$1 million. Projections are performed no less than semi-annually. In accordance with Government Code Section 27136, all request for withdrawal of funds for the purpose of investing or deposits the funds elsewhere shall be evaluated to ensure the proposed withdrawal will not adversely affect the principal deposits of the other participants. Pool detail may be obtained from the County of Ventura Treasurer's Office – 800 S. Victoria Ave., Ventura, California 93009 or the Treasurer and Tax Collector's office website at [www.ventura.org/ttc](http://www.ventura.org/ttc).

VCPIF is not subject to the fair value hierarchy established by accounting principles generally accepted in the United States of America as it is held at an amortized cost basis and it is not rated under the current credit risk ratings format. For financial reporting purposes, the District considers the VCPIF a cash equivalent due to its highly liquid nature and dollar-in dollar-out amortized cost methodology.

**Local Agency Investment Fund (LAIF)**

The California State Treasurer, through the Pooled Money Investment Account (PMIA), invests taxpayers' money to manage the State's cash flow and strengthen the financial security of local governmental entities. PMIA policy sets as primary investment objectives safety, liquidity and yield. Through the PMIA, the Investment Division manages the Local Agency Investment Fund (LAIF). The LAIF allows cities, counties and special districts to place money in a major portfolio and, at no additional costs to taxpayers, use the expertise of Investment Division staff. Participating agencies can withdraw their funds from the LAIF at any time as LAIF is highly liquid and carries a dollar-in dollar-out amortized cost methodology.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 2 CASH AND INVESTMENTS (CONTINUED)**

**Local Agency Investment Fund (LAIF) (Continued)**

The District is a voluntary participant in LAIF. The fair value of the District's investment in this pool is reported at an amount based upon the District's pro-rata share of the fair value provided by LAIF for the entire LAIF portfolio (in relation to the amortized cost of the of that portfolio). The balance available for withdrawal is based on the accounting records maintained by LAIF. LAIF is not subject to the fair value hierarchy established by accounting principles generally accepted in the United States of America as it is held at an amortized cost basis and it is Not Rated under the current credit risk ratings format. For financial reporting purposes, the District considers LAIF a cash equivalent due to its highly liquid nature and dollar-in dollar-out amortized cost methodology.

**Interest Rate Risk**

Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the fair values of investments with longer maturities have greater sensitivity to changes in market interest rates. One of the ways the District manages its exposure to interest rate risk is by purchasing a combination of shorter term and longer term investments and by timing cash flows from maturities to that a portion of the portfolio is maturing or coming close to maturity as necessary to provide the cash flow and liquidity needed for operations.

The District has elected to use the segmented time distribution method of disclosure for the maturities of its investments as related to interest rate risk. Information about the sensitivity of the fair values of the District's investments (including investments held by bond trustee) to market interest rate fluctuations is provided by the following tables that show the distribution of the District's investments by maturity.

The District's investments as of June 30, 2021 were as follows:

Type of Investments	Measurement Input	Credit Rating	Fair Value	12 Months or Less	13 to 24 Months	25 to 120 Months
U.S. Treasury Obligations	Level 2	AA	\$ 703,158	\$ -	\$ -	\$ 703,158
Government Sponsored						
Agency Securities	Level 2	AA	10,482,155	1,178,347	-	9,303,808
Local Agency Investment Fund (LAIF)	N/A	N/A	482	482	-	-
Ventura County Pooled						
Investment Fund (VCPIF)	N/A	N/A	3,061	3,061	-	-
Money Market Mutual Funds	N/A	Not Rated	595,084	595,084	-	-
Restricted - Investments with Fiscal Agent:						
Money Market Mutual Funds	N/A	AAA	11,067,448	11,067,448	-	-
			<u>\$ 22,851,388</u>	<u>\$ 12,844,422</u>	<u>\$ -</u>	<u>\$ 10,006,966</u>

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 2 CASH AND INVESTMENTS (CONTINUED)**

**Interest Rate Risk (Continued)**

The District's investments as of June 30, 2020 were as follows:

Type of Investments	Measurement Input	Credit Rating	Fair Value	12 Months or Less	13 to 24 Months	25 to 120 Months
U.S. Treasury Obligations	Level 2	AA	\$ 830,560	\$ -	\$ -	\$ 830,560
Government Sponsored						
Agency Securities	Level 2	AA	13,763,491	588,414	1,205,018	11,970,059
Local Agency Investment Fund (LAIF)	N/A	N/A	478	478	-	-
Ventura County Pooled						
Investment Fund (VCPIF)	N/A	N/A	3,003	3,003	-	-
Money Market Mutual Funds	N/A	Not Rated	45,370	45,370	-	-
Restricted - Investments with Fiscal Agent:						
Money Market Mutual Funds	N/A	AAA	14,136,135	14,136,135	-	-
			<u>\$ 28,779,037</u>	<u>\$ 14,773,400</u>	<u>\$ 1,205,018</u>	<u>\$ 12,800,619</u>

**Fair Value Measurement Input**

The District categorizes its fair value measurement inputs within the fair value hierarchy established by accounting principles generally accepted in the United States of America. The District has presented its measurement inputs as noted in the previous table. U.S. treasury obligations and government sponsored agency securities are classified in level 2 of the fair value hierarchy and are valued using a matrix pricing technique. Matrix pricing is used to value securities based on the securities' relationship to benchmark quoted prices.

**Custodial Credit Risk – Investments**

The custodial credit risk for investments is the risk that, in the event of the failure of the counterparty (e.g., broker-dealer) to a transaction, a government will not be able to recover the value of its investment or collateral securities that are in the possession of another party. The Code and the District's investment policy contain legal and policy requirements that would limit the exposure to custodial credit risk for investments. With respect to investments, custodial credit risk generally applies only to direct investments in marketable securities. Custodial credit risk does not apply to a local government's indirect investment in securities through the use of mutual funds or government investment pools (such as LAIF and VCPIF).

**Credit Risk - Investments**

Credit risk is the risk that an issuer of an investment will not fulfill its obligation to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. The District's investments in U.S. Treasury obligations and government sponsored agency securities are rated AA by *Standard & Poor's* as of June 30, 2021 and 2020.

**Concentration of Credit Risk**

The District's investment policy contains no limitations on the amount that can be invested in any one governmental agency or nongovernmental issuer beyond that stipulated by the California Government Code. The following investments in any one governmental or nongovernmental issuer represented 5% or more of the District's total investments:

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 2 CASH AND INVESTMENTS (CONTINUED)**

**Concentration of Credit Risk (Continued)**

Description	June 30, 2021	
	Percentage	Balance
U.S. Treasury Obligations	6%	\$ 703,158
Government Sponsored Agency Securities:		
Federal Agricultural Mortgage Corporation (FAMC)	8%	1,872,933
Federal Home Loan Banks (FHLB)	13%	2,931,074
Federal National Mortgage Association (FNMA)	18%	4,138,933
Description	June 30, 2020	
	Percentage	Balance
U.S. Treasury Obligations	6%	\$ 830,560
Government Sponsored Agency Securities:		
Federal Agricultural Mortgage Corporation (FAMC)	7%	1,930,083
Federal Home Loan Banks (FHLB)	21%	5,982,442
Federal National Mortgage Association (FNMA)	15%	4,251,780

**NOTE 3 RESTRICTED ASSETS**

Restricted assets as of June 30 were classified on the balance sheet as follows:

Description	2021	2020
Restricted - Cash and Cash Equivalents	\$ 11,067,448	\$ 14,136,135
Restricted - Special Assessments Receivable	700	-
Total	<u>\$ 11,068,148</u>	<u>\$ 14,136,135</u>

Restricted assets as of June 30 consist of the following:

Description	2021	2020
Proceeds from Debt Issuance - Capital Project Funds	\$ 11,067,442	\$ 14,134,939
Proceeds from Debt Issuance - Debt Reserve Funds	6	1,196
Special Assessments Receivable for Debt Service	700	-
Total	<u>\$ 11,068,148</u>	<u>\$ 14,136,135</u>

**NOTE 4 ACCOUNTS RECEIVABLE**

The balance at June 30, consists of the following:

Description	2021	2020
Accounts Receivable - Customers	\$ 3,926,971	\$ 2,343,747
Allowance for Doubtful Accounts	(107,340)	(82,144)
Accounts Receivable - Others	848,956	988,248
Accounts Receivable - Property Taxes	87,587	143,522
Accounts Receivable - CFD 2013-1 Assessment	103,455	-
Total	<u>\$ 4,859,629</u>	<u>\$ 3,393,373</u>

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
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**NOTE 5 WATER-IN-STORAGE INVENTORY**

The following schedule notes the change in the cost of the water held-in storage in Casitas Lake. The increase or decrease in the water storage valuation balance denotes a way of accounting for water diversion expenses as explained in Note 1 in future years when the water in the lake is transmitted to the District's customers.

Changes in water-in-storage inventory for the years ended June 30 were as follows:

Description	2021	2020
Beginning Balance - Water-in-Storage	\$ 9,534,473	\$ 9,673,706
Current Year Change in Water-in-Storage	(862,770)	(139,233)
Ending Balance - Water-in-Storage	<u>\$ 8,671,703</u>	<u>\$ 9,534,473</u>

**NOTE 6 CAPITAL ASSETS AND DEPRECIATION**

Changes in capital assets for the fiscal year ended June 30, 2021, were as follows:

Description	Balance July 1, 2020	Additions	Deletions/ Transfers	Balance June 30, 2021
<b>Nondepreciable Assets:</b>				
Land	\$ 7,797,935	\$ -	\$ -	\$ 7,797,935
Easements	393,408	-	-	393,408
Construction-in-Process	5,937,387	4,404,815	(1,352,723)	8,989,479
Total Nondepreciable Assets	<u>14,128,730</u>	<u>4,404,815</u>	<u>(1,352,723)</u>	<u>17,180,822</u>
<b>Depreciable Assets:</b>				
State Water Project Entitlement	3,324,875	78,746	-	3,403,621
Transmission and Distribution System	60,932,526	1,665,214	-	62,597,740
Pumping Plant	22,226,612	56,579	-	22,283,191
Water Treatment Plant	30,074,438	-	-	30,074,438
Buildings and Structures	4,935,078	11,865	-	4,946,943
Equipment	6,004,381	1,331,944	-	7,336,325
Fish Ladder	9,124,041	193,769	-	9,317,810
Recreation Assets	9,303,071	-	-	9,303,071
Alternate Swimming Facility	1,956,001	-	-	1,956,001
Total Depreciable Assets	<u>147,881,023</u>	<u>3,338,117</u>	<u>-</u>	<u>151,219,140</u>
<b>Accumulated Depreciation:</b>				
State Water Project Entitlement	(2,247,074)	(80,092)	-	(2,327,166)
Transmission and Distribution System	(21,883,153)	(762,216)	-	(22,645,369)
Pumping Plant	(9,546,206)	(785,981)	-	(10,332,187)
Water Treatment Plant	(21,634,338)	(889,088)	-	(22,523,426)
Buildings and Structures	(1,864,797)	(123,948)	-	(1,988,745)
Equipment	(5,579,254)	(801,808)	-	(6,381,062)
Fish Ladder	(6,031,150)	(929,215)	-	(6,960,365)
Recreation Assets	(6,498,495)	(204,374)	-	(6,702,869)
Alternate Swimming Facility	(1,452,279)	(97,144)	-	(1,549,423)
Total Accumulated Depreciation	<u>(76,736,746)</u>	<u>(4,673,866)</u>	<u>-</u>	<u>(81,410,612)</u>
Total Depreciable Assets, Net	<u>71,144,277</u>	<u>(1,335,749)</u>	<u>-</u>	<u>69,808,528</u>
Total Capital Assets, Net	<u>\$ 85,273,007</u>	<u>\$ 3,069,066</u>	<u>\$ (1,352,723)</u>	<u>\$ 86,989,350</u>

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 6 CAPITAL ASSETS AND DEPRECIATION (CONTINUED)**

Changes in capital assets for the fiscal year ended June 30, 2020, were as follows:

	Balance July 1, 2019	Additions	Deletions/ Transfers	Balance June 30, 2020
<b>Nondepreciable Assets:</b>				
Land	\$ 7,797,935	\$ -	\$ -	\$ 7,797,935
Easements	393,408	-	-	393,408
Construction-in-Process	1,965,413	6,073,640	(2,101,666)	5,937,387
Total Nondepreciable Assets	<u>10,156,756</u>	<u>6,073,640</u>	<u>(2,101,666)</u>	<u>14,128,730</u>
<b>Depreciable Assets:</b>				
State Water Project Entitlement	3,220,488	104,387	-	3,324,875
Transmission and Distribution System	58,484,559	2,447,967	-	60,932,526
Pumping Plant	21,524,549	702,063	-	22,226,612
Water Treatment Plant	30,038,736	35,702	-	30,074,438
Buildings and Structures	4,478,779	456,299	-	4,935,078
Equipment	5,716,584	287,797	-	6,004,381
Fish Ladder	8,354,076	769,965	-	9,124,041
Recreation Assets	9,214,329	88,742	-	9,303,071
Alternate Swimming Facility	1,935,905	20,096	-	1,956,001
Total Depreciable Assets	<u>142,968,005</u>	<u>4,913,018</u>	<u>-</u>	<u>147,881,023</u>
<b>Accumulated Depreciation:</b>				
State Water Project Entitlement	(2,171,603)	(75,471)	-	(2,247,074)
Transmission and Distribution System	(21,138,645)	(744,508)	-	(21,883,153)
Pumping Plant	(8,754,804)	(791,402)	-	(9,546,206)
Water Treatment Plant	(20,545,865)	(1,088,473)	-	(21,634,338)
Buildings and Structures	(1,741,653)	(123,144)	-	(1,864,797)
Equipment	(4,855,827)	(723,427)	-	(5,579,254)
Fish Ladder	(5,295,704)	(735,446)	-	(6,031,150)
Recreation Assets	(6,277,458)	(221,037)	-	(6,498,495)
Alternate Swimming Facility	(1,355,135)	(97,144)	-	(1,452,279)
Total Accumulated Depreciation	<u>(72,136,694)</u>	<u>(4,600,052)</u>	<u>-</u>	<u>(76,736,746)</u>
Total Depreciable Assets, Net	<u>70,831,311</u>	<u>312,966</u>	<u>-</u>	<u>71,144,277</u>
Total Capital Assets, Net	<u>\$ 80,988,067</u>	<u>\$ 6,386,606</u>	<u>\$ (2,101,666)</u>	<u>\$ 85,273,007</u>

**State Water Project Entitlement**

In 1963, the Ventura County Flood Control District contracted with the state of California (State) for 20,000 acre-feet per year of water from the State Water Project (SWP). The SWP conveys water from Northern California to Southern California through a system of reservoirs, canals, pump stations, and power generation facilities. In 1971, the administration of the State Water Contract with the State was assigned to the District. Of the 20,000 acre-feet per year contracted, the District is assigned 5,000 acre-feet per year. United Water Conservation District is assigned 5,000 acre-feet per year, and the City of Ventura is assigned 10,000 acre-feet per year. Currently, only United Water Conservation District is receiving water from the SWP.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 6 CAPITAL ASSETS AND DEPRECIATION (CONTINUED)**

**State Water Project Entitlement (Continued)**

The District is one of many participants contracting with the State of California for a system to provide water throughout California. Under the terms of the State Water Contract, as amended, the District is obliged to pay allocable portions of the cost of construction of the system and ongoing operations and maintenance costs through at least the year 2035, regardless of the quantities of water available from the project. The District and the other contractors may also be responsible to the State for certain obligations by any contractor who defaults on its payments to the State.

Management's present intention is to exercise the District's option to extend the contractual period to at least 2085, under substantially comparable terms. This corresponds to an estimated 80-year service life for the original facilities. The State is obligated to provide specific quantities of water throughout the life of the contract, subject to certain conditions.

In addition to system on-aqueduct power facilities, the State has, either on its own or through joint venture, financed certain off-aqueduct power facilities (OAPF). The power generated is utilized by the system for water transportation purposes. Power generated in excess of system needs is marketed to various utilities and California's power market. The District is entitled to a proportionate share of the revenues resulting from sales of excess power. The District and the other water contractors are responsible for repaying the capital and operating costs of the OAPF regardless of the amount of power generated.

The District capitalized its share of system construction costs as participation rights in state water facilities when such costs are billed by the State. Unamortized participation rights essentially represent a prepayment for future water deliveries through the State system. The District's share of system operations and maintenance costs is charged to expense.

The District amortizes a portion of capitalized participation rights each year using a formula that considers the total estimated cost of the project, estimated useful life and estimated production capacity of the assets based upon information provided by the State of California.

**NOTE 7 COMPENSATED ABSENCES**

Summary changes to compensated absences balances for the year ended June 30, 2021, were as follows:

Balance July 1, 2020	Additions	Deletions	Balance June 30, 2021	Due Within One Year	Due in More Than One Year
\$ 940,623	\$ 434,427	\$ (337,050)	\$ 1,038,000	\$ 415,200	\$ 622,800

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 7 COMPENSATED ABSENCES (CONTINUED)**

Summary changes to compensated absences balances for the year ended June 30, 2020, were as follows:

Balance July 1, 2019	Additions	Deletions	Balance June 30, 2020	Due Within One Year	Due in More Than One Year
\$ 774,267	\$ 410,295	\$ (243,939)	\$ 940,623	\$ 376,249	\$ 564,374

**NOTE 8 REIMBURSEMENT AGREEMENT**

**Casitas Dam Project-Seismic Safety of Casitas Dam**

The United States Bureau of Reclamation (USBR) has undertaken and completed a project to strengthen Casitas Dam to better withstand seismic activity. Under federal law, the District is required to pay 15% of those costs. The District and the USBR have completed negotiations on the District's share of the cost of the project which is \$3,011,898. The District is to reimburse the USBR \$77,228 each February 1 until February 1, 2052 as follows:

<u>Fiscal Year Ending June 30,</u>	<u>Amount</u>
2022	\$ 77,228
2023	77,228
2024	77,228
2025	77,228
2026	77,228
2027-2031	386,140
2032-2036	386,140
2037-2041	386,140
2042-2046	386,140
2047-2051	386,140
2052	77,233
Total	2,394,073
Less: Current Portion	(77,228)
Total Noncurrent	\$ 2,316,845

**NOTE 9 ASSESSMENT BONDS PAYABLE**

Changes in assessment bonds payable amounts for the year ended June 30, 2021 were as follows:

Long-Term Debt	Balance July 1, 2020	Additions	Deletions	Balance June 30, 2021	Due Within One Year	Due in More Than One Year
Assessment Bonds Payable	\$ 19,500	\$ -	\$ (19,500)	\$ -	\$ -	\$ -



**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 9 ASSESSMENT BONDS PAYABLE (CONTINUED)**

Changes in assessment bonds payable amounts for the year ended June 30, 2020 were as follows:

Long-Term Debt	Balance July 1, 2019	Additions	Deletions	Balance June 30, 2020	Due Within One Year	Due in More Than One Year
Assessment Bonds Payable	\$ 38,500	\$ -	\$ (19,000)	\$ 19,500	\$ 19,500	\$ -

**Mira Monte Special Assessment Bonds Payable**

The special assessment bonds payable were incurred to repay the District for upgrading the Mira Monte Water System in order to meet the District's standards for water delivery systems. The bonds payable bear interest at an effective rate of 5% and were payable in annual installments of graduated amounts ranging from \$3,000 to \$19,500 through the year 2021. Debt service payments on the special assessment bonds were provided by assessments of property owners. The bonds have been paid in full as of June 30, 2021.

**NOTE 10 LONG-TERM DEBT**

Changes in long-term debt for the year ended June 30, 2021, were as follows:

Long-Term Debt	Balance July 1, 2020	Additions	Deletions	Balance June 30, 2021	Due Within One Year	Due in More Than One Year
<i>Direct Borrowing:</i>						
Loans Payable	\$ 586,414	\$ -	\$ (288,551)	\$ 297,863	\$ 297,863	\$ -
Leases Payable	-	195,454	(51,433)	144,021	46,354	97,667
<i>Other Debt:</i>						
Special Tax Bonds:						
2017 Series B	39,475,000	-	(235,000)	39,240,000	285,000	38,955,000
2017 Series B Premium	3,796,421	-	(139,745)	3,656,676	-	3,656,676
2019 Series C	12,265,000	-	(180,000)	12,085,000	110,000	11,975,000
2019 Series C Premium	1,675,678	-	(61,681)	1,613,997	-	1,613,997
Total Long-Term Debt	<u>\$ 57,798,513</u>	<u>\$ 195,454</u>	<u>\$ (956,410)</u>	<u>\$ 57,037,557</u>	<u>\$ 739,217</u>	<u>\$ 56,298,340</u>

Changes in long-term debt for the year ended June 30, 2020, were as follows:

Long-Term Debt	Balance July 1, 2019	Additions	Deletions	Balance June 30, 2020	Due Within One Year	Due in More Than One Year
<i>Direct Borrowing:</i>						
Loans Payable	\$ 865,830	\$ -	\$ (279,416)	\$ 586,414	\$ 288,553	\$ 297,861
<i>Other Debt:</i>						
Special Tax Bonds:						
2017 Series B	39,665,000	-	(190,000)	39,475,000	235,000	39,240,000
2017 Series B Premium	3,935,925	-	(139,504)	3,796,421	-	3,796,421
2019 Series C	-	12,265,000	-	12,265,000	180,000	12,085,000
2019 Series C Premium	-	1,711,659	(35,981)	1,675,678	-	1,675,678
Total Long-Term Debt	<u>\$ 44,466,755</u>	<u>\$ 13,976,659</u>	<u>\$ (644,901)</u>	<u>\$ 57,798,513</u>	<u>\$ 703,553</u>	<u>\$ 57,094,960</u>

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 10 LONG-TERM DEBT (CONTINUED)**

**A. Loans Payable**

1991 California Department of Water Resources Loan

In 1991, the District contracted with the California Department of Water Resources for a \$5,203,965 30-year loan to assist in financing the construction of the treatment plant. The loan is scheduled to mature in 2022. Interest and principle are payable annually on March 20 each year at a rate of 3.2136%. Annual debt service requirements on the 1991 California Department of Water Resources Loan are as follows:

<u>Fiscal Year</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2022	\$ 297,863	\$ 7,207	\$ 305,070
Total	\$ 297,863	\$ 7,207	\$ 305,070

**B. 2017 Special Tax Bonds**

In 2013, registered voters within Community Facilities District 2013-1 authorized the District to incur bonded indebtedness in the aggregate principal amount not to exceed \$60,000,000. In April 2017, the District issued \$39,910,000 in 2017 Special Tax Bonds-Series A and B for the purchase of the Ojai water facilities in Community Facilities District 2013-1 (CFD 2013-1) for \$34.4 million and capital improvements needed to upgrade the water facilities. The Special Tax Bonds were issued by the District under the provisions of the Mello-Roos Community Facilities Act of 1982, as amended. A special assessment is levied annually on the property owners of the CFD 2013-1 service area to repay their portion of the annual debt service for the acquisition of the water facilities.

The acquisition of CFD 2013-1 water facilities for \$34.4 million included capital assets of \$25.9 million and various other assets, liabilities, and expenses totaling \$4.4 million leaving \$4,100,000 as a deferred loss on the acquisition of CFD 2013-1 that is being amortized over 30 years. The balance of this deferred loss, net of accumulated amortization is \$3,276,786 and \$3,482,657 as of June 30, 2021 and 2020, respectively.

The 2017 Special Tax Bonds are secured by a pledge and lien of the special taxes levy on the taxable property within the District. See Note 10 E. for details.

The special tax bonds are scheduled to mature on September 1, 2047 with annual principal and interest payments due September 1 and March 1. Annual interest rates range between 2.0% and 5.25%. The special tax bonds were issued with a \$4,227,203 bond premium and a prepaid Build America Mutual municipal bond insurance policy with a cost of \$472,314, both of which will be amortized over the remaining years of debt service life. Annual debt service requirements on the special tax bonds are as follows:

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 10 LONG-TERM DEBT (CONTINUED)**

**B. 2017 Special Tax Bonds (Continued)**

<u>Fiscal Year</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2022	\$ 285,000	\$ 1,821,588	\$ 2,106,588
2023	340,000	1,809,088	2,149,088
2024	395,000	1,794,388	2,189,388
2025	455,000	1,777,388	2,232,388
2026	520,000	1,757,888	2,277,888
2027-2031	3,705,000	8,341,388	12,046,388
2032-2036	5,920,000	7,391,131	13,311,131
2037-2041	8,575,000	6,036,638	14,611,638
2042-2046	12,590,000	3,434,956	16,024,956
2047-2048	6,455,000	344,006	6,799,006
Total	<u>\$ 39,240,000</u>	<u>\$ 34,508,459</u>	<u>\$ 73,748,459</u>

**C. 2019 Special Tax Bonds**

In October 2019, the District issued \$12,265,000 in Special Tax Bonds for capital improvements to the Ojai water facilities serving property within Community Facilities District 2013-1 (CFD 2013-1). The Special Tax Bonds are being issued by the District under the provisions of the Mello-Roos Community Facilities Act of 1982, as amended. A special assessment will be levied annually on the property owners of the CFD 2013-1 service area to repay their portion of the annual debt service for the acquisition of the water facilities.

The 2019 Special Tax Bonds are secured by a pledge and lien of the special taxes levy on the taxable property within the District. See Note 10 E. for details.

The special tax bonds are scheduled to mature on September 1, 2047 with annual principal and interest payments due September 1st and March 1st. Annual interest rates range between 3.0% and 5.0%. The special tax bonds were issued with a \$1,711,659 bond premium and a prepaid Build America Mutual municipal bond insurance policy for \$128,405 both of which will be amortized over the remaining years of debt service life. The cost of debt issuance was \$323,870 and was expensed as incurred. Annual debt service requirements on the special tax bonds are as follows:

<u>Fiscal Year</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2022	\$ 110,000	\$ 489,350	\$ 599,350
2023	125,000	485,825	610,825
2024	140,000	481,850	621,850
2025	160,000	477,350	637,350
2026	175,000	472,325	647,325
2027-2031	1,195,000	2,227,175	3,422,175
2032-2036	1,855,000	1,910,525	3,765,525
2037-2041	2,685,000	1,461,300	4,146,300
2042-2046	3,740,000	821,250	4,561,250
2047-2048	1,900,000	85,050	1,985,050
Total	<u>\$ 12,085,000</u>	<u>\$ 8,912,000</u>	<u>\$ 20,997,000</u>

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 10 LONG-TERM DEBT (CONTINUED)**

**D. Leases Payable**

The District entered into leases totaling \$195,454 for the purchase of equipment and machinery. Payments of \$51,431 are required annually through 2024 and include interest at a rate of 3.75%. Leased assets cost and accumulated depreciation is \$195,454 and \$(10,804) as of June 30, 2021. The required annual payments are as follows:

Fiscal Year	Principal	Interest	Total
2022	\$ 46,354	\$ 5,078	\$ 51,432
2023	47,988	3,443	51,431
2024	49,679	1,752	51,431
Total	<u>\$ 144,021</u>	<u>\$ 10,273</u>	<u>\$ 154,294</u>

**E. Pledged Revenue**

The 2017 and 2019 Special Tax Bonds are secured by a pledge and lien of the special taxes levy on the taxable property within the District. The special taxes collected, debt services payments, and percentage of revenue collected over debt services payments for the years ended June 30, 2021 and 2020 are as follows:

	2021	2020
CFD 2013-1 assessment revenue	\$ 2,808,169	\$ 2,700,980
Special Tax Bonds - 2017 Series B Debt Service Payment	2,066,988	2,029,538
Special Tax Bonds - 2019 Series C Debt Service Payment	673,700	159,951
Total Debt Service Payments Supported by Assessment	<u>\$ 2,740,688</u>	<u>\$ 2,189,489</u>
Percentage of Revenue Collected Over Debt Service Payments	102%	123%

**NOTE 11 NET OTHER POSTEMPLOYMENT BENEFITS (OPEB) LIABILITY**

**Summary**

The following balances on the balance sheet will be addressed in this footnote as follows:

Description	2021	2020
OPEB Related Deferred Outflows of Resources	\$ 9,101,533	\$ 7,845,322
Net OPEB Liability	20,385,793	19,700,201
OPEB Related Deferred Inflows of Resources	2,485,981	203,122

**Plan Description – Eligibility**

The District, through an agent multiemployer defined benefit plan (the Plan), provides post-employment health-care benefits to retirees managed through California Employers' Retiree Benefit Trust (CERBT). The following requirements must be satisfied in order to be eligible for post-employment medical benefits: (1) Attainment of age 60, and 20 years for full-time service, and (2) retirement from the District (the District must be the last employer prior to retirement).

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
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**NOTE 11 NET OTHER POSTEMPLOYMENT BENEFITS (OPEB) LIABILITY (CONTINUED)**

**Plan Description - Benefits**

The District offers post-employment medical benefits to retired employees who satisfy the eligibility rules. Retirees may enroll in any plan available through the ACWA-JPIA medical program. The benefits provided and contribution requirements of plan members and the District are established and may be amended by the Board of Directors. The following is a description of the current retiree benefit plan:

Description	Participants
Benefit Types Provided	Secondary to Medicare - medical, dental, and vision
Benefit Types not Covered	Medicare Part B
Duration of Benefits	Lifetime
Required Service	20 years service
Minimum Age	60 years old and CalPERS Retirement from District
Dependent Coverage	Surviving spouse may participate
District Contribution	100% of the least cost of plans that are offered to District employees

**Employees Covered by Benefit Terms**

At June 30, 2020 and 2019 (measurement dates), the following employees were covered by the benefit terms:

Description	2020	2019
Inactive Plan Members or Beneficiaries Currently		
Receiving Benefit Payments	39	38
Active Plan Members	75	67
Total	<u>114</u>	<u>105</u>

**Contributions**

Contribution requirements are established by District policy and may be amended by the Board of Directors. The annual contribution is based on the actuarially determined contribution; however, the District typically contributes based on the pay-as-you-go costs. For the fiscal year ended June 30, 2021, the District made no contributions to the OPEB trust, made payments totaling \$485,814 for retiree health care insurance benefits, made no payments for administrative expenses paid outside of the trust, and the implied subsidy was \$185,668, resulting in payments of \$671,482. For the fiscal year ended June 30, 2020, the District made no contributions to the OPEB trust, made payments totaling \$518,977 for retiree health care insurance benefits, made payments totaling \$2,020 for administrative expenses paid outside of the trust, and the implied subsidy was \$175,273, resulting in payments of \$696,270.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 11 NET OTHER POSTEMPLOYMENT BENEFITS (OPEB) LIABILITY (CONTINUED)**

**A. Net OPEB Liability**

The District's net OPEB liability for the fiscal year ended June 30, 2021, was measured as of June 30, 2020 (measurement date), and the total OPEB liability used to calculate the net OPEB liability was determined by an actuarial valuation as of June 30, 2020.

The District's net OPEB liability for the fiscal year ended June 30, 2020, was measured as of June 30, 2019 (measurement date), and the total OPEB liability used to calculate the net OPEB liability was determined by an actuarial valuation as of June 30, 2018, rolled forward to June 30, 2019, using standard update procedures.

**Actuarial Assumptions and Other Inputs**

The total net OPEB liability in the June 30, 2020 and 2019 (measurement dates) actuarial valuation was determined using the following actuarial assumptions and other inputs, applied to all periods included in the measurement, unless otherwise specified:

Measurement Date	June 30, 2020	June 30, 2019
Discount Rate	2.53%	3.67%
Inflation	2.75%	2.75%
Salary Increases	3.00%	3.00%
Investment Rate of Return	5.50%	5.50%
Healthcare Cost Trend Rates	(2)	(1)
Mortality, Retirement, Disability, Termination	(3)	(3)
Mortality Improvement	(5)	(4)

- (1) Non-Medicare: 7.5% for 2020, decreasing to an ultimate rate of 4.0% in 2076.  
Medicare: 6.5% for 2020, decreasing to an ultimate rate of 4.0% in 2076.
- (2) Non-Medicare: 7.5% for 2022 decreasing to 4.0% in 2076;  
Medicare (Kaiser): 5.0% for 2022 decreasing to 4.0% in 2076  
Medicare (Other): 6.1% for 2022 decreasing to 4.0% in 2076
- (3) Based on CalPERS 1997-2015 Experience Study.
- (4) Post-retirement mortality projected fully generational with Scale MP-2018.
- (5) Post-retirement mortality projected fully generational with Scale MP-2020.

**Long-Term Expected Rate of Return**

The long-term expected rate of return was determined using a building-block method in which best-estimate ranges of expected future real rates of return (expected returns, net of OPEB plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation. Best estimates of arithmetic real rates of return for each major asset class included in the OPEB plan's target asset allocations with CERBT as of June 30, 2020 and 2019 measurement dates are summarized in the following tables:

**CASITAS MUNICIPAL WATER DISTRICT  
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JUNE 30, 2021 AND 2020**

**NOTE 11 NET OTHER POSTEMPLOYMENT BENEFITS (OPEB) LIABILITY (CONTINUED)**

**A. Net OPEB Liability (Continued)**

Long-Term Expected Rate of Return (Continued)

Measurement period ended June 30, 2020:

	<u>Target Allocation CERBT-Strategy 3</u>	<u>Expected Real Rate of Return</u>
Global Equity	22.00%	4.82%
Fixed Income	49.00%	1.47%
TIPS	16.00%	1.29%
Commodities	5.00%	0.84%
REITS	8.00%	3.76%
Assumed Long-Term Rate of Inflation		2.75%
Expected Long-Term Net Rate of Return, Rounded		5.50%

Measurement period ended June 30, 2019:

	<u>Target Allocation CERBT-Strategy 3</u>	<u>Expected Real Rate of Return</u>
Global Equity	22.00%	4.82%
Fixed Income	49.00%	1.47%
TIPS	16.00%	1.29%
Commodities	5.00%	0.84%
REITS	8.00%	3.76%
Assumed Long-Term Rate of Inflation		2.75%
Expected Long-Term Net Rate of Return, Rounded		5.50%

Discount Rate

GASB 75 requires a discount rate that reflects the following:

- a) The long-term expected rate of return on OPEB plan investments—to the extent that the OPEB plan’s fiduciary net position is projected to be sufficient to make projected benefit payments and assets are expected to be invested using a strategy to achieve that return;
- b) A yield or index rate for 20-year, tax-exempt general obligation municipal bonds with an average rating of AA/Aa or higher—to the extent that the conditions in (a) are not met.

Discount Rate – Measurement Period Ended June 30, 2020

The blended discount rate used to measure the total OPEB liability was 2.53% as of the measurement period ended June 30, 2020. The projection of cash flows used to determine the discount rate assumed that the District would make contributions based on expected pay-go costs less normal costs for future new members and that additional contributions to the trust were unlikely. Based on those assumptions, the plan’s fiduciary net position was projected to be available to make all projected OPEB payments for current active and inactive employees and beneficiaries through 2036, the crossover date. At the crossover date of 2036, the plan’s fiduciary net position is not projected to be available to make required payments and, therefore, the Bond Buyer 20-Bond GO Index rate of 2.21% was applied from this date forward.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
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**NOTE 11 POSTEMPLOYMENT BENEFITS (OPEB) LIABILITY (CONTINUED)**

**A. Net OPEB Liability (Continued)**

*Discount Rate – Measurement Period Ended June 30, 2019*

The blended discount rate used to measure the total OPEB liability was 3.67% as of the measurement period ended June 30, 2019. The projection of cash flows used to determine the discount rate assumed that the District would make contributions based on expected pay-go costs less normal costs for future new members and that additional contributions to the trust were unlikely. Based on those assumptions, the plan's fiduciary net position was projected to be available to make all projected OPEB payments for current active and inactive employees and beneficiaries through 2031, the crossover date. At the crossover date of 2031, the plan's fiduciary net position is not projected to be available to make required payments and, therefore, the Bond Buyer 20-Bond GO Index rate of 3.5% was applied from this date forward.

*Changes of Assumptions*

The following changes in assumptions were noted from the measurement period ended June 30, 2019 to June 30, 2020:

- The discount rate was updated from 3.67% to 2.53%.
- The liability for the Affordable Care Act excise tax was removed due to its repeal in December 2019.
- The mortality improvement scale was updated from Scale MP-2018 to Scale MP-2020.
- The Kaiser Senior Advantage plan medical trend was decreased from 2.5% for 2020 to 5.0% for 2022.

The discount rate decreased from 4.89% to 3.67% from the measurement period ended June 30, 2018 to June 30, 2019.

*Changes of Benefit Terms*

There were no changes of benefit terms.



**CASITAS MUNICIPAL WATER DISTRICT  
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JUNE 30, 2021 AND 2020**

**NOTE 11 POSTEMPLOYMENT BENEFITS (OPEB) LIABILITY (CONTINUED)**

**B. Changes in the Net OPEB Liability**

The changes in the net OPEB liability are as follows for the June 30, 2020 measurement date:

	Total OPEB Liability	Plan Fiduciary Net Position	Net OPEB Liability
Balance at June 30, 2019 (Measurement Date)	\$ 21,039,985	\$ 1,339,784	\$ 19,700,201
Changes for the Year:			
Service Cost	594,473	-	594,473
Interest on the Net OPEB Liability	781,245	-	781,245
Changes in Assumptions	2,676,738	-	2,676,738
Differences Between Actual and Expected Experience	(2,588,440)	-	(2,588,440)
Employer Contributions	-	696,270	(696,270)
Net Investment Income	-	84,839	(84,839)
Administrative Expenses	-	(2,685)	2,685
Benefit Payments	(694,250)	(694,250)	-
Net Changes	769,766	84,174	685,592
Balance at June 30, 2020 (Measurement Date)	<u>\$ 21,809,751</u>	<u>\$ 1,423,958</u>	<u>\$ 20,385,793</u>

The changes in the net OPEB liability are as follows for the June 30, 2019 measurement date:

	Total OPEB Liability	Plan Fiduciary Net Position	Net OPEB Liability
Balance at June 30, 2018 (Measurement Date)	\$ 17,137,707	\$ 1,250,065	\$ 15,887,642
Changes for the Year:			
Service Cost	417,772	-	417,772
Interest on the Net OPEB Liability	841,909	-	841,909
Changes in Assumptions	3,319,650	-	3,319,650
Differences Between Actual and Expected Experience	-	-	-
Employer Contributions	-	679,073	(679,073)
Net Investment Income	-	89,988	(89,988)
Administrative Expenses	-	(2,289)	2,289
Benefit Payments	(677,053)	(677,053)	-
Net Changes	3,902,278	89,719	3,812,559
Balance at June 30, 2019 (Measurement Date)	<u>\$ 21,039,985</u>	<u>\$ 1,339,784</u>	<u>\$ 19,700,201</u>

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 11 POSTEMPLOYMENT BENEFITS (OPEB) LIABILITY (CONTINUED)**

**B. Changes in the Net OPEB Liability (Continued)**

**Sensitivity of the Net OPEB Liability to Changes in the Discount Rate**

The following presents the net OPEB liability of the District, as well as what the District's net OPEB liability would be if it were calculated using a discount rate that is one percentage-point lower or one percentage-point higher than the current discount rate for the measurement dates ended June 30, 2020 and 2019:

	1% Decrease 1.53%	Discount Rate 2.53%	1% Increase 3.53%
June 30, 2020 (Measurement Date)	<u>\$ 24,142,691</u>	<u>\$ 20,385,793</u>	<u>\$ 17,356,254</u>
	1% Decrease 2.67%	Discount Rate 3.67%	1% Increase 4.67%
June 30, 2019 (Measurement Date)	<u>\$ 23,139,336</u>	<u>\$ 19,700,201</u>	<u>\$ 16,919,135</u>

**Sensitivity of the Net OPEB Liability to Changes in the Healthcare Cost Trend Rates**

The following presents the net OPEB liability of the District, as well as what the District's net OPEB liability would be if it were calculated using healthcare cost trend rates that are one percentage-point lower or one percentage-point higher than the current healthcare cost trend rates for the measurement dates ended June 30, 2020 and 2019:

	1% Decrease (1)	Healthcare Cost Trend Rates (2)	1% Increase (3)
June 30, 2020 (Measurement Date)	<u>\$ 17,005,077</u>	<u>\$ 20,385,793</u>	<u>\$ 24,791,128</u>
June 30, 2019 (Measurement Date)	<u>\$ 16,501,306</u>	<u>\$ 19,700,201</u>	<u>\$ 23,808,127</u>

*June 30, 2020 (Measurement Date)*

- (1) Non-Medicare: 6.5% for 2022 decreasing to 3.0% in 2076;  
Medicare (Kaiser): 4.0% for 2022 decreasing to 3.0% in 2076  
Medicare (Other): 5.1% for 2022 decreasing to 3.0% in 2076
- (2) Non-Medicare: 7.5% for 2022 decreasing to 4.0% in 2076;  
Medicare (Kaiser): 5.0% for 2022 decreasing to 4.0% in 2076  
Medicare (Other): 6.1% for 2022 decreasing to 4.0% in 2076
- (3) Non-Medicare: 8.5% for 2022 decreasing to 5.0% in 2076;  
Medicare (Kaiser): 6.0% for 2022 decreasing to 5.0% in 2076  
Medicare (Other): 7.1% for 2022 decreasing to 5.0% in 2076

*June 30, 2019 (Measurement Date)*

- (1) Non-Medicare: 6.5% decreasing to 3.0% in 2076; Medicare: 5.5% decreasing to 3.0% in 2076.
- (2) Non-Medicare: 7.5% decreasing to 4.0% in 2076; Medicare: 6.5% decreasing to 4.0% in 2076.
- (3) Non-Medicare: 8.5% decreasing to 5.0% in 2076; Medicare: 7.5% decreasing to 5.0% in 2076.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 11 POSTEMPLOYMENT BENEFITS (OPEB) LIABILITY (CONTINUED)**

**C. OPEB Expense and Deferred Outflows of Resources and Deferred Inflows of Resources Related to OPEB**

For the fiscal years ended June 30, 2021 and 2020, the District recognized OPEB expense of \$2,383,722 and \$2,264,848, respectively.

As of the fiscal year ended June 30, 2021, the District reported of deferred outflows and deferred inflows of resources related to the net OPEB liability from the following sources:

<u>Account Description</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
OPEB Contributions Subsequent to the Measurement Date	\$ 671,482	\$ -
Changes in Assumptions	8,430,051	-
Differences Between Expected and Actual Experience	-	(2,470,586)
Net Differences Between Projected and Actual Earnings on OPEB Plan Investments	-	(15,395)
Total Deferred Outflows (Inflows) of Resources	<u>\$ 9,101,533</u>	<u>\$ (2,485,981)</u>

At June 30, 2021, the District reported \$671,482 of deferred outflows of resources for employer contributions made subsequent to the measurement date which will be used to reduce the net OPEB liability balance in the fiscal year ending June 30, 2022 calculation. Other amounts reported as deferred outflows (inflows) of resources related to the net OPEB liability will be recognized in OPEB expense as follows:

<u>Fiscal Year Ending June 30,</u>	<u>Amount</u>
2022	\$ 1,078,989
2023	1,078,990
2024	1,075,846
2025	1,080,096
2026	1,082,329
Thereafter	547,820
Total	<u>\$ 5,944,070</u>

As of the fiscal year ended June 30, 2020, the District reported of deferred outflows and deferred inflows of resources related to the net OPEB liability from the following sources:

<u>Account Description</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
OPEB Contributions Subsequent to the Measurement Date	\$ 696,270	\$ -
Changes in Assumptions	7,149,052	-
Differences Between Expected and Actual Experience	-	(195,556)
Net Differences Between Projected and Actual Earnings on OPEB Plan Investments	-	(7,566)
Total Deferred Outflows (Inflows) of Resources	<u>\$ 7,845,322</u>	<u>\$ (203,122)</u>

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 11 POSTEMPLOYMENT BENEFITS (OPEB) LIABILITY (CONTINUED)**

**C. OPEB Expense and Deferred Outflows of Resources and Deferred Inflows of Resources Related to OPEB (Continued)**

At June 30, 2020, the District reported \$696,270 of deferred outflows of resources for employer contributions made subsequent to the measurement date which were used to reduce the net OPEB liability balance in the fiscal year ended June 30, 2021 calculation.

**D. Payable to the OPEB Plan**

At June 30, 2021, the District had no outstanding amount of contributions to the OPEB plan.

**NOTE 12 PENSION PLAN**

**Summary**

The following balances on the balance sheet will be addressed in this footnote as follows:

Description	June 30, 2021	June 30, 2020
Pension Related Deferred Outflows of Resources	\$ 2,015,865	\$ 2,046,489
Net Pension Liability	9,586,888	8,708,942
Pension Related Deferred Inflows of Resources	106,011	540,816

Qualified employees are covered under a cost-sharing multiemployer defined benefit pension plan maintained by agencies of the State of California known as the California Public Employees' Retirement System (CalPERS), or "The Plan".

**A. General Information about the Pension Plan**

**Plan Description**

All qualified permanent and probationary employees are eligible to participate in the District's Miscellaneous Employee Pension Plans (Plans), which are cost-sharing multiemployer defined benefit pension plans administered by CalPERS. Benefit provisions under these plans are established by state statute and District resolution. CalPERS acts as a common investment and administrative agent for participating public entities within the state of California. A full description of the pension plan, benefit provisions, assumptions (for funding, but not accounting purposes), and membership information are listed in the June 30, 2018 and 2017 Annual Actuarial Valuation Reports. This report and CalPERS' audited financial statements are publicly available reports that can be obtained at CalPERS' website under Forms and Publications.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 12 PENSION PLAN (CONTINUED)**

**Summary (Continued)**

**A. General Information about the Pension Plan (Continued)**

Benefits Provided

The Plans' provisions and benefits in effect at the June 30, 2020 and 2019, measurement dates are summarized as follows:

	Miscellaneous Plans	
	Classic	PEPRA
	Tier 1	Tier 2
	Prior to January 1, 2013	On or after January 1, 2013
Hire Date		
Benefit Formula	2.0% @ 60	2.0% @ 62
Benefit Vesting Schedule	5-years of service	5-years of service
Benefit Payments	Monthly for life	Monthly for life
Retirement Age	50 - 67 & up	52 - 67 & up
Monthly Benefits, as a % of Eligible Compensation	1.092% to 2.418%	1.0% to 2.5%
Required Member Contribution Rates	6.918%	6.750%
Required Member Contribution Rates - 2021:		
Normal Cost Rate	9.281%	7.732%
Payment of Unfunded Liability	\$ 604,718	\$ 3,962
Required Member Contribution Rates - 2020:		
Normal Cost Rate	8.563%	6.985%
Payment of Unfunded Liability	\$ 520,396	\$ 2,260

CalPERS provides retirement and disability benefits, annual cost-of-living adjustments, and death benefits to plan members and beneficiaries. A Classic CalPERS Miscellaneous member becomes eligible for service retirement upon attainment of age 55 with at least five years of credited service. Public Employees' Pension Reform Act (PEPRA) Miscellaneous members become eligible for service retirement upon attainment of age 62 with at least five years of service. The service retirement benefit is a monthly allowance equal to the product of the benefit factor, years of service, and final compensation. The final compensation based on a retirement formula using the local service credit, age at retirement, and highest average annual compensation during any consecutive 12- or 36-month period throughout the employees' CalPERS career.

Participant members are eligible for nonindustrial disability retirement if they become disabled and have at least five years of credited service. There is no special age requirement. The standard nonindustrial disability retirement benefit is a monthly allowance equal to 1.8% of final compensation, multiplied by service. Industrial disability benefits are not offered to miscellaneous employees.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 12 PENSION PLAN (CONTINUED)**

**A. General Information about the Pension Plan (Continued)**

Benefits Provided (Continued)

A member's beneficiary may receive the basic death benefit if the member dies while actively employed. The member must be actively employed with the District to be eligible for this benefit. A member's survivor who is eligible for any other pre-retirement death benefit may choose to receive that death benefit instead of this basic death benefit. The basic death benefit is a lump sum in the amount of the members' accumulated contributions, where interest is currently credited at 7.15% per year, plus a lump sum in the amount of one month's salary for each completed year of current service, up to a maximum of six months' salary. For purposes of this benefit, one month's salary is defined as the member's average monthly full-time rate of compensation during the 12 months preceding death.

Upon the death of a retiree, a one-time lump sum payment of \$500 will be made to the retiree's designated survivor(s), or to the retiree's estate. Benefit terms provide for annual cost-of-living adjustments to each member's retirement allowance. Beginning the second calendar year after the year of retirement, retirement and survivor allowances will be annually adjusted on a compound basis by 3%.

Contributions

Section 20814(c) of the California Public Employees' Retirement Law (PERL) requires that the employer contribution rates for all public employers will be determined on an annual basis by the actuary and shall be effective on July 1 following notice of a change in the rate. The total plan contributions are determined through CalPERS' annual actuarial valuation process. The public agency cost-sharing plans covered by the Miscellaneous risk pool, the Plan's actuarially determined rate is based on the estimated amount necessary to pay the Plan's allocated share of the risk pool's costs of benefits earned by employees during the year, and any unfunded accrued liability. The employer is required to contribute the difference between the actuarially determined rate and the contribution rate of members. For the measurement periods ending June 30, 2020 and 2019 (measurement dates), the active member contribution rate for the Classic Miscellaneous Plan and the PEPRA Miscellaneous Plan are included in the above benefits schedule.

Contributions for the fiscal years ended June 30, 2021 and 2020, were as follows:

<u>Employer Contributions by Fiscal Year</u>	Miscellaneous Plans		
	Classic		Total
	Tier 1	PEPRA	
Contributions - Employer - June 30, 2021	\$ 902,181	\$ 316,520	\$ 1,218,701
Contributions - Employer - June 30, 2020	\$ 795,544	\$ 225,466	\$ 1,021,010

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
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**NOTE 12 PENSION PLAN (CONTINUED)**

**B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions**

***Proportionate Share of Net Pension Liability and Pension Expense***

The following table shows the District's proportionate share of the risk pool collective net pension liability over the measurement periods for the Miscellaneous Plan for the fiscal years ended June 30, 2021 and 2020:

<u>Plan Type and Balance Descriptions</u>	<u>Plan Total Pension liability</u>	<u>Plan Fiduciary Net Position</u>	<u>Change in Plan Net Pension Liability</u>
CalPERS - Miscellaneous Plans:			
Balance as of June 30, 2019 (Measurement Date)	\$ 38,333,297	\$ 29,624,355	\$ 8,708,942
Balance as of June 30, 2020 (Measurement Date)	40,081,055	30,494,167	9,586,888
Change	<u>\$ 1,747,758</u>	<u>\$ 869,812</u>	<u>\$ 877,946</u>

<u>Plan Type and Balance Descriptions</u>	<u>Plan Total Pension liability</u>	<u>Plan Fiduciary Net Position</u>	<u>Change in Plan Net Pension Liability</u>
CalPERS - Miscellaneous Plans:			
Balance as of June 30, 2018 (Measurement Date)	\$ 36,349,762	\$ 28,515,062	\$ 7,834,700
Balance as of June 30, 2019 (Measurement Date)	38,333,297	29,624,355	8,708,942
Change	<u>\$ 1,983,535</u>	<u>\$ 1,109,293</u>	<u>\$ 874,242</u>

The following is the approach established by the plan actuary to allocate the net pension liability and pension expense to the individual employers within the risk pool.

- (1) In determining a cost-sharing plan's proportionate share, total amounts of liabilities and assets are first calculated for the risk pool as a whole on the valuation date (June 30, 2019 and 2018). The risk pool's fiduciary net position (FNP) subtracted from its total pension liability (TPL) determines the net pension liability (NPL) at the valuation date.
- (2) Using standard actuarial roll forward methods, the risk pool TPL is then computed at the measurement date (June 30, 2020 and 2019). Risk pool FNP at the measurement date is then subtracted from this number to compute the NPL for the risk pool at the measurement date. For purposes of FNP in this step and any later reference thereto, the risk pool's FNP at the measurement date denotes the aggregate risk pool's FNP at June 30, 2020 and 2019 less the sum of all additional side fund (or unfunded liability) contributions made by all employers during the measurement period (2020 fiscal year and the 2019 fiscal year).
- (3) The individual plan's TPL, FNP and NPL are also calculated at the valuation date.
- (4) Two ratios are created by dividing the plan's individual TPL and FNP as of the valuation date from (3) by the amounts in step (1), the risk pool's total TPL and FNP, respectively.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 12 PENSION PLAN (CONTINUED)**

**B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions (Continued)**

***Proportionate Share of Net Pension Liability and Pension Expense (Continued)***

(5) The plan's TPL as of the Measurement Date is equal to the risk pool TPL generated in (2) multiplied by the TPL ratio generated in (4). The plan's FNP as of the Measurement Date is equal to the FNP generated in (2) multiplied by the FNP ratio generated in (4) plus any additional side fund (or unfunded liability) contributions made by the employer on behalf of the plan during the measurement period.

(6) The plan's NPL at the Measurement Date is the difference between the TPL and FNP calculated in (5).

The District's net pension liability for the Plan is measured as the proportionate share of the net pension liability. The net pension liability of the Plan is measured as of June 30, 2020 and 2019, and the total pension liability for the Plan used to calculate the net pension liability was determined by an actuarial valuation as of June 30, 2019 and 2018 rolled forward to June 30, 2020 and 2019, respectively, using standard update procedures. The District's proportion of the net pension liability was based on a projection of the District's long-term share of contributions to the pension plan relative to the projected contributions of all participating employers, actuarially determined.

The District's proportionate share percentage of the net pension liability for the June 30, 2020, measurement date was as follows:

	Percentage Share of Risk Pool		Change Increase (Decrease)
	Fiscal Year Ending	Fiscal Year Ending	
	June 30, 2021	June 30, 2020	
Measurement Date	June 30, 2020	June 30, 2019	
Percentage of Risk Pool Net Pension Liability	0.227280%	0.217480%	0.009800%
Percentage of Plan (PERF C) Net Pension Liability	0.088110%	0.084990%	0.003120%

The District's proportionate share percentage of the net pension liability for the June 30, 2019, measurement date was as follows:

	Percentage Share of Risk Pool		Change Increase (Decrease)
	Fiscal Year Ending	Fiscal Year Ending	
	June 30, 2020	June 30, 2019	
Measurement Date	June 30, 2019	June 30, 2018	
Percentage of Risk Pool Net Pension Liability	0.217480%	0.207890%	0.009590%
Percentage of Plan (PERF C) Net Pension Liability	0.084990%	0.081300%	0.003690%



**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 12 PENSION PLAN (CONTINUED)**

**B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions (Continued)**

***Proportionate Share of Net Pension Liability and Pension Expense (Continued)***

For the fiscal years ended June 30, 2021 and 2020, the District recognized pension expense in the amounts of \$1,692,466 and \$1,813,571, respectively, for the CalPERS Miscellaneous Plan.

At June 30, 2021, the District reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

<u>Account Description</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Pension Contributions Subsequent to the Measurement Date	\$ 1,218,701	\$ -
Differences Between Expected and Actual Experience	494,041	-
Changes in Assumptions	-	(68,377)
Changes in Employer's Proportion and Differences Between the Employer's Contributions and the Employer's Proportionate Share of Contributions	18,329	(37,634)
Net Differences Between Projected and Actual Earnings on Pension Plan Investments	<u>284,794</u>	<u>-</u>
Total Deferred Outflows (Inflows) of Resources	<u>\$ 2,015,865</u>	<u>\$ (106,011)</u>

The District will recognize \$1,218,701 reported as deferred outflows of resources related to pensions resulting from the District's contributions subsequent to the measurement date as a reduction of the net pension liability in the fiscal year ending June 30, 2022.

The deferred outflows/(inflows) of resources related to the net differences between projected and actual earnings on pension plan investments will be amortized over a closed five-year period. The deferred outflows/(inflows) of resources related to the differences between expected and actual experience, changes of assumptions, and changes in employer's proportion and differences between the employer's contributions and the employer's proportionate share of contributions, will be amortized over the Expected Average Remaining Service Life (EARSL) of all members that are provided benefits (active, inactive, and retirees) as of the beginning of the measurement period. The EARSL for the measurement period is 3.8 years.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 12 PENSION PLAN (CONTINUED)**

**B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions (Continued)**

***Proportionate Share of Net Pension Liability and Pension Expense (Continued)***

Amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense as follows:

Amortization Period <u>Fiscal Year Ending June 30,</u>	<u>Amount</u>
2022	\$ 97,013
2023	247,209
2024	210,336
2025	136,595
Total	<u>\$ 691,153</u>

At June 30, 2020, the District reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

<u>Account Description</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Pension Contributions Subsequent to the Measurement Date	\$ 1,021,010	\$ -
Differences Between Expected and Actual Experience	604,872	(46,865)
Changes in Assumptions	415,283	(147,214)
Changes in Employer's Proportion and Differences Between the Employer's Contributions and the Employer's Proportionate Share of Contributions	5,324	(194,477)
Net Differences Between Projected and Actual Earnings on Pension Plan Investments	<u>-</u>	<u>(152,260)</u>
Total Deferred Outflows (Inflows) of Resources	<u>\$ 2,046,489</u>	<u>\$ (540,816)</u>

The District recognized \$1,021,010 reported as deferred outflows of resources related to pensions resulting from the District's contributions subsequent to the measurement date as a reduction of the net pension liability in the fiscal year ended June 30, 2021.

The deferred outflows/(inflows) of resources related to the difference between projected and actual earnings on pension plan investments will be amortized over a closed five-year period. The deferred outflows/(inflows) of resources related to the net change in proportionate share of net pension liability, changes of assumptions, and differences between expected and actual experience in the measurement of the total pension liability will be amortized over the Expected Average Remaining Service Life (EARSL) of all members that are provided benefits (active, inactive, and retirees) as of the beginning of the measurement period. The EARSL for the measurement period is 3.8 years.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 12 PENSION PLAN (CONTINUED)**

**B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions (Continued)**

***Proportionate Share of Net Pension Liability and Pension Expense (Continued)***

Amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense as follows:

Amortization Period <u>Fiscal Year Ending June 30.</u>	<u>Amount</u>
2021	\$ 486,929
2022	(88,415)
2023	55,382
2024	30,767
Total	<u>\$ 484,663</u>

***Actuarial Methods and Assumptions Used to Determine Total Pension Liability***

For the measurement periods ending June 30, 2020 and 2019 (the measurement dates), the total pension liabilities were based on the following actuarial methods and assumptions:

	Measurement Date June 30, 2020	Measurement Date June 30, 2019
Actuarial Cost Method	<u>Entry Age Normal</u>	<u>Entry Age Normal</u>
Actuarial Assumptions:		
Discount Rate	7.15%	7.15%
Inflation	2.75%	2.75%
Salary Increases	(1)	(1)
Mortality Rate Table	(3)	(2)
Post Retirement Benefit Increase	(4)	(4)

(1) Varies by entry age and service.

(2) The mortality table used was developed based on CalPERS-specific data. The probabilities of mortality are based on the 2017 CalPERS Experience Study for the period from 1997 to 2015. Pre-retirement and Post-retirement mortality rates includes 15 years of projected mortality improvement using 90% of Scale MP-2016 published by the Society of Actuaries. For more details on this table, please refer to the CalPERS Experience Study and Review of Actuarial Assumptions report from December 2017 that can be found on the CalPERS website.

(3) The mortality table used was developed based on CalPERS-specific data. The table includes 15 years of mortality improvements using the Society of Actuaries Scale 90% of scale MP 2016. For more details on this table, please refer to the December 2017 experience study report (based on CalPERS demographic data from 1997 to 2015) that can be found on the CalPERS website.

(4) The less of contract COLA or 2.50% until Purchasing Power Protection Allowance Floor on purchasing power applies, 2.50% thereafter.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 12 PENSION PLAN (CONTINUED)**

**B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions (Continued)**

***Long-Term Expected Rate of Return***

The long-term expected rate of return on pension plan investments was determined using a building-block method in which best estimate ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class.

In determining the long-term expected rate of return, CalPERS took into account both short-term and long-term market return expectations as well as the expected pension fund cash flows. Using historical returns of all of the funds' asset classes, expected compound (geometric) returns were calculated over the short-term (first 10 years) and the long-term (11+ years) using a building-block approach. Using the expected nominal returns for both short-term and long-term, the present value of benefits was calculated for each fund. The expected rate of return was set by calculating the rounded single equivalent expected return that arrived at the same present value of benefits for cash flows as the one calculated using both short-term and long-term returns. The expected rate of return was then set to equal to the single equivalent rate calculated above and adjusted to account for assumed administrative expenses.

The expected real rates of return by asset class are as follows for the measurement period ended June 30, 2020:

<u>Asset Class (a)</u>	<u>Assumed Asset Allocation</u>	<u>Real Return Years 1 - 10 (b)</u>	<u>Real Return Years 11+ (c)</u>
Global Equity	50.00%	4.80%	5.98%
Fixed Income	28.00%	1.00%	2.62%
Inflation Assets	0.00%	0.77%	1.81%
Private Equity	8.00%	6.30%	7.23%
Real Assets	13.00%	3.75%	4.93%
Liquidity	1.00%	0.00%	-0.92%
Total	<u>100.00%</u>		

(a) In the CalPERS CAFR, Fixed Income is included in Global Debt Securities; Liquidity is included 'in Short-Term Investments; Inflation Assets are included in both Global Equity Securities and 'Global Debt Securities.

(b) An expected inflation of 2.0% is used for this period.

(c) An expected inflation of 2.92% is used for this period.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 12 PENSION PLAN (CONTINUED)**

**B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions (Continued)**

***Long-Term Expected Rate of Return (Continued)***

The expected real rates of return by asset class are as follows for the measurement period ended June 30, 2019:

<u>Asset Class (a)</u>	<u>Assumed Asset Allocation</u>	<u>Real Return Years 1 - 10 (b)</u>	<u>Real Return Years 11+ (c)</u>
Global Equity	50.00%	4.80%	5.98%
Fixed Income	28.00%	1.00%	2.62%
Inflation Assets	0.00%	0.77%	1.81%
Private Equity	8.00%	6.30%	7.23%
Real Assets	13.00%	3.75%	4.93%
Liquidity	1.00%	0.00%	-0.92%
Total	<u>100.00%</u>		

(a) In the CalPERS CAFR, Fixed Income is included in Global Debt Securities; Liquidity is included in Short-Term Investments; Inflation Assets are included in both Global Equity Securities and Global Debt Securities.

(b) An expected inflation of 2.0% is used for this period.

(c) An expected inflation of 2.92% is used for this period.

***Discount Rate***

The discount rate used to measure the total pension liability was 7.15% for the measurement periods ending June 30, 2020 and 2019. The projection of cash flows used to determine the discount rate assumed that contributions from plan members will be made at the current member contribution rates and that contributions from employers will be made at statutorily required rates, actuarially determined. Based on those assumptions, the Plan's fiduciary net position was projected to be available to make all projected future benefit payments of current plan members. Therefore, the long-term expected rate of return on plan investments was applied to all periods of projected benefit payments to determine the total pension liability.

***Sensitivity of the Net Pension Liability to Changes in the Discount Rate***

The following presents the District's proportionate share of the net pension liability for the Plans, as of the measurement dates, calculated using the discount rate for each plan, as well as what the District's proportionate share of the net pension liability would be if it were calculated using a discount rate that is one-percentage point lower or one-percentage point higher than the current rate:

	1% Decrease 6.15%	Discount Rate 7.15%	1% Increase 8.15%
June 30, 2020 (Measurement Date)	<u>\$ 14,920,698</u>	<u>\$ 9,586,888</u>	<u>\$ 5,179,728</u>
June 30, 2019 (Measurement Date)	<u>\$ 13,864,888</u>	<u>\$ 8,708,942</u>	<u>\$ 4,453,073</u>

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 12 PENSION PLAN (CONTINUED)**

**B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions (Continued)**

***Pension Plan Fiduciary Net Position***

Detailed information about the pension plan's fiduciary net position is available in the separately issued CalPERS financial report and can be obtained from CalPERS' website under Forms and Publications.

***Payable to Pension Plans***

At June 30, 2021 and 2020, the District had no outstanding amount of contributions to the pension plans

**NOTE 13 NET INVESTMENT IN CAPITAL ASSETS**

Net investment in capital assets consisted of the following as of June 30:

Description	2021	2020
Noncurrent Portion of Assets:		
Capital Assets - Not Being Depreciated	\$ 17,180,822	\$ 14,128,730
Capital Assets - Being Depreciated, Net	69,808,528	71,144,277
Current Portion of Liabilities:		
Reimbursement Agreement	(77,228)	(77,228)
Long-Term Debt	(739,217)	(703,553)
Noncurrent Portion of Liabilities:		
Reimbursement Agreement	(2,316,845)	(2,394,073)
Long-Term Debt	(56,298,340)	(57,094,960)
Noncurrent Assets:		
Restricted - Cash and Cash Equivalents		
Cash with Fiscal Agent	11,067,448	14,136,135
Current Liabilities:		
Accounts Payable and Accrued Expenses:		
Capital Related	(873,026)	(2,005,480)
Retentions Payable	(183,138)	(142,777)
Total Net Investment in Capital Assets	<u>\$ 37,569,004</u>	<u>\$ 36,991,071</u>

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 14 RESTRICTED NET POSITION**

Restricted net position consisted of the following as of June 30:

Description	2021	2020
Special Assessments Receivable for Debt Service	\$ 700	\$ -
Adjudication Fund	290,203	-
Total Restricted Net Position	<u>\$ 290,903</u>	<u>\$ -</u>

**NOTE 15 DEFERRED COMPENSATION SAVINGS PLAN**

For the benefit of its employees, the District participates in two defined contribution 457 Deferred Compensation Programs (Programs). The purpose of these Programs is to provide deferred compensation for public employees that elect to participate in the Programs. Generally, eligible employees may defer receipt of a portion of their salary until termination, retirement, death, or unforeseeable emergency. Until the funds are paid or otherwise made available to the employee, the employee is not obligated to report the deferred salary for income tax purposes.

Federal law requires deferred compensation assets to be held in trust for the exclusive benefit of the participants. Accordingly, the District is in compliance with this legislation. Therefore, these assets are not the legal property of the District and are not subject to claims of the District's general creditors. Since the District has little administrative involvement and does not perform the investing function for this plan, the assets and related liabilities are not shown on the accompanying financial statements. The District makes no contributions to these plans.

**NOTE 16 RISK MANAGEMENT**

The District is exposed to various risks of loss related to torts, theft of, damage to and destruction of assets; errors and omissions; injuries to employees; natural disasters; and terrorism. The District is self-insured for the first \$25,000 of general and auto liabilities for each occurrence, and the excess (up to \$10,000,000) per occurrence and in the aggregate) is covered through the purchase of an insurance policy. Employment practices liability coverage is self-insured for the \$25,000, and the excess (up to \$5,000,000 per occurrence and in the aggregate) is covered through the insurance policy.

The District is a member CSAC Excess Insurance Authority (Authority) for its workers' compensation coverage. The District is self-insured for the first \$125,000 of each occurrence, and the Authority finances \$5,000,000 per occurrence. The District purchased additional excess coverage layers of \$95 million which increases the limits set forth by the Authority.

**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 16 RISK MANAGEMENT (CONTINUED)**

Settled claims have not exceeded any of the coverage amounts in any of the last three fiscal years and there were no reductions in the District’s insurance coverage during the years ending June 30, 2021, 2020, and 2019. Liabilities are recorded when it is probable that a loss has been incurred and the amount of the loss can be reasonably estimated net of the respective insurance coverage. Liabilities include an amount for claims that have been incurred but not reported (IBNR). There were no IBNR claims payable as of June 30, 2021, 2020, and 2019.

**NOTE 17 COMMITMENTS AND CONTINGENCIES**

**State Water Contract**

Estimates of the District’s share of the project fixed costs of the State Water Project (SWP) are provided annually by the State. The estimates are subject to future increases or decreases resulting from changes in planned facilities, refinements in cost estimates, and inflation.

During the next five years, payments under the State Water Contract, exclusive of variable power costs, are currently estimated by the State to be as follows:

<u>Fiscal Year</u>	<u>Amount</u>
2022	\$ 1,135,687
2023	1,091,527
2024	1,102,866
2025	1,094,337
2026	1,091,954
Total	<u>\$ 5,516,371</u>

As of June 30, 2021, the District has expended \$24.7 million since the District started participating in the State Water Contract.

According to the State’s latest estimates, the District’s long-term obligations (25% share) under the contract, for capital and minimum operations and maintenance costs, including interest to the year 2035, are as follows:

	<u>State Water Contract Long-Term Obligations</u>
Transportation Facilities	\$ 16,934,233
Conservation Facilities	6,416,468
Off-Aqueduct Power Facilities	1,332,303
Revenue Bond Surcharge	6,275
Total Long-Term SWP Contract Obligations	<u>\$ 24,689,279</u>



**CASITAS MUNICIPAL WATER DISTRICT  
NOTES TO BASIC FINANCIAL STATEMENTS  
JUNE 30, 2021 AND 2020**

**NOTE 17 COMMITMENTS AND CONTINGENCIES (CONTINUED)**

**State Water Contract (Continued)**

The amounts shown above do not contain any escalation or inflation and are subject to significant variation over time because the amounts are based on a number of assumptions and are contingent on future events. Accordingly, none of the estimated long-term obligations are recorded as liabilities in the accompanying basic financial statements.

There are other pending actions that may adversely impact the District's ability to control the sale of water transported through the SWP into its service area. The impact on future revenues of such actions cannot be determined.

**Grant Awards**

Grant funds received by the District are subject to audit by the grantor agencies. Such audit could lead to requests for reimbursements to the grantor agencies for expenditures disallowed under terms of the grant. Management of the District believes that such disallowances, if any, would not be significant.

**Litigation**

In the ordinary course of operations, the District is subject to claims and litigation from outside parties. After consultation with legal counsel, the District believes the ultimate outcome of such matters, if any, will not materially affect its financial condition.

**COVID-19**

On January 30, 2020, the World Health Organization (WHO) announced a global health emergency because of an outbreak of a new strain of coronavirus (the COVID-19 outbreak) and the risks that is posed to the international community as the virus spread globally beyond its point of origin. In March 2020, the WHO classified the COVID-19 outbreak as a pandemic based on the rapid increase in exposure globally. The full impact of the COVID-19 outbreak continues to evolve as of the date of this report. As such, it is uncertain as to the full magnitude that the pandemic will have on the District's financial condition, liquidity, and future results of operations. Management is actively monitoring the impact of the global situation on the District's financial condition, liquidity, operations and workforce. The District cannot estimate the length or gravity of the impact of the COVID-19 outbreak at this time.

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**REQUIRED SUPPLEMENTARY INFORMATION**

**CASITAS MUNICIPAL WATER DISTRICT  
SCHEDULE OF PROPORTIONATE SHARE OF THE NET PENSION LIABILITY  
LAST 10 FISCAL YEARS\***

Fiscal Year Ended	June 30, 2021	June 30, 2020
Measurement Period	June 30, 2020	June 30, 2019
District's Proportion of the Net Pension Liability	0.088110%	0.084990%
District's Proportionate Share of the Net Pension Liability	\$ 9,586,888	\$ 8,708,942
District's Covered Payroll	\$ 5,955,380	\$ 5,931,424
District's Proportionate Share of the Net Pension Liability as a Percentage of its Covered Payroll	160.98%	146.83%
District's Proportionate Share of Fiduciary Net Position as a Percentage of the Plan's Total Pension Liability	76.08%	75.26%

Notes to Schedule:

Benefit Changes:

There were no changes in benefits.

Changes in Assumptions:

From fiscal year June 30, 2015 to June 30, 2016:

GASB 68, paragraph 68 states that the long-term expected rate of return should be determined net of pension plan investment expense but without reduction for pension plan administrative expense. The discount rate of 7.50% used for the June 30, 2014 measurement date was net of administrative expenses. The discount rate of 7.65% used for the June 30, 2015 measurement date is without reduction of pension plan administrative expense.

From fiscal year June 30, 2016 to June 30, 2017:

There were no changes in assumptions.

From fiscal year June 30, 2017 to June 30, 2018:

The discount rate was reduced from 7.65% to 7.15%.

From fiscal year June 30, 2018 to June 30, 2021:

There were no significant changes in assumptions.

\* - Fiscal year 2015 was the 1st year of implementation, therefore only seven years are shown.

**CASITAS MUNICIPAL WATER DISTRICT  
SCHEDULE OF PROPORTIONATE SHARE OF THE NET PENSION LIABILITY (CONTINUED)  
LAST 10 FISCAL YEARS\***

Fiscal Year Ended	June 30, 2019	June 30, 2018	June 30, 2017	June 30, 2016	June 30, 2015
Measurement Period	June 30, 2018	June 30, 2017	June 30, 2016	June 30, 2015	June 30, 2014
District's Proportion of the Net Pension Liability	0.081300%	0.080015%	0.077286%	0.067262%	0.086030%
District's Proportionate Share of the Net Pension Liability	\$ 7,834,700	\$ 7,935,268	\$ 6,687,600	\$ 4,616,826	\$ 5,353,339
District's Covered Payroll	\$ 5,467,811	\$ 4,602,594	\$ 4,334,649	\$ 4,123,809	\$ 3,866,484
District's Proportionate Share of the Net Pension Liability as a Percentage of its Covered Payroll	143.29%	172.41%	154.28%	111.96%	138.45%
District's Proportionate Share of Fiduciary Net Position as a Percentage of the Plan's Total Pension Liability	78.45%	77.91%	80.01%	85.60%	85.60%

Notes to Schedule:

Benefit Changes:

There were no changes in benefits.

Changes in Assumptions:

From fiscal year June 30, 2015 to June 30, 2016:

GASB 68, paragraph 68 states that the long-term expected rate of return should be determined net of pension plan investment expense but without reduction for pension plan administrative expense. The discount rate of 7.50% used for the June 30, 2014 measurement date was net of administrative expenses. The discount rate of 7.65% used for the June 30, 2015 measurement date is without reduction of pension plan administrative expense.

From fiscal year June 30, 2016 to June 30, 2017:

There were no changes in assumptions.

From fiscal year June 30, 2017 to June 30, 2018:

The discount rate was reduced from 7.65% to 7.15%.

From fiscal year June 30, 2018 to June 30, 2021:

There were no significant changes in assumptions.

\* - Fiscal year 2015 was the 1st year of implementation, therefore only seven years are shown.

**CASITAS MUNICIPAL WATER DISTRICT  
SCHEDULE OF CONTRIBUTIONS TO THE PENSION PLAN  
LAST 10 FISCAL YEARS\***

Fiscal year ended	<u>June 30, 2021</u>	<u>June 30, 2020</u>
Contractually required contribution (actuarially determined)	\$ 1,218,701	\$ 1,021,010
Contributions in relation to the actuarially determined contributions	<u>(1,218,701)</u>	<u>(1,021,010)</u>
Contribution deficiency (excess)	<u>\$ -</u>	<u>\$ -</u>
Covered payroll	\$ 6,796,786	\$ 5,955,380
Contributions as a percentage of covered payroll	17.93%	17.14%

Notes to Schedule:

Valuation Date	6/30/2018	6/30/2017
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**Methods and Assumptions Used to Determine Contribution Rates:**

Actuarial cost method	Entry age	Entry age
Amortization method	(1)	(1)
Asset valuation method	Fair Value	Fair Value
Inflation	2.500%	2.625%
Salary increases	(2)	(2)
Investment rate of return	7.00% (3)	7.25% (3)
Retirement age	(4)	(4)
Mortality	(5)	(5)

- (1) Level percentage of payroll, closed
- (2) Depending on age, service, and type of employment
- (3) Net of pension plan investment expense, including inflation
- (4) 50 for all plans with the exception of 52 for Miscellaneous PEPRA 2%@62
- (5) Mortality assumptions are based on mortality rates resulting from the most recent CalPERS Experience Study adopted by the CalPERS Board.

\* - Fiscal year 2015 was the 1st year of implementation, therefore only seven years are shown.

**CASITAS MUNICIPAL WATER DISTRICT  
SCHEDULE OF CONTRIBUTIONS TO THE PENSION PLAN (CONTINUED)  
LAST 10 FISCAL YEARS\***

Fiscal year ended	<u>June 30, 2019</u>	<u>June 30, 2018</u>	<u>June 30, 2017</u>	<u>June 30, 2016</u>	<u>June 30, 2015</u>
Contractually required contribution (actuarially determined)	\$ 829,079	\$ 689,022	\$ 555,953	\$ 465,843	\$ 340,790
Contributions in relation to the actuarially determined contributions	<u>(829,079)</u>	<u>(689,022)</u>	<u>(555,953)</u>	<u>(465,843)</u>	<u>(340,790)</u>
Contribution deficiency (excess)	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Covered payroll	\$ 5,931,424	\$ 5,467,811	\$ 4,602,594	\$ 4,334,649	\$ 4,123,809
Contributions as a percentage of covered payroll	13.98%	12.60%	12.08%	10.75%	8.26%

Notes to Schedule:

Valuation Date	6/30/2016	6/30/2015	6/30/2014	6/30/2013	6/30/2012
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**Methods and Assumptions Used to Determine Contribution Rates:**

Actuarial cost method	Entry age	Entry age	Entry age	Entry age	Entry age
Amortization method	(1)	(1)	(1)	(1)	(1)
Asset valuation method	Fair Value	Fair Value	Fair Value	Fair Value	15 Year Smoothed Market Method
Inflation	2.75%	2.75%	2.75%	2.75%	2.75%
Salary increases	(2)	(2)	(2)	(2)	(2)
Investment rate of return	7.375% (3)	7.50% (3)	7.50% (3)	7.50% (3)	7.50% (3)
Retirement age	(4)	(4)	(4)	(4)	(4)
Mortality	(5)	(5)	(5)	(5)	(5)

- (1) Level percentage of payroll, closed
- (2) Depending on age, service, and type of employment
- (3) Net of pension plan investment expense, including inflation
- (4) 50 for all plans with the exception of 52 for Miscellaneous PEPRA 2%@62
- (5) Mortality assumptions are based on mortality rates resulting from the most recent CalPERS Experience Study adopted by the CalPERS Board.

\* - Fiscal year 2015 was the 1st year of implementation, therefore only seven years are shown.

**CASITAS MUNICIPAL WATER DISTRICT  
SCHEDULE OF CHANGES IN THE NET OPEB LIABILITY AND RELATED RATIOS  
LAST 10 FISCAL YEARS\***

Fiscal Year Ended	<u>June 30, 2021</u>	<u>June 30, 2020</u>	<u>June 30, 2019</u>	<u>June 30, 2018</u>
Measurement Period	June 30, 2020	June 30, 2019	June 30, 2018	June 30, 2017
<b>Total OPEB Liability:</b>				
Service cost	\$ 594,473	\$ 417,772	\$ 232,654	\$ 226,427
Interest on Total OPEB Liability	781,245	841,909	683,863	657,817
Changes of Assumptions	2,676,738	3,319,650	5,629,147	-
Differences Between Expected and Actual Experience	(2,588,440)	-	(259,672)	-
Benefit Payments, Including Refunds and the Implied Subsidy Benefit Payments	<u>(694,250)</u>	<u>(677,053)</u>	<u>(626,696)</u>	<u>(518,711)</u>
Net Change in Total OPEB Liability	769,766	3,902,278	5,659,296	365,533
Total OPEB Liability - Beginning of Year	<u>21,039,985</u>	<u>17,137,707</u>	<u>11,478,411</u>	<u>11,112,878</u>
Total OPEB Liability - End of Year (a)	<u>21,809,751</u>	<u>21,039,985</u>	<u>17,137,707</u>	<u>11,478,411</u>
<b>Plan Fiduciary Net Position:</b>				
Contributions - Employer	696,270	679,073	626,696	1,714,977
Net Investment Income	84,839	89,988	55,999	-
Administrative Expenses	(2,685)	(2,289)	(2,200)	-
Benefit Payments, Including Refunds and the Implied Subsidy Benefit Payments	<u>(694,250)</u>	<u>(677,053)</u>	<u>(626,696)</u>	<u>(518,711)</u>
Net Change in Plan Fiduciary Net Position	84,174	89,719	53,799	1,196,266
Plan Fiduciary Net Position - Beginning of Year	<u>1,339,784</u>	<u>1,250,065</u>	<u>1,196,266</u>	<u>-</u>
Plan Fiduciary Net Position - End of Year (b)	<u>1,423,958</u>	<u>1,339,784</u>	<u>1,250,065</u>	<u>1,196,266</u>
Net OPEB Liability - Ending (a)-(b)	<u>\$ 20,385,793</u>	<u>\$ 19,700,201</u>	<u>\$ 15,887,642</u>	<u>\$ 10,282,145</u>
Plan fiduciary Net Position as a Percentage of the Total OPEB Liability	6.53%	6.37%	7.29%	10.42%
Covered Employee Payroll	\$ 5,955,380	\$ 5,931,424	\$ 5,467,811	\$ 4,602,594
Net OPEB Liability as Percentage of Covered Employee Payroll	342.31%	332.13%	290.57%	223.40%

Notes to Schedule:

Benefit Changes:

There were no changes in benefits.

Changes in Assumptions:

Discount rate was updated 2.53% 3.67% 4.89% 6.00%  
Removed the liability for Affordable Care Act excise tax due to repeal in December 2019 from fiscal year June 30, 2020 to June 30, 2021.

Mortality improvement scale was updated from Scale MP-2018 to Scale MP-2020 from fiscal year June 30, 2020 to June 30, 2021.

Kaiser Senior Advantage plan medical trend was decreased from 6.5% for 2020 for the fiscal year ended June 30, 2020 to 5.0% for 2022 for the fiscal year ended June 30, 2021.

\* Fiscal year 2018 was the first year of implementation; therefore, only four years are shown.



**CASITAS MUNICIPAL WATER DISTRICT  
SCHEDULE OF CONTRIBUTIONS TO THE OPEB PLAN  
LAST 10 FISCAL YEARS\***

Fiscal Year Ended	<u>June 30, 2021</u>	<u>June 30, 2020</u>	<u>June 30, 2019</u>	<u>June 30, 2018</u>
Actuarially Determined Contribution	\$ 1,273,193	\$ 1,372,064	\$ 1,331,790	\$ 1,714,977
Contributions in Relation to the Actuarially Determined Contributions	<u>(671,482)</u>	<u>(696,270)</u>	<u>(679,073)</u>	<u>(884,244)</u>
Contribution Deficiency (Excess)	<u>\$ 601,711</u>	<u>\$ 675,794</u>	<u>\$ 652,717</u>	<u>\$ 830,733</u>
Covered Employee Payroll	\$ 7,801,655	\$ 5,955,380	\$ 5,931,424	\$ 5,467,811
Contributions as a Percentage of Covered Employee Payroll	8.61%	11.69%	11.45%	16.17%

Notes to Schedule:

Valuation Date	6/30/2020	6/30/2018	6/30/2018	6/30/2017
Methods and Assumptions Used to Determine Contribution Rates:				
Actuarial Cost Method	Entry age	Entry age	Entry age	Entry age
Amortization Method	(1)	(1)	(1)	(1)
Asset Valuation Method	Fair Value	Fair Value	Fair Value	Fair Value
Discount Rate	2.53%	3.67%	4.89%	6.00%
Inflation	2.75%	2.75%	2.75%	2.75%
Salary Increases	3.00%	3.00%	3.00%	2.75%
Investment Rate of Return	5.50%	5.50%	5.50%	5.50%
Medical Trend	(5)	(2)	(2)	(2)
Mortality	(3)	(3)	(3)	(3)
Mortality Improvement	(6)	(4)	(4)	(4)

- (1) Level percentage of payroll, closed
- (2) Non-Medicare: 7.5% for 2020, decreasing to an ultimate rate of 4.0% in 2076  
Medicare: 6.5% for 2020, decreasing to an ultimate rate of 4.0% in 2076
- (3) CalPERS 1997-2015 experience study
- (4) Post-retirement mortality projected fully generational with Scale MP-2018
- (5) Non-Medicare: 7.5% for 2022, decreasing to an ultimate rate of 4.0% in 2076  
Medicare (Kaiser): 5.0% for 2022, decreasing to an ultimate rate of 4.0% in 2076  
Medicare (Other): 6.1% for 2022, decreasing to an ultimate rate of 4.0% in 2076
- (6) Post-retirement mortality projected fully generational with Scale MP-2020

\* - Fiscal year 2018 was the 1st year of implementation, therefore only four years are shown.

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## **SUPPLEMENTARY INFORMATION**

**CASITAS MUNICIPAL WATER DISTRICT  
SCHEDULE OF REVENUE, EXPENSES, AND CHANGES IN NET POSITION  
BUDGET TO ACTUAL  
YEAR ENDED JUNE 30, 2021**

	Final Budget	Actual	Variance Positive/ (Negative)
<b>OPERATING REVENUES</b>			
Retail Water Consumption	\$ 5,134,261	\$ 7,032,599	\$ 1,898,338
Wholesale Water Sales	1,524,040	2,462,897	938,857
Monthly Water Service Charge	4,519,654	5,027,142	507,488
Recreation Revenue	3,719,934	3,685,302	(34,632)
Other water charges and services	204,017	2,322,334	2,118,317
Total Operating Revenues	<u>15,101,906</u>	<u>20,530,274</u>	<u>5,428,368</u>
<b>OPERATING EXPENSES</b>			
Fisheries	510,234	611,328	(101,094)
Engineering	19,265,307	1,705,802	17,559,505
Water Treatment	2,125,762	2,055,465	70,297
Water Quality	881,127	788,802	92,325
Utilities Maintenance	874,331	998,651	(124,320)
Electrical Mechanical	3,344,539	3,119,031	225,508
Pipeline	1,714,560	1,923,244	(208,684)
Recreation Expenses	4,504,487	4,680,979	(176,492)
Operations Maintenance	594,422	681,238	(86,816)
General and Administrative	5,437,884	5,638,177	(200,293)
Change in Water-in-Storage Inventory	-	862,770	862,770
Total Operating Expenses	<u>39,252,653</u>	<u>23,065,487</u>	<u>17,912,706</u>
<b>OPERATING LOSS BEFORE DEPRECIATION</b>	<u>(24,150,747)</u>	<u>(2,535,213)</u>	<u>(12,484,338)</u>
Depreciation - Water Departments	-	(4,372,348)	4,372,348
Depreciation - Recreation Department	-	(301,518)	301,518
<b>OPERATING LOSS</b>	<u>(24,150,747)</u>	<u>(7,209,079)</u>	<u>(17,158,204)</u>
<b>NONOPERATING REVENUES (EXPENSES)</b>			
Property Taxes - Ad Valorem	2,375,549	2,661,798	286,249
Pass-Through Property Tax Increment	108,005	229,483	121,478
Property Tax Assessment for State Water Project	-	917,616	917,616
State Water Project Water Sales to Other Agencies	250,000	771,941	521,941
State Water Project Expense	-	(759,852)	(759,852)
CFD 2013-1 Assessment	2,713,976	2,810,939	96,963
Mira Monte Assessment	19,212	19,070	(142)
Tax Collection Expense	(39,000)	(43,386)	(4,386)
Investment Earnings	450,000	(20,657)	(470,657)
Interest Expense - Long-Term Debt	(3,029,239)	(2,348,841)	680,398
Amortization of Bond Insurance on CFD 2013-1	-	(22,413)	(22,413)
Bond and Administrative Fees	-	(5,270)	(5,270)
Adjudication Charge	-	584,095	584,095
Adjudication Costs	-	(293,892)	(293,892)
Other, Net	762,650	241,447	(521,203)
Total Nonoperating Revenues (Expenses), Net	<u>3,611,153</u>	<u>4,742,078</u>	<u>1,130,925</u>
<b>NET LOSS BEFORE CAPITAL CONTRIBUTIONS</b>	<u>(20,539,594)</u>	<u>(2,467,001)</u>	<u>(16,027,279)</u>
<b>CAPITAL CONTRIBUTIONS</b>			
Federal, State, and Local Grants	3,936,472	69,082	(3,867,390)
Total Capital Contributions	<u>3,936,472</u>	<u>69,082</u>	<u>(3,867,390)</u>
<b>CHANGE IN NET POSITION</b>	<u>\$ (16,603,122)</u>	<u>(2,397,919)</u>	<u>\$ (19,894,669)</u>
Net Position - Beginning of Year		<u>51,900,916</u>	
<b>NET POSITION - END OF YEAR</b>		<u>\$ 49,502,997</u>	

**CASITAS MUNICIPAL WATER DISTRICT  
SCHEDULE OF REVENUE, EXPENSES, AND CHANGES IN NET POSITION  
BUDGET TO ACTUAL  
YEAR ENDED JUNE 30, 2020**

	Final Budget	Actual	Variance Positive/ (Negative)
<b>OPERATING REVENUES</b>			
Retail Water Consumption	\$ 5,579,969	\$ 4,950,033	\$ (629,936)
Wholesale Water Sales	1,527,840	1,189,931	(337,909)
Monthly Water Service Charge	3,713,227	4,532,973	819,746
Recreation Revenue	4,029,049	2,547,147	(1,481,902)
Other Water Charges and Services	202,289	648,738	446,449
Total Operating Revenues	<u>15,052,374</u>	<u>13,868,822</u>	<u>(1,183,552)</u>
<b>OPERATING EXPENSES</b>			
Fisheries	483,370	643,362	(159,992)
Engineering	22,836,785	3,760,968	19,075,817
Water Treatment	2,362,934	2,159,537	203,397
Water Quality	790,624	759,507	31,117
Utilities Maintenance	760,786	858,103	(97,317)
Electrical Mechanical	4,334,397	2,579,106	1,755,291
Pipeline	1,933,432	1,776,037	157,395
Recreation Expenses	5,939,543	4,875,183	1,064,360
Operations Maintenance	535,691	602,664	(66,973)
General and Administrative	3,540,465	5,553,962	(2,013,497)
Change in Water-in-Storage Inventory	-	139,233	139,233
Total Operating Expenses	<u>43,518,027</u>	<u>23,707,662</u>	<u>20,088,831</u>
<b>OPERATING LOSS BEFORE DEPRECIATION</b>	<u>(28,465,653)</u>	<u>(9,838,840)</u>	<u>(21,272,383)</u>
Depreciation - Water Departments	-	(4,281,871)	4,281,871
Depreciation - Recreation Department	-	(318,181)	318,181
<b>OPERATING LOSS</b>	<u>(28,465,653)</u>	<u>(14,438,892)</u>	<u>(25,872,435)</u>
<b>NONOPERATING REVENUES (EXPENSES)</b>			
Property Taxes - Ad Valorem	2,259,862	2,496,711	236,849
Pass-Through Property Tax Increment	94,466	138,605	44,139
Property Tax Assessment for State Water Project	-	780,860	780,860
State Water Project Water Sales to Other Agencies	-	111,449	111,449
State Water Project Expense	-	(629,730)	(629,730)
CFD 2013-1 Assessment	2,657,884	2,703,730	45,846
Mira Monte Assessment	-	19,149	19,149
Tax Collection Expense	(38,200)	(42,176)	(3,976)
Investment Earnings	472,482	1,315,926	843,444
Interest Expense - Long-Term Debt	(2,310,404)	(2,201,167)	109,237
Amortization of Bond Insurance on CFD 2013-1	-	(18,349)	(18,349)
Cost of Debt Issuance	-	(276,062)	(276,062)
Bond and Administrative Fees	-	(2,750)	(2,750)
Other, Net	51,341	88,623	37,282
Total Nonoperating Revenues (Expenses), Net	<u>3,187,431</u>	<u>4,484,819</u>	<u>1,297,388</u>
<b>NET LOSS BEFORE CAPITAL CONTRIBUTIONS</b>	<u>(25,278,222)</u>	<u>(9,954,073)</u>	<u>(24,575,047)</u>
<b>CAPITAL CONTRIBUTIONS</b>			
Federal, State, and Local Grants	4,583,772	211,502	(4,372,270)
Total Capital Contributions	<u>4,583,772</u>	<u>211,502</u>	<u>(4,372,270)</u>
<b>CHANGE IN NET POSITION</b>	<u>\$ (20,694,450)</u>	<u>(9,742,571)</u>	<u>\$ (28,947,317)</u>
Net Position - Beginning of Year		<u>61,643,487</u>	
<b>NET POSITION - END OF YEAR</b>		<u>\$ 51,900,916</u>	

**CASITAS MUNICIPAL WATER DISTRICT  
COMBINING BALANCE SHEET  
JUNE 30, 2021**

	Operating Fund	Financing Fund	Improvement Assessment Fund
<b>ASSETS AND DEFERRED OUTFLOWS OF RESOURCES</b>			
<b>CURRENT ASSETS</b>			
Cash and Cash Equivalents	\$ 6,739,228	\$ -	\$ -
Investments	11,185,313	-	-
Accrued Interest Receivable	70,238	-	-
Accounts Receivable, Net	4,759,579	-	-
Due from Other Funds	-	11,206,666	225,857
Materials and Supplies Inventory	67,175	-	-
Prepaid expenses	917,998	-	-
<b>Total Current Assets</b>	<b>23,739,531</b>	<b>11,206,666</b>	<b>225,857</b>
<b>NONCURRENT ASSETS</b>			
Restricted - Cash and Cash Equivalents	11,067,448	-	-
Restricted - Special Assessments Receivable	-	-	700
Water-in-storage Inventory	8,671,703	-	-
Capital Assets - Not Being Depreciated	17,180,822	-	-
Capital Assets - Being Depreciated, Net	69,808,528	-	-
<b>Total Noncurrent Assets</b>	<b>106,728,501</b>	<b>-</b>	<b>700</b>
<b>Total Assets</b>	<b>130,468,032</b>	<b>11,206,666</b>	<b>226,557</b>
<b>DEFERRED OUTFLOWS OF RESOURCES</b>			
Deferred Loss on CFD 2013-1	3,276,786	-	-
OPEB Related Deferred Outflows of Resources	9,101,533	-	-
Pension Related Deferred Outflows of Resources	2,015,865	-	-
<b>Total Deferred Outflows of Resources</b>	<b>14,394,184</b>	<b>-</b>	<b>-</b>
<b>Total Assets and Deferred Outflows of Resources</b>	<b>\$ 144,862,216</b>	<b>\$ 11,206,666</b>	<b>\$ 226,557</b>
<b>LIABILITIES, DEFERRED INFLOWS OF RESOURCES, AND NET POSITION</b>			
<b>CURRENT LIABILITIES</b>			
Accounts Payable and Accrued Expenses	\$ 1,548,960	\$ -	\$ -
Deposits and Unearned Revenue	274,960	-	-
Accrued Interest Payable	777,881	-	-
Due to Other Funds	11,446,541	-	-
Long-Term Liabilities - Due Within One Year:			
Compensated Absences	415,200	-	-
Reimbursement Agreement	77,228	-	-
Long-Term Debt	739,217	-	-
<b>Total Current Liabilities</b>	<b>15,279,987</b>	<b>-</b>	<b>-</b>
<b>NONCURRENT LIABILITIES</b>			
Long-Term Liabilities - Due in More than One Year:			
Compensated Absences	622,800	-	-
Reimbursement Agreement	2,316,845	-	-
Long-Term Debt	56,298,340	-	-
Net OPEB Liability	20,385,793	-	-
Net Pension Liability	9,586,888	-	-
<b>Total Noncurrent Liabilities</b>	<b>89,210,666</b>	<b>-</b>	<b>-</b>
<b>Total Liabilities</b>	<b>104,490,653</b>	<b>-</b>	<b>-</b>
<b>DEFERRED INFLOWS OF RESOURCES</b>			
OPEB Related Deferred Outflows of Resources	2,485,981	-	-
Pension Related Deferred Outflows of Resources	106,011	-	-
<b>Total Deferred Inflows of Resources</b>	<b>2,591,992</b>	<b>-</b>	<b>-</b>
<b>NET POSITION</b>			
Net Investment in Capital Assets	37,569,004	-	-
Restricted for Improvement Assessment	-	-	700
Restricted for Adjudication	-	-	-
Unrestricted	210,567	11,206,666	225,857
<b>Total Net Position</b>	<b>37,779,571</b>	<b>11,206,666</b>	<b>226,557</b>
<b>Total Liabilities, Deferred Inflows of Resources, and Net Position</b>	<b>\$ 144,862,216</b>	<b>\$ 11,206,666</b>	<b>\$ 226,557</b>

**CASITAS MUNICIPAL WATER DISTRICT  
COMBINING BALANCE SHEETS (CONTINUED)  
JUNE 30, 2021**

	Adjudication Fund	Elimination for Financial Reporting	Total
<b>ASSETS AND DEFERRED OUTFLOWS OF RESOURCES</b>			
<b>CURRENT ASSETS</b>			
Cash and Cash Equivalents	\$ 218,359	\$ -	\$ 6,957,587
Investments	-	-	11,185,313
Accrued Interest Receivable	-	-	70,238
Accounts Receivable, Net	100,050	-	4,859,629
Due from Other Funds	14,018	(11,446,541)	-
Materials and Supplies Inventory	-	-	67,175
Prepaid expenses	-	-	917,998
Total Current Assets	<u>332,427</u>	<u>(11,446,541)</u>	<u>24,057,940</u>
<b>NONCURRENT ASSETS</b>			
Restricted - Cash and Cash Equivalents	-	-	11,067,448
Restricted - Special Assessments Receivable	-	-	700
Water-in-storage Inventory	-	-	8,671,703
Capital Assets - Not Being Depreciated	-	-	17,180,822
Capital Assets - Being Depreciated, Net	-	-	69,808,528
Total Noncurrent Assets	<u>-</u>	<u>-</u>	<u>106,729,201</u>
Total Assets	<u>332,427</u>	<u>(11,446,541)</u>	<u>130,787,141</u>
<b>DEFERRED OUTFLOWS OF RESOURCES</b>			
Deferred Loss on CFD 2013-1	-	-	3,276,786
OPEB Related Deferred Outflows of Resources	-	-	9,101,533
Pension Related Deferred Outflows of Resources	-	-	2,015,865
Total Deferred Outflows of Resources	<u>-</u>	<u>-</u>	<u>14,394,184</u>
Total Assets and Deferred Outflows of Resources	<u>\$ 332,427</u>	<u>\$ (11,446,541)</u>	<u>\$ 145,181,325</u>
<b>LIABILITIES, DEFERRED INFLOWS OF RESOURCES, AND NET POSITION</b>			
<b>CURRENT LIABILITIES</b>			
Accounts Payable and Accrued Expenses	\$ 42,224	\$ -	\$ 1,591,184
Deposits and Unearned Revenue	-	-	274,960
Accrued Interest Payable	-	-	777,881
Due to Other Funds	-	(11,446,541)	-
Long-Term Liabilities - Due Within One Year:			-
Compensated Absences	-	-	415,200
Reimbursement Agreement	-	-	77,228
Long-Term Debt	-	-	739,217
Total Current Liabilities	<u>42,224</u>	<u>(11,446,541)</u>	<u>3,875,670</u>
<b>NONCURRENT LIABILITIES</b>			
Long-Term Liabilities - Due in More than One Year:			-
Compensated Absences	-	-	622,800
Reimbursement Agreement	-	-	2,316,845
Long-Term Debt	-	-	56,298,340
Net OPEB Liability	-	-	20,385,793
Net Pension Liability	-	-	9,586,888
Total Noncurrent Liabilities	<u>-</u>	<u>-</u>	<u>89,210,666</u>
Total Liabilities	<u>42,224</u>	<u>(11,446,541)</u>	<u>93,086,336</u>
<b>DEFERRED INFLOWS OF RESOURCES</b>			
OPEB Related Deferred Outflows of Resources	-	-	2,485,981
Pension Related Deferred Outflows of Resources	-	-	106,011
Total Deferred Inflows of Resources	<u>-</u>	<u>-</u>	<u>2,591,992</u>
<b>NET POSITION</b>			
Net Investment in Capital Assets	-	-	37,569,004
Restricted for Improvement Assessment	-	-	700
Restricted for Adjudication	290,203	-	290,203
Unrestricted	-	-	11,643,090
Total Net Position	<u>290,203</u>	<u>-</u>	<u>49,502,997</u>
Total Liabilities, Deferred Inflows of Resources, and Net Position	<u>\$ 332,427</u>	<u>\$ (11,446,541)</u>	<u>\$ 145,181,325</u>

**CASITAS MUNICIPAL WATER DISTRICT  
COMBINING BALANCE SHEET  
JUNE 30, 2020**



**CASITAS MUNICIPAL WATER DISTRICT  
COMBINING BALANCE SHEET  
JUNE 30, 2020**

	Operating Fund	Financing Fund	Improvement Assessment Fund
<b>ASSETS AND DEFERRED OUTFLOWS OF RESOURCES</b>			
<b>CURRENT ASSETS</b>			
Cash and Cash Equivalents	\$ 4,997,466	\$ -	\$ -
Investments	14,594,051	-	-
Accrued Interest Receivable	84,570	-	-
Accounts Receivable, Net	3,393,373	-	-
Due from Other Funds	-	10,955,355	228,052
Materials and Supplies Inventory	120,360	-	-
Prepaid Expenses	778,296	-	-
Total Current Assets	<u>23,968,116</u>	<u>10,955,355</u>	<u>228,052</u>
<b>NONCURRENT ASSETS</b>			
Restricted - Cash and Cash Equivalents	14,136,135	-	-
Water-in-Storage Inventory	9,534,473	-	-
Capital Assets - Not Being Depreciated	14,128,730	-	-
Capital Assets - Being Depreciated, Net	71,144,277	-	-
Total Noncurrent Assets	<u>108,943,615</u>	<u>-</u>	<u>-</u>
Total Assets	<u>132,911,731</u>	<u>10,955,355</u>	<u>228,052</u>
<b>DEFERRED OUTFLOWS OF RESOURCES</b>			
Deferred Loss on CFD 2013-1	3,482,657	-	-
OPEB Related Deferred Outflows of Resources	7,845,322	-	-
Pension Related Deferred Outflows of Resources	2,046,489	-	-
Total Deferred Outflows of Resources	<u>13,374,468</u>	<u>-</u>	<u>-</u>
Total Assets and Deferred Outflows of Resources	<u>\$ 146,286,199</u>	<u>\$ 10,955,355</u>	<u>\$ 228,052</u>
<b>LIABILITIES, DEFERRED INFLOWS OF RESOURCES, AND NET POSITION</b>			
<b>CURRENT LIABILITIES</b>			
Accounts Payable and Accrued Expenses	\$ 3,003,316	\$ -	\$ -
Deposits and Unearned Revenue	216,542	-	-
Accrued Interest Payable	782,407	-	-
Due to Other Funds	11,183,407	-	-
Long-Term Liabilities - Due Within One Year:			
Compensated Absences	376,249	-	-
Reimbursement Agreement	77,228	-	-
Assessment Bonds Payable	-	-	19,500
Long-Term Debt	703,553	-	-
Total Current Liabilities	<u>16,342,702</u>	<u>-</u>	<u>19,500</u>
<b>NONCURRENT LIABILITIES</b>			
Long-Term Liabilities - Due in More than One Year:			
Compensated Absences	564,374	-	-
Reimbursement Agreement	2,394,073	-	-
Long-Term Debt	57,094,960	-	-
Net OPEB Liability	19,700,201	-	-
Net Pension Liability	8,708,942	-	-
Total Noncurrent Liabilities	<u>88,462,550</u>	<u>-</u>	<u>-</u>
Total Liabilities	<u>104,805,252</u>	<u>-</u>	<u>19,500</u>
<b>DEFERRED INFLOWS OF RESOURCES</b>			
OPEB Related Deferred Outflows of Resources	203,122	-	-
Pension Related Deferred Outflows of Resources	540,816	-	-
Total Deferred Inflows of Resources	<u>743,938</u>	<u>-</u>	<u>-</u>
<b>NET POSITION</b>			
Net Investment in Capital Assets	36,991,071	-	-
Unrestricted	3,745,938	10,955,355	208,552
Total Net Position	<u>40,737,009</u>	<u>10,955,355</u>	<u>208,552</u>
Total Liabilities, Deferred Inflows of Resources, and Net Position	<u>\$ 146,286,199</u>	<u>\$ 10,955,355</u>	<u>\$ 228,052</u>

**CASITAS MUNICIPAL WATER DISTRICT  
COMBINING BALANCE SHEET (CONTINUED)  
JUNE 30, 2020**

**CASITAS MUNICIPAL WATER DISTRICT  
COMBINING BALANCE SHEET (CONTINUED)  
JUNE 30, 2020**

	Elimination for Financial Reporting	Total
<b>ASSETS AND DEFERRED OUTFLOWS OF RESOURCES</b>		
<b>CURRENT ASSETS</b>		
Cash and Cash Equivalents	\$ -	\$ 4,997,466
Investments	-	14,594,051
Accrued Interest Receivable	-	84,570
Accounts Receivable, Net	-	3,393,373
Due from Other Funds	(11,183,407)	-
Materials and Supplies Inventory	-	120,360
Prepaid Expenses	-	778,296
Total Current Assets	(11,183,407)	23,968,116
<b>NONCURRENT ASSETS</b>		
Restricted - Cash and Cash Equivalents	-	14,136,135
Water-in-Storage Inventory	-	9,534,473
Capital Assets - Not Being Depreciated	-	14,128,730
Capital Assets - Being Depreciated, Net	-	71,144,277
Total Noncurrent Assets	-	108,943,615
Total Assets	(11,183,407)	132,911,731
<b>DEFERRED OUTFLOWS OF RESOURCES</b>		
Deferred Loss on CFD 2013-1	-	3,482,657
OPEB Related Deferred Outflows of Resources	-	7,845,322
Pension Related Deferred Outflows of Resources	-	2,046,489
Total Deferred Outflows of Resources	-	13,374,468
Total Assets and Deferred Outflows of Resources	\$ (11,183,407)	\$ 146,286,199
<b>LIABILITIES, DEFERRED INFLOWS OF RESOURCES, AND NET POSITION</b>		
<b>CURRENT LIABILITIES</b>		
Accounts Payable and Accrued Expenses	\$ -	\$ 3,003,316
Deposits and Unearned Revenue	-	216,542
Accrued Interest Payable	-	782,407
Due to Other Funds	(11,183,407)	-
Long-Term Liabilities - Due Within One Year:		
Compensated Absences	-	376,249
Reimbursement Agreement	-	77,228
Assessment Bonds Payable	-	19,500
Long-Term Debt	-	703,553
Total Current Liabilities	(11,183,407)	5,178,795
<b>NONCURRENT LIABILITIES</b>		
Long-Term Liabilities - Due in More than One Year:		
Compensated Absences	-	564,374
Reimbursement Agreement	-	2,394,073
Long-Term Debt	-	57,094,960
Net OPEB Liability	-	19,700,201
Net Pension Liability	-	8,708,942
Total Noncurrent Liabilities	-	88,462,550
Total Liabilities	(11,183,407)	93,641,345
<b>DEFERRED INFLOWS OF RESOURCES</b>		
OPEB Related Deferred Outflows of Resources	-	203,122
Pension Related Deferred Outflows of Resources	-	540,816
Total Deferred Inflows of Resources	-	743,938
<b>NET POSITION</b>		
Net Investment in Capital Assets	-	36,991,071
Unrestricted	-	14,909,845
Total Net Position	-	51,900,916
Total Liabilities, Deferred Inflows of Resources, and Net Position	\$ (11,183,407)	\$ 146,286,199

**CASITAS MUNICIPAL WATER DISTRICT  
COMBINING STATEMENT OF REVENUE, EXPENSES, AND CHANGES IN NET POSITION  
FISCAL YEAR ENDED JUNE 30, 2021**

	Water Fund	Recreation Fund	Adjudication Fund	Total
<b>OPERATING REVENUES</b>				
Retail Water Consumption	\$ 7,032,599	\$ -	\$ -	\$ 7,032,599
Wholesale Water Sales	2,462,897	-	-	2,462,897
Monthly Water Service charge	5,027,142	-	-	5,027,142
Recreation Revenue	-	3,685,302	-	3,685,302
Other Water Charges and Services	2,322,334	-	-	2,322,334
Total Operating Revenues	<u>16,844,972</u>	<u>3,685,302</u>	<u>-</u>	<u>20,530,274</u>
<b>OPERATING EXPENSES</b>				
Fisheries	611,328	-	-	611,328
Engineering	1,705,802	-	-	1,705,802
Water Treatment	2,055,465	-	-	2,055,465
Water Quality	788,802	-	-	788,802
Utilities Maintenance	998,651	-	-	998,651
Electrical Mechanical	3,119,031	-	-	3,119,031
Pipeline	1,923,244	-	-	1,923,244
Recreation Expenses	-	4,680,979	-	4,680,979
Operations Maintenance	681,238	-	-	681,238
General and Administrative	5,638,177	-	-	5,638,177
Change in Water-in-Storage Inventory	862,770	-	-	862,770
Total Operating Expenses	<u>18,384,508</u>	<u>4,680,979</u>	<u>-</u>	<u>23,065,487</u>
<b>OPERATING LOSS BEFORE DEPRECIATION</b>	<u>(1,539,536)</u>	<u>(995,677)</u>	<u>-</u>	<u>(2,535,213)</u>
Depreciation - Water Departments	(4,372,348)	-	-	(4,372,348)
Depreciation - Recreation Department	-	(301,518)	-	(301,518)
<b>OPERATING INCOME (LOSS)</b>	<u>(5,911,884)</u>	<u>(1,297,195)</u>	<u>-</u>	<u>(7,209,079)</u>
<b>NONOPERATING REVENUES (EXPENSES)</b>				
Property Taxes - Ad Valorem	2,661,798	-	-	2,661,798
Pass-Through Property Tax Increment	229,483	-	-	229,483
Property Tax Assessment for State Water Project	917,616	-	-	917,616
State Water Project Water Sales to Other Agencies	771,941	-	-	771,941
State Water Project Expense	(759,852)	-	-	(759,852)
CFD 2013-1 Assessment	2,810,939	-	-	2,810,939
Mira Monte Assessment	19,070	-	-	19,070
Tax Collection Expense	(43,386)	-	-	(43,386)
Investment Earnings	(20,657)	-	-	(20,657)
Interest Expense - Long-Term Debt	(2,348,841)	-	-	(2,348,841)
Amortization of Bond Insurance on CFD 2013-1	(22,413)	-	-	(22,413)
Bond and Administrative Fees	(5,270)	-	-	(5,270)
Adjudication Charge	-	-	584,095	584,095
Adjudication Costs	-	-	(293,892)	(293,892)
Other, Net	241,447	-	-	241,447
Total Nonoperating Revenues (Expenses), Net	<u>4,451,875</u>	<u>-</u>	<u>290,203</u>	<u>4,742,078</u>
<b>NET INCOME (LOSS) BEFORE CAPITAL CONTRIBUTIONS</b>	<u>(1,460,009)</u>	<u>(1,297,195)</u>	<u>290,203</u>	<u>(2,467,001)</u>
<b>CAPITAL CONTRIBUTIONS</b>				
Federal, State, and Local Grants	17,888	51,194	-	69,082
Total Capital Contributions	<u>17,888</u>	<u>51,194</u>	<u>-</u>	<u>69,082</u>
<b>CHANGE IN NET POSITION</b>	<u>\$ (1,442,121)</u>	<u>\$ (1,246,001)</u>	<u>\$ 290,203</u>	<u>\$ (2,397,919)</u>

**CASITAS MUNICIPAL WATER DISTRICT  
COMBINING STATEMENT OF REVENUE, EXPENSES, AND CHANGES IN NET POSITION  
FISCAL YEAR ENDED JUNE 30, 2020**

	Water Fund	Recreation Fund	Total
<b>OPERATING REVENUES</b>			
Retail Water Consumption	\$ 4,950,033	\$ -	\$ 4,950,033
Wholesale Water Sales	1,189,931	-	1,189,931
Monthly Water Service Charge	4,532,973	-	4,532,973
Recreation Revenue	-	2,547,147	2,547,147
Other Water Charges and Services	648,738	-	648,738
Total Operating Revenues	<u>11,321,675</u>	<u>2,547,147</u>	<u>13,868,822</u>
<b>OPERATING EXPENSES</b>			
Fisheries	643,362	-	643,362
Engineering	3,760,968	-	3,760,968
Water Treatment	2,159,537	-	2,159,537
Water Quality	759,507	-	759,507
Utilities Maintenance	858,103	-	858,103
Electrical Mechanical	2,579,106	-	2,579,106
Pipeline	1,776,037	-	1,776,037
Recreation Expenses	-	4,875,183	4,875,183
Operations Maintenance	602,664	-	602,664
General and Administrative	5,553,962	-	5,553,962
Change in Water-in-Storage Inventory	139,233	-	139,233
Total Operating Expenses	<u>18,832,479</u>	<u>4,875,183</u>	<u>23,707,662</u>
<b>OPERATING LOSS BEFORE DEPRECIATION</b>	<u>(7,510,804)</u>	<u>(2,328,036)</u>	<u>(9,838,840)</u>
Depreciation - Water Departments	(4,281,871)	-	(4,281,871)
Depreciation - Recreation Department	-	(318,181)	(318,181)
<b>OPERATING LOSS</b>	<u>(11,792,675)</u>	<u>(2,646,217)</u>	<u>(14,438,892)</u>
<b>NONOPERATING REVENUES (EXPENSES)</b>			
Property Taxes - Ad Valorem	2,496,711	-	2,496,711
Pass-Through Property Tax Increment	138,605	-	138,605
Property Tax Assessment for State Water Project	780,860	-	780,860
State Water Project Water Sales to Other Agencies	111,449	-	111,449
State Water Project Expense	(629,730)	-	(629,730)
CFD 2013-1 Assessment	2,703,730	-	2,703,730
Mira Monte Assessment	19,149	-	19,149
Tax Collection Expense	(42,176)	-	(42,176)
Investment Earnings	1,315,926	-	1,315,926
Interest expense - Long-Term Debt	(2,201,167)	-	(2,201,167)
Amortization of Bond Insurance on CFD 2013-1	(18,349)	-	(18,349)
Cost of Debt Issuance	(276,062)	-	(276,062)
Bond and Administrative Fees	(2,750)	-	(2,750)
Other, Net	88,623	-	88,623
Total Nonoperating Revenues (Expenses), Net	<u>4,484,819</u>	<u>-</u>	<u>4,484,819</u>
<b>NET INCOME (LOSS) BEFORE CAPITAL CONTRIBUTIONS</b>	<u>(7,307,856)</u>	<u>(2,646,217)</u>	<u>(9,954,073)</u>
<b>CAPITAL CONTRIBUTIONS</b>			
Federal, State, and Local Grants	4,557	206,945	211,502
Total Capital Contributions	<u>4,557</u>	<u>206,945</u>	<u>211,502</u>
<b>CHANGE IN NET POSITION</b>	<u>\$ (7,303,299)</u>	<u>\$ (2,439,272)</u>	<u>\$ (9,742,571)</u>

**CASITAS MUNICIPAL WATER DISTRICT  
 DETAIL SCHEDULES OF OPERATING EXPENSES  
 UTILITY DEPARTMENT  
 FISCAL YEARS ENDED JUNE 30, 2021 AND 2020**

	<u>2021</u>	<u>2020</u>
<b>FISHERIES</b>		
Clothing and Personal Supplies	\$ 1,409	\$ 820
Communications	3,946	3,148
Computer Upgrades - Hardware and Software	1,324	2,546
District Equipment	4,766	9,573
Education and Training	3,000	3,258
Insurance - Aflac Service Fee	195	193
Insurance - EQP	89	89
Insurance - Workers' Compensation	292	916
Memberships and Dues	-	105
OPEB and Pension	62,210	39,231
Outside Contracts	1,281	49
Postage	292	988
Pre-Employment Screening	77	-
Private Vehicle Mileage	907	260
Salaries and Benefits	503,574	533,208
Services and Supplies	12,171	33,680
Travel	15,795	15,298
Total Fisheries	<u>611,328</u>	<u>643,362</u>
<b>ENGINEERING</b>		
Clothing and Personal Supplies	1,066	1,077
Communications	5,994	6,258
Computer Upgrades	8,329	19,650
Education and Training	575	2,543
District Equipment	3,358	9,816
Insurance	373	370
Licenses and Permits	76,207	112,434
Membership Dues	10,848	13,406
Office Supplies	546	509
OPEB and Pension	139,611	88,511
Other Professional Fees	207	-
Outside Contracts	-	2,288,910
Postage	253	393
Pre-employment Screening	-	90
Private Vehicle Mileage	832	765
Purchased Water	550	-
Safety Program	-	103
Salaries and Benefits	924,157	1,103,323
Service and Supplies	532,833	111,789
Small Tools	63	-
Travel	-	1,021
Total Engineering	<u>1,705,802</u>	<u>3,760,968</u>

**CASITAS MUNICIPAL WATER DISTRICT  
 DETAIL SCHEDULES OF OPERATING EXPENSES (CONTINUED)  
 UTILITY DEPARTMENT  
 FISCAL YEARS ENDED JUNE 30, 2021 AND 2020**

	2021	2020
<b>WATER TREATMENT</b>		
Ammonia	\$ 19,625	\$ 13,374
Caustics	67,871	45,785
Chlorine	77,865	69,377
Clothing and Personal Supplies	6,345	5,745
Communications	13,142	11,137
Computer Upgrades - Hardware and Software	1,093	4,396
District Equipment	12,796	26,769
Education and Training	893	1,903
Ferric	12,157	5,622
Insurance	433	429
Licenses and Permits	6,649	13,183
Liquid Oxygen	118,710	129,531
Office Supplies	-	104
OPEB and Pension	195,975	130,734
Outside Contracts	91,978	93,802
Polymer	42,922	40,753
Postage	623	645
Pre-employment Screening	92	-
Private Vehicle Mileage	-	63
Safety Program	1,401	-
Salaries and Benefits	1,159,666	1,336,262
Service and Supplies	103,624	115,456
Small Tools	2,053	1,027
Travel	481	917
Utilities	119,071	110,946
Workers' Compensation	-	1,577
Total Water Treatment	2,055,465	2,159,537
<b>WATER QUALITY</b>		
Advertising and Legal Notices	408	-
Clothing and Personal Supplies	1,083	981
Communications	4,239	2,139
Computer Upgrades - Hardware and Software	2,677	2,505
District Equipment	10,503	8,066
Education and Training	928	281
Insurance	89	96
Licenses and Permits	35,565	35,110
Membership and Dues	140	144
OPEB and Pension	87,817	58,884
Outside Contracts	108,353	146,346
Postage	670	793
Pre-Employment Screening	32	137
Printing and Binding	106	168
Salaries and Benefits	505,116	476,220
Service and Supplies	30,682	27,637
Small Tools	304	-
Travel	90	-
Total Water Quality	788,802	759,507

**CASITAS MUNICIPAL WATER DISTRICT  
 DETAIL SCHEDULES OF OPERATING EXPENSES (CONTINUED)  
 UTILITY DEPARTMENT  
 FISCAL YEARS ENDED JUNE 30, 2021 AND 2020**

	<u>2021</u>	<u>2020</u>
<b>UTILITIES MAINTENANCE</b>		
Clothing and Personal Supplies	\$ 6,128	\$ 5,098
Communications	3,789	5,222
District Equipment	42,031	45,446
Education and Training	2,702	4,825
Insurance	254	161
Licenses and Permits	215	340
OPEB and Pension	101,764	71,361
Outside Contracts	2,873	4,699
Private Vehicle Mileage	-	68
Salaries and Benefits	729,483	650,826
Service and Supplies	92,325	65,762
Small Tools	16,161	2,539
Travel	926	1,756
Total Utilities Maintenance	<u>998,651</u>	<u>858,103</u>
<b>ELECTRICAL MECHANICAL</b>		
Books and Publications	-	475
Clothing and Personal Supplies	3,883	4,132
Communications	11,721	11,389
Computer Upgrades - Hardware and Software	9,085	6,250
District Equipment	31,695	20,631
Education and Training	1,434	5,260
Insurance	149	104
Licenses and Permits	95,483	69,960
OPEB and Pension	133,877	62,819
Outside Contracts	272,658	178,131
Postage	-	23
Power Purchased	1,484,880	1,226,365
Pre-Employment Screening	32	137
Salaries and Benefits	887,716	803,958
Service and Supplies	129,583	98,892
Small Tools	854	3,301
Travel	866	306
Utilities	23,287	23,493
Workers' Compensation	31,828	63,480
Total Electrical Mechanical	<u>3,119,031</u>	<u>2,579,106</u>



**CASITAS MUNICIPAL WATER DISTRICT  
 DETAIL SCHEDULES OF OPERATING EXPENSES (CONTINUED)  
 UTILITY DEPARTMENT  
 FISCAL YEARS ENDED JUNE 30, 2021 AND 2020**

	2021	2020
<b>OPERATIONS MAINTENANCE</b>		
Clothing and Personal Supplies	\$ 7,261	\$ 3,969
Communications	1,730	1,611
District Equipment	38,159	20,300
Education and Training	260	2,201
Insurance - Aflac	32	-
Insurance - EAP	114	89
Insurance - Workers' Compensation	195	-
Licenses and Permits	84	90
OPEB and Pension	82,854	53,820
Outside Contracts	96,046	73,193
Pre-Employment Screening	77	77
Private Vehicle Mileage	-	231
Salaries and Benefits	394,337	369,100
Service and Supplies	52,305	71,935
Small Tools	7,784	5,565
Travel	-	483
Total Operations Maintenance	681,238	602,664
<b>PIPELINE</b>		
Advertising	-	449
Clothing and Personal Supplies	4,909	8,226
Communications	4,176	6,380
Computer Upgrades	760	332
Education and Training	6,785	3,076
District Equipment	70,942	77,938
Insurance - Aflac	163	193
Insurance - EAP	205	168
Insurance - Workers' Compensation	953	2,450
Licenses and Permits	805	2,056
Office Supplies	-	34
OPEB and Pension	175,898	105,213
Outside Contracts	232,210	236,858
Postage	-	42
Pre-Employment Screening	-	509
Printing	-	368
Private Vehicle Mileage	118	-
Property Losses for Operation	1,051	(64)
Salaries and Benefits	985,602	974,169
Service and Supplies	399,338	339,534
Small Tools	30,341	11,875
Travel	5,990	2,453
Utilities	2,998	3,778
Total Pipeline	1,923,244	1,776,037

**CASITAS MUNICIPAL WATER DISTRICT  
 DETAIL SCHEDULES OF OPERATING EXPENSES (CONTINUED)  
 UTILITY DEPARTMENT  
 FISCAL YEARS ENDED JUNE 30, 2021 AND 2020**

	2021	2020
<b>GENERAL AND ADMINISTRATIVE</b>		
Advertising and Legal Notices	\$ 6,431	\$ 7,606
Bad Debt Provision	50,877	86,981
Bank Charges	110,541	87,637
Books and Publications	7,424	7,739
Clothing and Personal Supplies	2,130	1,294
Communications	60,427	84,086
Computer Upgrades - Hardware and Software	39,135	63,778
Directors Election Fees	11,469	-
District Equipment	19,774	18,531
Education and Training	12,224	11,739
Gains/losses on Inventory	61,460	(11,579)
Insurance - Aflac	1,015	772
Insurance - EAP	544	438
Insurance - Liability	74,142	70,697
Interest Penalty	1,201	-
Licenses and Permits	7,922	6,886
Memberships and Dues	97,233	112,807
Office Equipment Maintenance	6,333	7,801
Office Supplies	11,391	16,900
OPEB and Pension	862,018	706,688
Other Operating Expense	30	57,796
Other Professional Services	213,586	458,446
Outside Contracts	454,779	416,315
Petty Cash (Over)/Short	-	136
Postage	5,698	9,527
Pre-Employment Screening	-	807
Printing and Binding	40,592	20,627
Private Vehicle Mileage	94	3,846
Public Information	-	321
Purchased Water	2,617	2,182
Safety Program	516	726
Salaries and Benefits	3,726,060	3,556,547
Service and Supplies	85,695	87,192
Small Tools	39	107
Travel	63	4,216
Utilities	41,391	30,928
Vehicle Costs Direct	282,739	148,891
Workers' Compensation	141,285	231,115
Costs Applied	(276,462)	(232,328)
Administrative Overhead Burden	(524,236)	(524,236)
Total General and Administrative	5,638,177	5,553,962
<b>CHANGE IN WATER-IN-STORAGE INVENTORY</b>		
Change in Water-in-Storage Inventory	862,770	139,233
Total Change in Water-in-Storage Inventory	862,770	139,233
<b>DEPRECIATION EXPENSE</b>		
Water Department	4,372,348	4,281,871
Total Depreciation Expense	4,372,348	4,281,871
Total Operating Expenses - Water Department	\$ 22,756,856	\$ 23,114,350

**CASITAS MUNICIPAL WATER DISTRICT  
 DETAIL SCHEDULES OF OPERATING REVENUES AND EXPENSES  
 RECREATION DEPARTMENT  
 FISCAL YEARS ENDED JUNE 30, 2021 AND 2020**

<b>RECREATION REVENUE</b>	<u>2021</u>	<u>2020</u>
Animal Permit	\$ 23,767	\$ 12,095
Bad Debt Collection Recovery	91	-
Boat Fees - Annual	39,775	20,646
Boat Fees - Daily	13,635	5,793
Boat Fees - Overnight	711	205
Boat Inspection Fees - Quagga	3,845	1,605
Boat Lock Revenue - Quagga	4,338	2,600
Boat Rental - Concession	103,721	49,196
Café - Concession	37,314	24,078
Camping Fees	2,185,588	986,775
Commercials	-	1,250
Event Reimbursement	-	2,410
Events	12,898	25,161
Gift Cards and Certificates	1,584	191
Guest Pass	-	(100)
Impound Fee	-	70
Kayak and Canoes Annual	4,548	3,022
Kayak and Canoes Daily	20	73
Miscellaneous Revenue	2,081	1,247
Over/Short - Recreation	246	191
Over/Short - Water Park	-	(144)
Park Store	68,939	39,860
Rain Checks	-	(130)
Reservations	170,780	66,867
Shower Facility Fees	8,631	35,013
Snow Bird Pumping	4,220	4,564
Trailer Storage Fees	274,895	213,596
Vehicle Fees - Daily	490,254	307,475
Violation Ordinance Fees	26,180	2,125
Visitor Cards	207,241	125,492
Water Park - Group Pass Fees	-	(1,272)
Water Park - Guest Pass	-	(153)
Water Park - Junior Lifeguard	-	2,250
Water Park - Late Day Pass Fee	-	80,275
Water Park - Lifeguard Training	-	588
Water Park - Locker Fee	-	906
Water Park - Next Day Pass Fee	-	(512)
Water Park - Promotion	-	(208)
Water Park - Rain Checks	-	(622)
Water Park - Reservation Fee	-	33,671
Water Park - Season Pass Fee	-	4,445
Water Park - Shade Rental Fee	-	5,245
Water Park - Shower Facility Fee	-	14
Water Park - Single Splash Fee	-	478,361
Water Park - Special Event Fee	-	114
Water Park - Water Fitness Fee	-	4,884
Water Park - Snack Bar	-	7,935
Total Recreation Revenue	<u>3,685,302</u>	<u>2,547,147</u>

**CASITAS MUNICIPAL WATER DISTRICT  
 DETAIL SCHEDULES OF OPERATING REVENUES AND EXPENSES (CONTINUED)  
 RECREATION DEPARTMENT  
 FISCAL YEARS ENDED JUNE 30, 2021 AND 2020**

	2021	2020
<b>RECREATION EXPENSES</b>		
Administrative Overhead Burden	\$ 524,236	\$ 524,236
Advertising and Legal Notices	150	702
Chemicals - Water Playground	903	1,683
Chlorine	-	14,991
Clothing and Personal Supplies	14,845	12,161
Communications	24,564	22,553
Computer Upgrades - Hardware and Software	33,328	10,991
Credit Card Fees	94,935	87,034
District Equipment	181,463	128,109
Education and Training	2,988	9,141
Insurance	700	872
Insurance - Workers' Compensation	36,420	67,694
Licenses and Permits	595	3,548
Memberships and Dues	1,561	767
Office Supplies	1,206	4,871
OPEB and Pension	343,984	251,319
Other Operating Expenses	-	38,316
Other Professional Services	6,560	14,590
Outside Contracts	182,560	151,079
Postage	1,233	1,737
Pre-Employment Screening	1,266	1,916
Printing and Binding	5,614	6,226
Private Vehicle Mileage	217	58
Public Information Program	15,872	10,540
Purchased Water	145,396	70,479
Safety Program	4,177	-
Salaries and Benefits	2,708,927	3,163,479
Service and Supplies	202,436	129,454
Small Tools	22,774	15,707
Travel	903	1,402
Utilities	121,166	129,528
Total Recreation Expenses	4,680,979	4,875,183
Recreation Operating Loss before Depreciation	(995,677)	(2,328,036)
Depreciation - Recreation Department	(301,518)	(318,181)
Recreation Operating Loss	\$ (1,297,195)	\$ (2,646,217)

**CASITAS MUNICIPAL WATER DISTRICT  
 DETAIL SCHEDULES OF OPERATING REVENUES AND EXPENSES  
 ADJUDICATION FUND  
 FISCAL YEARS ENDED JUNE 30, 2021 AND 2020**

	2021	2020
<b>OPERATING REVENUES</b>	\$ -	\$ -
<b>OPERATING EXPENSES</b>	-	-
<b>OPERATING INCOME (LOSS)</b>	-	-
<b>NONOPERATING REVENUES (EXPENSES)</b>		
Adjudication Charge	584,095	-
Adjudication Costs	(293,892)	-
Total Nonoperating Revenues (Expenses), Net	290,203	-
<b>CHANGE IN NET POSITION</b>	\$ 290,203	\$ -

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**STATISTICAL SECTION**

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**CASITAS MUNICIPAL WATER DISTRICT  
OVERVIEW OF STATISTICAL INFORMATION  
PRESENTED IN FIVE CATEGORIES**

**Overview of Statistical Information Presented in Five Categories**

Financial Trend Information- Intended to assist users in understanding and assessing how a districts financial position has changed over time.

Revenue Capacity Information- Intended to assist users in understanding and assessing the factors affecting a districts ability to generate own revenue.

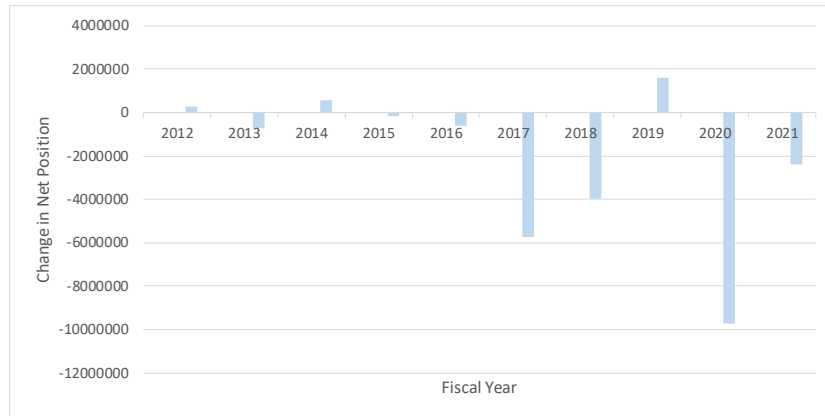
Debt Capacity Information- Intended to assist users in understanding and assessing a districts debt burden and its ability to issue additional debt.

Demographic and Economic Information- Intended to assist users in understanding the socioeconomic environment within which a district operates and to provide information that facilitates comparison of financial statement information over time and among agencies.

Operating Information- Intended to provide information about a District's operations and resources in order to assist readers in using financial statement information to understand and assess an agencies economic condition.

**CASITAS MUNICIPAL WATER DISTRICT  
CHANGES IN NET POSITION BY COMPONENT  
LAST 10 FISCAL YEARS**

	Fiscal Year			
	2012	2013	2014	2015
Changes in net position:				
Operating revenues	\$ 11,645,576	\$ 13,212,527	\$ 14,923,271	\$ 14,530,148
Operating expenses	(12,047,019)	(13,639,029)	(14,238,444)	(14,449,076)
Depreciation and amortization	(3,097,495)	(3,084,521)	(3,152,038)	(3,164,097)
<b>Operating Income (loss)</b>	<b>\$ (3,498,938)</b>	<b>\$ (3,511,023)</b>	<b>\$ (2,467,211)</b>	<b>\$ (3,083,025)</b>
Non-operating revenues (expenses)				
Property taxes	2,025,655	2,147,033	2,192,072	2,309,270
Clean water act surcharge	1,554,698	462,896	566,610	490,989
CFD 2013-1 assessment	-	-	-	-
Bond and Administrative Fees	-	-	-	-
Mira Monte assessment	17,630	19,783	31,797	19,434
Oak View availability charge	293	232	-	-
Property tax collection expense	(30,158)	(31,284)	(8,360)	(31,610)
Investment income (loss)	449,707	(164,338)	281,850	227,483
State water project expense	(382,908)	(517,749)	(451,590)	(696,576)
Interest expense & Amortization of deferred loss and bond insurance	(94,969)	(87,015)	(79,124)	(70,887)
Acquisition expense of CFD 2013-1	-	-	-	-
Cost of debt issuance	-	-	-	-
Adjudication	-	-	-	-
Other revenue(expense), net	12,454	(20,137)	24,506	179,498
Total non-operating revenues (expenses),net	3,552,402	1,809,421	2,557,761	2,427,601
<b>Net Income Before capital contributions</b>	<b>53,464</b>	<b>(1,701,602)</b>	<b>90,550</b>	<b>(655,424)</b>
Capital contributions	232,755	990,526	489,071	484,674
<b>Change in net position</b>	<b>\$ 286,219</b>	<b>\$ (711,076)</b>	<b>\$ 579,621</b>	<b>\$ (170,750)</b>
Net position by component:				
Net investment in capital assets	\$ 55,501,696	\$ 54,428,683	\$ 53,612,183	\$ 53,488,631
Restricted	199,890	180,151	153,708	134,267
Unrestricted	26,218,749	26,600,425	28,022,990	17,311,073
Total net position	<b>\$ 81,920,335</b>	<b>\$ 81,209,259</b>	<b>\$ 81,788,881</b>	<b>\$ 70,933,971</b>



**Notes:**

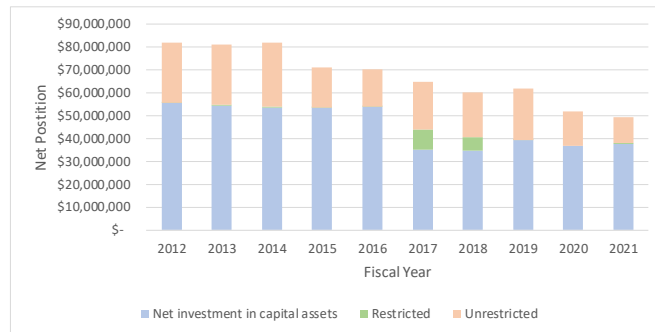
FY2015 the District made a prior period adjustment of \$(10,684,160)

FY2018 the District made a prior period adjustment of \$(597,799)

**Source:** Casitas Municipal Water District Administration Department

**CASITAS MUNICIPAL WATER DISTRICT  
CHANGES IN NET POSITION BY COMPONENT (CONTINUED)  
LAST 10 FISCAL YEARS**

	Fiscal Year					
	2016	2017	2018	2019	2020	2021
Changes in net position:						
Operating revenues	\$ 12,869,735	\$ 12,758,081	\$ 14,829,805	\$ 14,622,822	\$ 13,868,822	\$ 20,530,274
Operating expenses	(15,125,091)	(12,752,327)	(17,651,671)	(15,204,627)	(23,707,662)	(23,065,487)
Depreciation and amortization	(3,174,681)	(3,736,067)	(4,195,538)	(4,116,269)	(4,600,052)	(4,673,866)
<b>Operating Income (loss)</b>	<b>\$ (5,430,037)</b>	<b>\$ (3,730,313)</b>	<b>\$ (7,017,404)</b>	<b>\$ (4,698,074)</b>	<b>\$ (14,438,892)</b>	<b>\$ (7,209,079)</b>
Non-operating revenues (expenses)						
Property taxes	2,292,477	2,258,529	2,408,940	2,549,312	2,635,316	2,891,281
Clean water act surcharge	730,400	151,501	369,167	728,773	780,860	917,616
CFD 2013-1 assessment	454,543	601,938	2,592,342	2,653,389	2,703,730	2,810,939
Bond and Administrative Fees	-	-	-	-	(2,750)	(5,270)
Mira Monte assessment	19,049	19,280	19,012	19,159	19,149	19,070
Oak View availability charge	-	-	-	-	-	-
Property tax collection expense	(32,050)	(27,679)	(38,038)	(39,366)	(42,176)	(43,386)
Investment income (loss)	718,495	(342,956)	(84,090)	1,413,695	1,315,926	(20,657)
State water project expense	(183,384)	(266,509)	(616,152)	33,189	(518,281)	12,089
Interest expense & Amortization of deferred loss and bond insurance	(62,438)	(187,096)	(1,859,860)	(1,646,282)	(2,219,516)	(2,371,254)
Acquisition expense of CFD 2013-1	-	(3,975,600)	-	-	-	-
Cost of debt issuance	-	(539,160)	-	-	(276,062)	-
Adjudication	-	-	-	-	-	290,203
Other revenue(expense), net	41,386	71,382	42,651	62,385	88,623	241,447
<b>Total non-operating revenues (expenses),net</b>	<b>3,978,478</b>	<b>(2,236,370)</b>	<b>2,833,972</b>	<b>5,774,254</b>	<b>4,484,819</b>	<b>4,742,078</b>
<b>Net Income Before capital contributions</b>	<b>(1,451,559)</b>	<b>(5,966,683)</b>	<b>(4,183,432)</b>	<b>1,076,180</b>	<b>(9,954,073)</b>	<b>(2,467,001)</b>
Capital contributions	844,524	230,644	220,264	537,395	211,502	69,082
<b>Change in net position</b>	<b>\$ (607,035)</b>	<b>\$ (5,736,039)</b>	<b>\$ (3,963,168)</b>	<b>\$ 1,613,575</b>	<b>\$ (9,742,571)</b>	<b>\$ (2,397,919)</b>
Net position by component:						
Net investment in capital assets	\$ 53,720,578	\$ 35,176,319	\$ 34,740,555	\$ 39,302,535	\$ 36,991,071	\$ 37,569,004
Restricted	115,220	8,510,347	5,848,185	19,296	-	290,903
Unrestricted	16,491,138	20,904,213	19,441,172	22,321,656	14,909,845	11,643,909
<b>Total net position</b>	<b>\$ 70,326,936</b>	<b>\$ 64,590,879</b>	<b>\$ 60,029,912</b>	<b>\$ 61,643,487</b>	<b>\$ 51,900,916</b>	<b>\$ 49,502,997</b>

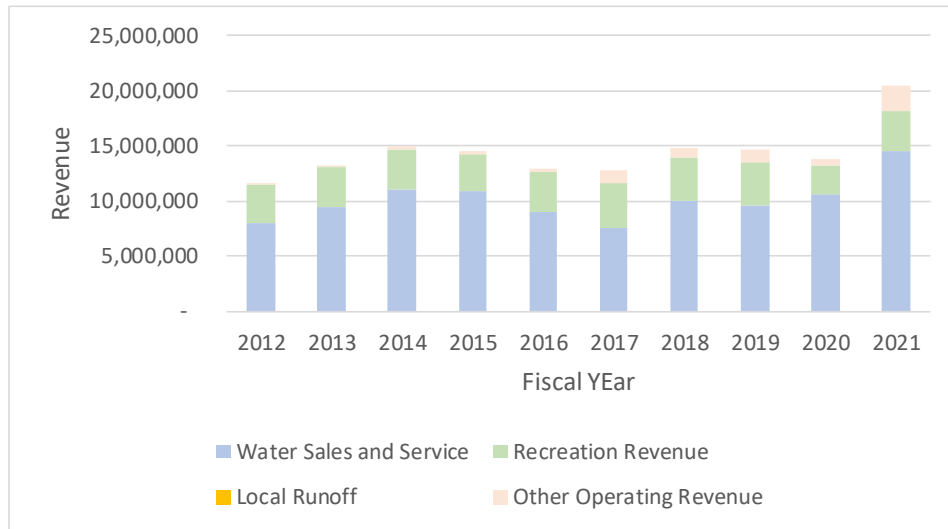


**Notes:**  
 FY2015 the District made a prior period adjustment of \$(10,684,160).  
 FY2018 the District made a prior period adjustment of \$(597,799).

**Source:** Casitas Municipal Water District Administration Department

**CASITAS MUNICIPAL WATER DISTRICT  
OPERATING REVENUES BY SOURCE  
LAST 10 FISCAL YEARS**

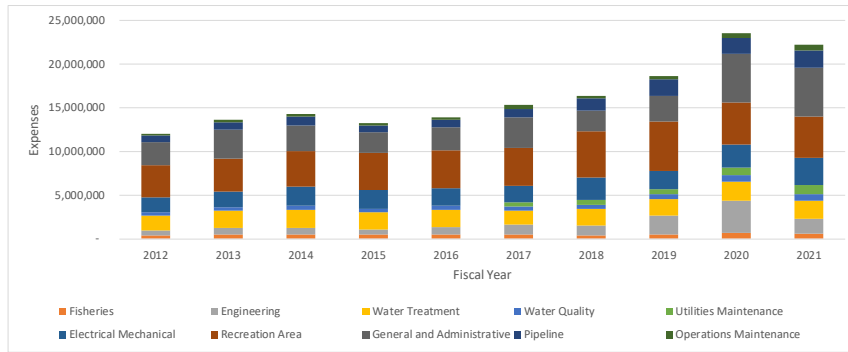
<b>Fiscal Year</b>	<b>Water Sales and Service</b>	<b>Recreation Revenue</b>	<b>Local Runoff</b>	<b>Other Operating Revenue</b>	<b>Total Operating Revenue</b>
2012	7,944,558	3,599,744	-	101,274	11,645,576
2013	9,461,356	3,637,050	-	114,121	13,212,527
2014	11,092,279	3,625,800	-	205,192	14,923,271
2015	10,868,054	3,443,089	-	219,005	14,530,148
2016	8,988,387	3,592,600	-	288,748	12,869,735
2017	7,542,239	4,027,340	-	1,188,502	12,758,081
2018	10,053,355	3,906,797	-	869,653	14,829,805
2019	9,578,074	3,894,552	-	1,150,196	14,622,822
2020	10,672,937	2,547,147	-	648,738	13,868,822
2021	14,522,638	3,685,302	-	2,322,334	20,530,274



**Source:** Casitas Municipal Water District Administration Department

## CASITAS MUNICIPAL WATER DISTRICT OPERATING EXPENSES BY ACTIVITY LAST 10 FISCAL YEARS

Fiscal Year											Change in Water-	Total Operating Expenses
	Fisheries	Engineering	Water Treatment	Water Quality	Utilities Maintenance	Electrical Mechanical	Pipeline	Recreation Area	Operations Maintenance	General and Administrative	in-Storage Inventory <sup>(1)</sup>	
2012	401,163	580,972	1,699,345	364,717	-	1,668,558	716,644	3,661,680	247,495	2,706,445	-	\$ 12,047,019
2013	451,328	822,774	1,928,677	433,191	-	1,793,011	855,364	3,750,665	285,629	3,318,390	-	\$ 13,639,029
2014	487,378	784,436	2,086,332	408,791	-	2,244,456	1,006,192	4,025,112	237,135	2,958,612	-	\$ 14,238,444
2015	501,653	539,144	1,963,913	435,012	-	2,152,174	756,673	4,253,578	296,690	2,378,449	1,171,790	\$ 14,449,076
2016	468,372	894,991	1,998,923	399,504	-	2,029,702	893,950	4,362,941	291,810	2,590,938	1,193,960	\$ 15,125,091
2017	539,967	1,087,229	1,612,303	469,457	466,052	1,875,587	998,872	4,378,097	419,103	3,460,827	(2,555,167)	\$ 12,752,327
2018	430,066	1,134,293	1,844,420	459,489	585,524	2,519,062	1,371,117	5,353,874	306,035	2,368,786	1,279,005	\$ 17,651,671
2019	508,342	2,145,325	1,857,252	605,329	564,996	2,096,916	1,829,649	5,687,798	419,895	2,916,901	(3,427,776)	\$ 15,204,627
2020	643,362	3,760,968	2,159,537	759,507	858,103	2,579,106	1,776,037	4,875,183	602,664	5,553,962	139,233	\$ 23,707,662
2021	611,328	1,705,802	2,055,465	788,802	998,651	3,119,031	1,923,244	4,680,979	681,238	5,638,177	862,770	\$ 23,065,487



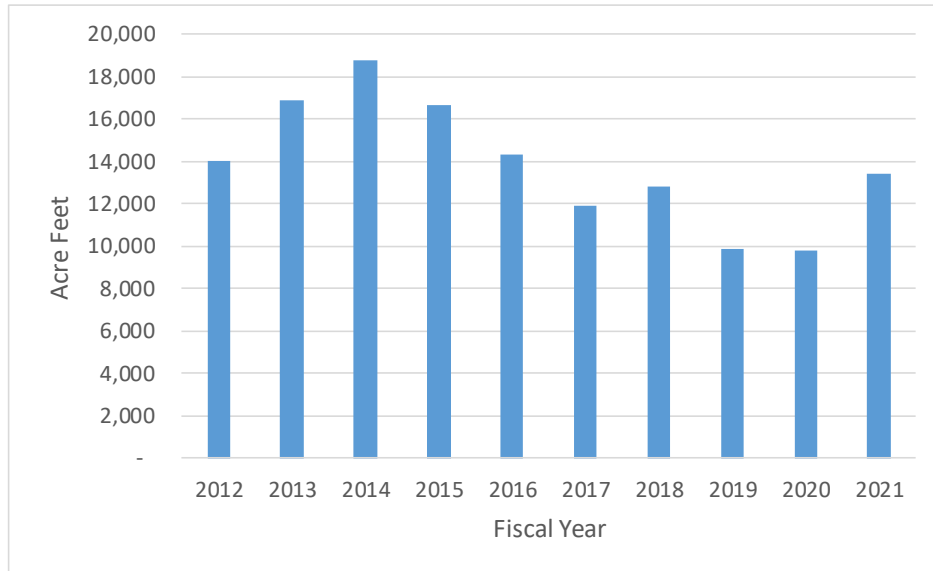
**Notes:**

(1) FY2015 a prior period adjustment in the amount of \$3,690,410 was booked to account for the change in water-in-storage for the period July 1, 2011 to June 30, 2014

Source: Casitas Municipal Water District Administration Department

**CASITAS MUNICIPAL WATER DISTRICT  
REVENUE BASE  
LAST 10 FISCAL YEARS**

<b>Fiscal Year</b>	<b>Water Sales (Acre Feet)</b>
2012	14,054
2013	16,883
2014	18,778
2015	16,648
2016	14,345
2017	11,891
2018	12,853
2019	9,905
2020	9,824
2021	13,404



**Source:** Casitas Municipal Water District Administration Department

**CASITAS MUNICIPAL WATER DISTRICT  
REVENUE RATES  
FISCAL YEARS ENDED JUNE 30, 2012 AND 2017**

In fiscal year 2012, the District changed its rate structure as follows:

RATE SCHEDULE - CLASS 1 SERVICE		FY12-13		FY14-17	
		Rate per Unit**		Rate per Unit**	
		GRAVITY	PUMPED	GRAVITY	PUMPED
Residential:					
Bi-Monthly Lifeline	0-20 Units	\$ 0.584	\$ 0.856	\$ 0.602	\$ 0.882
Bi-Monthly Lifeline	21-34 Units	\$ 1.033	\$ 1.305	\$ 1.064	\$ 1.344
Bi-Monthly Lifeline	35-100 Units	\$ 1.446	\$ 1.718	\$ 1.489	\$ 1.770
Bi-Monthly Lifeline	101 Units +	\$ 2.266	\$ 2.538	\$ 2.334	\$ 2.614
Business		\$ 1.297	\$ 1.570	\$ 1.336	\$ 1.617
Industrial		\$ 1.297	\$ 1.570	\$ 1.336	\$ 1.617
Resale		\$ 0.803	\$ 1.445	\$ 0.827	\$ 1.488
Other		\$ 1.297	\$ 1.570	\$ 1.336	\$ 1.617
Temporary		\$ 1.462	\$ 1.733	\$ 1.506	\$ 1.785
Recreation		\$ 1.297	\$ 1.570	\$ 1.336	\$ 1.617
RATE SCHEDULE - CLASS 3 SERVICE		Rate per Unit**		Rate per Unit**	
		GRAVITY	PUMPED	GRAVITY	PUMPED
Ag-Residential					
Monthly Lifeline	0-10 Units	\$ 0.584	\$ 0.856	\$ 0.602	\$ 0.882
Monthly Usage	11-17 Units	\$ 1.033	\$ 1.305	\$ 1.064	\$ 1.344
Monthly Usage	18-50 Units	\$ 1.446	\$ 1.718	\$ 1.489	\$ 1.770
Irrigation (AG)	51 Units +	\$ 0.606	\$ 0.878	\$ 0.624	\$ 0.904
<b>** One unit equals 100 cubic feet (748 gallons)</b>					
Cost per AF (example)	Irrigation	per AF = \$0.606 x 435.6 =	\$ 263.97	Gravity	
		per AF = \$0.878 x 435.6 =	\$ 382.46	Pumped	

**9.3.4 COMBINATION (CLASS C) SERVICE.** Where more than one class of water service or use is provided through a single connection, the General Manager shall make an equitable proration of rates and fees, such proration shall be conclusive unless appealed within 30 days by the customer to the Board, in which case the determination of the Board shall be conclusive.

METER SIZE		5/8"-3/4"	1"	1-1/2"	2"	2-1/2"	3"	4"	6"	Over 6"	
MAX CAPACITY	GPM	20-30	50	120	160	TEMP 300	320	1000	2000	over 2000	
RESIDENTIAL	Monthly	\$ 23.34	\$ 34.86	\$ 63.66	\$ 98.22	\$ 150.05	\$ 207.65	\$ 368.92	\$ 812.42	\$ 2.82751	per gpm
	Bi-Monthly	\$ 40.62	\$ 63.66	\$ 121.25	\$ 190.38	N/A	\$ 409.23	\$ 731.78	\$ 1,618.76	\$ 5.65502	per gpm
BUSINESS	Monthly	\$ 23.34	\$ 34.86	\$ 63.66	\$ 98.22	\$ 150.05	\$ 207.65	\$ 368.92	\$ 812.42	\$ 2.82751	per gpm
	Bi-Monthly	\$ 40.62	\$ 63.66	\$ 121.25	\$ 190.38	N/A	\$ 409.23	\$ 731.78	\$ 1,618.76	\$ 5.65502	per gpm
INDUSTRIAL	Monthly	\$ 23.34	\$ 34.86	\$ 63.66	\$ 98.22	\$ 150.05	\$ 207.65	\$ 368.92	\$ 812.42	\$ 2.82751	per gpm
	Bi-Monthly	\$ 40.62	\$ 63.66	\$ 121.25	\$ 190.38	N/A	\$ 409.23	\$ 731.78	\$ 1,618.76	\$ 5.65502	per gpm
IRRIGATION/ AG	Monthly	\$ 23.34	\$ 34.86	\$ 63.66	\$ 98.22	\$ 150.05	\$ 207.65	\$ 368.92	\$ 812.42	\$ 2.82751	per gpm
	Bi-Monthly	\$ 40.62	\$ 63.66	\$ 121.25	\$ 190.38	N/A	\$ 409.23	\$ 731.78	\$ 1,618.76	\$ 5.65502	per gpm
RESALE(G)	Monthly	\$ 23.34	\$ 34.86	\$ 63.66	\$ 98.22	\$ 150.05	\$ 207.65	\$ 368.92	\$ 812.42	\$ 2.82751	per gpm
	Bi-Monthly	\$ 40.62	\$ 63.66	\$ 121.25	\$ 190.38	N/A	\$ 409.23	\$ 731.78	\$ 1,618.76	\$ 5.65502	per gpm
RESALE(P)	Monthly	\$ 23.34	\$ 34.86	\$ 63.66	\$ 98.22	\$ 150.05	\$ 207.65	\$ 368.92	\$ 812.42	\$ 2.82751	per gpm
	Bi-Monthly	\$ 40.62	\$ 63.66	\$ 121.25	\$ 190.38	N/A	\$ 409.23	\$ 731.78	\$ 1,618.76	\$ 5.65502	per gpm
OTHER	Monthly	\$ 23.34	\$ 34.86	\$ 63.66	\$ 98.22	\$ 150.05	\$ 207.65	\$ 368.92	\$ 812.42	\$ 2.82751	per gpm
	Bi-Monthly	\$ 40.62	\$ 63.66	\$ 121.25	\$ 190.38	N/A	\$ 409.23	\$ 731.78	\$ 1,618.76	\$ 5.65502	per gpm
TEMPORARY	Monthly	\$ 23.34	\$ 34.86	\$ 63.66	\$ 98.22	\$ 150.05	\$ 207.65	\$ 368.92	\$ 812.42	\$ 2.82751	per gpm
	Bi-Monthly	\$ 40.62	\$ 63.66	\$ 121.25	\$ 190.38	N/A	\$ 409.23	\$ 731.78	\$ 1,618.76	\$ 5.65502	per gpm
RECREATION	Monthly	\$ 23.34	\$ 34.86	\$ 63.66	\$ 98.22	\$ 150.05	\$ 207.65	\$ 368.92	\$ 812.42	\$ 2.82751	per gpm
	Bi-Monthly	\$ 40.62	\$ 63.66	\$ 121.25	\$ 190.38	N/A	\$ 409.23	\$ 731.78	\$ 1,618.76	\$ 5.65502	per gpm

Source: Casitas Municipal Water District Administration Department

**CASITAS MUNICIPAL WATER DISTRICT  
REVENUE RATES  
FISCAL YEAR ENDED JUNE 30, 2018**

In fiscal year 2018, the Distict changed its rate structure as follows:

RATE SCHEDULE - CLASS 1 SERVICE			Rate per Unit**								
			GRAVITY	PUMPED							
Residential:											
Monthly Usage	0-10 Units	\$ 0.490	\$ 0.960								
Monthly Usage	11-50 Units	\$ 0.990	\$ 1.460								
Monthly Usage	50 Units+	\$ 1.890	\$ 2.360								
Business		\$ 0.990	\$ 1.460								
Industrial		\$ 0.990	\$ 1.460								
Resale		\$ 0.990	\$ 1.460								
Other		\$ 0.990	\$ 1.460								
Temporary		\$ 1.780	\$ 1.780								
Recreation		\$ 0.990	\$ 1.460								
RATE SCHEDULE - CLASS 3 SERVICE			Rate per Unit**								
			GRAVITY	PUMPED							
Ag-Residential											
Monthly Usage	0-10 Units	\$ 0.490	\$ 0.960								
Monthly Usage	11-17 Units	\$ 0.990	\$ 1.460								
Monthly Usage	18-50 Units+	\$ 0.620	\$ 1.090								
Irrigation (AG)		\$ 0.620	\$ 1.090								
<b>** One unit equals 100 cubic feet (748 gallons)</b>											
Cost per AF (example)	Irrigation	per AF = \$0.620 x 435.6 =	\$ 270.07	Gravity							
		per AF = \$1.090 x 435.6 =	\$ 474.80	Pumped							
<b>9.3.4 COMBINATION (CLASS C) SERVICE.</b> Where more than one class of water service or use is provided through a single connection, the General Manager shall make an equitable proration of rates and fees, such proration shall be conclusive unless appealed within 30 days by the customer to the Board, in which case the determination of the Board shall be conclusive.											
METER SIZE		5/8"-3/4"	1"	1-1/2"	2"	2-1/2"	3"	4"	6"	12"	18"
MAX CAPACITY	GPM	20-30	50	120	160	TEMP 300	320	1000	2000	N/A	N/A
RESIDENTIAL	Monthly	\$ 28.75	\$ 47.91	\$ 95.82	\$ 153.31	\$ 255.52	\$ 335.37	\$ 603.67	N/A	N/A	N/A
BUSINESS	Monthly	\$ 22.97	\$ 38.28	\$ 76.56	\$ 122.50	\$ 204.16	\$ 267.96	\$ 482.33	\$ 995.29	N/A	N/A
INDUSTRIAL	Monthly	\$ 20.54	\$ 34.24	\$ 68.47	\$ 109.55	\$ 182.59	\$ 239.65	\$ 431.36	N/A	N/A	N/A
IRRIGATION/ AG	Monthly	N/A	\$ 43.28	\$ 86.56	\$ 138.50	\$ 230.84	\$ 302.97	\$ 545.35	\$ 1,125.33	N/A	N/A
AG-DOMESTIC	Monthly	N/A	\$ 34.78	\$ 69.57	\$ 111.30	\$ 185.51	\$ 243.48	\$ 438.26	N/A	N/A	N/A
RESALE	Monthly	\$ 25.27	\$ 42.12	\$ 84.24	\$ 134.78	\$ 224.63	\$ 294.83	\$ 530.70	\$ 1,095.09	\$ 6,469.48	\$ 12,026.38
OTHER	Monthly	\$ 20.54	\$ 34.24	\$ 68.47	\$ 109.55	\$ 182.59	\$ 239.65	\$ 431.36	N/A	N/A	N/A
TEMPORARY	Monthly	N/A	N/A	N/A	N/A	\$ 150.05	N/A	N/A	N/A	N/A	N/A
RECREATION	Monthly	\$ 20.54	\$ 34.24	\$ 68.47	\$ 109.55	\$ 182.59	\$ 239.65	\$ 431.36	N/A	N/A	N/A

Source: Casitas Municipal Water District Administration Department



**CASITAS MUNICIPAL WATER DISTRICT  
REVENUE RATES  
FISCAL YEAR ENDED JUNE 30, 2019**

In fiscal year 2018, the Distict changed its rate structure as follows:

RATE SCHEDULE - CLASS 1 SERVICE		Rate per Unit**									
		GRAVITY	PUMPED								
Residential:											
Monthly Usage	0-10 Units	\$ 0.550	\$ 1.080								
Monthly Usage	11-50 Units	\$ 1.110	\$ 1.640								
Monthly Usage	50 Units+	\$ 2.120	\$ 2.640								
Business		\$ 1.110	\$ 1.640								
Industrial		\$ 1.110	\$ 1.640								
Resale		\$ 1.110	\$ 1.640								
Other		\$ 1.110	\$ 1.640								
Temporary		\$ 4.000	\$ 4.000								
Recreation		\$ 1.110	\$ 1.640								
RATE SCHEDULE - CLASS 3 SERVICE		Rate per Unit**									
		GRAVITY	PUMPED								
Ag-Residential											
Monthly Usage	0-10 Units	\$ 0.550	\$ 1.080								
Monthly Usage	11-17 Units	\$ 1.110	\$ 1.640								
Monthly Usage	18-50 Units+	\$ 0.690	\$ 1.220								
Irrigation (AG)		\$ 0.690	\$ 1.220								
<b>** One unit equals 100 cubic feet (748 gallons)</b>											
Cost per AF (example)	Irrigation	per AF = \$0.690 x 435.6 =	\$ 300.56 Gravity								
		per AF = \$1.220 x 435.6 =	\$ 531.43 Pumped								
<b>9.3.4 COMBINATION (CLASS C) SERVICE.</b> Where more than one class of water service or use is provided through a single connection, the General Manager shall make an equitable proration of rates and fees, such proration shall be conclusive unless appealed within 30 days by the customer to the Board, in which case the determination of the Board shall be conclusive.											
METER SIZE		5/8"-3/4"	1"	1-1/2"	2"	2-1/2"	3"	4"	6"	12"	18"
MAX CAPACITY	GPM	20-30	50	120	160	TEMP 300	320	1000	2000	N/A	N/A
RESIDENTIAL	Monthly	\$ 32.20	\$ 53.66	\$ 107.32	\$ 171.71	\$ 286.81	\$ 375.61	\$ 676.11	N/A	N/A	N/A
BUSINESS	Monthly	\$ 25.73	\$ 42.87	\$ 85.75	\$ 137.20	\$ 228.66	\$ 300.12	\$ 540.21	\$ 1,114.72	N/A	N/A
INDUSTRIAL	Monthly	\$ 23.00	\$ 38.35	\$ 76.69	\$ 122.70	\$ 204.50	\$ 268.41	\$ 483.12	N/A	N/A	N/A
IRRIGATION/ AG	Monthly	N/A	\$ 48.47	\$ 96.95	\$ 155.12	\$ 258.54	\$ 339.33	\$ 610.79	\$ 1,260.37	N/A	N/A
AG-DOMESTIC	Monthly	N/A	\$ 38.95	\$ 77.92	\$ 124.66	\$ 207.77	\$ 272.70	\$ 490.85	N/A	N/A	N/A
RESALE	Monthly	\$ 28.30	\$ 47.17	\$ 94.35	\$ 150.95	\$ 251.59	\$ 330.21	\$ 594.38	\$ 1,226.50	\$ 7,245.82	13,469.55
OTHER	Monthly	\$ 23.00	\$ 38.35	\$ 76.69	\$ 122.70	\$ 204.50	\$ 268.41	\$ 483.12	N/A	N/A	N/A
TEMPORARY	Monthly	N/A	N/A	N/A	N/A	\$ 150.00	N/A	N/A	N/A	N/A	N/A
RECREATION	Monthly	\$ 23.00	\$ 38.35	\$ 76.69	\$ 122.70	\$ 204.50	\$ 268.41	\$ 483.12	N/A	N/A	N/A

Source: Casitas Municipal Water District Administration Department

**CASITAS MUNICIPAL WATER DISTRICT  
REVENUE RATES  
FISCAL YEAR ENDED JUNE 30, 2020**

In fiscal year 2018, the District changed its rate structure as follows:

RATE SCHEDULE - CLASS 1 SERVICE			Rate per Unit**	
			GRAVITY	PUMPED
Residential:				
Monthly Usage	0-10 Units	\$ 0.620	\$ 1.210	
Monthly Usage	11-50 Units	\$ 1.240	\$ 1.840	
Monthly Usage	50 Units+	\$ 2.370	\$ 2.960	
Business		\$ 1.240	\$ 1.840	
Industrial		\$ 1.240	\$ 1.840	
Resale		\$ 1.240	\$ 1.840	
Other		\$ 1.240	\$ 1.840	
Temporary		\$ 4.000	\$ 4.000	
Recreation		\$ 1.240	\$ 1.840	
RATE SCHEDULE - CLASS 3 SERVICE			Rate per Unit**	
			GRAVITY	PUMPED
Ag-Residential				
Monthly Usage	0-10 Units	\$ 0.620	\$ 1.210	
Monthly Usage	11-17 Units	\$ 1.240	\$ 1.840	
Monthly Usage	18-50 Units+	\$ 0.770	\$ 1.370	
Irrigation (AG)		\$ 0.770	\$ 1.370	
<b>** One unit equals 100 cubic feet (748 gallons)</b>				
Cost per AF (example)	Irrigation	per AF = \$0.770 x 435.6 =	\$ 335.41	Gravity
		per AF = \$1.370 x 435.6 =	\$ 596.77	Pumped

**9.3.4 COMBINATION (CLASS C) SERVICE.** Where more than one class of water service or use is provided through a single connection, the General Manager shall make an equitable proration of rates and fees, such proration shall be conclusive unless appealed within 30 days by the customer to the Board, in which case the determination of the Board shall be conclusive.

METER SIZE		5/8"-3/4"	1"	1-1/2"	2"	2-1/2"	3"	4"	6"	12"	18"
MAX CAPACITY	GPM	20-30	50	120	160	TEMP 300	320	1000	2000	N/A	N/A
RESIDENTIAL	Monthly	\$ 36.06	\$ 60.10	\$ 120.20	\$ 192.32	\$ 320.52	\$ 420.68	\$ 757.24	N/A	N/A	N/A
BUSINESS	Monthly	\$ 28.82	\$ 480.10	\$ 96.04	\$ 153.66	\$ 256.10	\$ 336.13	\$ 605.04	\$ 1,248.49	N/A	N/A
INDUSTRIAL	Monthly	\$ 25.76	\$ 42.95	\$ 85.89	\$ 137.42	\$ 229.04	\$ 300.62	\$ 541.09	N/A	N/A	N/A
IRRIGATION/ AG	Monthly	N/A	\$ 54.29	\$ 108.58	\$ 173.73	\$ 289.56	\$ 380.05	\$ 684.08	\$ 1,411.61	N/A	N/A
AG-DOMESTIC	Monthly	N/A	\$ 43.62	\$ 87.27	\$ 139.62	\$ 232.70	\$ 305.42	\$ 549.75	N/A	N/A	N/A
RESALE	Monthly	\$ 31.70	\$ 52.83	\$ 105.67	\$ 169.06	\$ 281.78	\$ 369.84	\$ 665.71	\$ 1,373.68	\$ 8,115.32	\$ 15,085.90
OTHER	Monthly	\$ 25.76	\$ 42.95	\$ 85.89	\$ 137.42	\$ 229.04	\$ 300.62	\$ 541.09	N/A	N/A	N/A
TEMPORARY	Monthly	N/A	N/A	N/A	N/A	\$ 150.00	N/A	N/A	N/A	N/A	N/A
RECREATION	Monthly	\$ 25.76	\$ 42.95	\$ 85.89	\$ 137.42	\$ 229.04	\$ 300.62	\$ 541.09	N/A	N/A	N/A

Source: Casitas Municipal Water District Administration Department

**CASITAS MUNICIPAL WATER DISTRICT  
REVENUE RATES  
FISCAL YEAR ENDED JUNE 30, 2021**

In fiscal year 2018, the Distict changed its rate structure as follows:

RATE SCHEDULE - CLASS 1 SERVICE			Rate per Unit**	
			GRAVITY	PUMPED
Residential:				
Monthly Usage	0-10 Units	\$ 0.690	\$ 1.360	
Monthly Usage	11-50 Units	\$ 1.390	\$ 2.060	
Monthly Usage	50 Units+	\$ 2.650	\$ 3.320	
Business		\$ 1.390	\$ 2.060	
Industrial		\$ 1.390	\$ 2.060	
Resale		\$ 1.390	\$ 2.060	
Other		\$ 1.390	\$ 2.060	
Temporary		\$ 4.000	\$ 4.000	
Recreation		\$ 1.390	\$ 2.060	
RATE SCHEDULE - CLASS 3 SERVICE			Rate per Unit**	
			GRAVITY	PUMPED
Ag-Residential				
Monthly Usage	0-10 Units	\$ 0.690	\$ 1.360	
Monthly Usage	11-17 Units	\$ 1.390	\$ 2.060	
Monthly Usage	18-50 Units+	\$ 0.860	\$ 1.530	
Irrigation (AG)		\$ 0.860	\$ 1.530	
** One unit equals 100 cubic feet (748 gallons)				
Cost per AF (example) Irrigation		per AF = \$0.770 x 435.6 =	\$ 335.41	Gravity
		per AF = \$1.370 x 435.6 =	\$ 596.77	Pumped

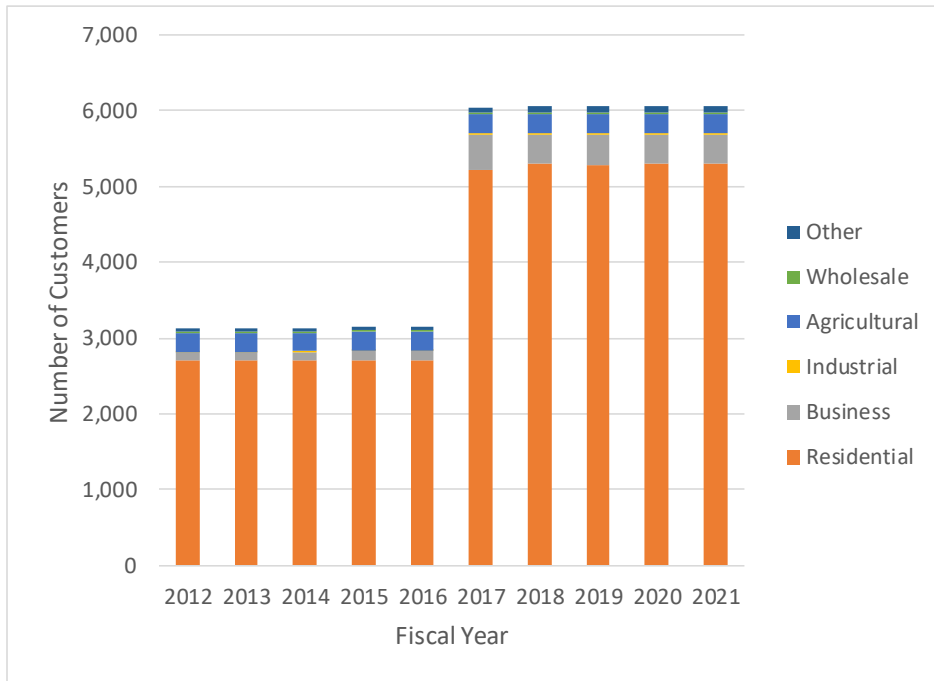
**9.3.4 COMBINATION (CLASS C) SERVICE.** Where more than one class of water service or use is provided through a single connection, the General Manager shall make an equitable proration of rates and fees, such proration shall be conclusive unless appealed within 30 days by the customer to the Board, in which case the determination of the Board shall be conclusive.

METER SIZE		5/8"-3/4"	1"	1-1/2"	2"	2-1/2"	3"	4"	6"	12"	18"
MAX CAPACITY	GPM	20-30	50	120	160	TEMP 300	320	1000	2000	N/A	N/A
RESIDENTIAL	Monthly	\$ 40.39	\$ 67.31	\$ 134.62	\$ 215.40	\$ 358.98	\$ 471.16	\$ 848.11	N/A	N/A	N/A
BUSINESS	Monthly	\$ 32.28	\$ 53.77	\$ 107.56	\$ 172.10	\$ 286.83	\$ 376.47	\$ 677.64	\$ 1,398.31	N/A	N/A
INDUSTRIAL	Monthly	\$ 28.85	\$ 48.10	\$ 96.20	\$ 153.91	\$ 256.52	\$ 336.69	\$ 606.02	N/A	N/A	N/A
IRRIGATION/ AG	Monthly	N/A	\$ 60.80	\$ 121.61	\$ 194.58	\$ 324.31	\$ 425.66	\$ 766.17	\$ 1,581.00	N/A	N/A
AG-DOMESTIC	Monthly	N/A	\$ 48.85	\$ 97.74	\$ 156.37	\$ 260.62	\$ 342.07	\$ 615.72	N/A	N/A	N/A
RESALE	Monthly	\$ 35.50	\$ 59.17	\$ 118.35	\$ 189.35	\$ 315.59	\$ 414.22	\$ 745.60	\$ 1,538.52	\$ 9,089.16	\$ 16,896.21
OTHER	Monthly	\$ 28.85	\$ 48.10	\$ 96.20	\$ 153.91	\$ 256.52	\$ 336.69	\$ 606.02	N/A	N/A	N/A
TEMPORARY	Monthly	N/A	N/A	N/A	N/A	\$ 150.00	N/A	N/A	N/A	N/A	N/A
RECREATION	Monthly	\$ 28.85	\$ 48.10	\$ 96.20	\$ 153.91	\$ 256.52	\$ 336.69	\$ 606.02	N/A	N/A	N/A

Source: Casitas Municipal Water District Administration Department

**CASITAS MUNICIPAL WATER DISTRICT  
CUSTOMER BY TYPE AT FISCAL YEAR-END  
LAST 10 FISCAL YEARS**

Customer Type							
Fiscal							
Year	Residential	Business	Industrial	Agricultural	Wholesale	Other	Total
2012	2,700	108	9	252	22	41	3,132
2013	2,700	108	9	251	23	41	3,132
2014	2,703	112	9	247	23	41	3,135
2015	2,711	112	9	249	23	41	3,145
2016	2,711	114	9	248	25	41	3,148
2017	5,224	460	13	249	22	81	6,049
2018	5,292	391	13	251	22	83	6,052
2019	5,281	401	13	251	23	83	6,052
2020	5,296	392	13	249	24	88	6,062
2021	5,299	385	13	252	24	88	6,061

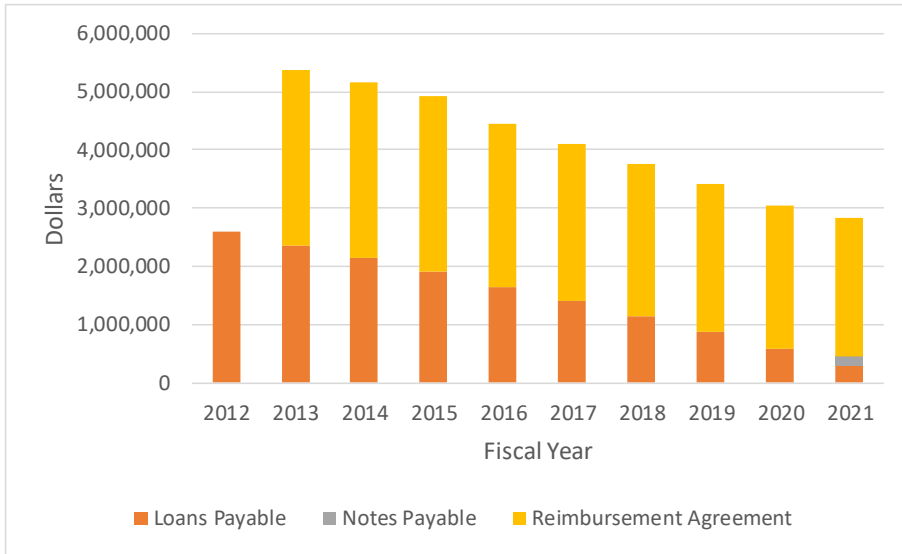


**Note:** Number of customers as of June 30 of fiscal year

**Source:** Casitas Municipal Water District Administration Department

**CASITAS MUNICIPAL WATER DISTRICT  
RATIOS OF OUTSTANDING DEBT BY TYPE  
LAST 10 FISCAL YEARS**

Fiscal Year	Loans Payable	Notes Payable	Reimbursement Agreement	Total		
				Debt	Per Capita	As a Share of Personal Income
2012	2,591,520	-		2,591,520	3.11	6.22%
2013	2,367,787	-	3,011,898	5,379,685	6.42	12.72%
2014	2,136,978	-	3,011,898	5,148,876	6.11	11.52%
2015	1,898,692	-	3,011,898	4,910,590	5.81	10.45%
2016	1,652,804	-	2,780,214	4,433,018	5.23	9.14%
2017	1,398,725	-	2,702,986	4,101,711	4.83	8.19%
2018	1,136,523	-	2,625,757	3,762,280	4.44	7.17%
2019	865,830	-	2,548,529	3,414,359	4.04	6.24%
2020	586,414	-	2,471,301	3,057,715	3.63	5.36%
2021	297,863	144,021	2,394,073	2,835,957	3.40	4.76%



**Note:**

Assessment bonds and special tax bonds are not obligations of the District's operations - Mellos-Roos debt

**Source:** Casitas Municipal Water District Administration Department

**CASITAS MUNICIPAL WATER DISTRICT  
DEBT COVERAGE  
LAST 10 FISCAL YEARS**

Fiscal Year	Net Revenues <sup>(1)</sup>	Operating Expenses <sup>(2)</sup>	Net Available	Debt Service		Coverage Ratio	
				Principal <sup>(3)</sup>	Interest <sup>(4)</sup>		
2012	15,717,774	(12,047,019)	3,670,755	1,165,403	89,085	1,254,488	2.93
2013	15,752,090	(13,639,029)	2,113,061	223,733	81,334	305,067	6.93
2014	18,020,107	(14,238,444)	3,781,663	230,807	73,157	303,964	12.44
2015	17,937,802	(14,449,076)	3,488,726	238,286	6,480	244,766	14.25
2016	16,910,651	(15,125,091)	1,785,560	323,116	55,864	378,980	4.71
2017	15,758,515	(12,752,327)	3,006,188	331,306	50,989	382,295	7.86
2018	20,176,194	(17,651,671)	2,524,523	339,428	42,866	382,294	6.60
2019	19,398,037	(15,204,627)	4,193,410	347,923	34,374	382,297	10.97
2020	18,020,136	(23,707,662)	(5,687,526)	356,644	25,652	382,296	-14.88
2021	24,414,286	(23,065,487)	1,348,799	365,779	16,516	382,296	3.53

**Notes:**

(1) Net revenues exclude assessment and special tax bond revenues, interest expense on long term debt, amortization of bond insurance, state water project, and adjudication.

(2) Operating expenses exclude depreciation expense & change in water-in-storage inventory

(3) Includes the Casitas Dam Project-Seismic Safety of Casitas Dam loan see note 8 & 1991

California Department of Water Resources loan see note 10.

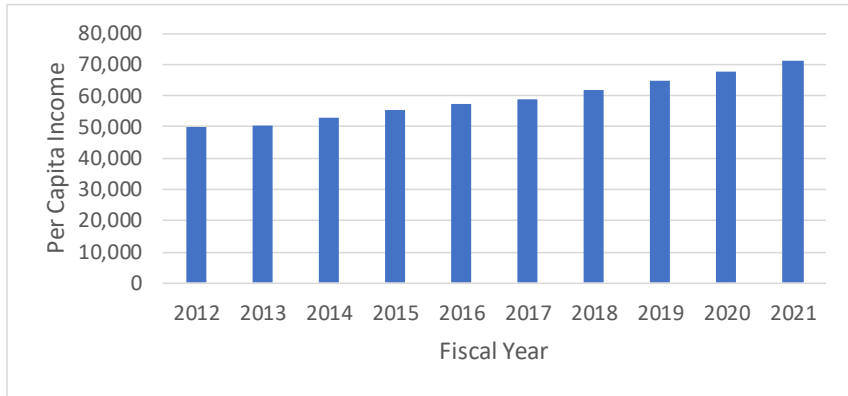
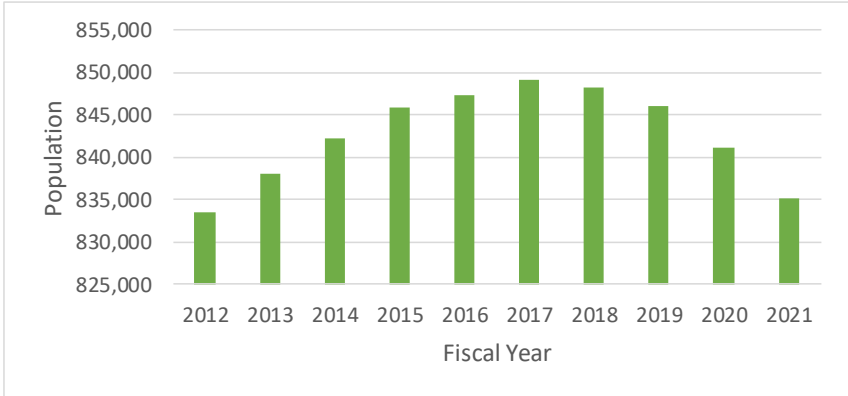
(4) Includes the 1991 California Department of Water Resources loan see note 10.

Assessment bonds and special tax bonds are not obligations of the District's operations - Mellos-Roos debt

**Source:** Casitas Municipal Water District Administration Department

**CASITAS MUNICIPAL WATER DISTRICT  
DEMOGRAPHIC AND ECONOMIC STATISTICS – COUNTY OF VENTURA  
LAST 10 FISCAL YEARS**

Year	Unemployment Rate	Population	Personal Income (thousands of dollars)	Personal Income per Capita
2012	9.5%	833,516	41,683,974	50,010
2013	8.2%	838,136	42,286,159	50,453
2014	6.6%	842,297	44,695,387	53,064
2015	5.7%	845,802	46,970,746	55,534
2016	5.3%	847,323	48,525,841	57,270
2017	4.5%	849,044	50,067,967	58,970
2018	3.9%	848,142	52,500,391	61,900
2019	3.7%	846,006	54,749,053	64,715
2020	11.9%	841,219	57,094,028	67,871
2021	6.5%	835,223	59,539,442	71,286



**Notes:**

Only County data is updated annually. Therefore, the District has chose to use its data since the District believes that the County data is representative of the conditions and experience of the District.

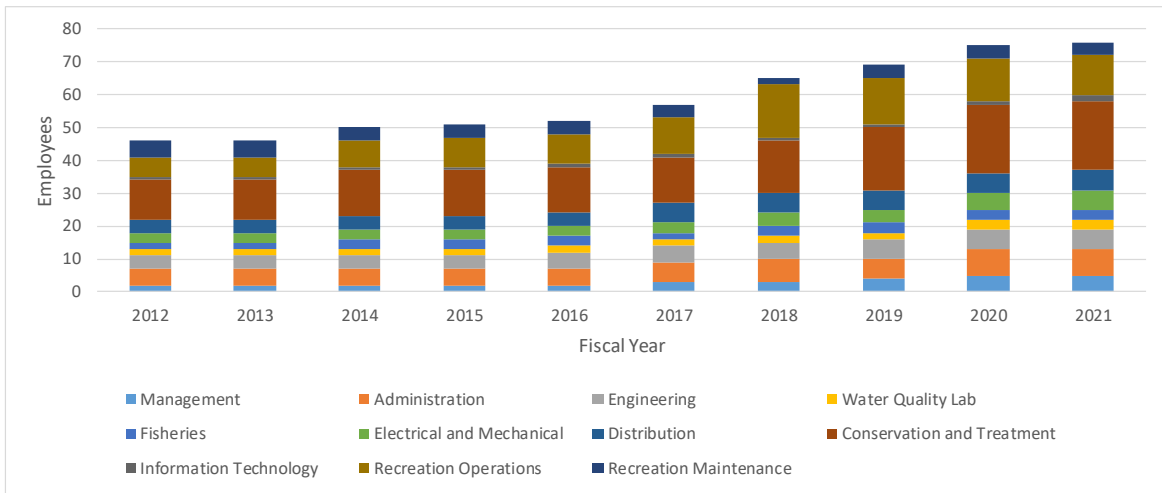
(1) Estimated using percentage change year of year from 2018 to 2019

**Sources:** California Department of Finance & Bureau of Economic Analysis  
California Labor Market Info as of June 1st

## CASITAS MUNICIPAL WATER DISTRICT OPERATING AND CAPACITY INDICATORS – EMPLOYEES LAST 10 FISCAL YEARS

### Full Time Employees

Department	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Management	2	2	2	2	2	3	3	4	5	5
Administration	5	5	5	5	5	6	7	6	8	8
Engineering	4	4	4	4	5	5	5	6	6	6
Water Quality Lab	2	2	2	2	2	2	2	2	3	3
Fisheries	2	2	3	3	3	2	3	3	3	3
Electrical and Mechanical	3	3	3	3	3	3	4	4	5	6
Distribution	4	4	4	4	4	6	6	6	6	6
Conservation and Treatment	12	12	14	14	14	14	16	19	21	21
Information Technology	1	1	1	1	1	1	1	1	1	2
Recreation Operations	6	6	8	9	9	11	16	14	13	12
Recreation Maintenance	5	5	4	4	4	4	2	4	4	4
<b>Total</b>	<b>46</b>	<b>46</b>	<b>50</b>	<b>51</b>	<b>52</b>	<b>57</b>	<b>65</b>	<b>69</b>	<b>75</b>	<b>76</b>



Source: Casitas Municipal Water District Administration Department



**CASITAS MUNICIPAL WATER DISTRICT  
OPERATING AND CAPACITY INDICATORS – OPERATIONS  
LAST 10 FISCAL YEARS**

**Other Operating and Capacity Indicators**

<b>Fiscal Year</b>	<b>Miles of Pipeline</b>	<b>Lake Storage Capacity (AF)</b>	<b>Lake Level at Year-End (AF)</b>	<b>Percentage of Lake Capacity</b>	<b>Daily System Capacity (MGD)</b>
2012	118	254,000	197,199	77.6%	65
2013	118	254,000	171,748	67.6%	65
2014	118	254,000	145,253	57.2%	65
2015	118	254,000	122,050	48.1%	65
2016	118	254,000	100,696	39.6%	65
2017	163.4	237,761 <sup>(1)</sup>	106,322	44.7%	65
2018	163.4	237,761	80,996	34.1%	65
2019	163.4	237,761	106,552	44.8%	65
2020	163.4	237,761	103,795	43.7%	65
2021	163.4	237,761	86,711	36.5%	65

AF - Acre Feet

MGD - Millions of Gallons per Day

(1) Lake Storage Capacity Updated in 2017 from a Bathymetric Survey

**Source:** Casitas Municipal Water District Administration Department

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**GOVERNMENT AUDITING STANDARDS REPORT**

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**INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER  
FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS  
BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN  
ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS***

Board of Directors  
Casitas Municipal Water District  
Oak View, California

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States, the financial statements of Casitas Municipal Water District (the District) as of and for the year ended June 30, 2021, and the related notes to the financial statements, which collectively comprise District's basic financial statements, and have issued our report thereon dated REPORT DATE.

**Internal Control Over Financial Reporting**

In planning and performing our audit of the financial statements, we considered the District's internal control over financial reporting (internal control) as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the District's internal control. Accordingly, we do not express an opinion on the effectiveness of the District's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the District's financial statements will not be prevented or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

**Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the District's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the financial statements. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under Government Auditing Standards.

**Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the District's internal control or on compliance. This report is an integral part of an audit performed in accordance with Government Auditing Standards in considering the District's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

**CliftonLarsonAllen LLP**

Irvine, California  
REPORT DATE

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**CASITAS MUNICIPAL WATER DISTRICT  
MEMORANDUM**

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**TO:** BOARD OF DIRECTORS  
**FROM:** MICHAEL FLOOD, GENERAL MANAGER  
**SUBJECT:** ROBLES DIVERSION AND FISH PASSAGE FACILITY ANNUAL REPAIR  
AND MAINTENANCE PROGRAM  
**DATE:** 12/08/21

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**RECOMMENDATION:**

It is recommended the Board of Directors:

- Schedule a public hearing on January 12, 2022 regarding the Robles Diversion and Fish Passage Facility Repair and Maintenance Program

**BACKGROUND:**

The Robles Forebay and Fish Passage Facility (Robles Facility) requires ongoing annual maintenance and repair activities, including sediment management related to wildfires that can negatively affect water supply and fish passage.

In 2003, Casitas acquired agreements and permits from California Department of Fish and Wildlife (CDFW), United States Army Core of Engineers (USACE), Los Angeles Regional Water Quality Control Board (RWQCB), and United State Fish and Wildlife Service (USFWS) for construction of the Robles Diversion Fish Passage Facility; however, the permits issued did not cover maintenance of the Facility, and Casitas acquires agreements and permits on an as-needed basis for individual maintenance activities to the Facility.

With the proposed project, Casitas is seeking permits with a duration of 10 years or more to include all regulated activities, include a streamlined administrative approval process, and to provide predictability and certainty on environmental protection measures.

Casitas engaged Rincon Consultants in 2019 to prepare and coordinate environmental compliance approvals and permits, including an Initial Study and Mitigated Negative Declaration (IS-MND) for compliance with the California Environmental Quality Act (CEQA).

**DISCUSSION:**

The primary objective of Casitas' routine maintenance and repair program is to ensure the continued and proper operation of the Robles Diversion and Fish Passage Facility. By maintaining the Robles Facility consistent with its original design, Casitas reduces or prevents ineffective operation of the water diversion and fish ladder.

Typical maintenance activities include sediment/debris removal; vegetation control; repair and maintenance of the radial gates (at the entrance to the headworks and spillway) and other facility control gates; instrumentation; and road maintenance. Repair activities also include concrete work

within the existing footprint of the Robles Facility and replacement of wood timbers (timber cut-off wall and debris fence).

The Robles Facility maintenance and repair activities occur in and around the Ventura River where such activities are regulated by several state and federal agencies, including:

- The modification to the bed, bank, and/or vegetation in a natural drainage is regulated by the CDFW under Section 1600 et seq. of the Fish and Game Code.
- Activities that result in the discharge of dredged or fill material in watercourses are also regulated by the USACE under Section 404 of the Clean Water Act. Issuance of a 404 permit also requires a 401 Water Quality Certification by the Los Angeles RWQCB.
- In addition, the federal Endangered Species Act (ESA) Section 7 requires consultations between the US Bureau of Reclamation (USBR), USFWS, and National Marine Fisheries Service (NMFS). USBR will conduct necessary compliance related to the National Environmental Policy Act (NEPA).

Maintenance and repair activities conform to those described in the existing Biological Opinion (BO) issued to Casitas by the NMFS in 2003 for affects to steelhead trout (*O. mykiss*) from the construction and operation of the Facility. In addition, the USFWS issued a BO to Casitas in October 2019 for the Robles Diversion Forebay Restoration Project and its effects on California red-legged frog (*Rana draytonii*). Maintenance and repair activities conform to those described in the USFWS BO.

Under the proposed action, Casitas will annually identify the proposed maintenance and repair work and Best Management Practices, and submit the proposed work activities to the USACE, CDFW, LARWQCB, USFWS, NMFS and Reclamation. At the end of the year, an annual report documenting all work performed and the successful use of the BMPs will be submitted to USACE, CDFW, LARWQCB, USFWS, NMFS, and Reclamation for their records.

A copy of the full project description is provided as Attachment 1.

#### Compliance with California Environmental Quality Act

Compliance with the California Environmental Quality Act is required. The Notice of Intent to Adopt a Mitigated Negative Declaration was posted published in the Ojai Valley News on October 15, 2021 and VC Star on October 20, 2021. The draft Initial Study-Mitigated Negative Declaration (IS-MND) and appendices were also posted to the District's website for a minimum 30-day public review period from October 22, 2021 through November 24, 2021: <https://www.casitaswater.org/Home/Components/News/News/127/17>

During the public review period, the CDFW requested an extension of time to complete their review. As such, staff recommends scheduling the public hearing until January 12, 2021 in order to receive and address CDFW comments prior to the Board's consideration of adoption of the notice of determine Mitigated Negative Declaration and decision on whether to approve the Robles Facility Annual Repair and Maintenance Program.



**FINANCIAL IMPACT:**

The budget for the Robles Facility Annual Maintenance and Repair Program will be assessed annually as part of the budget adoption process. The programmatic permits will require annual reporting to the regulatory agencies, although this work effort is anticipated to be more streamlined than obtaining new permits every year.

**ATTACHMENTS:**

1. Project Description for Robles Diversion and Fish Passage Facility Annual Maintenance and Repair Program



# Robles Diversion and Fish Passage Facility Annual Maintenance and Repair Program



## Project Description

*prepared by*

**Casitas Municipal Water District**  
1055 North Ventura Avenue  
Oak View, California 93022

*prepared with the assistance of*

**Rincon Consultants, Inc.**  
180 North Ashwood Avenue  
Ventura, California 93003

**June 2021**



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**Robles Diversion and Fish Passage Facility Annual Maintenance and Repair Program**

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**Appendices**

Appendix A Robles Diversion Fish Passage Facility Permits and Agreements (2003)  
Appendix B Mitigated Negative Declaration for the Robles Diversion Dam Fish Screen and Fishway  
Appendix C 1957 Forebay Design  
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Appendix E Best Management Practices (BMPs) Summary Table

# 1 Introduction

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Casitas Municipal Water District (Casitas) is a special district formed in 1952 to develop water supply for agricultural, municipal, industrial, and residential use in western Ventura County. Casitas entered into an agreement with the U.S. Department of Interior, Bureau of Reclamation (Reclamation) that led to the construction of the Casitas Dam and associated facilities (the Ventura River Project) which were completed in 1958. The facilities were built by Reclamation under a repayment contract with Casitas. The Robles Diversion facility, on the Ventura River, allows Casitas to divert a portion of river flows into the concrete-lined Robles Diversion Canal, which flows approximately 5.5 miles to Lake Casitas.

In August 1997, Southern California (SC) Distinct Population Segment of steelhead (*Oncorhynchus mykiss*; SC steelhead) were listed as an endangered species under the federal Endangered Species Act (ESA; 16 U.S.C. § 1531 et seq.). SC steelhead are the listed species in the Ventura River. In 2004, Casitas constructed a fish ladder (fishway), fish screen, high- and low-flow fish exit channels, a spillway energy dissipater, and a series of low-head rock weirs at the Robles Diversion Facility. The project modified the existing Robles Diversion Facility to provide for the safe upstream and downstream passage of adult steelhead and the safe downstream passage of juveniles. Reclamation owns the Robles Diversion and Fish Passage Facility (Facility), and Casitas operates and maintains this Facility.

Typical maintenance activities at the Facility include sediment/debris removal; vegetation control; repair and maintenance of the radial gates (at the entrance to the headworks and spillway) and other facility control gates; instrumentation; and road maintenance. Repair activities also include concrete work within the existing footprint of the Facility and replacement of wood timbers (timber cut-off wall and debris fence).

The Facility maintenance and repairs occur in and around the Ventura River where such activities are regulated by several state and federal agencies. Modifications to the bed, bank, and/or vegetation in a natural drainage are regulated by the California Department of Fish and Wildlife (CDFW) under Section 1600 *et seq.* of the state Fish and Game Code. Such modifications require a Streambed Alteration Agreement. Activities that result in discharge of dredged or fill material into watercourses (such as bank stabilization and excavation) are also regulated by the United States Army Corps of Engineers (USACE) under Section 404 of the Clean Water Act. Issuance of a Section 404 permit authorizing discharge also requires a Section 401 Water Quality Certification by the Los Angeles Regional Water Quality Control Board (RWQCB). Maintenance and repair activities conform to those described in the existing Biological Opinion issued to Reclamation by the National Marine Fisheries Service (NMFS) in 2003 for effects to SC steelhead from the construction and operation of the Facility. In addition, the United States Fish and Wildlife Service (USFWS) issued a Biological Opinion (BiOp) to Casitas in October 2019 for the Robles Diversion Forebay Restoration Project and its effects on California red-legged frog (*Rana draytonii*). Maintenance and repair activities conform to those described in the USFWS issued BiOp.

In 2003, Casitas acquired agreements and permits from CDFW, USACE, LARWQCB, and USFWS for construction of the Robles Diversion Fish Passage Facility (Appendix A). Additionally, a Mitigated Negative Declaration (MND) was prepared for the fish passage improvements at the Robles Diversion Facility (Appendix B). However, the construction permits and BiOp issued in 2003 did not address the comprehensive maintenance activities required for the Facility, and therefore Casitas

**Robles Diversion and Fish Passage Facility Annual Maintenance and Repair Program**

acquired the above agreements and permits on an as-needed basis for individual maintenance activities at the Facility. This approach is time-consuming, inefficient, and often results in delays, which has prompted Casitas to seek consolidated coverage for the ongoing maintenance and repair program. Casitas is seeking regulatory permits and coverage under the ESA for effects to ESA listed species and critical habitat from a comprehensive program of maintenance activities. The period for the program would be 10 years or more, to include all regulated activities, include a streamlined administrative approval process, and to provide predictability and certainty on environmental protection measures. Long-term permits, as compared to case-by-case permitting, reduces the administrative efforts by Casitas and the permitting agencies, and provide a more comprehensive and effective basis for protecting environmental resources.

Casitas has implemented environmental protection measures as requested by the state and federal resource agencies pursuant to past permits and authorizations issued for as-needed maintenance and repair projects. Casitas proposes continuing to implement environmental protection measures into its ongoing annual maintenance and repair program, which have reduced effects of the past projects on the environment. The environment protection measures, called environmental Best Management Practices (BMPs), are described in Section 3.

BMPs are included in the proposed action and their effects are analyzed for the ESA section 7 consultation. Their effects also must be evaluated in the environmental review requirements of the California Environmental Quality Act (CEQA). The proposed action, including the BMPs to avoid or minimize effects of the activities on the environment, are described herein.

Casitas held preliminary meetings with the state (RWQCB and CDFW) and federal (NMFS, Reclamation, USACE and USFWS) agency representatives to discuss the proposed maintenance and repair activities to be included in the programmatic permits. Meetings took place on January 15, 2020 and February 11, 2020 with CDFW; January 21, 2020 with Los Angeles RWQCB; and February 5, 2020 with the USACE, USFWS, and NMFSs. All agency representatives provided feedback on the proposed activity descriptions, which Casitas has incorporated into the Final Project Description, which is described in Section 2.4.

## 2 Description of Maintenance and Repair Program

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This section describes Casitas' Maintenance and Repair Program, referred to hereinafter as the proposed project. The primary objective of the Casitas' routine maintenance and repair program is to ensure the continued and proper operation of the Robles Diversion and Fish Passage Facility. By maintaining this Facility consistent with its original design, Casitas reduces or prevents ineffective operation of the water diversion and fish ladder. The Robles Diversion allows a portion of Ventura River flows to be diverted into the Robles Diversion Canal, which transports the water to Lake Casitas for storage and delivery for municipal and agricultural use. Casitas provides drinking water for approximately 70,000 western Ventura County residents (City of Ventura, City of Ojai and unincorporated Ventura County areas). Additionally, Casitas provides irrigation water for roughly 5,000 acres of mostly permanent agricultural crops. Lake Casitas is the only reservoir from which Casitas supplies its customers, and adequate lake levels are dependent on receiving sufficient inflows from the Robles Diversion Canal. The proposed maintenance and repair activities preserve the conveyance capacity of the Facility by preventing the accumulation of obstructing vegetation and sediments that could impede Facility fish passage and water diversion operations.

### 2.1 Routine versus Emergency Maintenance

Most of the maintenance and repair activities are routine. Maintenance work is scheduled in advance based upon the results of regular inspections and consists of activities to keep the Facility operating in accordance with its design specifications. Work is scheduled taking into account time of year, hydrologic and environmental conditions, staff and equipment resources, and budget. The extent and frequency of maintenance varies greatly from year to year, depending upon the frequency and intensity of storm events, conditions of Facility, and environmental constraints.

Emergency actions which require immediate repair to protect life and property are addressed separately on a case-by-case basis with state and federal regulatory agencies, and are not part of the proposed action.

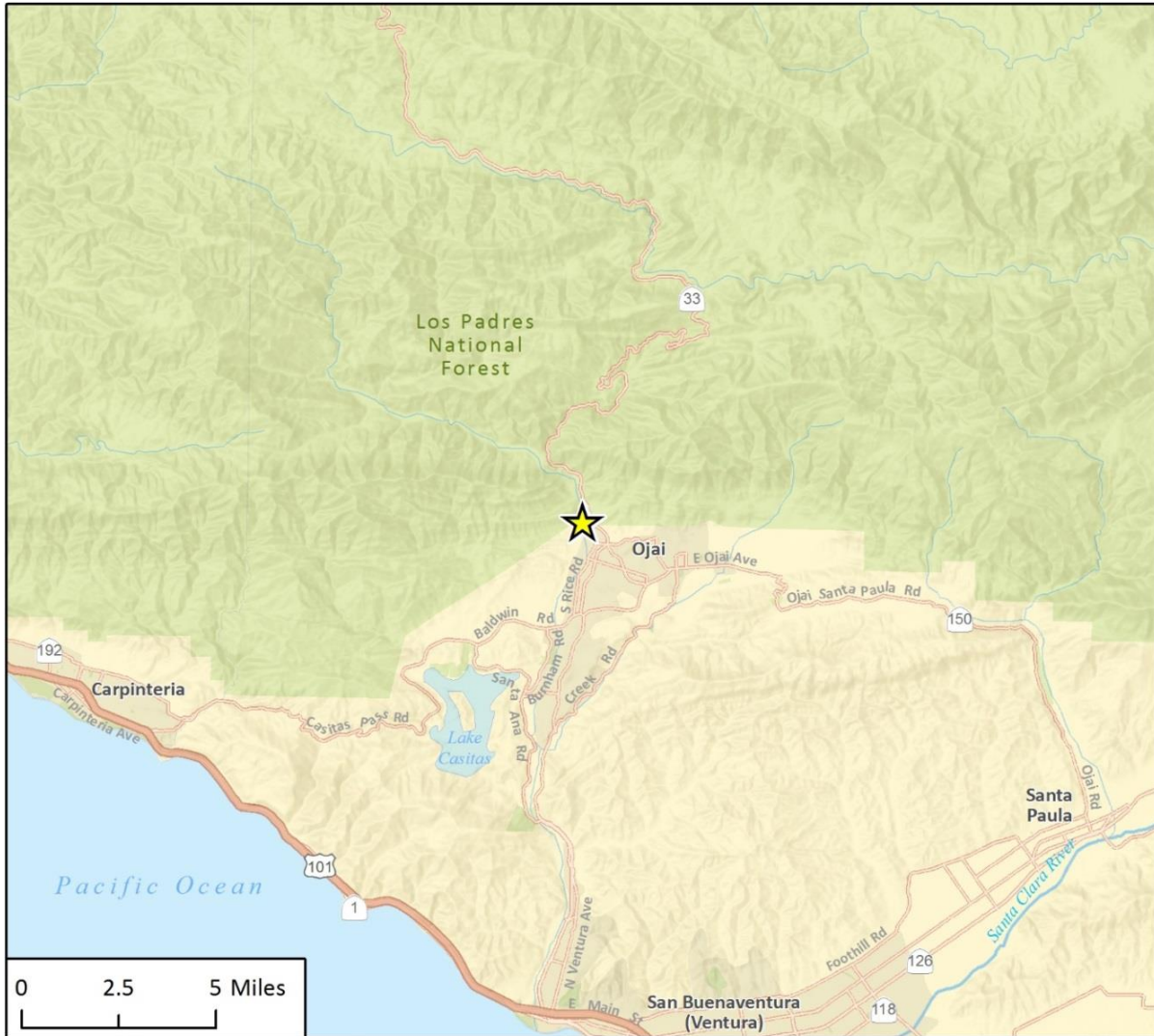
### 2.2 Project Location

Casitas operates the Facility as part of Reclamation's Ventura River Project. The Robles Diversion Facility was designed in 1957 by Reclamation (United States Department of Interior, Bureau of Reclamation, Robles Diversion Dam General Plan, February 8, 1957) and constructed in 1958. The forebay footprint in 1957 (Appendix C) was larger than it is now. Following severe storms in 1978, the forebay was inundated with sediment, substantially decreasing the area and depth of the earthen basin. Presently, the forebay includes approximately 5.70 acres of the Ventura River. The Facility comprises approximately 10 acres of the Ventura River. Fish passage facilities were constructed in 2004 to provide for passage of endangered SC steelhead around the diversion dam, while avoiding entrainment in the Robles Diversion Canal.

The Facility is located on the Ventura River, 2 miles downstream of Matilija Dam and 14.5 miles upstream of the Pacific Ocean, in unincorporated Ventura County, California (34.464820°N, -119.291107°W) within the Matilija USGS 7.5-minute topographic quadrangle (Figure 1). The project



Figure 1 Regional Project Location



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★ Project Location

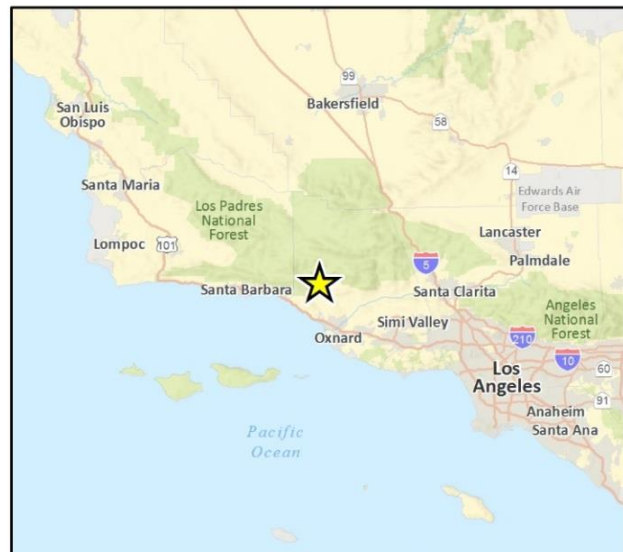
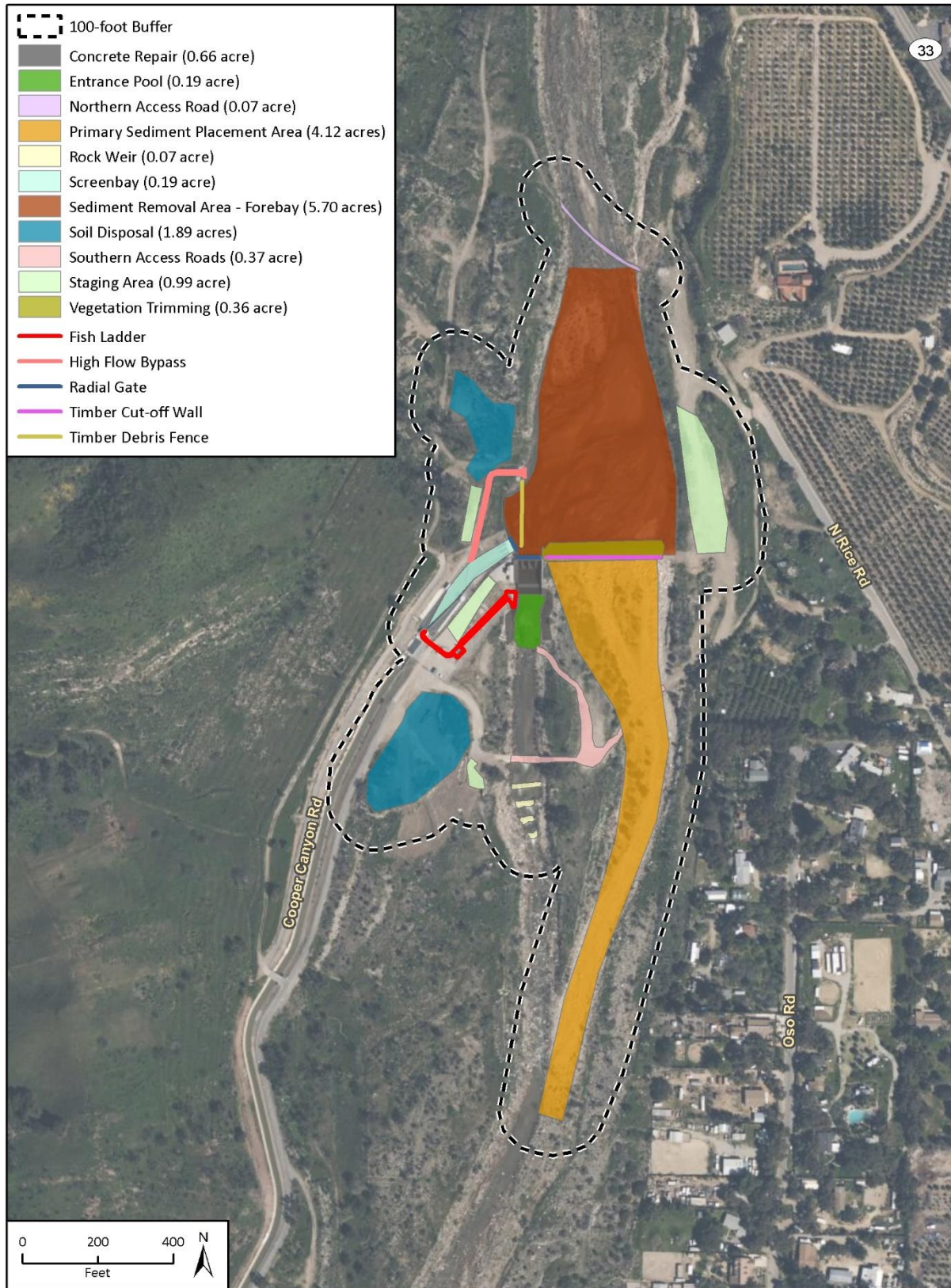


Fig. 1 Regional Location

**Figure 2 Project Area**



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Fig. 2. Project Location Map 20200401

area (Figure 2) encompasses all of Casitas' facilities associated with the Robles Diversion, including the forebay; radial gates and instrumentation and measuring devices, proposed sediment placement area downstream of the timber cut-off wall; fish passage facility (high-flow fish bypass, timber debris fence, screenbay, screens, brush arms, fish ladder, "entrance box," and all appurtenances); rock weirs, measurement weir, and entrance pool downstream of the spillway gates; stockpile and staging areas; and access roads (hereafter referred to as Project Area) (Figure 2). The Robles Diversion allows a portion of Ventura River flows to be diverted into the Robles Diversion Canal, which transports the water to Lake Casitas for storage and subsequent delivery for municipal and agricultural use. No repair and maintenance activities are proposed within the Robles Diversion Canal as part of this program. Instrumentation within the canal downstream of the diversion, such as the staff gauge on the bridge near Cooper Canyon Road, do not typically require repairs that would affect the Ventura River or related biological resources.

## 2.3 Activities Descriptions

For the purposes of Casitas' Annual Maintenance and Repair Program, the proposed Maintenance and Repair Activities are grouped as follows:

- No. 1 (Forebay Sediment)
  - a. Forebay Sediment Removal
  - b. Forebay Sediment Placement
    - i. Stockpile area
- No. 2 (Fish Ladder, Screenbay, High-flow Bypass)
- No. 3 (Rock Weir and Measurement Weir)
- No. 4 (Entrance Pool and entrance box)
- No. 5 (Concrete Repair)
- No. 6 (Routine Repair and Maintenance)
  - a. Timber Cut-off Wall
  - b. Debris Fence
  - c. Radial Gates
  - d. Instrumentation and measuring devices
  - e. Roads and access surfaces

Detailed Project Descriptions for each activity are provided in the following subsections.

### 2.3.1 Activity No. 1 Forebay Sediment

#### **Permit History**

Maintaining the depth and volume of the forebay is critical to operation of the Robles Diversion Facility and to fish passage. When the forebay was designed in 1957, the footprint of the earthen basin was larger than it is now (Appendix C). Following the severe storms in 1978, the forebay decreased in size to 5.70 acres, and Casitas has continued to maintain this footprint (Appendix D). The forebay requires regular maintenance, especially after heavy rainfall years, or during post-fire



watershed recovery periods. Casitas currently acquires several state and federal agency agreements and/or permits on an as-needed basis for restoration of the forebay.

In accordance with the NMFS BiOp issued to Reclamation for operation of the Facility (NMFS 2003), Casitas must maintain the storage capacity of the forebay for effective diversion and fish ladder operations. As described in the BiOp, sediment and debris accumulate in the forebay and requires periodic removal, and large storm events can create the need to shore up the earthen dam (timber cutoff wall) and forebay banks. The 2003 NMFS BiOp allows Casitas to create a shallow channel within the forebay to direct low-flows to the diversion structure. This shallow channel is re-constructed after high runoff events and may not be required every year. The creation of the shallow channel and removal of excess sediment is accomplished by heavy equipment when the channel is dry.

In 2019, Casitas completed permitting and consultations through the resource agencies for the action to remove and relocate 100,000 cubic yards of sediment downstream over a three-year period. NMFS issued a letter of concurrence (LOC) to remove up to 50,000 cubic yards in 2019, as proposed. Approximately 32,600 cubic yards of sediment trapped in the forebay was relocated by Casitas to the designated placement area downstream of the cut-off wall, in November 2019. Provisions for removing additional sediment had been arranged through 2021 but may be forestalled.

### **Sediment Removal (1A)**

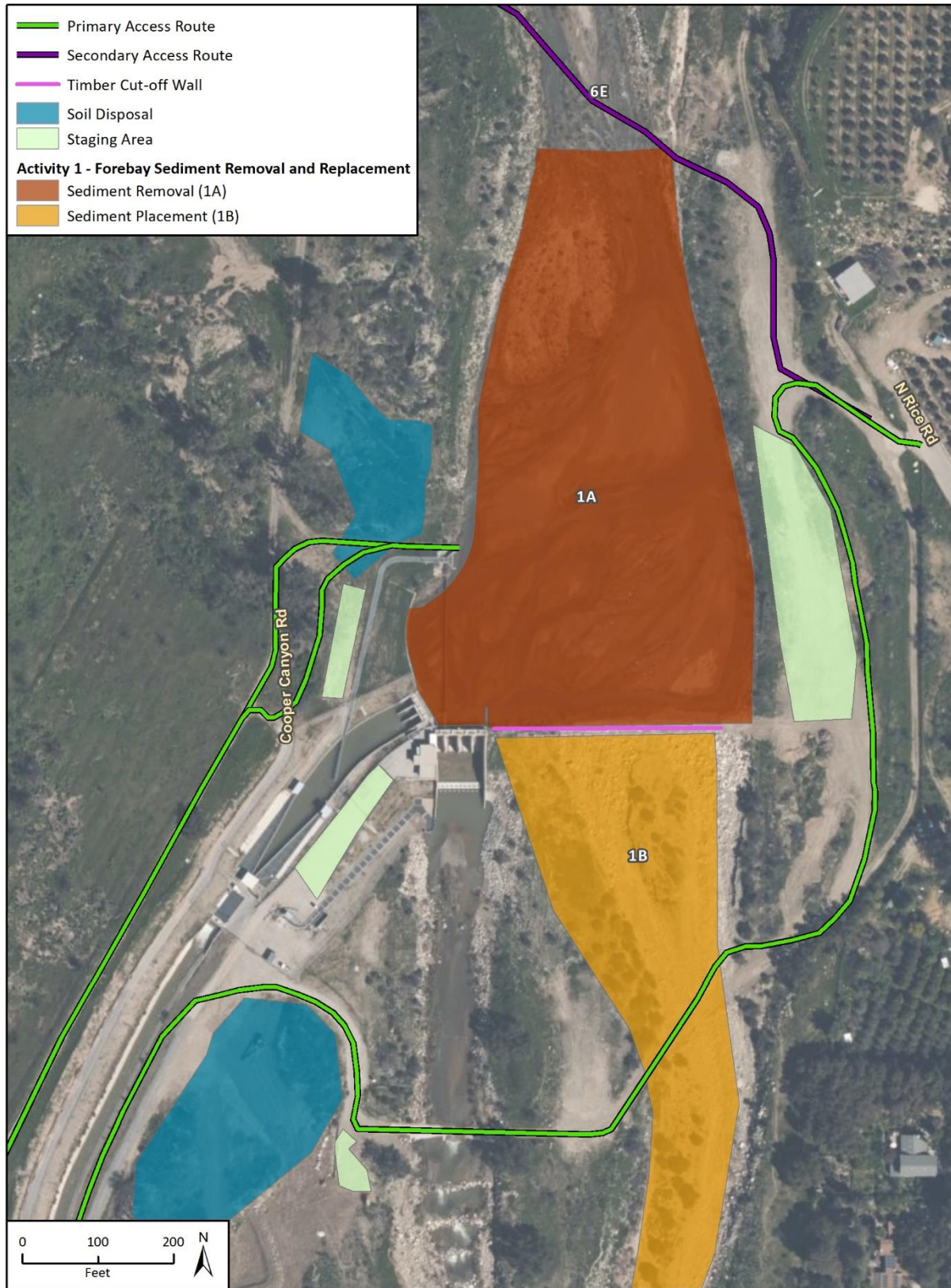
The annual maintenance and repair program (proposed action) sediment removal would occur during the dry season, when surface water is absent in the forebay. It is anticipated the project would require up to 60 working days to complete. Access to the forebay and downstream sediment placement area will be from the north end of Rice Road located east of the forebay. The northern and southern access roads would be utilized.

The heavy equipment needed for this activity will be staged in disturbed areas created previously during Facility construction. This includes amenable areas located immediately west of the forebay adjacent to the high-flow bypass and also due east of the forebay, with each having a supportive gravel base and providing ready access, requiring minimal travel (Figure 2).

Maintenance of the forebay requires moving sediment, rock, and emergent vegetation within the channel using heavy equipment. The solids would be removed from the forebay with equipment that could include for example, a backhoe, Caterpillar 950 loader, Caterpillar dozer (D8 & D6), Caterpillar excavator 320, Caterpillar 120 grader, Caterpillar excavator 350, Caterpillar articulated dump truck 725, work trucks (Ford F350 type), and a water truck or similar types of equipment (e.g., generically – excavators, graders, bulldozers, dump truck, etc.) or other similar equipment suitable to the purpose. This equipment is used to transport and spread the sediment and shore up the channel banks of the timber cut-off wall eroded by heavy storms (1A; Figure 3).

This maintenance and repair activity may occur annually to restore the forebay's operational volume. The maintenance will return the forebay closer to its historic operational grade (Appendix D) by removing accumulated sediment, and relocating it downstream (1B; Figure 3), or to a stockpile area above the mean high water mark. Remaining sediment excavated may be exported offsite. The quantity of sediment/debris to be removed depends greatly on storm load deposition, which is highly dynamic. In some years no removal would be needed, in other years moderate amounts would be required to be removed and at such times it is generally anticipated that it will not exceed approximately 56,500 cubic yards per year. When annual accumulation is unusually great, as has

**Figure 3 Activity 1 Forebay Sediment**



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Fig 3 Activity 1 Forebay Sediment Removal and Placement 20200401

occasionally occurred in the past, there may be a need to remove additional sediment. This would extend the work duration by approximately one week for every 10,000 cubic yards of additional sediment to be removed. All work would be conducted within permitted work windows and under dry conditions.

### **Sediment Placement (1B)**

When flows are sufficiently high to overtop the cut-off wall, erosion of the streambed and banks of the overflow channel downstream occurs. Sediment removed during forebay maintenance activities is first used to restore these storm-eroded areas. For the purpose of routine maintenance, Casitas proposes to restore the forebay area by removing the accumulated sediment annually, typically when 10 percent of basin capacity is occupied by sediment and debris, subject to flow and sediment conditions. The sediment removed will be used to restore storm-eroded areas within 1,100 linear feet downstream of the timber cut-off wall, in the designated primary placement area. The sediment would be deposited downstream of the timber cut-off wall over approximately 4.12 acres, where forebay sediment has been placed in the past, and where active flow within the channel would not be impeded (Figure 3).

Prior to placing sediments in the 2019 maintenance, Casitas developed a fill design for the downstream placement area, determining what the contours and elevation of the streambed would be after 50,000 cubic yards of sediment was placed in the area in November 2019. In December 2019, following the placement of approximately 32,600 cubic yards<sup>1</sup> of sediment downstream of the timber cut-off wall, a photogrammetric aerial survey was conducted that will be utilized in conjunction with the fill design plan to determine how much sediment can be placed downstream in subsequent actions. Because overtopping of the cut-off wall does not occur unless flow in the Ventura River generally exceeds 7,000 to 8,000 cubic feet per second (cfs), it may not be possible to relocate sediment from the forebay to the placement area every year. Therefore, before initiating sediment removal actions, Casitas will evaluate conditions of the sediment placement area at the end of the storm season (April/May) to determine how much sediment can be placed there. If the amount of sediment to be excavated exceeds the capacity of the placement area, the excess sediment that cannot be placed downstream will be stockpiled above the ordinary high-water mark of the Ventura River in designated soil disposal areas (Figure 2), or exported offsite. If sediment is stockpiled in designated disposal areas onsite, Casitas will evaluate whether stockpiled sediment can be placed back into the river each year, pending capacity established in the survey of the deposition area.

Prior to placement of sediment, any noxious vegetation identified by a qualified biological monitor within pre-selected soil disposal areas shall be removed (Figure 3). Noxious vegetation shall be disposed of in a manner and at a location to prevent its re-establishment. Casitas or contractors will perform chipping of giant reed (*Arundo donax*) and disperse chipped material in designated locations where materials would not wash downstream or propagate. All cut/removed noxious vegetation will be taken to a dump as a destruction load. Noxious species will be removed by hand or by hand-operated power tools, rather than by chemical means. Casitas will monitor the soil

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<sup>1</sup> Preliminary calculations revealed the volume of sediment to be removed from the forebay in 2019, 2020, 2021 totaled 100,000 cubic yards. Based on more extensive post-placement surveys and review of Casitas' historic sediment removal practices, Casitas determined the forebay can hold up to approximately 56,500 cubic yards of sediment (maximum volume of water to a flat surface at the top of the timber cut-off wall). Post-placement comparison of the LiDAR data revealed that approximately 32,600 cubic yards of sediment was removed from the forebay in November 2019 and deposited in the primary placement area and approximately 15,500 cubic yards of sediment remains in the forebay. Going forward, Casitas will maintain the forebay footprint (5.70 acres) by typically removing up to approximately 56,500 cubic yards of sediment each year. Typically, the sediment removal project will occur when 10-20% percent of basin capacity is occupied by sediment and debris.

disposal areas following sediment placement in these areas, and remove noxious species by hand, if necessary, before seeds ripen.

Table 1 shows the extent of temporary impacts to potentially jurisdictional areas resulting from this activity.

**Table 1 Anticipated Temporary Impacts to Ventura River from Activity 1A/B**

Feature	Waters of the U.S. <sup>1</sup>			CDFW Jurisdictional Area <sup>2</sup> (acres/linear feet)
	Non-wetland Waters of the U.S. (acres/linear feet)	Wetland Waters of the U.S. (acres/linear feet)	Waters of the State <sup>2</sup> (acres/linear feet)	
Forebay	5.34 <sup>3</sup> /800	–/–	5.34 <sup>3</sup> /800	5.34 <sup>3</sup> /800
Primary Placement Area	4.12/1,100	–/–	4.12/1,100	4.12/1,100

<sup>1</sup> Calculated to OHWM or edge of wetland

<sup>2</sup> Calculated to top of bank or edge of riparian

<sup>3</sup> Calculation excludes the portion of the forebay which overlaps with the vegetation trimming area along the cut-off wall (Activity 6A; 0.36 acres).

### 2.3.2 Activity No. 2 Fish Ladder, Screenbay, High-flow Bypass

#### Permit History

The construction of the fish ladder (2A), screenbay (2B), and high-flow bypass (2C) occurred as part of the permitted Robles Diversion and Fish Passage Project in 2003/2004 providing for fish passage through the Facility (Figure 4). Casitas provided compensatory mitigation in the form of onsite restoration to compensate for permanent impacts to jurisdictional areas (Appendix A). No additional temporary or permanent impacts to jurisdictional areas requiring compensatory mitigation for USACE, RWQCB, or CDFW requirements will result from maintenance of the fish ladder, screenbay, and high-flow bypass structures.

In accordance with the NMFS BiOp, during the fish flow operations season, January through June, the Robles Diversion Facility is monitored for large debris by on-site staff. During operation, sediment and debris can accumulate in the fish ladder, screenbay, and high-flow bypass and impede fish passage and proper operation of the fish screens. When this occurs, small debris is removed by hand, including hand tools, via the access grating above the fish ladder, screenbay, and high-flow bypass. Depending on flow conditions, sediment may be removed mechanically from the fish ladder, screenbay, and high-flow bypass. If Casitas must use mechanical equipment to remove sediment/debris or make repairs in these areas, the Facility is shut down temporarily and water diversions cease until sediment/debris is removed and/or repairs are made.

#### Facility Maintenance

It is anticipated the Facility can operate throughout a single fish passage season without the need for any extensive repairs or maintenance. Whenever possible, extensive maintenance or repairs are performed during dry periods or when the fishway is not in operation. The potential exists, however, for substantial damage to result from debris accumulation during the fish passage season. For example, debris or sediment accumulation in the fish ladder, screenbay, and high-flow bypass could impede the function of the baffles, flow meter, entrance gates, and sill blocks. Should this happen during the fish flow operations season (January 1 through June 30), Casitas will evaluate



**Figure 4 Activity 2 Fish Ladder, Screenbay, High-flow Bypass**





**Robles Diversion and Fish Passage Facility Annual Maintenance and Repair Program**

whether maintenance and repair activities are critical to maintain diversion and fish passage operations. If Casitas determines maintenance and repair of Facility components (e.g., removal of accumulated debris in the fishway) is critical during the fish passage season, the portion of the facilities requiring repair or maintenance will be temporarily shut down. The necessary repairs or maintenance on the facility will be conducted as soon as possible and the structure(s) will be put back in service once repairs are made. Maintenance of the fish ladder, screenbay, and high-flow bypass will not result in permanent impacts or alterations to the design of these facilities.

Maintenance and repair which is determined non-critical to address during the fish passage season will be addressed during the dry season prior to the next passage season. In some years between June and October (typical dry period), limited baseflow in the Ventura River may persist, and no dry period will materialize. If this condition occurs, maintenance and repair activities will be addressed outside of fish passage season when there is little or no flow. It is essential to address maintenance and repair issues outside of the fish passage season (e.g., debris and sediment accumulation) because they have potential to compound into larger issues during the subsequent passage season, if not addressed.

Access to the fish ladder, screenbay, and high-flow bypass is from the north end of Rice Road located east of the forebay, from the northern access road at the upper limit of the forebay, and from the south along the canal road. Staging of heavy equipment occurs west of the forebay adjacent to the high-flow bypass, which is unpaved (Figure 2). It is anticipated the maintenance and repair activities would require 1 to 2 weeks to complete annually; and heavy equipment will be used for up to 1 week.

Removal of Small Debris

Small debris will be removed by hand via the access grate above the fish ladder, screenbay, and high-flow bypass. Removal of small debris will occur throughout the year provided that it can be safely accomplished without shutting down the facilities. It is possible that removal of small debris may require a partial shutdown of facilities during wet conditions, in which case, the work would only be conducted if necessary for the ability to maintain operations of the diversion and fish passage.

Removal of Large Debris and Sediment

Removal of large debris (logs, large branches) and sediment will occur during dry periods when the fishway is not in operation, unless the work is necessary to maintain operations of the diversion and fish passage. Prior to removal of large debris and sediment, the Facility (canal or headworks) gates are closed to initiate a full shut down of the Facility and to allow flows to recede such that maintenance equipment is not operated in flowing water. After the gates are closed, flow is redirected through the spillway and the remaining water within the fish ladder, screenbay, and high-flow bypass is allowed to gravity flow out of the Facility via the canal or fish ladder. A bank survey for federal listed species (e.g. SC steelhead and California red-legged frog) will be conducted as the water recedes. If no listed species are observed in the Facility work will proceed.

An excavator will be staged adjacent to the access grates above the fish ladder, screenbay, and high-flow bypass, and will remove debris as needed by reaching the bucket into the Facility. Once flowing water has been re-directed through the spillway and no water is present in the fishway, it may be necessary to lower a small loader into the screenbay to remove, push, pile, or load debris. The excavated material will be loaded into dump trucks and removed to a disposal/storage site on Casitas property outside the river channel.

It's possible for water to pool within the lower portion of the fish ladder (i.e., entrance box and bottom 5-7 steps of the ladder). If this portion of the fishway needed critical repair, block nets will be used to encourage fish and frogs to leave the Facility via the fish ladder, and prevent individuals from re-entering the Facility while the fish ladder entrance gates are closed. Any remaining water would be lowered only enough to conduct repairs by pumping water out of the fish ladder via two doubly screened pumps (5-10 horsepower) with 3 millimeter (mm) mesh to prevent impingement. This 'residual water' pump system would be operational for up to 2 days depending on extent of repairs. The water would be directed to the canal which flows to Lake Casitas. Visual monitoring for listed species would be performed periodically while repair and maintenance activities are performed.

### 2.3.3 Activity No. 3 Rock Weir and Measurement Weir

#### Permit History

The construction of the rock weirs and measurement weir modification occurred as part of the permitted Robles Diversion Fish Passage Project in 2003/04. Due to the lack of funding, four rock weirs were installed as an interim project in consultation with CDFW and NMFS. Ongoing fish passage monitoring conducted by Casitas at the diversion has detected 11 SC steelhead sized adults, with the last detection occurring in 2011, prior to the recent drought. In addition, Casitas has documented approximately 1,300 juvenile and resident-sized *O. mykiss* moving upstream and downstream through Robles from 2006-2018, one putative kelt was observed below the radial gates in 2019 and one resident-sized *O. mykiss* was detected moving downstream in 2021. Given the interim project (as defined in the 2003 BiOp) has demonstrated passage, Casitas has postponed the installing additional rock weirs due to the uncertain but long impending Matilija Dam Removal Project upstream of the Robles Facility. Removal of Matilija Dam will greatly affect the area of the rock weirs, necessitating a high flow sediment bypass and other structural changes. Casitas provided compensatory mitigation in the form of onsite restoration to compensate for permanent impacts to jurisdictional areas (Appendix A). Therefore, no additional temporary or permanent impacts to jurisdictional areas requiring compensatory mitigation will result from maintenance of the maintenance of the rock weirs.

#### Facility Maintenance

The proposed maintenance activity would occur during the dry season when surface water is absent. It is anticipated maintenance and repair activities associated with the weirs would require 1 to 2 weeks to complete, depending on level of activities. Staging of heavy equipment will occur in upland areas on bare ground above the ordinary high water mark and west of the channel where the weirs are located (Figure 5). Access to the weirs will be from Rice Road located east of the forebay across the Ventura River via the southern access road.

Figure 5 Activity 3 Rock Weir and Measurement Weir



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Fig. 5 Activity 3 Rock and Measurement Weir

The existing concrete measurement weir may need repair if damaged to accurately measure flow from Robles diversion, which is critical to operation of the water diversion and downstream BiOp-required releases (NMFS, 2003). Repair of the bubbler line which runs down the upstream face of the weir may be necessary. Maintenance associated with the measurement weir should be minimal and limited to removal of debris by hand, and will occur only during dry conditions.

Since the weirs were modified in 2006 to include larger rock and more cabling, a total of five storms have occurred generating flows in the river of 8,000 cfs or more:

- 10,000 cfs, 2/17/17;
- 8,485 cfs, 1/9/18;
- 9,100 cfs, 1/17/19;
- 12,000 cfs, 2/2/19; and
- 8,000 cfs, 2/14/19.

Additionally, 19 storms after the 2006 weir modification generated flows greater than 1,000 cfs in the Ventura River. Following the larger storm events, only minor modifications to the weir passage slots and placement of gravel on the upstream face of the weirs to fill the interstitial spaces and enhance flow through the passage slots was needed. Typically, overtopping of the cut-off wall occurs when flows exceeds 7,000 to 8,000 cfs. Therefore, the maximum flow in the spillway channel (low flow channel) where the weirs are located is 7,000 to 8,000 cfs. When flows exceed this amount, overtopping of the timber cut-off wall occurs and flow is directed to the high-flow channel to the east. Given that large storm events have occurred in the Ventura River channel since weir modification were made in 2006, and weirs have not incurred significant damage, it is not likely Casitas would need to make substantial repairs to the existing rock weirs.

The four rock weirs downstream of the measurement weir may need occasional realignment of boulders and re-cabling following large storm events to maintain fish passage slots and water elevation control. Every effort would be made to realign boulders by hand, but mechanical equipment may be required to adjust larger boulders, as necessary. Large- and medium-sized woody debris will be removed and placed downstream of the weirs with heavy equipment (e.g., excavator or backhoe). It is anticipated heavy equipment would be used for up to 4 days to make necessary adjustments to boulders and relocate large woody material.

### 2.3.4 Activity No. 4 Entrance Pool

#### **Permit History**

The construction of the entrance pool occurred as part of the permitted Robles Diversion Fish Passage Project in 2003/04. Water flows through the entrance box to the entrance pool, providing attraction flows to the fish ladder. The entrance pool extends approximately 130 feet below the spillway and baffled apron structure and encompasses approximately 0.19 acres (8,238 square feet) of the Ventura River low-flow channel. Casitas provided compensatory mitigation in the form of onsite restoration to compensate for permanent impacts to jurisdictional areas resulting from the construction of the entrance pool as part of the Robles Diversion Fish Passage Facility Project (Appendix A). Therefore, no additional temporary or permanent impacts to jurisdictional areas requiring compensatory mitigation will result from maintenance of the entrance pool. The entrance pool will be maintained to original design contours as shown on Figure 2 in the Mitigated Negative Declaration for the Robles Diversion Dam Fish Screen and Fishway Project (Appendix B).

## **Facility Maintenance**

The entrance pool is designed to enable fish to make the transition from the natural river channel into the fish ladder structure. Cleaning sediment/debris and emergent vegetation out of the entrance pool is necessary to maintain the energy-dissipating hydraulic jump, allow proper fish entrance gate operation, and ensure overall uniform hydraulic flow patterns throughout the entrance pool. This maintenance activity will include the excavation of the entrance pool to an 8 to 10-foot depth, and removal of a cluster of willow (*Salix lasiolepis*) in the downstream portion of the entrance pool. The sediment/debris became trapped in the entrance pool during intense storm events.

Sediment and vegetation removed will be stockpiled outside of jurisdictional areas in designated soil disposal sites (Figure 6). Re-contouring with boulder/cobbles/sediment will occur in the bottom of the entrance pool and adjacent areas to repair erosion along existing concrete abutments and riprap. The proposed maintenance activity would occur during times when surface water is absent.

The sediment/debris and vegetation would be removed from the entrance pool with equipment including a bulldozer, excavator or other loader and supporting vehicles (e.g., one dump truck, etc.) to transport and spread the sediment/debris in designated soil disposal areas (Figure 6). It is anticipated maintenance of the pool would require up to 3 to 4 weeks to complete. Staging of heavy equipment will occur in upland areas on bare ground west and east of the channel adjacent to the entrance pool. Access to the entrance pool will be from Rice Road located east of the forebay across the Ventura River via the southern access road.



**Figure 6 Activity 4 Entrance Pool**



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Fig. 6 Activity 4 Entrance Pool Maintenance

### 2.3.5 Activity No. 5 Concrete Structures

The Robles Diversion and Fish Passage Facility includes many concrete structures. Concrete repair may be necessary, on an as-needed basis, to preserve the structural integrity of the Facility. No changes to the existing footprint of the Facility will occur.

Concrete repairs may be made to the spillway, concrete protective rip-rap, measurement weir, and baffled apron, as needed (Figure 7) during dry conditions. In addition, concrete repairs may be made to the existing concrete-lined screenbay and extended upstream across the canal gates, and include the high-flow fish exit. Casitas staff or a contractor will clean and prepare the damaged area; build and place forms as necessary; place and finish concrete; remove forms and backfill area, as needed. All work will implement Best Management Practices for concrete repair (Section 3).

Heavy equipment will be used to remove damaged concrete and perform concrete repairs. Equipment may include a pick-up truck, flat-bed, dump truck, concrete mixer, excavator, or other similar equipment and concrete pump (if needed). It is anticipated concrete repairs would require 1 to 2 weeks to complete. Heavy equipment will be staged in upland areas on bare ground west or east of the channel adjacent to the entrance pool. Access to the spillway will be either from Rice Road located east of the forebay across the Ventura River via the southern access road; or from Cooper Canyon Road headed north toward the Facility.

Work on the concrete structures would not expand the existing footprint of the facility, and no permanent or temporary impacts to jurisdictional areas requiring compensatory mitigation are anticipated.

**Figure 7 Activity 5 Concrete Structures**



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Fig. 7. Activity 5 Concrete Repair



## 2.3.6 Activity No. 6 Routine Maintenance

### **Timber Cut-off Wall Repair and Maintenance (6A)**

The timber cut-off wall is 325 feet long and approximately 30 feet deep; rocks and boulders are placed at depth on the upstream and downstream sides and native material is placed to fill the voids. In the past, the timber wall has been damaged by extremely high river flows and fire, and it will occasionally need maintenance and repair. The maintenance/repair will include replacement of the timbers and rocks/backfill and compacting and recontouring the approach and downstream slopes. Repair of the timber cut-off wall also may require excavation to the foundation elevation, timbers in damaged section replaced, the wall straightened, and placement and re-compaction of the boulders/rocks and replacement of the native backfill within a 15,757 square foot area (0.36 acres) surrounding the base of the wall. Emergent and woody vegetation along the wall within this area will be removed during excavation to assess the extent of the damage and access the timber cut-off wall. Repair and maintenance will not be performed under the routine maintenance programmatic agreements if surface water is present.

Equipment that may be used includes an excavator, bobcat, dump trucks, front-end loader, backhoe, light-duty pickup trucks, hand operated power tools, and vibratory compactor.

The duration for the work would depend on the extent of damage and the required remedy. Casitas made significant repairs to the timber cut-off wall in November 2019 to repair damaged portions of the wall, which were burned in the Thomas Fire. It is anticipated that future repairs made to the wall would require up to 30 working days to complete. It is anticipated that repairs could be needed once every five years, although the frequency will depend on the degree of damage to the structure.

Vegetation that develops near the top of the timber cut-off wall prevents uniform overtopping of flows. In the years when repairs to the timber wall are not made, woody vegetation with a diameter of three inches or less will be cut to ground level with hand operated power tools. Maintaining low or no vegetation along the wall will help to ensure that overtopping flows are dissipated over a larger area, minimizing erosion at constricted sections within the Ventura River and reducing water elevations in forebay as designed. Cut vegetation will be disposed of outside of jurisdictional areas, offsite. Vegetation trimming will occur outside the bird nesting season, and will usually require 2 to 5 days to complete.

Access to the timber cut-off wall will be from Rice Road to through the staging area located east of the forebay (Figure 8).

Table 2 shows the extent of temporary impacts to potentially jurisdictional areas resulting from timber cut-off wall repair and vegetation maintenance activities. Vegetation removal would not involve excavation or backfill.

**Figure 8 Activity 6 Routine Maintenance**



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Fig. 8 Activity 6 Routine Maintenance

**Table 2 Anticipated Temporary Impacts to Ventura River from Activity 6A**

Feature	Waters of the U.S. <sup>1</sup>			CDFW Jurisdictional Area <sup>2</sup> (acres/linear feet)
	Non-wetland Waters of the U.S. (acres/linear feet)	Wetland Waters of the U.S. (acres/linear feet)	Waters of the State <sup>2</sup> (acres/linear feet)	
Vegetation trimming/removal	0.36/325	—/—	0.36/325	0.36/325

<sup>1</sup> Calculated to OHWM or edge of wetland

<sup>2</sup> Calculated to top of bank or edge of riparian

### **Debris Fence (6B)**

The timber debris fence lies upstream of the diversion headworks in the forebay (Figure 8). The racks of the fence deflect debris away from the headwork gates and toward the spillway gates. Over time the fence collects woody debris, which can require removal. This maintenance activity will involve the removal of debris from the fence, and the repair or replacement of damaged wood timbers as needed to preserve the structural integrity and functionality of the fence.

A backhoe and light trucks are usually needed to remove larger debris and support repairs to the timber debris fence. As possible, debris will be removed by hand. Removed debris will be disposed of outside of jurisdictional areas. Repair of the timbers will be completed in dry conditions. It is anticipated that most debris removal and repairs would require up to 1 to 2 weeks to complete. Repairs made to the fence would coincide with Activity 1’s schedule. Therefore, access to the debris fence will be through the forebay from the entrance to the Facility off Rice Road, located east of the forebay. Removing material from the debris fence would not result in permanent or temporary impacts to the river channel, and no compensatory mitigation would be required for these activities.

### **Radial Gates (6C)**

The radial gates are painted periodically to prevent deterioration (rusting). Painting is anticipated to occur approximately once every two to five years, and work will be completed within 1 to 2 weeks. Access to the radial gates is along the timber cut-off wall (Figure 8). This effort will occur when the spillway area is dry. Small equipment and hand tools are used to sandblast and prime the gates before they are painted. Best Management Practices will be implemented during this maintenance work to minimize deposition of debris (i.e., paint chips) and other materials into the Ventura River. A lift, light trucks, and scaffolding are utilized to complete the painting project. Replacement of seals may also be necessary, as they wear or become damaged. Seals are replaced by hand using a ladder and hand tools. Additional unplanned maintenance on the radial gates may be periodically required in order to maintain proper functionality of the gates. Painting the radial gates would not result in permanent or temporary impacts to the river channel, and no compensatory mitigation would be required for this activity.

### **Instrumentation (6D)**

Data is collected to document that the Robles Diversion Dam and Fish Passage Facility is operated in compliance with the operations approved by NMFS (NMFS 2003). Sensors installed at the Facility allow for calculating the amount of inflow into the Robles forebay, diversion, and the flow routed through the fishway, auxiliary water supply pipeline, and the spillway (Figure 8). Information collected is provided to NMFS and CDFW on an annual basis. Levelers, bubblers, transducers, etc. will require replacement when they malfunction or become damaged.

A flow measurement structure equipped with multi-path, ultrasonic velocity and water level measurement transducers is located in the fishway, downstream of the screenbay and upstream of the fish counter. A second flow measurement structure is located in the high-flow fish bypass behind the debris fence. The Auxiliary flow pipe is also equipped with a flow measurement transducer.

Level sensors are located in the forebay between the spillway and canal gates; in the high-flow fish bypass; screenbay; fishway (upstream and downstream of the Vaki Riverwatcher fish counter); and within the fish ladder (inside the fish ladder and outside the entrance to the fish ladder at the entrance pool). Two level sensors will be installed behind the fish screens to provide additional input to support screen testing that is underway and for operational and monitoring improvements. Additionally, there is one sensor located in the canal, outside of the Ventura River.

A bubbler is located at the measurement weir, upstream of the four rock weirs. The bubbler has a conduit mounted to the upstream face of the measurement weir. The conduit is occasionally damaged during heavy storms and the hose inside the conduit may need to be replaced. The conduit can also become buried with sediment, preventing its operation. The sediment will be removed to restore operation.

During the course of operations, instruments on the measurement weir may become damaged by flows or have operation interrupted due to accumulation of sediment or debris. In most cases instrumentation can be accessed allowing for its removal, repair, and subsequent reinstallation. Due to the shape of the weir, the amount of sediment that accumulates is expected to be minor and removal would be accomplished by hand or with hand tools. If the removal cannot be accomplished using hand tools, maintenance would be deferred to a period of dry conditions. Similarly, any major repairs to the measurement weir itself, which would require heavy equipment, would be conducted under dry conditions. Repair and maintenance of instruments will typically be completed within 1 to 2 weeks, and would not expand the footprint of the measurement weir or result in alterations to the river channel. These repairs would not expand the existing footprint of the weir, and no permanent or temporary impacts to jurisdictional areas requiring compensatory mitigation are anticipated.

If maintenance requires heavy equipment, there may be a delay before the onset of dry conditions when the maintenance can be performed. During this time, some or all of the instruments may be out of service and unable to make measurements. Casitas will use other methods, such as calculations based on other measuring instruments within the facility, to estimate river flows. In addition, a staff gauge will be painted onto the measurement weir in summer 2021 and will be resistant to damage. Using these methods will ensure that river flows can continue to be estimated while the primary instruments are pending repairs.

## **Road Maintenance (6E)**

Road maintenance and repair will occur as needed (estimated annually) on Reclamation property during dry river conditions (Figure 8). It is anticipated road maintenance will require 2 to 3 weeks to complete, annually. The southern access road begins at the entrance gate to the Facility at the terminus of North Rice Road and continues southwest across the Ventura River. This road is typically used by light trucks and passenger vehicles at flows under 15 cfs. The northern access road transverses the Ventura River upstream of the forebay. This road is generally used by contractors to complete the forebay restoration project (Activity 1), annually. The roads will be graded and shaped each year, if needed, during dry conditions. Road maintenance may involve use of heavy equipment to re-contour and re-compact access roads including an excavator, grader, bulldozer or backhoe.

**Robles Diversion and Fish Passage Facility Annual Maintenance and Repair Program**

Table 2 shows the extent of temporary impacts to potentially jurisdictional areas resulting from road maintenance activities.

**Table 3 Anticipated Temporary Impacts to Ventura River from Activity 6E**

Feature	Waters of the U.S. <sup>1</sup>			CDFW Jurisdictional Area <sup>2</sup> (acres/linear feet)
	Non-wetland Waters of the U.S. (acres/linear feet)	Wetland Waters of the U.S. (acres/linear feet)	Waters of the State <sup>2</sup> (acres/linear feet)	
Southern and Northern Access Roads	0.37 <sup>3</sup> /1,000	-/-	0.37 <sup>3</sup> /1,000	0.37 <sup>3</sup> /1,000

<sup>1</sup> Calculated to OHWM or edge of wetland

<sup>2</sup> Calculated to top of bank or edge of riparian

<sup>3</sup> Calculation excludes the portion of the access road which traverses the primary placement area (previously calculated in Activity 1B impacts) and the portion of the access road which crosses over the previously permitted concrete measurement weir.

### 3 Best Management Practices

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The environmental Best Management Practices (BMP) presented in this section have been required pursuant to previously issued permits, authorizations and consultations with state and federal resource agencies, including under section 7 of the ESA. Casitas has implemented these BMPs during past maintenance and repair projects. The BMPs may be revised or augmented pursuant to the documents issued by NMFS and USFWS for the annual maintenance and repair program. Casitas will implement BMPs as they apply to each activity. Each spring, Casitas will prepare a maintenance and repair plan for the next fiscal year (July 1 – June 30), which will include a list of repair and maintenance activities planned, schedule and timing, and associated BMPs to be implemented for each activity.

A table of BMPs to be implemented for each activity is provided in Appendix E.

#### BMP-1 Work Period (Activities 1-6)

Maintenance and repair activities within the Ventura River shall occur only when the river is dry, with one exception. If water is present, the Activity 2 work area would be isolated from the Ventura River channel by shutting down the Facility, and allowing water to recede only enough to conduct the repair. If needed to access a specific work area, two double-screened pumps (5-10 horsepower) with 3 millimeter (mm) mesh may be used to route the remaining pooled water from the lower portion of the fish ladder into the canal before work is initiated. No earthwork shall be conducted during rain events, or if 0.25 inches or more of rain is forecast within 12 hours of scheduled work.

#### BMP-2 Environmental Training (Activities 1-6)

Prior to initiation of all maintenance activities (including staging and mobilization), all workers associated with project activities shall attend a Worker Environmental Awareness Program (WEAP) training, conducted by a qualified biologist, to aid workers in recognizing special status biological resources that may occur in the project area. Casitas staff will attend a WEAP training annually. This training will include information on the biology and ecology of protected species, and the measures being incorporated to avoid take (e.g., for California red-legged frog (CRLF), least Bell's vireo (LBVI), SC steelhead, southwestern willow flycatcher (SWFL), critical habitat for SWFL and SC steelhead, and other species and critical habitat protected under the ESA.

The program shall include identification of sensitive species and habitats, a description of the regulatory status and general ecological characteristics of sensitive resources, and review of the limits of construction and measures required to avoid and minimize impacts to biological resources within the work area. A poster and a fact sheet conveying this information shall also be prepared for distribution to all contractors, their employees, and other personnel involved with performing the maintenance or repair project. All employees shall sign a form provided by the trainer documenting they have attended the WEAP and understand the information presented to them. The project supervisor shall be responsible for ensuring crew members adhere to the guidelines and restrictions designed to avoid impacts to sensitive species and their habitat.

### BMP-3 Pre-construction Wildlife Surveys (Activities 1-6)

Within one week prior to the commencement of project activities, a qualified wildlife biologist shall conduct pre-construction surveys in all areas associated with project activities (work area, staging area, and access route) with focus on special status species including San Bernardino ringneck snake, coast patch-nosed snake, coast horned lizard, two-striped garter snake, western pond turtle and arroyo chub.

A qualified biologist will conduct a survey within the project area locations and document existing conditions and search for special status species. If San Bernardino ringneck snake, coast patch-nosed snake, coast horned lizard two-striped garter snake, western pond turtle, or arroyo chub are found in harm's way, individual animals shall be relocated to similar habitat away from construction activities, at least 200 feet from restoration areas in suitable habitat for the species.

### BMP-4 Steelhead Pre-construction Survey (Activity 2)

For avoidance of effects to SC steelhead, as deemed appropriate by the Casitas Fisheries Program Manager, and in accordance with the existing BiOps or other regulating documents, Casitas staff will conduct a bank survey at the Facility for SC steelhead prior to commencing repair and maintenance activities within the fish ladder, screenbay, and high-flow fish bypass (Activity 2), if flowing water is present, a full shut down is required, and it is safe to do so. The critical maintenance and/or repair will be performed to maintain diversion and fish passage operations. If SC steelhead are observed during the survey, further coordination with Reclamation, NMFS, and CDFW biological staff will be conducted to determine the appropriate course of action before proceeding with work.

### BMP-5 CRLF Pre-construction Surveys (Activities 1, 3, 4, 6A and 6E)

Prior to ground disturbing activities within Ventura River, Casitas staff or their contractor(s) or representative(s) will conduct surveys to confirm there are no CRLF in the Facility. Per USFWS guidance (USFWS 2005), and unless otherwise provided for by USFWS, because site specific conditions may warrant modifications to the timing of survey periods for CRLF, modified survey protocols shall be implemented as follows, prior to the start of maintenance or repair projects in suitable habitat for CRLF:

- One nighttime presence/absence surveys prior to the start Activities 1, 3, 4 and 6A.
- Once clearance survey immediately prior to the start of Activities 1, 3, 4 and 6A.

If CRLF is detected during the project, the observer shall notify the USFWS, CDFW and Reclamation biological staff within one workday of the detection and further coordination with the agencies will be conducted to determine the appropriate course of action before proceeding with work.

### BMP-6 LBVI and SWFL Pre-Construction Survey (Activities 1, 3, 4, 6A and 6E)

If project activities must begin during the breeding season (February 1 – August 31), then a pre-construction nesting bird survey for LBVI and SWFL will be conducted immediately prior to project

activities within suitable habitat for the species. The survey will be conducted by a qualified biologist who possesses a valid 10(a)(1)(A) Recovery Permit, State Memorandums of Understanding (MOUs), and experience with the target species. If LBVI or SWFL nests are found, project activities would be set back a minimum of 500 feet from nest sites or avoided until the young have fledged.

## BMP-7 Cover Excavations (Activity 6A)

Any steep-walled excavations that may trap California red-legged frog which will be left open overnight in areas within or adjacent to the Ventura River shall be covered and checked for California red-legged frog before resuming activities in the excavation.

## BMP-8 Nesting Birds (Activities 1-6)

If maintenance or repair activities must begin during the breeding season (February 1 – August 31), a pre-construction nesting bird survey shall be conducted no more than seven days prior to initiation of ground disturbance and vegetation removal activities. Although presence of nesting migratory birds is unlikely, special emphasis shall be placed on potential occurrences of nests of SWFL and LBVI. The nesting bird pre-construction survey shall be conducted on foot and will include the entire area of disturbance, plus a 500-foot buffer around the work area. Inaccessible areas (e.g., private lands) will be surveyed from afar using binoculars to the extent practical. The survey shall be conducted by a biologist familiar with the identification of avian species known to occur in southern California coastal communities. If nests are found, an avoidance buffer (dependent upon the species, the proposed work activity, and existing disturbances associated with land uses outside of the site) shall be determined so that take is avoided, and the area demarcated by the biologist with bright orange construction fencing, flagging, construction lathe, or other means to mark the boundary. All construction personnel shall be notified as to the existence of the buffer zone and to avoid entering the buffer zone during the nesting season. No ground-disturbing activities shall occur inside this buffer until the avian biologist has confirmed breeding/ nesting is completed and the young have fledged the nest. Encroachment into the buffer shall occur only at the discretion of the qualified biologist.

## BMP-9 On-site Biological Monitoring (Activities 1, 2, 3, 4, 5, 6A and 6E)

A qualified biological monitor (with all of the required collection permits) will be onsite during all project operations that involve removal of the first 12 inches of soil/substrate, water diversions, dewatering, exposed (excavated) work areas, and work within sensitive habitat areas where sensitive species may be present. After the previously specified work activities are completed that require a monitor to be onsite, the monitor will then remain onsite for the remainder of the project (as work occurs in the Ventura River) for no less than two days per week, for a minimum two-hour period per day. Dependent upon work conditions and/or prolonged project activities, Casitas may potentially arrange for a decrease in biological monitoring with Reclamation, USFWS, NMFS, and CDFW.



## BMP-10 Staging Equipment (Activities 1-6)

Staging and laydown areas shall be unvegetated areas and previously disturbed sites, outside of jurisdictional areas.

## BMP-11 Pollutant Management (Activities 1-6)

All vehicles and equipment shall be in good working condition and free of leaks. Stationary equipment such as motors, submersible sump pumps, generators, and welders, located within or adjacent to the river shall be positioned over drip pans. Stationary heavy equipment shall have suitable containment to handle a catastrophic spill/leak. No debris, soil, silt, sand, bark, slash, sawdust, rubbish, construction waste, cement or concrete or washings thereof, asphalt, paint, oil or other petroleum products or any other substances which could be hazardous to aquatic life, or other organic or earthen material from any logging, construction, or other associated project-related activity shall be allowed to contaminate the soil and/or enter into or placed where it may be washed by rainfall or runoff into the Ventura River. Any of these materials, placed within or where they may enter a stream, shall be removed immediately and disposed of properly. When project-related activities are completed, any excess materials or debris shall be removed from the work area.

## BMP-12 Pollution Prevention (Activities 1-6)

Prevent the discharge of silt or pollutants off of the site when working adjacent to potentially jurisdictional waters. Install BMPs (e.g., silt barriers, sand bags, straw bales) as appropriate.

## BMP-13 Material Storage (Activities 1-6)

Materials shall be stored on impervious surfaces or plastic ground covers to prevent any spills or leakage. Material storage shall be at least 100 feet from flowing water that could come in contact with Ventura River. Any material/spoils from activities shall be located and stored 100 feet from potential jurisdictional areas as practicable. Construction materials and spoils shall be protected from stormwater run-off using temporary perimeter sediment barriers such as berms, silt fences, fiber rolls, covers, sand/gravel bags, and straw bale barriers, as appropriate.

## BMP-14 Tracking Loose Material (Activities 1-6)

BMPs such as street sweeping, vacuuming, and rumble plates will be implemented to prevent the off-site tracking of loose construction and landscape materials, as appropriate.

## BMP-15 Stabilize Exposed Soil (Activities 1, 4, 6A and 6E)

To limit erosion, minimize soil disturbance work in channels and basins to that which can be stabilized prior to rain events.

## BMP-16 Avoid Road Base Discharge (Activities 1 and 6E)

Do not place or spill road base, fill, or sediments beyond the previously established roadbed when working adjacent to channel bottom.

## BMP-17 Concrete Washout Protocol (Activity 5)

Plastic-lined sandbag concrete wash out pits stationed in uplands are required where concrete placement occurs. A vacuum system may be utilized when sandblasting or jackhammering of concrete occurs to avoid release of materials into channels or surface waters. If a vacuum system is not utilized, appropriate BMPs (i.e. visqueen plastic sheeting) to contain the work area, collect/contain concrete debris, and prevent such materials from entering the Ventura River (even in dry conditions) shall be implemented. Fluids associated with the curing, finishing, and wash-out of concrete shall not be discharged to the channel or basin. Concrete wastes (liquid, dust, solids) shall be stockpiled separately from sediment and protected by erosion control measures to prevent discharge to the Ventura River. Conduct appropriate waste management practices based on considerations of flow velocities, site conditions, suitability of erosion control materials, and construction costs.

## BMP-18 Site Materials and Refuse Management (Activities 1-6)

All food-related trash shall be disposed in closed containers and removed from the project area each day during the construction period. Construction personnel shall not feed or otherwise attract wildlife to the construction area. At project completion, all project-generated debris, vehicles, building materials, and rubbish shall be removed from the impact area.

## BMP-19 Re-fueling and Maintenance (Activities 1-6)

All re-fueling, cleaning, or maintenance of equipment will occur at least 100-feet from the Ventura River.

## BMP-20 Responding to Spilled Materials (Activities 1-6)

A Spill Prevention Plan will be prepared and implemented throughout the project. Any spillage of material will be stopped if it can be done safely. The contaminated area will be cleaned immediately, and any contaminated materials properly disposed. For all spills, the project foreman or other designated liaison will notify Casitas immediately.

## BMP-21 Best Management Practice to Prevent Erosion (Activities 1-6)

Spoil shall be spread in the designated disturbed area outside of jurisdictional areas (with the exception of sediment to be placed in the primary placement area, as discussed for Activity 1B). Spoil shall be spread to avoid or minimize risk of erosion.

## BMP-22 Speed Limits (Activities 1-6)

Project-related vehicles will observe a daytime speed limit of 15 miles per hour throughout the impact areas. Night work will be avoided to the maximum extent possible; however, if night work must occur (e.g., Activity 2), the speed limit for transport and spreading material shall be reduced to 10 miles per hour. Off-road traffic outside of designated impact areas is prohibited.

## BMP-23 Noxious Weeds and Invasive Species (Activities 1-6)

To avoid the introduction or spread of noxious weeds and invasive biota into areas not infested, Casitas staff or its contractors, with the assistance of the biological monitor, will implement the following measures:

- a. Educate construction supervisors and managers on weed identification and the importance of controlling and preventing the spread of noxious weed infestations;
- b. Conduct a follow-up inventory of the construction area to verify construction activities have not resulted in the introduction of new noxious weed infestations; and
- c. If new noxious weed infestations are located during the follow-up inventory, the appropriate resource agency shall be contacted to determine the appropriate species-specific treatment methods for removal and the noxious vegetation shall be removed.
- d. Implement measures as appropriate from Reclamation Technical Memorandum No. 86-68220-07-05. Inspection and Cleaning Manual for Equipment and Vehicles to Prevent the Spread of Invasive Species. 2012 Edition

## BMP-24 Noxious Vegetation Removal (Activities 1-6)

Any noxious vegetation identified by Casitas staff or biological monitor shall be removed from the work area, soil disposal areas, upland areas, and around the perimeter of the concrete-lined portions of the Facility. Noxious vegetation shall be disposed of in a manner and at a location to prevent its re-establishment. Noxious species will be removed by hand or by hand-operated power tools, rather than by chemical means. Casitas staff or contractors will perform chipping of giant reed (*Arundo donax*) and disperse chipped material in designated locations where materials would not wash downstream or be allowed to propagate. All cut/removed noxious vegetation will be taken to a dump as a destruction load.

## 4 Annual Monitoring and Reporting Program

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The annual implementation of the Annual Maintenance and Repair program with the adopted environmental BMPs and long-term permits is shown on Figure 9. Each spring, Casitas will prepare a maintenance and repair plan for the next fiscal year (July 1 – June 30). The plan may be updated during the year as field conditions change. Under the proposed action, Casitas will identify the proposed maintenance and repair work for the year, BMPs to implement with the planned maintenance work, including any seasonal or geographic restrictions affecting the timing, methods, and limits of the planned work. It will be necessary for Casitas biologists to conduct site visits to certain locations, and to utilize a qualified specialized biologist in some instances. Using the information from Casitas staff (and a qualified biologist, if necessary), the annual maintenance and repair plan will be completed. A list of work planned for the Robles Diversion and Fish Passage Facility will be submitted to the USACE, CDFW, LARWQCB, USFWS, NMFS and Reclamation at that time.

As mentioned in Section 2.4.1, with regard to excavation of sediment from the forebay, Casitas will conduct a photogrammetric aerial survey in April/May each year, following the rain season and prior to annual excavation of the forebay. This post-rain season survey will be used in conjunction with the annual fill design plan to determine how much sediment can be placed downstream each year. The quantities of sediment to be placed downstream of the timber cut-off wall each year, and results of the photometric aerial survey, will be presented in the annual maintenance and repair plan.

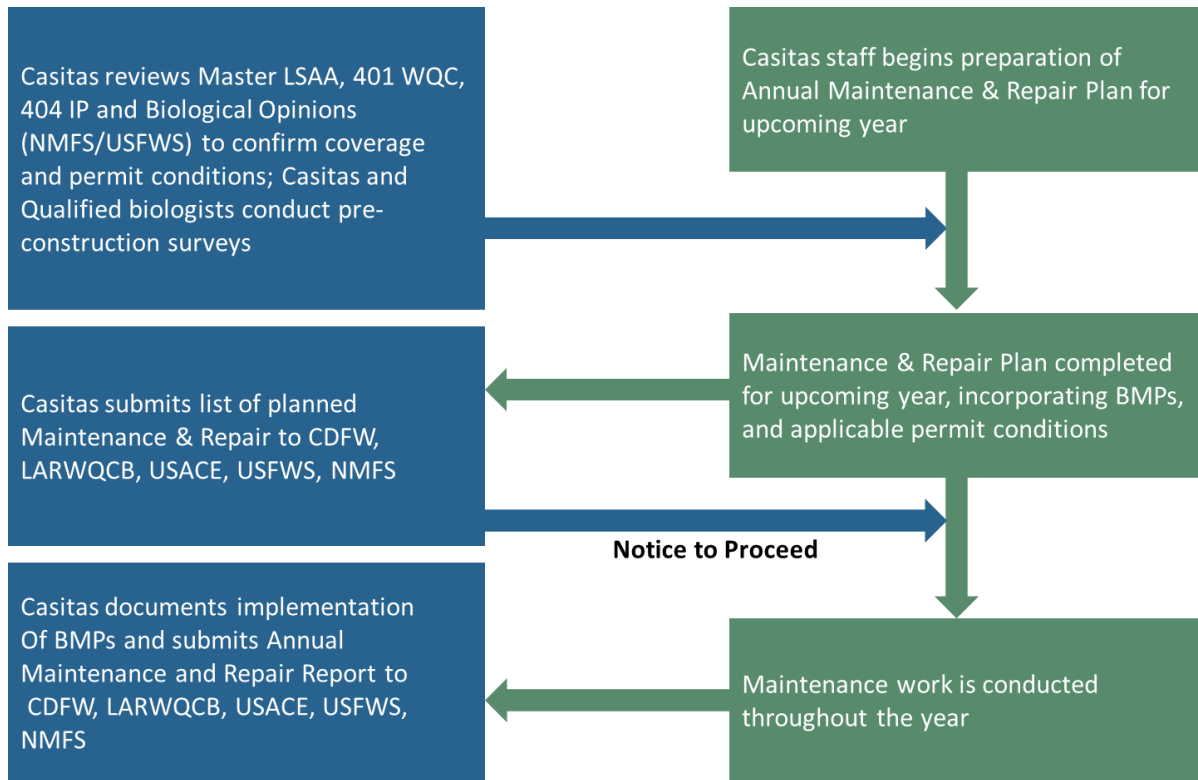
Casitas expects all regulatory agencies to issue a Notice to Proceed (NTP) for permitted activities within 30 days of receiving the list of planned maintenance and repair activities. If Casitas does not receive a response within 30 days, it shall be assumed the NTP is issued and work can begin.

Casitas will coordinate the implementation of the environmental BMPs (Section 3) and permit conditions during the course of the year, as described above. At the end of the year, an annual report documenting all work performed and the successful use of the BMPs will be submitted to USACE, CDFW, LARWQCB, USFWS, NMFS, and Reclamation for their records. Table 4 provides critical milestones for the proposed program. Section 5 includes a template for year-end reporting to the agencies.

**Table 4 Annual Repair and Maintenance Program Milestones**

Annual R&M Program Milestones	Timeframe
Pre-restoration/Post Winter Survey (Forebay)	April/May
Annual Maintenance and Repair Plan submitted to the resource agencies	May 30
Meeting to discuss Plan with Agencies/NTP	June
Perform Maintenance and Repair Work	July through November (dry conditions)
Post-Restoration Survey (Forebay)	October
Annual Monitoring Report submitted to resource agencies	May 30

**Figure 9 Annual Monitoring and Reporting Flow Diagram**



## 5 Annual Reporting

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On an annual basis, Casitas will provide the regulatory agencies with information regarding Casitas' routine maintenance and repair activities for the previous and current year. The information will be submitted in spreadsheet format under a cover letter signed and dated by the General Manager by May 30, and will include the following:

### 5.1 Maintenance Activity

- Activity number
- Description of activity
- BMPs implemented
- Start and end dates of the maintenance activity
- If the activity requires the removal of sediment, the starting and ending elevations and the cubic yards of sediment removed will be provided.
- If vegetation is removed, Casitas will describe the type of vegetation (i.e. native or invasive) and the method of removal and site of disposal.
- For vegetation removal in Ventura River, the linear feet of removal will be provided.
- Comments regarding condition of Facility will be noted as needed.

### 5.2 Forebay Sediment Removal and Relocation

The Annual Report will also include the results of the photometric aerial survey to be conducted in April/May each year, and a discussion including the following components:

- Proposed Sediment Removal and Relocation Activity (to occur in August/September each year)
- Discussion of Previous Rain Events
  - Specify if over-topping of timber cut-off wall occurred (i.e. when, and the duration of over-topping)
  - Magnitude and duration of storm events post-placement of sediment through April 30.
- Adaptive Management Strategy
  - A summary of the proposed approach for sediment removal in August/September (including quantities of sediment to be removed and relocated based on approved 2019 fill design.



# Appendix A

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Robles Diversion Fish Passage Facility Permits and Agreements (2001)





DEPARTMENT OF FISH AND GAME

http://www.dfg.ca.gov
4949 Viewridge Avenue
San Diego, CA 92123
(858) 467-4201

- ACT INFO
[ ] [x] GM JJ
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[ ] [ ] ENGR
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[ ] [ ] PARK
[ ] [ ] FILE

July 11, 2003



RECEIVED

JUL 14 2003

CASITAS
MUNICIPAL WATER DISTRICT



Mr. John Johnson
Casitas Municipal Water District
1055 Ventura Avenue
Oak View, CA 93022

Dear Mr. Johnson:

We are sending this letter to clarify the Department of Fish and Game's issuance of a Streambed Alteration Agreement for the Robles Diversion Fish Passage Facility. A question arose as to why the Agreement proposes to cover the construction of the project and a stipulated period of operations and maintenance following construction. We believe that it is only prudent to issue separate Streambed Alteration Agreements for construction/initial operation and then for the long-term operations and maintenance thereafter. This is due to the potential for modifications to arise during construction or in the immediate post-construction period which could affect the operation and maintenance. Allowing the facility to be completed and operated for a limited period under our initial agreement gives the project proponent time to identify and fine tune the operations and maintenance procedure without having to be locked into an agreement that is not practicable. We are prepared to issue the initial Agreement for up to 24 months from the completion of construction, and will expedite execution of that document to assist Casitas in moving forward with the bidding process.

As you know, the Department, as a member of the Technical Advisory Group, informally participated in the formal Section 7 consultation between the National Oceanic and Atmospheric Administration (NOAA) Fisheries and the Bureau of Reclamation (BOR) for this project. The Department agrees with, and fully supports, the Biological Opinion issued in March 31, 2003. We believe that the interim water releases that will occur during and for a limited time following the construction phase, as well as the guidance in the operation and maintenance criteria identified in the Biological Opinion will minimize the take of federally endangered steelhead. The Department intends to use the Biological Opinion, and the incidental take permit as the basis for the subsequent Streambed Alteration Agreement that will be issued for the long-term operations and maintenance of the Robles Diversion and Fish Passage Facility, and additional factors would be based on data obtained during the first two years and input from the Robles Diversion and Fish Passage Facility Management Committee.

Mr. John Johnson  
Casitas Municipal Water District  
July 11, 2003  
Page 2

If you have any further questions or concerns about this issue, please call Ms. Mary Larson, Senior Biologist Specialist, (562) 342-7186.

Sincerely,



C. F. Raysbrook  
Regional Manager  
South Coast Region

cc: Department of Fish and Game  
Mary Larson, Los Alamitos  
Martin Potter, Ojai  
Betty Courtney, Newhall  
CFR-Chron; HCP-Chron

National Oceanic and Atmospheric Administration-Fisheries  
Jim Lecky

U.S. Bureau of Reclamation  
David Young

BT:bt/sl

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DEPARTMENT OF FISH AND GAME

South Coast Region  
4949 Viewridge Avenue  
San Diego, California 92123  
(858) 467-4201  
FAX (858) 467-4235



August 04, 2003

Casistas Municipal Water District  
Attn: John Johnson  
1055 Ventura Avenue  
Oak View, CA 93022

Dear Mr. Johnson:

Enclosed is Streambed Alteration Agreement **R5-2002-0055** that authorizes work on the Robles Diversion Dam Fish Screen and Fishway project impacting Ventura River in Ventura County. This action is authorized under Section 1600 of the Fish and Game Code and has been approved by the California Department of Fish and Game. Pursuant to the requirements of the California Environmental Quality Act (CEQA), the Department filed a Notice of Determination (NOD) on the project on 8/4/03. Under CEQA regulations, the project has a 30-day statute of limitations on court challenges of the Department's approval under CEQA.

The Department believes that the project fully meets the requirements of the Fish and Game Code and CEQA. However, if court challenges on the NOD are received during the 30-day period, then an additional review or even modification of the project may be required. If no comments are received during the 30-day period, then any subsequent comments need not be responded to. This information is provided to you so that if you choose to undertake the project prior to the close of the 30-day period, you do so with the knowledge that additional actions may be required based on the results of any court challenges that are filed during that period.

Please contact Martin Potter at (805) 640-3677 if you have any questions regarding the Streambed Alteration Agreement

Sincerely,

*C.F. Raysbrook*  
C.F. Raysbrook  
Regional Manager

ACT INFO

- GM
- ADMIN
- ENGR
- O & M
- PARK
- Leo*
- FILE

Enclosure  
cc: Martin Potter

RECEIVED

AUG 07 2003

CASITAS  
MUNICIPAL WATER DISTRICT

**CALIFORNIA DEPARTMENT OF FISH AND GAME**

4949 Viewridge Avenue  
San Diego, CA 92123

June 27, 2003

Notification No. R5-2002-0055.

**AGREEMENT REGARDING PROPOSED STREAM OR LAKE ALTERATION**

THIS AGREEMENT, entered into between the State of California, Department of Fish and Game, hereinafter called the Department, and the Casitas Municipal Water District, State of California, hereinafter called the Operator, is as follows:

WHEREAS, pursuant to Section 1601 of the California Fish and Game Code, the Operator, on the 8th day of February, 2002, notified the Department they intend to divert or obstruct the natural flow of, or change the bed, channel, or bank of, or use material from the streambed of the following water: Ventura River, Ventura County, California.

WHEREAS, the Department (represented by Martin Potter, Betty Courtney, and Maurice Cardenas) has made an inspection of the subject area on the 15th day of May, 2003, and has determined that such operations may substantially adversely affect existing fish and wildlife resources including: fishes (steelhead), amphibians (pacific tree frog, western toad, pacific chorus frog), reptiles (fence lizard, king snake, gopher, and garter snakes), birds (house finch, sparrow, jay, swallows, yellowthroat, dove), raptors, mammals (coyote, raccoon, woodrat), native plants (willows, sycamores, coast live oaks) non-native plants (giant cane) and other aquatic and wildlife resources in the area.

THEREFORE, the Department hereby proposes measures to protect fish and wildlife resources during the Operator's work. The Operator hereby agrees to accept the following measures/conditions as part of the proposed work.

If the Operator's work changes from that stated in the notification specified above, this Agreement is no longer valid and a new notification shall be submitted to the Department of Fish and Game. Failure to comply with the provisions of this Agreement and with other pertinent code sections, including but not limited to Fish and Game Code Sections 5650, 5652, 5901, 5931, 5937, and 5948, may result in prosecution.

Nothing in this Agreement authorizes the Operator to trespass on any land or property, nor does it relieve the Operator of responsibility for compliance with applicable federal, state, or local laws or ordinances. A consummated Agreement does not constitute Department of Fish and Game endorsement of the proposed operation, or assure the Department's concurrence with permits required from other agencies.

This Agreement becomes effective 11/15/04 JD 2-2-03 MP the date of the Department's signature and the construction portion ~~terminates on 10/15/2004~~. This Agreement shall remain in effect to satisfy the terms/conditions of this Agreement. Any provisions of the agreement may be amended at any time provided such amendment is agreed to in writing by both parties. Mutually approved amendments become part of the original agreement and are subject to all previously negotiated provisions.

STREAMBED ALTERATION CONDITIONS FOR NOTIFICATION NUMBER: R5-2002-0055

1. The following provisions constitute the limit of activities agreed to and resolved by this Agreement. The signing of this Agreement does not imply that the Operator is precluded from doing other activities at the site. However, activities not specifically agreed to and resolved by this Agreement, shall be subject to separate notification pursuant to Fish and Game Code Sections 1600 et seq.

2. The Operator proposes to alter the streambed to install a structure to allow the passage of fish around the Robles Diversion Facility and Robles Diversion Dam. The primary project features include a fish screen, flow control structure, flow measurement section, fish guidance device, fishway, auxiliary water supply, high and low flow fish exit channels, a baffled apron, and a series of low-head stone weirs allowing for the removal of the existing concrete road crossing downstream of the spillway

The project components are further described as follows:

Fish Screen and Diversion Structure – The fish screen structure will consist of vertical, stainless steel, wedge-wire screen panels aligned horizontally in series in a chevron configuration within the diversion flume. The fish screen assembly, approximately 120 feet long, will be installed to prevent entrainment of adult and juvenile steelhead within the water diverted to Lake Casitas. The fish screen panels will be continuously cleaned using mechanical traveling brush mechanisms. The brush cleaning system will be operated via electric motors, activated manually or automatically, at preset time intervals.

500 cfs  
D  
7-22-03  
MP  
The fish screen surface area was designed according to the Operator's historic maximum diversion rate of plus **50 cfs for the fishway** and an additional **121 cfs** for the auxiliary water supply pipeline, for a combined total of **671 cfs**. In order to account for inefficiency in the fish screen system (e.g., potentially non-uniform flow, debris, etc.), the system was over-designed for a maximum capacity of 726 cfs. Given the proper hydrologic and climatic conditions, The Operator may divert more than 500 cfs, up to either the fish screen limit or the diversion canal limit, whichever is less. The fish screen capacity will be determined during operation of the system. In practice, it is anticipated that The Operator will not divert more than 550 cfs. The design will comply with the criteria of the Department and the National Marine Fisheries Service (NMFS). The approach velocity will not exceed 0.4 feet per second, and the sweeping velocity will be at least two times greater.

Adjustable, perforated plate baffle assemblies will be installed behind the fish screen panels to uniformly distribute approach velocities throughout the screen face. The porosity control devices will be implemented to prevent the occurrence of "hot spots" or areas where the approach velocity exceeds 0.4 feet per second.

The screen will be located between the existing headworks structure and concrete-lined diversion canal. The entire screen assembly will be installed within a new reinforced concrete flume with a width and height of 40.0 and 11.7 feet, respectively. Installation of the fish screen assembly will require excavation of 10,800 cubic yards of material, of which 5,600 cubic yards will be used as backfill and 5,200 cubic yards spoiled at The Operator's existing spoil area.

Approximately 350 lineal feet of the existing concrete-lined diversion canal, including a 74-foot-long Parshall flume, will be removed for construction of the fish screen and diversion structure. Approximately 75 cubic yards of reinforced concrete from demolishing the Parshall flume will be disposed at a facility appropriately licensed to accept the material.

## STREAMBED ALTERATION CONDITIONS FOR NOTIFICATION NUMBER: R5-2002-0055

Approximately 950 cubic yards of new reinforced concrete will be placed to construct the new flume.

Flow Control Structure – The flow control structure will consist of a 20-foot wide rectangular flume section containing a single-leaf, overshot gate. The “overshot” gate will be electronically actuated to maintain a design forebay water surface elevation, and to provide the desired rate of diversion. The overshot gate will function as an adjustable weir. The gate will be operated manually or automatically according to a predetermined control logic subroutine.

When the gate is fully raised, the diversion process will be discontinued. Under normal operation, the radial gates at the headworks structure will be fully opened, and diversion control will be provided by the flow control structure.

Under current operation, if The Operator is not diverting water to Lake Casitas, the spillway gates are fully raised. The proposed project requires The Operator to modify its current operation of the spillway gates and to use them to create a forebay pool, during the entire diversion season. In order to avoid trapping steelhead in the forebay pool at the end of the season, the low-flow fish exit channel gate will be raised to release water and fish. The low-flow fish exit will remain open during the summer and fall when The Operator is not diverting water. During brief periods of high runoff, the spillway gates will open as necessary to maintain the designated water surface elevation in the forebay.

Construction of the flow control structure will require excavation of 3,000 cubic yards of material, of which 1,600 cubic yards will be used as backfill and 1,400 cubic yards will be spoiled at The Operator’s existing spoil area. Approximately 250 cubic yards of new reinforced concrete will be placed to construct the new flume.

Flow Measurement Structure – A section of the canal downstream of the flow control structure will be equipped with multi-path, ultrasonic velocity and water level measurement transducers. The measured data will be relayed to a central programmable logic controller (PLC) for flow monitoring and flow control/gate actuation purposes. The structure instrumentation will document and record the amount of water diverted from the Ventura River to Lake Casitas.

Fish Guidance Device – The fish guidance device will be located within the diversion flume downstream of the headworks structure. The device will be aligned at approximately 25 degrees to the flume centerline, and will span almost its entire length. The fish guidance device consists of a series of slotted panels constructed of evenly spaced, vertically aligned, profiled louver vanes.

The primary objective of the guidance device is to direct adult upstream migrants toward the entrance of the high-flow exit channel. The project feature will ensure that upstream-migrants do not exit through the existing headworks structure, risk being captured within transverse velocities and swept downstream through the spillway structure. The high-flow exit channel is aligned to relocate the point of exit in the river or forebay approximately 200 feet upstream of the spillway structure where velocities are much less. The downstream end of the fish guidance device will include a covered slot, or fyke, enabling downstream migrants to negotiate past the fish guidance device while preventing upstream migrants from passing through. The fish guidance device will be configured to accommodate the safe passage of downstream migrating adult and juvenile steelhead.

## STREAMBED ALTERATION CONDITIONS FOR NOTIFICATION NUMBER: R5-2002-0055

Fishway – The fishway will be a vertical slot type, designed to function at flows of 10 to 50 cfs. It will facilitate upstream passage of adult steelhead around Robles Diversion Dam. The fishway will function for upstream migrating steelhead as well as downstream migrating juvenile and adult steelhead. Flow into the fishway will be self-regulating according to forebay and tailwater surface fluctuation. The entrance into the fishway will be located adjacent to the existing spillway abutment and immediately downstream of the spillway structure.

The fishway design flow is 1,500 cfs. The attraction flows will come from the combination of the fishway (50 cfs) and the auxiliary supply pipeline (121 cfs), as outlined for stormflow supplementation operations criteria in the Biological Opinion. These flows will be maintained during the migration period. The control slide gate will be adjusted automatically according to measured flow in the Ventura River and the pipeline to maintain the proper flow relationship.

The fishway will be approximately 360 feet long and consist of a sloped, rectangular flume partitioned by vertical slot baffles that are located at equal increments, creating a step-like arrangement of resting pools. The flume will be 8.0 feet wide with 16.0-foot high walls. The structure will be constructed of reinforced concrete, and entirely covered with galvanized steel grating for operational access, support and debris fallout protection. The fishway entrance will contain five vertical slots aligned perpendicular, 30 degrees to, and parallel with the streamflow. The slots can be manipulated to generate optimum fish attraction and will be equipped with stoplog channels to allow for closure during periods when the ladder is non-operational. The fishway exit will interface the fish screen via a rectangular channel and full-height vertical slot.

Construction of the fishway will require excavation of approximately 7,000 cubic yards of material, of which 5,000 cubic yards will be used as backfill and 2,000 cubic yards placed at The Operator's existing spoil area. Approximately 700 cubic yards of reinforced concrete will be required for construction of the fishway.

An entrance pool will be located at the fishway entrance to aid migrating fish into the fishway. One thousand cubic yards of material will be excavated to create the pool, all of which will be placed at the above-mentioned facility.

Auxiliary Water Supply Pipeline – The auxiliary water supply pipeline will introduce supplemental flow into the fishway at the entrance pool to enhance fish "attraction." As noted previously, the fish passage design flow is 1,500 cfs. The combination of the fishway (50 cfs) and the auxiliary supply pipeline (121 cfs) will provide the necessary downstream release capacity to meet the stormflow supplementation operations criteria stated in the Biological Opinion. The auxiliary supply flow will be conveyed through an HDPE pipeline and introduced through the sidewall of the initial entrance pool of the fishway. To avoid the capture and entrainment of migrating fish at the pipeline inlet, the auxiliary water will be diverted downstream of the fish screen. Accordingly, the fish screen will be designed to accommodate both The Operator's historic maximum diversion rate of 500 cfs plus the additional auxiliary water supply flow of 400 121 cfs.

The auxiliary water supply will consist of an inlet control slide gate, a high-density polyethylene pipeline, a flowmeter, and an outlet diffuser structure. The diffuser will placidly introduce the supplemental flow into the entrance pool to avoid flows that could be injurious or confusing to fish. The inlet will be located downstream of the fish screen to avoid the risk of entrainment, and upstream of the proposed flow control structure to maintain submergence under all diversion conditions. The pipeline will be installed adjacent to the fishway. The 325-

## STREAMBED ALTERATION CONDITIONS FOR NOTIFICATION NUMBER: R5-2002-0055

foot HDPE pipeline and concrete diffuser structure will utilize the open trench excavated for the fishway, therefore no additional excavation will be required.

Fish Exit Channels – Two fish exit channels are included in the proposed project. The high-flow exit channel will function as the primary migration route throughout the diversion season. The high-flow exit channel is included, as previously mentioned, to prevent “fall-back” through the spillway structure by relocating the point of exit further upstream where conditions will be more favorable. The high-flow exit channel will operate at a flow rate of 40 cfs to 50 cfs. A low-flow exit channel is also included to circumvent the ambiguity of assigning a specific cut-off point at which the fish passage facilities are to be taken off-line. The purpose of the low-flow exit channel is two-fold. The channel will allow the forebay to self-drain at the end of the diversion season, thereby eliminating the forebay, which creates an attraction nuisance. The low-flow channel will also provide a means for fish passage during lower flows (less than cfs).

The low-flow channel will be opened at the end of the diversion season to drain the forebay. It will remain open until The Operator decides to begin diverting during the following rainy season, allowing any fish and water to bypass the system. Historically, The Operator allows the first few storms to move through the Robles Facility without diverting any water. These storms flush debris out of the system and act to recharge the alluvial groundwater basin. At the beginning of the diversion season, the low-flow fish exit will be closed to allow the forebay to fill in preparation for diversions. Once the forebay is full, the headworks of the diversion structure can be opened to provide a fish exit.

The high-flow exit channel will transition into an exit structure with a 54” slide gate, electric actuator, and steel trash rack, terminating at the Ventura River approximately 200 feet upstream of the spillway structure. The high-flow exit channel, including the exit structure, will be approximately 330 feet long. The high-flow exit channel will consist of a 5-foot wide by 12-foot deep rectangular reinforced concrete flume that interfaces with the fish screen structure just downstream of the guidance device. The low-flow exit channel inlet will be located between the existing headworks and spillway structures and will tie into the diversion flume downstream of the headworks structure. The low-flow exit channel will consist of a 3-foot wide by 17-foot high by 40-foot long concrete channel with a 60-inch slide gate and electric actuator. The channel walls will be constructed to existing grade and covered with galvanized steel grating.

Construction of the fish exit channels will require excavation of 5,000 cubic yards of material, of which 4,000 cubic yards will be used as backfill and 1,000 cubic yards placed at the above-mentioned facility. Approximately 600 cubic yards of reinforced concrete will be required for construction of the fish exit channels.

Streambed Modifications – A baffled apron structure and a series of low-head stone weirs will be included in the project to provide effective fish passage to the fishway entrance while maintaining a stable riverbed. The construction zone for the proposed streambed modifications is immediately downstream of the Robles Diversion spillway. This area is likely considered part of the designated critical habitat for steelhead in the lower Ventura River.

The baffled apron structure will be constructed immediately downstream of the existing spillway apron. The baffled apron will be a reinforced concrete sill with baffle blocks on a sloping concrete slab. The baffle blocks will be distributed over the sloping concrete slab in accordance with the criteria of the U.S. Bureau of Reclamation (USBR) to dissipate energy and limit the extent of turbulent flow in to the entrance pool. The USBR’s criteria have been



STREAMBED ALTERATION CONDITIONS FOR NOTIFICATION NUMBER: R5-2002-0055

widely applied for energy dissipation at hydraulic structures. This will function to minimize competing attraction flows from the spillway and obscuring the fishway entrance by flows from the spillway. The sill and baffled apron structure will dissipate excess energy by creating a hydraulic jump within the existing spillway structure throughout the design flow range (0 cfs to 1,500 cfs). The structure will tie into the downstream end of the existing spillway apron with an abrupt invert offset, or sill, and will descend into the entrance pool at the base of the fishway at a 2:1 slope. The apron will be embedded approximately 10 feet into the entrance pool to control the extent of scour.

The channel below the spillway is straight, approximately 40 to 60 feet wide with banks at a 2:1 slope. The streambed and bank substrate consists of large cobble and boulders 1 to 2 feet in diameter. The top of the banks are covered with a relatively young stand of three to five-year-old willows.

Approximately 450 feet downstream from the spillway structure, a concrete low flow measuring weir/roadway is constructed across the spillway channel. The crossing currently functions as a grade stabilization structure, generating a drop of approximately 5 feet in the water surface profile and obstructing steelhead migration at low flows. To correct this, a series of fifteen (15) low-head stone weirs will be installed within the channel at uniformly spaced increments throughout a reach of approximately 800 feet downstream of the existing spillway structure. The series of weirs is designed to produce a step-pool arrangement conducive to upstream fish passage through the spillway channel up to the fishway entrance. In addition, the system will stabilize the streambed, provide the necessary submergence of the fishway entrance, and help maintain a consistent low-flow channel.

The weirs are designed to be approximately 40 feet wide in an arc with the low point in the center, and will be keyed into the embankments a minimum of 4 to 6 feet. Native stone (*i.e.*, cobbles and boulders) will be embedded in a grouted stone footing to a depth of 1/3 of the stone's diameter. Boulders will be anchored to and embedded into the weir footings to prevent undermining the structural support of the weirs, and to prevent erosion of the banks. The center of the low-head stone weirs will be approximately 1 foot lower than the outer edges, thus concentrating the flow towards the center and creating a consistent low flow channel, and reducing the potential for bank scour. Step-pools will exist on the downstream side of each weir. The low-head stone weirs will have a maximum height of 18 inches from the bottom of the downstream pool to the top of the weir. When water is present, this should result in passable conditions for both adult and juvenile fish. The streambed downstream of the weirs will be armored with native material (*i.e.*, cobbles and boulders) to prevent the development of excessively large scour holes.

The existing concrete road crossing will be removed and replaced with grouted rock constructed at the grade of the new riverbed at the location of the existing road crossing. The new road crossing will have the same dimensions as the existing road crossing (12 feet wide), but will be at the new riverbed elevation through the entire width of the channel. The road on either side of the channel will be cut into the bank to eliminate the need for any elevation increase within the channel. The low-flow crossing will be placed immediately upstream of a low-head stone weir (Figure 2). This will ensure that the crossing will not become a fish passage barrier. This crossing will only be usable at flows under 15 cfs, when steelhead are likely to be absent from this reach.

A 30-foot area along the top of both banks will be cleared and graded to provide access for modifying the gradient of the channel and construction of the weirs. This will result in the temporary removal or disturbance of riparian vegetation during construction. The



impacted area is approximately 24,000 square feet or 0.55 acres.

Installation of the low-head stone weirs will impact approximately 1.7 acres of the streambed. Approximately 15,000 cubic yards of material will be excavated, of which 11,000 will be spoil. Approximately 4,000 yards of graded and processed material will be screened from the spoil and will be used to construct the weirs and armor the pool inverts.

Approximately 1,000 yards of lean concrete (*i.e.*, concrete with reduced Portland cement content) will be used to anchor the stone weirs into the embankments and streambed.

Maintenance of the stone weirs should be minimal and limited to debris removal, and will occur only during dry conditions when the channel is dewatered. Since the gradation and boulder size is large in relation to conventional design standards, scour of the restoration area should be nominal. Inspections will be conducted early in the service life of the system and on an ongoing basis immediately following significant flood events. The inspections will involve identifying undercutting or flanking around the weirs and repairing, as necessary. Significant movement of the boulders or armoring material will be restored following the guidance of NMFS and USFWS. If removal or disturbance of the riparian vegetation is required, appropriate restoration will be conducted.

The successful passage of fish requires using the physical structures described above.

Regardless of flow within the Ventura River, a forebay must be maintained upstream of the existing spillway structure for the fish passage facilities to function properly.

Earthwork for the above-mentioned facilities will involve the use of hydraulic excavators and loaders, bulldozers, and off-road earth-hauling trucks. All construction equipment will be well maintained to ensure that exhaust is minimized. All equipment, while not in use, will be stored at two staging areas, one on each side of the river (Figure 2). The main staging area will be located southwest of the Robles Diversion Dam, between the existing access road and the Robles Diversion Canal on a large flat approximately 1.4 acres in size. An additional staging area, of approximately 0.75 acres in size, will be located east of the spillway channel.

The concrete supply will probably be accomplished with placements ranging from approximately 50 to 150 cubic yards per day. The existing concrete canal lining will be broken, crushed, and placed with the excavation spoil. Approximately 75 cubic yards of reinforced concrete from demolishing the Parshall flume will be disposed at a facility appropriately licensed to accept the material. All excess excavated material for the entire project will be spoiled at The Operator's existing spoil area on the right bank approximately 500 feet upstream from the Robles Diversion Facilities. This spoil basin is located completely outside the high flow channel, and separated from the river channel by a raised berm. The spoil material will be used by The Operator at a later time for construction of road basins and/or slope and embankment maintenance, and will not affect the capacity of the existing spoil area. A qualified archeologist will be present during all necessary excavations to ensure that no cultural resources will be damaged.

Work within or adjacent to the waterway includes the fish exit structure on the right bank approximately 200 feet upstream of the existing spillway structure, excavation for construction of the fish ladder entrance on the right bank just downstream of the spillway structure, incorporation of the baffled apron into the existing spillway structure, and modification of approximately 800 feet of the existing spillway channel via incorporation of low-head stone weirs and the low-flow crossing. Work within the forebay or spillway channel, downstream of the existing spillway structure, will be performed during periods of no flow. This will ensure the absence of steelhead, that water quality is maintained, and erosion minimized.

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3. The agreed work includes activities associated with No. 2 above. The project area is located in **Ventura** County (Thomas Guide Page 441, C4). Specific work areas and mitigation measures are described on/in the plans and documents submitted by the Operator and shall be implemented as proposed, unless directed differently by this agreement. Contact Neil Cole at **Phone: (805) 649-2251, ext. 107** for additional information.

4. **COPIES OF THIS AGREEMENT AND ALL REQUIRED PERMITS AND SUPPORTING DOCUMENTS, PROVIDED WITH NOTIFICATION OR REQUIRED BY THIS AGREEMENT SHALL BE READILY AVAILABLE AT WORK SITES AT ALL TIMES DURING PERIODS OF ACTIVE WORK.**

5. The Operator shall request an extension of this agreement prior to its termination. Extensions may be granted for up to 12 months from the date of termination of the agreement and are subject to Departmental approval. The extension request and fees shall be submitted to the Department's Region 5 Office at the above address. If the Operator fails to request the extension prior to the agreement's termination, then the Operator shall submit a new notification with fees and required information to the Department. Any activities conducted under an expired agreement are a violation of Fish and Game Code Section 1600 et. seq.

6. The Operator certifies by signing this agreement that the project site has been surveyed and shall not impact any rare, threatened or endangered species; or the Operator certifies that such a survey is not required for the proposed project. If rare, threatened or endangered species occur within the proposed work area, or could be impacted by the work proposed, the Operator shall consult with the Department and obtain any required State and/or Federal permits.

<<WORK AREAS AND VEGETATION REMOVAL>>

7. Disturbance or removal of vegetation shall not exceed the limits approved by the Department. The disturbed portions of any stream channel or lake margin, within the high water mark of the stream or lake, shall be restored to their original condition under the direction of the Department.

8. Restoration shall include the revegetation of stripped or exposed work and/or mitigation areas with vegetation native to the area.

9. The work area shall be flagged to identify its limits within the stream. Vegetation shall not be removed or intentionally damaged beyond these limits.

10. In **areas of temporary disturbance**, where vegetation must be removed, native trees and shrubs, with DBHs of 3 inches or less, shall be cut to ground level with hand operated power tools rather than by grading.

11. Vegetation removed from the stream shall not be stockpiled in the stream bed or on its bank. The sites selected on which to push this material out of the stream should be selected

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in compliance with the other provisions of this Agreement. Where possible brush piles shall be left outside the channel in upland areas to provide wildlife habitat.

12. A complete inventory of plants, by species and Diameter at Breast Height (DBH), which will be removed shall be submitted to the Department within 30 days of signing this Agreement.

13. No equipment shall be operated within the dripline of oaks. Protective fencing shall be placed around the dripline of oaks to prevent compaction of the root zone.

14. Any oaks, CA black walnuts and sycamores which are damaged/removed during construction operations shall be replaced in kind at a 10:1 ratio. Willows shall be replaced at a ratio of 5:1.

15. Any oaks which must be **removed** shall be replaced in kind. The replacement ratios\* (using rooted plants in liners or direct planting of acorns) for plants which are to be removed shall be as follows: plants less than 5 inches DBH shall be replaced at 3:1; plants from 5 to 12 inches shall be replaced at 5:1; trees from 12 to 24 inches shall be replaced at 10:1; trees from 24 to 36 inches shall be replaced at 15:1; all oaks greater than 36 inches shall be replanted at a ratio of 20:1. **The replacement ratio for damaged trees shall be 2:1 for plants with DBH less than 12 inches. The replacement ratio for damaged trees shall be 5:1 for plants with DBH greater than 12 inches.** (The Department recommends that the Operator using rooted plants in liners, acorns, or one gallon containers for restoration to increase the likelihood of survival of plantings).

<<EQUIPMENT AND ACCESS>>

16. Staging/storage areas for equipment and materials shall be located outside of the stream/lake.

17. Only rubber tired equipment shall be driven within the channel. The equipment shall be clean and free of any weed seeds.

18. If a batch plant is used on-site for the mixing of concrete, a berm or other form of containment dike shall be constructed around the plant to prevent concrete from entering the streambed. The batch plant shall be placed in a location so as not to disturb nesting birds. The Operator shall implement a dust control program at the patch plant. The Department shall approve the location of the batch plant.

19. This work is only authorized when the vehicle is completely clean of petroleum residue and water levels are below the gear boxes of the equipment in use or lubricants and fuels are sealed such that inundation by water shall not result in leaks.

20. Access to the work site shall be via existing roads and access ramps. If no ramps are available in the immediate area, the Operator may construct a ramp in the footprint of the project. Any ramp shall be removed upon completion of the project.

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<<FILL AND SPOIL>>

21. Fill length, width, and height dimensions shall not exceed those of the original installation or the original naturally occurring topography, contour, and elevation. Fill shall be limited to the minimal amount necessary to accomplish the agreed activities.

22. The Operator shall only use unconcreted rock rip-rap. *for bank stabilization. JMP*  
*7-11-03*

23. To facilitate restoration, the Operator shall salvage native topsoil (the top 6 to 12 inch deep layer containing organic material) from the worksite prior to construction. Following construction, salvaged topsoil shall be returned to the work area/placed in the restoration site.

24. The Department recommends the following methods for salvaging, stockpiling, and replacing topsoil: Salvaged topsoil material should be stockpiled in a location where it is unlikely to be disturbed during construction in piles which do not exceed 8 feet in height (3 feet if stored more than one year); The soil should be maintained in a weed-free condition during storage; Following completion of construction, the topsoil should be tested to determine if it is suitable for restoration, and amended if necessary to encourage growth; Graded slopes should be maintained in a weed free state prior to revegetation; Construction areas should be prepared in a manner so as to prevent soil compaction in the upper 1-2 feet; A minimum 4 inch deep layer of topsoil should be distributed in the area to be revegetated; and the area should be rolled with a sheepsfoot roller to bind the soil layers.

25. Spoil storage sites shall not be located within a stream/lake, where spoil can be washed back into a stream/lake, or where it will cover aquatic or riparian vegetation.

<<STRUCTURES>>

26. Rock rip-rap may be placed in areas where other methods of bank protection are not possible. Voids between the rock shall be filled with soil to allow vegetation to grow. Revegetation shall be required within the rip-rap (see the mitigation section).

27. Any temporary dam or other artificial obstruction shall only be built from materials such as clean gravel which will cause little or no siltation, and shall be approved by the Department prior to construction.

<<CLEAN UP>>

28. Structures and associated materials not designed to withstand high water flows shall be moved to areas above high water before such flows occur.

29. Any materials placed in seasonally dry portions of a stream or lake that could be washed downstream or could be deleterious to aquatic life shall be removed from the project site prior to inundation by high flows.

30. Areas of disturbed soils with slopes toward a stream or lake shall be stabilized to reduce erosion potential. Planting, seeding and mulching is conditionally acceptable. Where



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suitable vegetation cannot reasonably be expected to become established, non-erodible materials, such as coconut fiber matting, shall be used for such stabilization. Any installation of non-erodible materials not described in the original project description shall be coordinated with the Department. Coordination may include the negotiation of additional Agreement provisions for this activity.

<<POLLUTION, SEDIMENTATION, AND LITTER>>

31. No debris, soil, silt, sand, bark, slash, sawdust, rubbish, construction waste, **cement or concrete or washings thereof**, oil or petroleum products or other organic or earthen material of whatever nature shall be allowed to enter into or placed where it may be washed by rainfall or runoff into, waters of the State. When operations are completed, any excess materials or debris shall be removed from the work area. No rubbish shall be deposited within 150 feet of the high water mark of any stream or lake.

32. The Operator shall comply with all litter and pollution laws. All contractors, subcontractors and employees shall also obey these laws and it shall be the responsibility of the operator to insure compliance.

33. Any equipment or vehicles driven and/or operated within or adjacent to the stream/lake shall be checked and maintained daily, to prevent leaks of materials that if introduced to water could be deleterious to aquatic life.

34. Stationary equipment such as motors, pumps, generators, and welders, located within or adjacent to the stream/lake shall be positioned over drip pans.

35. No equipment maintenance shall be done within or near any stream channel or lake margin where petroleum products or other pollutants from the equipment may enter these areas under any flow.

36. The clean-up of all spills shall begin immediately. The Department shall be notified immediately by the Operator of any spills and shall be consulted regarding clean-up procedures.

37. Precautions to minimize turbidity/siltation shall be taken into account during project planning and shall be installed **prior** to construction. This may require that the work site be isolated and that water be diverted around the work area by means of a barrier, temporary culvert, new channel, or other means approved by the Department. Precautions may also include placement of silt fencing, straw bales, sand bags, and/or the construction of silt catchment basins, so that silt or other deleterious materials are not allowed to pass to downstream reaches. The method used to prevent siltation shall be monitored and cleaned/repared weekly. The placement of any structure or materials in the stream for this purpose, not included in the original project description, or Department approved water pollution/water diversion plan shall be coordinated with the Department. Coordination shall include the negotiation of additional Agreement provisions.

38. When work in a flowing stream is unavoidable, the entire stream flow shall be diverted around the work area by a barrier, temporary culvert, new channel, or other means approved by the Department. Location of the upstream and downstream diversion points shall be approved by the Department. Construction of the barrier and/or the new channel shall normally begin in the downstream area and continue in an upstream direction, and the flow shall be diverted only when construction of the diversion is completed. Channel bank or barrier construction shall be adequate to prevent seepage into or from the work area. **Diversion berms shall be constructed of onsite alluvium of low silt content, inflatable dams, sand bags, or other approved materials.** Channel banks or barriers shall not be made of earth or other substances subject to erosion unless first enclosed by sheet piling, rock rip-rap, or other protective material. The enclosure and the supportive material shall be removed when the work is completed and removal shall normally proceed from downstream in an upstream direction. The Operator shall obtain all written approvals from the Department prior to initiation of construction activities.

39. If stream flows persist down stream of the Robles Diversion in the area of the low flow crossing, the Operator shall first consider potentially delaying the construction activities that require multiple crossing and/or crossings by vehicles hauling wet cement OR the Operator shall develop a diversion plan to minimize potential impacts to downstream resources. The diversion shall be installed upstream approximately 40 feet and downstream approximately 100 feet of the low flow crossing.

40. If stream flow persists at the projected in-channel construction start date, USBR, the Operator, and their contractor will first consider potentially delaying the in-channel work start date. The Operator will discuss this option with NMFS and THE DEPARTMENT to determine if this is an appropriate action to minimize or avoid potential adverse impacts on steelhead. If the contractor cannot avoid performing construction activities while there is water present in the river, the following minimization measures will be taken.

- A temporary diversion structure will be installed upstream of the work site prior to initiation of construction activities in the river channel.
- A coffer dam will be installed using native materials that accumulate in the diversion forebay and will require heavy equipment to construct.
- The isolation area will extend from just upstream of the high-flow fish exit downstream approximately 1,000 feet.
- The Casitas fisheries biologist and the construction contractor will determine the specific site. The height of the coffer dam will be determined by the contractor at the start of the in-channel construction work.
- The size of the area to be dewatered and the location of the coffer dam will depend on the configuration of the sediment in the forebay after the winter rains.
- Water will be passed around the construction zone and re-join the existing river channel downstream of the work site.
- The length and height of the dam and the size of the construction zone will be minimized to the maximum extent practicable while still maintaining functionality.

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41. Flow diversions shall be done in a manner that shall prevent pollution and/or siltation and which shall provide flows to downstream reaches. Flows to downstream reaches shall be provided during all times that the natural flow would have supported aquatic life. Said flows shall be sufficient quality and quantity, and of appropriate temperature to support fish and other aquatic life both above and below the diversion. Normal flows shall be restored to the affected stream immediately upon completion of work at that location.
42. Silty/turbid water from dewatering or other activities shall not be discharged into the stream. Such water shall be settled, filtered, or otherwise treated prior to discharge. The Operator's ability to minimize turbidity/siltation shall be the subject of pre-construction planning and feature implementation.
43. Upon Department determination that turbidity/siltation levels resulting from project related activities constitute a threat to aquatic life, activities associated with the turbidity/siltation, shall be halted until effective Department approved control devices are installed, or abatement procedures are initiated.
44. Prior to commencing construction, <sup>requiring diversion dd 7-21-03 MP</sup> the Operator shall submit to the Department for review and approval, the proposed water diversion/water pollution control plan for this project. The plan shall be consistent with the terms and conditions of this Agreement and the requirements of the U.S. Army Corps of Engineers and Regional Water Quality Control Board. Any terms and conditions in the final Agency approved water diversion/water pollution plan which are more restrictive than in this agreement shall be a part of this Agreement and shall be enforceable by the Department. Any changes in the original project description or Department approved water pollution/water diversion plan shall be coordinated with the Department. Coordination shall include the negotiation of additional Agreement provisions.
45. Preparation shall be made so that runoff from steep, erodible surfaces will be diverted into stable areas with little erosion potential. Frequent water checks shall be placed on dirt roads, cat tracks, or other work trails to control erosion.
46. Water containing mud, silt, or other pollutants from equipment washing or other activities, shall not be allowed to enter a lake or flowing stream or placed in locations that may be subjected to high storm flows.
47. If an off-stream siltation pond/s is/are used to control sediment, pond/s shall be constructed in a location, or shall be designed, such that potential spills into the stream/lake during periods of high water levels/flow are precluded.
48. If silt catchment basin/s is/are used, the basin/s shall be constructed across the stream immediately downstream of the project site. Catchment basins shall be constructed of materials which are free from mud and silt. Upon completion of the project, all basin materials along with the trapped sediments shall be removed from the stream in such a manner that said removal shall not introduce sediment to the stream.
49. Silt settling basins shall be located away from the stream or lake to prevent discolored, silt-bearing water from reaching the stream or lake during any flow regime.



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50. Should a silt catchment basin be required, the following operational methods shall be employed:

- a. A silt catchment basin or basins (number and location to be determined by the Department) shall be constructed across the stream immediately below the project site. This catchment basin(s) shall be constructed of silt-free gravel or other materials approved by the Department.
- b. Upon completion of the project and after all flowing water in the area is clear of turbidity, the gravel along with the trapped sediment shall be removed from the stream.

51. The work area shall be secured from trespass when (as determined by the Department) fish or wildlife resources are vulnerable to damage from unsupervised public access.

<<FISH PASSAGE>>

52. When any dam or other artificial obstruction is being constructed, maintained, or placed in operation, sufficient water shall at all times be allowed to pass downstream to maintain aquatic life below the dam pursuant to Fish and Game Code section 5937.

53. Pump intakes placed in stream/lake water shall be fitted with (1/8) inch or smaller mesh screens for January 1, through March 30, and (1/4) inch or small mesh screens thereafter.

54. Prior to passing water around the in-channel construction zone, the Casitas fisheries biologist shall make visual observations to determine if there are any fish inhabiting the river channel. If steelhead are observed in the in-channel construction zone, then a fish rescue shall be initiated. The Casitas fisheries biologist shall contact USBR, NMFS and the Department to notify them of the need to initiate a fish rescue. Before any fish rescue activities begin, the reach would be isolated by installing nets across the flowing channel upstream of the coffer dam site and at the downstream end of the construction zone. It is anticipated that fish would initially be captured using seines and/or fyke nets. This effort would be followed by the use of backpack electroshockers to capture any remaining fish. Trapped fish would be released into a perennial portion of the river upstream of the temporary diversion dam or into North Fork Matilija Creek. The release site(s) would be approved by NMFS and Department biologists.

55. The Operator shall report all fish mortality immediately to the Departments Fisheries Biologist, Maurice Cardenas at (805) 640-1852.

<<RESTORATION/MITIGATION>>

56. To provide protection from erosion, the Operator shall plant willow cuttings (obtained from nearby plants) on 6-8 ft centers, on the restored slope. These shall be planted during the willows dormant season, and shall be augered/dug into the groundwater or wetted soil.

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57. MITIGATION FOR AREAS OF TEMPORARY DISTURBANCE--No more than 1 acre of habitat within the banks, bed, and channel of the stream and/or riparian habitat shall be temporarily disturbed/impacted due to the proposed operations. Restoration shall include the revegetation of stripped or exposed work areas within the banks, bed, and channel of the stream (including construction areas, access roads, etc.) with native vegetation local to the area at a ratio of 1:1.

58. MITIGATION FOR AREAS OF PERMANENT DISTURBANCE--no more than 1 acre of habitat within the banks, bed, and channel of the stream and/or riparian habitat shall be permanently lost due to the proposed operations. Restoration shall include the restoration of a degraded, stripped, or exposed area(s) with native riparian and transitional vegetation, local to the drainage, at a ratio of 3:1. The location and type of restoration shall be approved by the Department prior to execution of this agreement. *permanent disturbance, JJ 7-21-03*

59. No restoration/mitigation shall occur in fuel modification zones, future project areas or areas of maintenance. *MP*

~~60. A 30 foot wide buffer of native vegetation shall extend along the mitigation area and all riparian and wetland drainages. The buffer shall serve to minimize the amount of light, noise, and other human generated impacts to the wildlife corridor. Native vegetation shall be used to create wildlife movement corridors between mitigation areas and areas designated as open space or construction/human habitation areas.~~ *JJ-7-21-03*

61. If native trees have been removed from the stream's banks, they shall be replaced in-kind, and maintained until established, under the direction of a Department representative. *MP*

62. In order to determine if the revegetation techniques used have been successful, any plant species required that are listed below shall achieve the minimum growth at the end of three and five years. If the minimum growth is not achieved, then the Operator shall be responsible for taking the appropriate corrective measures as determined by Department representatives. The Operator shall be responsible for any cost incurred during the revegetation or in subsequent corrective measures.

SPECIES	SIZE AT PLANTING (GALLONS)	PLANTING CENTERS	HEIGHT	
			3 years	5 years
Arroyo Willow	1 gallon	8 ft	10 ft	15 ft
Black Willow	1 gallon	8 ft	12 ft	18 ft
Sandbar Willow	1 gallon	5 ft	4 ft	6 ft
Red Willow	1 gallon	8 ft	9 ft	15 ft
Sycamore	1 gallon	20 ft	5 ft	9 ft
Calif. laurel	1 gallon	20 ft	N/D	N/D
Black Walnut	1 gallon	20 ft	7 ft	12 ft

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Cottonwood	1 gallon	*	7 ft	12 ft
White Alder	1 gallon	*	6 ft	11 ft

\* = Depending if used as supplemental species (40 ft O.C.) or if dominant species (15 ft O.C.)

OAKS

Coast live	1 gallon	20 ft	3 ft	6 ft
Canyon live	1 gallon	20 ft	3 ft	6 ft
Scrub	1 gallon	20 ft	2 ft	4 ft
All Shrub species	1 gallon			

63. Planting, maintenance, monitoring and reporting activities shall be overseen by a specialist familiar with restoration of native plants.

64. All plants shall be planted in randomly spaced, naturally clumped patterns. The average planting densities shall meet the criteria specified above.

65. All planting shall have a minimum of 80% survival, by species, the first year and 100% survival thereafter and/or shall attain 75% cover after 3 years and 90% cover after 5 years for the life of the project. If the survival and cover requirements have not been met, the Operator is responsible for replacement planting to achieve these requirements. Replacement plants shall be monitored with the same survival and growth requirements for 5 years after planting.

66. An annual report shall be submitted to the Department by Jan. 1 of each year for 5 years after planting. This report shall include the survival, % cover, and height by species of both trees and shrubs. The number by species of plants replaced, an overview of the revegetation and exotic plant control efforts, and the method used to assess these parameters shall also be included. Photos from designated photo stations shall be included.

67. Prior to initiation of construction activities, a plant palette and planting plan, prepared by a biologist familiar with restoration of native plants, shall be submitted to the Department .

This plan shall include plantings of both overstory and understory vegetation and shall be consistent with the Recommended List of Native Plants for Landscaping in the Santa Monica Mountains as prepared by the California Native Plant Society.

The plan shall also include a description of the proposed numbers, container sizes, and planting location, by species, the proposed monitoring activities\* (locations, techniques, scheduling, etc.), maintenance operations with particular emphasis on watering methods and schedules; the removal of invasive plant species, area treated, techniques to be used, and schedule and success criteria for controlling invasive plants; and any/all other references to revegetation and restoration activities specified by this Agreement. All procedures shall be approved by the Department in writing.

\* The primary monitoring surveys to determine the success of restoration efforts (survival, cover and growth of plants) shall be conducted in May and September.

68. All planting should be done after the first wetting rains between October 1 and February 1 to take advantage of the winter rainy season, dormancy of foliage, and rooting period to ensure optimum survival of plantings. Should the Operator be required to plant during other times of the year, chances of survival are diminished. To compensate for decreased survival rates, the Operator shall be required to augment the specified planting density by 25% to account for the likelihood of increased mortality of plantings. Any restoration/planting shall be completed by 10/15/05.

69. The Operator shall provide irrigation when natural moisture conditions are inadequate to ensure survival of plants. Irrigation shall be provided for a period of at least two years from planting. Irrigation shall be phased out during the fall/winter of second year unless unusually severe conditions threaten survival of plantings. All plants must survive and grow for at least three years without supplemental water for the restoration phase of the project to be eligible for acceptance by the Department.

70. Coarse mulch shall be placed around plantings to minimize water loss and discourage weed growth. Mulch shall be 3 to 4 inches deep and shall be placed in a minimum area 1.5 times the diameter of the dripline of the plant or 2 feet in diameter, whichever is greater. The mulched area shall be maintained throughout the course of restoration, unless otherwise authorized in writing by the Department. Mulch shall not be placed directly against the main stem of the plants.

71. Plant material for revegetation shall be derived from cuttings, materials salvaged from disturbed areas, and/or seeds obtained from randomly selected native trees and shrubs occurring locally within the same drainage.

72. Any replacement tree/shrub stock, which cannot be grown from cuttings or seeds, shall be obtained from a native plant nursery, be ant free and shall not be inoculated to prevent heart rot. The Operator shall provide a list of all materials which must be obtained from other than onsite sources.

<<REMOVING NON-NATIVE VEGETATION>>

73. The Operator shall remove any non-native vegetation (tree tobacco, castor bean, giant cane, etc.) from the work area and shall dispose of it in a manner and a location which prevents its reestablishment. Removal shall be done at least twice annually during the spring/summer season, as needed, through the term of restoration.

Giant cane (*Arundo*), if present, shall be cut to a height of 6 inches or less, and the stumps painted with an herbicide approved for aquatic use within 5 minutes of cutting. Herbicides shall be applied at least three times during the period from May 1 to October 1 to eradicate these plants. Where proposed methods for removing giant cane

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deviate from this procedure, the Operator shall present the alternate methods, in writing, to the Department for review and approval, prior to construction.

74. Whenever possible, invasive species shall be removed by hand or by hand-operated power tools rather than by chemical means. Where control of non-native vegetation is required within the bed bank, or channel of the stream, the use of herbicides is necessary, and there is a possibility that the herbicides could come into contact with water, the Operator shall employ only those herbicides, such as Rodeo (Glyphosate), which are approved for aquatic use. If surfactants are required, they shall be restricted to non-ionic chemicals, such as Agri-Dex, which are approved for aquatic use.

75. No herbicides shall be used on native vegetation unless specifically authorized, in writing, by the Department.

<<PERMITTING AND SAFEGUARDS>>

76. The Operator shall provide a performance bond to cover the full cost of restoration (including any/all planting and seeding, soil testing and amendments, monitoring, maintenance, reporting activities, etc. specified in the subject agreement. This performance bond shall meet the following conditions.

- a. The performance bond surety shall be an "admitted" carrier and all transactions shall be governed by the Bond and Undertaking Law (CCP Para.995.010 - 996.510).
- b. The performance bond shall stipulate that in the event of a default, the Department/Corps shall be entitled to relief in the form of cash only.
- c. Should any legal action be necessary to enforce or interpret the terms of the performance bond, the Department/Corps, as the prevailing party/parties shall be entitled to collect reasonable attorney's fees from the losing party.
- d. The performance bond may be subject to partial reduction upon completion and acceptance of certain work by the Department/Corps.

8-1-03 WGT

<<PROTECTION FOR WILDLIFE AND AQUATIC SPECIES>>

77. The Operator shall not allow any vegetation removal within the site from February 1<sup>st</sup> to August 15<sup>th</sup>, the recognized breeding, nesting and fledging season for most bird species. If vegetation has to be removed within these dates, a qualified biologist shall conduct bird surveys for nesting birds.

The Department emphasizes migratory nongame native bird species are protected by international treaty under the Federal Migratory Bird Treaty Act (MBTA) of 1918 (50C.F.R. §10.13). This Agreement therefore does not allow the Operator, any employees, or agents to destroy or disturb any active bird nest (§3503 Fish and Game Code) or any raptor nest (§3503.5) at any time of the year.

78. Prior to any construction during the raptor nesting season, January 31<sup>st</sup> to September 1<sup>st</sup>, a qualified biologist shall conduct a site survey for active nests two weeks prior to an

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scheduled development. If an active nest is located, then no construction work shall be conducted within a 500 foot radius from the nest until the young have fledged and are independent of the adults.

79. Swallows were observed nesting within the existing structure during the Department's site visit. The Operator therefore shall conduct surveys for occupied swallow nests at least until September 15. The Operator shall conduct Swallow surveys beginning July 1, if a nest is vacated; the nest shall be removed and shall not be allowed to be reconstructed. All partial nests shall be removed. Work shall not be conducted within 300 feet of an active nest. Once all nests are vacated and removed from the work area, work may proceed upon confirmation by the Department. Beginning February 1 of each prospective year, the Operator shall monitor for swallow nest construction and remove each nest prior to its completion. If a nest is completed, no work shall be constructed within 300 feet of the nest site until the young have fledged and are no longer dependent on the nest.

80. If least Bell's vireo (LBV), southwestern willow flycatcher, or other threatened or endangered species are found within 500 feet of the work area, the Operator shall contact the Department immediately of the sighting and shall request an onsite inspection by Department representatives (to be done at the discretion of the Department) to determine if work shall begin/proceed. If work is in progress when sightings are made, the Operator shall cease all work within 500 feet of the area in which the sighting(s) occurred and shall contact the Department immediately, to determine if work shall recommence.

81. A biological monitor shall ~~be on site during operations and shall~~ survey for species prior to construction. If any species are found in the path of construction, the monitor shall relocate the species to a safe location. Exclusionary fencing shall be erected to prevent the migration into or the return of species into the work site.

*and monitor construction operations. MP JJ 7-21-03*

82. To provide protection from erosion, the Operator shall plant willow cuttings (obtained from nearby plants) on 3 ft centers, on the slope and in the streambed of the restored area. Plantings and/or cuttings shall be irrigated, when natural moisture is insufficient to sustain growth, for an interval of two years.

<<MAINTENANCE>>

83. The Operator may remove vegetation and debris, including sediment and rocks, which directly interfere with the proper function and operation of existing devices, to include gates, culverts, bridges, weirs, pumps, and stream flow control and measuring stations, or that which must be removed to repair said devices or to replace them in their existing locations. Where vehicles are required to do this work, removal shall not extend more than 150 feet in any direction from said device. Where vehicles are not required, removal shall not extend more than 50 feet in any direction from said device. The stream bed and stream banks are not considered "devices", for purposes of this provision. *W 8-1-03 WCT*

84. The Operator may grade and fill existing levee roads as necessary to assure utility. No material of any nature from this activity shall be sidecast onto the stream side of the levee except as provided for in other provisions of this Agreement.



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85. The Operator may remove herbaceous vegetation, fallen trees, and branches from existing levee roads and the levee slope furthest from the stream. Minor pruning of trees and brush growing on the stream side slope of the levee, stream bed, and stream banks, is also acceptable, except that such pruning shall be limited to the removal of vegetation that interferes with vehicle access along existing roads. Material in excess of three (3) inches in diameter at breast height (DBH) shall require specific notice to and consultation with the Department.

86. The Operator may remove sand that accumulates behind dams or other flow restrictions. Only those sandy deposits from the sparsely vegetated center of the stream bed and on the banks up to the lower limit of perennial vegetation shall be removed. The width of removal shall extend to the toe of the slope of each bank. All work shall therefore be accomplished without damaging vegetation or altering the stream banks. Existing access roads and ramps shall be used where available. Temporary access ramps may be constructed if necessary. Material in excess of three (3) inches in diameter at breast height (DBH) shall require specific notice to and consultation with the Department.

~~87. THE Operator shall operate and maintain the project as outlined in the Biological Opinion prepared~~

~~87. The Operator within 1 years of completion of construction shall apply and obtain a streambed alteration agreement of the Operations and Maintenance of the Robles Diversion and Fish Ladder, by the National Marine Fisheries Service and dated March 31, 2003, for 24 months from the completion of construction. At the end of two years, the Department and the Operator shall <<ADMINISTRATIVE-MISC. >> negotiate a separate streambed alteration agreement (SAA) of the project would continue under the Biological Opinion dated March 31, 2003 until the O&M is signed by the Department.~~

88. All provisions of this Agreement remain in force throughout the term of the Agreement. Any provisions of the Agreement may be amended or the Agreement may be terminated at any time provided such amendment and/or termination is agreed to in writing by both parties. Mutually approved amendments become part of the original Agreement and are subject to all previously negotiated provisions. SAA  
JJ 7-21-03  
MP

89. The Operator shall **provide a copy of this Agreement, to all contractors, subcontractors, and the Operator's project supervisors. COPIES OF THIS AGREEMENT AND ALL REQUIRED PERMITS AND SUPPORTING DOCUMENTS, SHALL BE READILY AVAILABLE AT WORK SITES AT ALL TIMES DURING PERIODS OF ACTIVE WORK** and must be presented to any Department personnel, or personnel from another agency upon demand. **ALL CONTRACTORS SHALL READ AND BECOME FAMILIAR WITH THE CONTENTS OF THIS AGREEMENT.**

90. A pre-construction meeting/briefing shall be held involving all the contractors and subcontractors, concerning the conditions in this Agreement.

91. The Operator shall notify the Department, in writing, at least five (5) days prior to **initiation of construction (project) activities and at least five (5) days prior to completion of construction (project) activities.** Notification shall be sent to the Department at 4949 Viewridge Avenue, San Diego 92123, Attn: ES. FAX Number (858) 467-4299, Reference # R5-2002-0055.

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92. The Operator herein grants to Department employees and/or their consultants (accompanied by a Department employee) the right to enter the project site at any time, to ensure compliance with the terms and conditions of this Agreement and/or to determine the impacts of the project on wildlife and aquatic resources and/or their habitats.

93. The Department reserves the right to cancel this Agreement, after giving notice to the Operator, if the Department determines that the Operator has breached any of the terms or conditions of the Agreement.

94. The Department reserves the right to suspend or cancel this Agreement for other reasons, including but not limited to, the following:

- a. The Department determines that the information provided by the Operator in support of this Agreement/Notification is incomplete or inaccurate;
- b. The Department obtains new information that was not known to it in preparing the terms and conditions of this Agreement;
- c. The condition of, or affecting fish and wildlife resources change; and
- d. The Department determines that project activities have resulted in a substantial adverse effect on the environment.

95. Before any suspension or cancellation of the Agreement, the Department will notify the operator in writing of the circumstances which the Department believes warrant suspension or cancellation. The Operator will have seven (7) working days from the date of receipt of the notification to respond in writing to the circumstances described in the Department's notification. During the seven (7) day response period, the Operator shall immediately cease any project activities which the Department specified in its notification as resulting in a substantial adverse effect on the environment and which will continue to substantially adversely affect the environment during the response period. The Operator may continue the specified activities if the Department and the Operator agree on a method to adequately mitigate or eliminate the substantial adverse effect.



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CONCURRENCE

11/5/04 JJ 7-21-03 MP

This Agreement becomes effective on the Department's signature and the construction portion terminates on 10/15/2008. This Agreement shall remain in effect until 10/15/2008 to satisfy the mitigation/ terms/conditions of this Agreement.

This agreement was prepared by Martin Potter and Mary Larson.

10/15/2008 8-1-03  
b67 JJ

(Operator's name)

*John E. Johnson*

7-21-03

Name (signature)

Date

John E. Johnson

Name (printed)

General Manager

Title

California Department of Fish and Game

*C. F. Raysbrook*

8/11/03

C. F. Raysbrook  
Regional Manager  
South Coast Region

Date

R5-2002-0056

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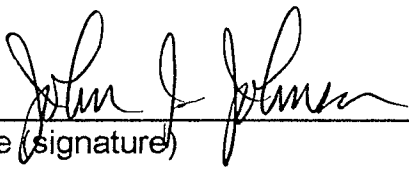
CONCURRENCE

11/15/04 JJ 7-21-03 MP

This Agreement becomes effective on the Departments signature and the construction portion terminates on 10/15/2004. This Agreement shall remain in effect until 10/15/2005 to satisfy the mitigation/maintenance terms/conditions of this Agreement.

This agreement was prepared by Martin Potter and Mary Larson.

(Operator's name)



7-21-03

Name (signature)

Date

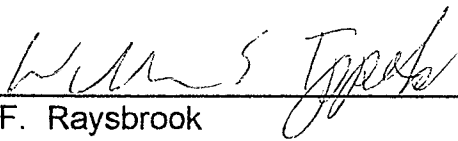
John F. Johnson

Name (printed)

General Manager

Title

California Department of Fish and Game



8/4/03

C. F. Raysbrook  
Regional Manager  
South Coast Region

Date

R5-2002-0055



# California Regional Water Quality Control Board Los Angeles Region



Winston H. Hickox  
Secretary for  
Environmental  
Protection

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Recipient of the 2001 *Environmental Leadership Award* from Keep California Beautiful

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Phone (213) 576-6600 FAX (213) 576-6640 - Internet Address: <http://www.swrcb.ca.gov/rwqcb4>

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JUL 24 2003

CASITAS

MUNICIPAL WATER DISTRICT

John J. Johnson, General Manger  
Casitas Municipal Water District  
1055 Ventura Avenue  
P.O. Box 37  
Oak View, CA 93022

## CONDITIONAL CERTIFICATION FOR PROPOSED ROBLES DIVERSION FISH PASSAGE PROJECT (CORPS' PROJECT NO. 2003-00260-JWM), VENTURA RIVER, UNINCORPORATED AREA NEAR MEINERS OAKS, VENTURA COUNTY (FILE NO. 00-067)

Dear Mr. Johnson:

Regional Board staff has reviewed your request on behalf of the Casitas Municipal Water District (the Applicant) for a Clean Water Act Section 401 Water Quality Certification for the above-referenced project. Your application was deemed complete on June 23, 2003.

I hereby certify that any discharge from the Robles Diversion Fish Passage Project, as proposed and described in Attachment A, if performed in accordance with all applicable water quality objectives, prohibitions, and policies set forth in the *Water Quality Control Plan, Los Angeles Region* (1994), and in accordance with the conditions specified in Attachment B, will comply with the applicable water quality standards and other appropriate requirements, including the provisions of Sections 301, 302, 303, 306, and 307 of the Clean Water Act.

The Applicant shall be liable civilly for any violations of this certification in accordance with the California Water Code. This certification does not eliminate the Applicant's responsibility to comply with any other applicable laws, requirements and/or permits.

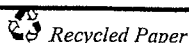
Should you have questions concerning this certification action, please contact Valerie Carrillo, Section 401 Program, at (213) 576-6759.

Dennis A. Dickerson  
Executive Officer

July 23, 2003  
Date

### California Environmental Protection Agency

\*\*\*The energy challenge facing California is real. Every Californian needs to take immediate action to reduce energy consumption\*\*\*  
\*\*\*For a list of simple ways to reduce demand and cut your energy costs, see the tips at: <http://www.swrcb.ca.gov/news/echallenge.html>\*\*\*



Our mission is to preserve and enhance the quality of California's water resources for the benefit of present and future generations.

## DISTRIBUTION LIST

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Division of Water Quality  
P.O. Box 944213  
Sacramento, CA 94244-2130

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Environmental Defense Center  
906 Garden Street  
Santa Barbara, CA 93101

Betty Courtney  
California Department of Fish and Game  
Streambed Alteration Team  
4949 View Ridge Avenue  
San Diego, CA 92123

Jessie Altstatt  
Santa Barbara Channel Keeper  
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Santa Barbara, CA 93101

John Markham  
U.S. Army Corps of Engineers  
Regulatory Branch, Ventura Field Office  
2151 Alessandro Drive, Suite 255  
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Diane Noda  
U.S. Fish and Wildlife Service  
2493 Portola Road, Suite B  
Ventura, CA 93003

**ATTACHMENT A**

**Project Information**  
**File No. 00-067**

1. Applicant: John J. Johnson  
Casitas Municipal Water District  
1055 Ventura Avenue  
P.O. Box 37  
Oak View, CA 93022  
Phone: (805) 649-2251 Fax: (805) 649-3001
  
2. Applicant's Agent: None
  
3. Project Name: Robles Diversion Fish Passage Project
  
4. Project Location: Unincorporated area near Meiners Oaks, County of Ventura  
  
Township: T5N; Range: R23W; SE ¼ of Section 33  
Township: T4N; Range: R23W; NE ¼ of Section 4  
  
Latitude: 34° 28' 00", Longitude: 119° 17' 15"
  
5. Type of Project: Diversion Fish Passage Project
  
6. Project Description: *Purpose:* The purpose of this project is to provide steelhead trout access to suitable spawning and rearing habitat upstream of Robles Diversion Dam.  
  
*Description:* The Casitas Municipal Water District (Casitas) has proposed to modify the existing Robles Diversion Dam to construct fish passage and screening facilities. This modification will ameliorate a substantial adverse impact on southern California steelhead, which is listed as an endangered species under the Federal Endangered Species Act. The Robles Diversion Dam currently blocks access to over 6 miles of historic spawning and rearing habitat for this species.

## ATTACHMENT A

### Project Information

File No. 00-067

Several new components will be added to the existing facility to accommodate fish passage at this site. Construction of some of these components will require work in the Ventura River and on its banks in the diversion forebay and approximately 800 feet of the channel downstream of the existing dam.

No wetlands exist at the project site; however riparian vegetation located on the banks of the Ventura River within the project site will be disturbed. Mitigation will be provided for in the form of revegetating the streambanks where existing riparian vegetation has been destroyed. As part of the design phase of the project, Casitas has already minimized the need for disturbance of existing habitat to the maximum extent practicable.

The project will consist of the following components:

- Installation of a fish screen and diversion structure within Robles Diversion Facilities to avoid entrainment;
- Installation of a flow control structure;
- Installation of a flow measurement structure;
- Installation of a fish guidance device in the diversion canal;
- Construction of a fishway at Robles Diversion Dam;
- Installation of an auxiliary water supply pipeline exit channel;
- Installation of fish exit channel;
- Modification of streambed downstream of spillway to add a baffled apron structure and 15 low-head stone weirs; and
- Installation of fish monitoring facilities.

#### *Construction:*

Construction activities will commence in August 2003 and will be completed by December 2004. In-channel work to install the high-flow fish exit, low-flow fish exit, and fishway will occur during the 2003 low-flow season. Construction of the low-head weirs, will occur during the 2004 low-flow season. The bulk of the disturbance would occur during Summer 2004. Revegetation will occur once the in-channel work is completed.

7. Federal  
Agency/Permit:

U.S. Army Corps of Engineers  
NWP No. 27 (Permit No. 2003-00260-JWM)

ATTACHMENT A

Project Information

File No. 00-067

8. Other Required Regulatory Approvals: California Department of Fish and Game Streambed Alteration Agreement  
National Marine Fisheries Service Section 7 Consultation
9. California Environmental Quality Act (CEQA) Compliance: The Casitas Municipal Water District of the City of Casitas approved the project's Mitigated Negative Declaration on January 17, 2001.
10. Receiving Water: Ventura River (Hydrologic Unit No. 402.20)
11. Designated Beneficial Uses: MUN, IND, PROC, AGR, GWR, FRSH, REC-1, REC-2, WARM, COLD, WILD, RARE, MIGR, SPWN, and WET
12. Impacted Waters of the United States: Non-wetland waters (vegetated streambed):  
Fishway – 0.03 permanent and 0.76 temporary acres  
Downstream (weirs and jump pool) – 0.60 permanent and 2.00 temporary acres  
Total - 0.63 permanent and 2.76 temporary acres
13. Dredge Volume: None
14. Related Projects Implemented/to be Implemented by the Applicant: The Applicant has not identified any related projects carried out in the last 5 years or planned for implementation in the next 5 years.

## ATTACHMENT A

### Project Information

File No. 00-067

15. Avoidance/  
Minimization  
Activities:

The Applicant has proposed to implement several Best Management Practices, including, but not limited to, the following:

- Prior to initiation of construction, the limits of the impact areas shall be delineated by placement of temporary construction fencing or stakes and signage in order to avoid any impacts outside of the project area;
- Siltation and turbidity control measures shall be utilized (e.g., silt fences, hay bales, jute netting, or other appropriate means) in all areas where disturbed soils may potentially wash into waters via rainfall or runoff. Such measures shall remain in place until the project is complete and exposed soils are stabilized; and
- No debris, soil, silt, sand, rubbish, cement or washings thereof, or petroleum products or washings thereof, are allowed to enter into or are placed where it may be washed by rainfall or runoff into the waterway. When project operations are completed, all excess construction materials, debris, or other excess associated project materials, shall be removed to an appropriate off-site location.

16. Proposed  
Compensatory  
Mitigation:

The Applicant has proposed the revegetation of the areas disturbed by construction activities associated with the proposed project. The total area proposed for the mitigation, including the upland riparian transition zone is 0.76 acres and 3.52 acres for the Downstream Section. Total mitigation proposed would be 4.28 acres on-site. Also proposed are invasive and exotic vegetation management in order to promote native colonization and coverage area.



## ATTACHMENT B

### Conditions of Certification

File No. 00-067

#### STANDARD CONDITIONS

Pursuant to §3860 of Title 23 of the California Code of Regulations (23 CCR), the following three standard conditions shall apply to this project:

1. This certification action is subject to modification or revocation upon administrative or judicial review, including review and amendment pursuant to §13330 of the California Water Code and Article 6 (commencing with 23 CCR §3867).
2. This certification action is not intended and shall not be construed to apply to any activity involving a hydroelectric facility and requiring a Federal Energy Regulatory Commission (FERC) license or an amendment to a FERC license unless the pertinent certification application was filed pursuant to 23 CCR Subsection 3855(b) and the application specifically identified that a FERC license or amendment to a FERC license for a hydroelectric facility was being sought.
3. Certification is conditioned upon total payment of any fee required pursuant to 23 CCR Chapter 28 and owed by the Applicant.

#### ADDITIONAL CONDITIONS

Pursuant to 23 CCR §3859(a), the Applicant shall comply with the following additional conditions:

1. The Applicant shall submit to this Regional Board copies of any other final permits and agreements required for this project, including, but not limited to, the U.S. Army Corps of Engineers' Section 404 Permit and the California Department of Fish and Game's Streambed Alteration Agreement. **These documents shall be submitted prior to any discharge to waters of the state.**
2. Fueling, lubrication, maintenance, operation, and storage of vehicles and equipment shall not result in a discharge or a threatened discharge to waters of the state. At no time shall the Applicant use any vehicle or equipment which leaks any substance that may impact water quality. Staging and storage areas for vehicles and equipment shall be located outside of waters of the state.
3. No construction material, spoils, debris, or any other substances associated with this project that may adversely impact water quality standards, shall be located in a manner which may result in a discharge or a threatened discharge to waters of the state.

## ATTACHMENT B

### Conditions of Certification File No. 00-067

4. The Applicant shall not conduct any construction activities within waters of the state during a rainfall event. The Applicant shall maintain a **five-day (5-day) clear weather forecast** before conducting any operations within waters of the state.
5. No activities shall involve wet excavations (i.e., no excavations shall occur below the seasonal high water table). A minimum **5-foot** buffer zone shall be maintained above the existing groundwater level. If construction or groundwater dewatering is proposed or anticipated, the Applicant shall file a **Report of Waste Discharge** to this Regional Board and obtain any necessary NPDES permits/Waste Discharge Requirements prior to discharging waste. Sufficient time should be allowed to obtain any such permits (generally 180 days). If groundwater is encountered without the benefit of appropriate permits, the Applicant shall cease all activities in the areas where groundwater is present, file a Report of Waste Discharge to this Regional Board, and obtain any necessary permits prior to discharging waste.
6. All surface waters, including ponded waters, shall be diverted away from areas undergoing grading, construction, excavation, vegetation removal, and/or any other activity which may result in a discharge to the receiving water. If surface water diversions are anticipated, the Applicant shall develop and submit a **Surface Water Diversion Plan** to this Regional Board. The plan shall include the proposed method and duration of diversion activities, erosion and sediment controls, and a map or drawing indicating the locations of diversion and discharge points. The plan shall be submitted prior to any surface water diversions. If surface flows are present, then upstream and downstream monitoring for pH, temperature, dissolved oxygen, turbidity, and total suspended solids shall be implemented. These constituents shall be monitored on a **daily** basis during the first week of diversion activities, and then on a **weekly** basis, thereafter, until the in-stream work is complete. Results of the analyses shall be submitted to this Regional Board by the **15th** day of each subsequent sampling month. A map or drawing indicating the locations of sampling points shall be included with each submittal. Diversion activities shall not result in the degradation of beneficial uses or exceedance of water quality objectives of the receiving waters. Any such violations may result in corrective and/or enforcement actions, including increased monitoring and sample collection.
7. The Applicant shall all restore all areas of TEMPORARY IMPACTS to waters of the United States and all other areas of temporary disturbance which could result in a discharge or a threatened discharge to waters of the state. Restoration shall include grading of disturbed areas to pre-project contours and revegetation with native species to the extent feasible. The Applicant shall implement appropriate Best Management Practices to control erosion and runoff from areas associated with this project.

## ATTACHMENT B

### Conditions of Certification

File No. 00-067

8. The Applicant shall provide COMPENSATORY MITIGATION to offset the proposed temporal loss of **2.76 acres** waters of the United States by creating or restoring riparian habitat at a minimum 1:1 area replacement ratio (3.52 acres). The Applicant shall also provide compensatory mitigation for the proposed permanent impacts to **0.63 acres** of vegetation within waters of the United States by creating or restoring riparian habitat at a minimum 1:1.2 area replacement ratio (0.76 acres).
9. The Applicant shall submit to this Regional Board **Annual Monitoring Reports** documenting the success of all restoration and mitigation efforts, including, percent survival by plant species and percent cover. The reports shall include discussion of any monitoring activities and exotic plant control efforts. Representative photographs from designated stations shall be included in the reports. The reports shall be submitted by **January 1<sup>st</sup>** of each year for a period of **five (5) years** after planting.
10. All communications regarding this project and submitted to this Regional Board shall identify the Project File Number **00-067**. Submittals shall be sent to the attention of the Nonpoint Source Unit.
11. Any modifications of the proposed project may require submittal of a new Clean Water Act Section 401 Water Quality Certification application and appropriate filing fee.
12. *Enforcement:*
  - (a) In the event of any violation or threatened violation of the conditions of this certification, the violation or threatened violation shall be subject to any remedies, penalties, process or sanctions as provided for under state law. For purposes of section 401(d) of the Clean Water Act, the applicability of any state law authorizing remedies, penalties, process or sanctions for the violation or threatened violation constitutes a limitation necessary to assure compliance with the water quality standards and other pertinent requirements incorporated into this certification.
  - (b) In response to a suspected violation of any condition of this certification, the State Water Resources Control Board (SWRCB) may require the holder of any permit or license subject to this certification to furnish, under penalty of perjury, any technical or monitoring reports the SWRCB deems appropriate, provided that the burden, including costs, of the reports shall be a reasonable relationship to the need for the reports and the benefits to be obtained from the reports.
  - (c) In response to any violation of the conditions of this certification, the SWRCB may add to or modify the conditions of this certification as appropriate to ensure compliance.

## ATTACHMENT B

### Conditions of Certification

File No. 00-067

13. This certification shall expire **five (5) years** from the date of signature. The Applicant must request a renewal of this certification 180 days prior to its termination, if the project as described has not been completed. Renewals may be subject to additional filing fees, and will require Regional Board approval.



DEPARTMENT OF THE ARMY  
LOS ANGELES DISTRICT, CORPS OF ENGINEERS  
VENTURA FIELD OFFICE  
2151 ALESSANDRO DRIVE, SUITE 110  
VENTURA, CALIFORNIA 93001

REPLY TO  
ATTENTION OF:

July 25, 2003

Office of the Chief  
Regulatory Branch

DEPARTMENT OF THE ARMY NATIONWIDE PERMIT AUTHORIZATION

Casitas Municipal Water District  
Attention John J. Johnson  
1055 Ventura Avenue  
Oak View, California 93022

Dear Mr. Johnson:

This correspondence is in reply to your letter (No. 200300260-JWM) dated February 5, 2002, concerning our permit authority under Section 404 of the Clean Water Act of 1972 (33 U.S.C. 1344) over your proposal to impact 3.39 acres (2.76 acres temporary, 0.63 acre permanent) of the Ventura River associated with: 1) the demolition of a concrete weir/vehicle crossing approximately 450 linear feet downstream of the existing diversion; 2) the construction of fish passageway facilities and supporting structures, including a fishway, two fish exit channels (low and high-flow), a baffled concrete apron (immediately downstream of diversion spillway), and a series of fourteen low-head stone weirs (800 linear feet, downstream of fishway entrance), near Ojai, Ventura County, California.

The Corps of Engineers has determined that your proposed activity complies with the terms and conditions of nationwide permit NW27 as described in enclosure 1. Furthermore, you must comply with the following non-discretionary Special Conditions:

1. This Corps permit does not authorize you to take an endangered species, in particular the federally endangered Southern California Evolutionarily Significant Unit (ESU) of steelhead. In order to legally take a listed species, you must have separate authorization under the Endangered Species Act (ESA) (e.g. ESA Section 10 permit, or a Biological Opinion (BO) under ESA Section 7, with "incidental take" provisions with which you must comply). The enclosed NMFS BO (file no. 1514225WR02PR6168:FR) contains mandatory terms and conditions to implement the reasonable and prudent measures that are associated with "incidental take" that is also specified in the BO. Your authorization under this Corps permit is conditional upon your compliance with all of the mandatory terms and conditions associated with incidental take of the attached BO, which terms and conditions are incorporated by reference in this permit. Failure to comply with the terms and conditions associated with incidental take of the BO, where a take of the listed species occurs, would constitute an unauthorized take, and it would also constitute non-compliance with your Corps permit. The NMFS is the appropriate authority to determine compliance with the terms and conditions of its BO and with the ESA.



2. The permittee shall notify the Corps, USFWS and NMFS in writing five business days prior to initiating work in waters of the U.S., and furthermore shall submit the Certificate of Compliance included with this permit verification document to the Corps upon completion of work in waters of the U.S.
3. The permittee shall ensure that all contractors and subcontractors have read and fully understand all terms and conditions of this permit. The permittee shall ensure that a copy of this permit is maintained on-site during the entire construction period.
4. The permittee shall adhere to all the terms and conditions specified in the project's Section 401 Water Quality Certification issued by the Los Angeles Regional Water Quality Control Board on July 24, 2003.
5. Prior to initiation of construction, the limits of each of the project's impact areas shall be delineated by the placement of temporary construction fencing or stakes and signage, sufficient to prevent equipment or personnel from disturbing waters of the U.S. outside of the demarcated project area(s).
6. The permittee shall utilize siltation and turbidity control measures (e.g., silt fences, hay bales, jute netting, or other appropriate means) in all areas where disturbed soils may potentially wash into waters via rainfall or runoff. Such measures shall remain in place until the project is complete and exposed soils are stabilized.
7. The permittee shall ensure no debris, soil, silt, sand, rubbish, cement or washings thereof, or petroleum products or washings thereof, are allowed to enter into or are placed where it may be washed by rainfall or runoff into the waterway. When project operations are completed, all excess construction materials, debris, or other excess associated project materials, shall be removed to an appropriate off-site location outside of any areas subject to Corps jurisdiction.
8. The permittee shall submit a final, Corps'-approved Habitat Mitigation and Monitoring Plan within 30 days of initiating work within waters of the U.S., to be consistent with the (draft) Riparian Revegetation Plan for Proposed Diversion Operations and Fish Passage Facilities at the Robles Diversion, Ventura River, CA, (prepared by Casitas Municipal Water District, July 9, 2003). Following full mitigation implementation, the 3-year and 5-year relative native (planted and naturally-occurring) aerial coverage performance goals shall be 60% and 80%, respectively, for each strata (herbaceous layer, shrub layer, and tree canopy) within the riparian zone (0.79 acre (temp. and perm.) at the high-flow fish conduit and exit site; 2.6 acres (temp. and perm.) at the spillway baffles, fish passage structure, and downstream weirs). The relative aerial coverage eradication goal for all invasive exotics within the riparian zone (e.g., arundo, yellow star thistle, sweet fennel, castor bean, mustard, pampas grass, tamarisk, tree tobacco) shall be 25% and 10% for the 3-year and 5-year milestones, respectively. If native passive plant recruitment has not achieved 40% relative cover by the end of the second year (winter 2006) following full mitigation implementation (winter 2004), a one-time native plant/cutting installation or seeding shall commence prior to the wet season of the third year (winter 2007). No additional augmentation shall occur until the fifth year. Furthermore, if either the majority (>50%) of the plantings/cuttings do not survive their first season, or if native passive recruitment is not on a trajectory to achieve the performance goals, application of periodic artificial irrigation shall be initiated.
9. The permittee shall provide the Corps' with an annual maintenance and monitoring report beginning one year after full mitigation implementation (December 2005), and each year thereafter for a minimum of five years (December 2006, 2007, 2008, 2009). Each report shall be consistent with the Corps' Mitigation Guidelines and

Monitoring Requirements document, dated January 27, 2003. Upon review of the fifth year report, the Corps will assess whether the established native performance and exotic eradication goals have been successfully achieved. If the abovementioned goals are not achieved, the Corps could require the permittee to undertake remedial actions to ensure mitigation success, which could include additional plantings and/or an extended maintenance and monitoring period.

10. If an unforeseen, catastrophic event (e.g., flood, fire, vandalism) removes or kills the majority (>50%) of native species (planted and naturally-occurring) after the vegetation has met the final performance goals, Casitas will not be responsible for replanting damaged areas. If said event(s) precede(s) achievement of the final goals, Casitas will be responsible for replanting the area one time only, and will extend the monitoring period as appropriate following replanting.

This letter of verification is valid for a period not to exceed two years unless the nationwide permit is modified, reissued, revoked, or expires before that time. Presently, all nationwide permits are scheduled to expire on March 18, 2007. It is incumbent upon you to remain informed of changes to the nationwide permits. We will issue a public notice announcing the changes when they occur. Furthermore, if you commence or are under contract to commence this activity before the date the nationwide permit is modified or revoked, you will have twelve months from the date of the modification or revocation to complete the activity under the present terms and conditions of the nationwide permit.

A nationwide permit does not grant any property rights or exclusive privileges. Also, it does not authorize any injury to the property or rights of others or authorize interference with any existing or proposed Federal project. Furthermore, it does not obviate the need to obtain other Federal, state, or local authorizations required by law.

Thank you for participating in our regulatory program. If you have any questions, please contact John W. Markham of my staff at (805) 585-2150.

Sincerely,

**ORIGINAL SIGNED BY**

Bruce A. Henderson  
Acting Chief, North Coast Section  
Regulatory Branch

Enclosure

BH 7/25/2003  
~~CASTANON HENDERSON~~  
CESPL-CO-R

JWM 7/28/03  
MARKHAM  
CESPL-CO-R

CF: File Copy (Yellow) -200300260-JWM  
Clipboard Copy -Los Angeles

LOS ANGELES DISTRICT  
U.S. ARMY CORPS OF ENGINEERS

CERTIFICATION OF COMPLIANCE WITH  
DEPARTMENT OF THE ARMY NATIONWIDE PERMIT

Permit Number: 200300260-JWM  
Name of Permittee: John Johnson, Casitas Municipal Water District  
Date of Issuance: July 25, 2003

Upon completion of the activity authorized by this permit and any mitigation required by the permit, sign this certification and return it to the following address:

U.S. Army Corps of Engineers  
Regulatory Branch  
ATTN: CESPL-CO-R-200300260-JWM  
2151 Alessandro Drive, Suite 110  
Ventura, California 93001

Please note that your permitted activity is subject to a compliance inspection by an Army Corps of Engineers representative. If you fail to comply with this nationwide permit you may be subject to permit suspension, modification, or revocation procedures as contained in 33 CFR 330.5 or enforcement procedures such as those contained in 33 CFR 326.4 and 326.5.

I hereby certify that the work authorized by the above referenced permit has been completed in accordance with the terms and conditions of the said permit, and required mitigation was completed in accordance with the permit condition(s).

\_\_\_\_\_  
Signature of Permittee

\_\_\_\_\_  
Date





# United States Department of the Interior

## FISH AND WILDLIFE SERVICE

Ventura Fish and Wildlife Office  
2493 Portola Road, Suite B  
Ventura, California 93003

In Reply, refer to: PAS # 216.222.281

April 29, 2003

David K. Young, Environmental Specialist  
U.S. Bureau of Reclamation  
South-Central California Area Office  
1243 North Street  
Fresno, California 93721-1813

Subject: Robles Diversion Fish Screen and Ladder, Ventura River, Ventura County,  
California (SCC - 411, ENV - 7.00)

Dear Mr. Young:

We have reviewed your letter dated February 27, 2003, and received in our office on February 28, 2003, requesting our concurrence with your determination that the subject project is not likely to adversely affect the endangered tidewater goby (*Eucyclogobius newberryi*), least Bell's vireo (*Vireo belli pusillus*), California least tern (*Sterna antillarum browni*), and the threatened western snowy plover (*Charadrius alexandrinus nivosus*) and California red-legged frog (*Rana aurora draytonii*). We understand that you have initiated formal consultation with the National Marine Fisheries Service (NMFS) on the federally endangered steelhead trout (*Oncorhynchus mykiss*) in accordance with section 7 of the Endangered Species Act of 1973, as amended (Act) (16 U.S.C. 1531 *et seq.*). Included with your letter was a biological assessment for the subject project prepared for NMFS (Reclamation 2003).

The Robles Diversion Dam is located approximately 1.5 miles downstream from the confluence of Matilija Creek and North Fork Matilija Creek, which join to form the Ventura River approximately 14 miles upstream of the Pacific Ocean. The U.S. Bureau of Reclamation (Reclamation) owns the Robles Diversion Dam and associated facilities, and is proposing modifications to the existing facilities and diversion operations to benefit steelhead trout. Modifications would include the construction and operation of a fish screen and ladder. All construction activities would occur at the Robles Diversion Dam and in a dry channel.

Under the existing operations of the Robles Diversion Dam, water is released at 20 cubic feet per second (cfs). If surface flow can be maintained downstream of the Robles Diversion Dam at Santa Ana Boulevard in Oak View, then downstream releases would be reduced below the

20 cfs level. Flows at the Robles Diversion Dam in excess of 20 cfs are diverted to the Robles-Casitas canal and Lake Casitas. The proposed changes include operation of the proposed fish passage facilities and existing diversion facilities with the following operational components: 1) diversion of water at the Robles Diversion Dam to Lake Casitas via the Robles-Casitas canal; 2) post-storm release of 30 cfs from January through June; 3) release of 0 to 20 cfs from July through December (as described in the Trial Operating Criteria); 4) stormflow supplementation operations (January through June) that will result in forgoing diversions under specific criteria to increase storm-associated passage opportunities to the Robles Diversion Dam; and interim operations which include a 20 cfs release from January through June.

The tidewater goby typically occurs in coastal lagoons, estuaries, and marshes with relatively low salinities (approximately ten parts per thousand), and may range upstream into fresh water up to 1.2 miles from the coast. Tidewater gobies are known to occur in the Ventura River estuary. Proposed diversion operations include increased downstream releases from stormflow supplementation and post-storm operations from January through June. Reclamation anticipates that stormflow supplementation the proposed operations would result in additional flow into the Ventura River estuary during diversion operations compared to existing operations. Diversion operations would occur during or soon after storms in the watershed, so any additions to the flow already entering the estuary during these storm periods would have a negligible effect on tidewater goby habitat. Because all construction activities would occur at the Robles Diversion Dam, and the effects of supplemental flows would be negligible, we concur that the project is not likely to adversely affect the tidewater goby, which is found 14 miles downstream.

The least Bell's vireo typically occupies riparian habitat that contains both canopy and shrub layers, and includes some associated upland habitats. There is no suitable habitat for the least Bell's vireo at the Robles Diversion Dam; however, the species regularly nests approximately 13 miles downstream near the Highway 101 overpass. Additional releases during nesting season (April through July) are not likely to adversely affect the least Bell's vireo. Large storms are unlikely in the Ventura River system during the least Bell's vireo breeding season.

The western snowy plover and California least tern rest or forage on San Buenaventura State Beach which is just south of the Ventura River mouth. Western snowy plovers use the beach for wintering (Smith 2003). California least terns forage in the estuary. San Buenaventura State Beach has been designated as critical habitat for the western snowy plover. Neither species nests at San Buenaventura State Beach. The closest known breeding area for the western snowy plover and California least tern is approximately 4 miles south at McGrath State Beach in Ventura County. Reclamation does not expect stormflow supplementation operations to substantially alter the stormflow conditions within the Ventura River nor would diversion operations erode beach habitat or known nesting areas. We therefore, concur that the proposed project is not likely to adversely affect the western snowy plover or California least tern.

The California red-legged frog has been reported from San Antonio Creek, a tributary to the Ventura River located approximately 7 miles downstream from Matilija Dam. It has also been

David K. Young

3

observed from above Matilija Dam, approximately 2 miles upstream. Reclamation does not anticipate that the additional releases would have any effect on the California red-legged frog either downstream or upstream of the Robles Diversion. This species is dependent on pools of water. The small amount of additional flow, relative to overall stormflow conditions, may have positive, although temporary, effects on the habitat for the California red-legged frog downstream of the Robles Diversion. We concur that the proposed project is not likely to adversely affect the California red-legged frog.

Further consultation pursuant to the Act, is not required. If the proposed action changes in any manner or if adverse effects to any listed species are detected at any time during the project implementation, you should contact us immediately to complete the appropriate level of consultation.

If you have further questions regarding this matter, please contact Chris Dellith of my staff at (805) 644-1766.

Sincerely,

*Bridget E. Fahey*  
acting for

Bridget Fahey  
Division Chief  
Santa Barbara/Ventura/Los Angeles

cc: Maurice Cardenas, California Department of Fish and Game  
Rick Rogers, National Oceanic and Atmospheric Administration Fisheries

## Literature Cited

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U.S Bureau of Reclamation. 2003. Revised Biological assessment for diversion operations and fish passage facilities at the Robles diversion. Unpublished report prepared for National Marine Fisheries Service. Long Beach, California.



# Appendix B

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Mitigated Negative Declaration for the Robles Diversion Dam Fish Screen and Fishway

**MITIGATED NEGATIVE DECLARATION  
FOR THE ROBLES DIVERSION DAM  
FISH SCREEN AND FISHWAY**

*Prepared for:*

**CASITAS MUNICIPAL WATER DISTRICT**  
Oak View, California

*Prepared by:*

**ENTRIX, INC.**  
Walnut Creek, California

Project No. 351401

**December 4, 2000**

**MITIGATED NEGATIVE DECLARATION  
FOR THE  
ROBLES DIVERSION DAM  
FISH SCREEN AND FISHWAY**

*Prepared for:*

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Project No. 351401

**December 4, 2000**



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## 1.1 BACKGROUND

Casitas Municipal Water District (CMWD) is a special district formed in 1952 (under its previous name of the Ventura River Municipal Water District) to develop water supply for growers and residents of the Ojai and Ventura areas (Figure 1). The entire City of San Buenaventura boundary as it existed in 1952 was included in the CMWD's service area. Upon its formation, CMWD entered into an agreement with the Bureau of Reclamation (USBR) that led to the construction of Casitas Dam and associated facilities (the Ventura River Project) which were completed in 1959. The facilities were built by the USBR under a repayment contract to CMWD; repayment will be complete in 2012. The facilities are presently owned by the USBR, but CMWD operates and maintains these facilities under contract to the USBR.

CMWD serves an area of approximately 150 square miles. The District supplies water to a current population of approximately 63,000 people, and to approximately 6,000 acres of agricultural lands. The CMWD water supply consists of runoff from the Coyote Creek watershed above Lake Casitas and runoff from the Ventura River, which is diverted at the Robles Diversion Facilities and conveyed to Lake Casitas (Figure 1). Approximately 55 percent of CMWD's water supply is diverted from the Ventura River. CMWD diverts water from the Ventura River at the Robles Diversion Dam, which is located approximately 1.4 miles downstream of the confluence of Matilija and North Fork Matilija creeks. The Robles Canal diverts water from the upstream portion of the Ventura River into Casitas Reservoir on Coyote Creek, a tributary to the Ventura River. These diversions take place under a water right license issued by the State Water Resources Control Board. Ninety percent of the diversions each year occur during the period from December through April.

The Robles Diversion Dam and its access road present barriers to upstream and downstream migration of southern steelhead trout (*Oncorhynchus mykiss*), a federally listed endangered species. The purpose of the proposed project is to facilitate the up- and downstream migration of steelhead past the Robles Diversion Dam to access spawning and rearing habitat in the upper watershed.

## 1.2 PROJECT NEED

In August of 1997, southern California anadromous steelhead were listed as endangered under the federal Endangered Species Act. The Ventura River steelhead are included in this listing decision. Robles Diversion Facility and Matilija Dam were identified by the California Department of Fish and Game (CDFG) as the most significant impediments to steelhead migration in this system. According to CDFG, "restoring steelhead runs in this river will be crucial to restoring southern steelhead stocks" and "recovering these stocks... will be the highest priority for CDFG steelhead management" (McEwan and

Jackson 1996). Provision of a fish ladder and fish screens at this site is a high priority for CDFG and is the single most significant restoration action for Southern California steelhead (Dennis McEwan, CDFG, pers. comm.).

The Ventura River Steelhead Restoration and Recovery Plan (SRRP) was developed in December 1997. The SRRP and the Federal Register (Volume 65, No. 32, pages 7764 – 7787, February 16, 1999) identify portions of the Ventura River as critical habitat for steelhead. The lower reaches of the river exhibit low flow to subsurface flow conditions during certain times of year that do not support steelhead rearing conditions. Therefore, although identified as critical steelhead habitat, there is little potential to increase production in the mainstem downstream of the Robles Diversion because the rearing habitat is limited. Historically, over 50 percent of the available spawning and rearing habitat in this system were above the Robles Diversion Dam (Moore 1980; McEwan and Jackson 1996). The SRRP identifies fish passage modifications to the Robles Diversion Facilities as absolutely essential to increase and maintain viable populations of steelhead within the Ventura River watershed (SRRP 1997).

To benefit listed steelhead, CMWD is proposing construction of a fish ladder to allow fish access to important spawning and rearing habitat upstream of the Robles Diversion Dam. Much of the important steelhead spawning and rearing habitat upstream of the Robles Diversion is located in Los Padres National Forest. Aquatic habitat in North Fork Matilija Creek is in good condition. Fish population and habitat surveys conducted by the U.S. Forest Service (USFS) (Chubb 1997) and the CDFG (Steve Parmenter and Dennis McEwan, CDFG, pers. comm.) indicate resident rainbow trout production in North Fork Matilija Creek is high, demonstrating existing habitat conditions are suitable for steelhead. Constructing fish passage structures at the Robles Diversion Facilities will provide adult steelhead migrating upstream with access to approximately eight miles of spawning and rearing habitat in North Fork Matilija Creek and will provide downstream access to adult and juvenile steelhead.

The County of Ventura in coordination with state and federal agencies are currently conducting geologic, engineering, and environmental studies to determine the feasibility of removing Matilija Dam, located above the Robles Diversion Facilities on Matilija Creek. Decommissioning and removal of the dam are actively being pursued. The removal of Matilija Dam would restore access to about 26.4 miles of headwater spawning and rearing habitat in Matilija Creek and its tributaries (Moore, 1980; SRRP 1997). The availability of these historic spawning grounds will not benefit steelhead of the Ventura River if upstream and downstream passage is not provided at the Robles Diversion Facility.

### **1.3 PROJECT OVERVIEW**

CMWD is the project applicant and has prepared the project plan with design assistance from Borcalli and Associates' engineers and ENTRIX biologists. Guidance in refining the design was provided by CDFG, National Marine Fisheries Service (NMFS), U.S. Fish and Wildlife Service (USFWS), USBR and Friends of the Ventura River.

The project would modify the existing Robles Diversion Facilities to provide for the safe upstream passage of adult steelhead and the safe downstream passage of juvenile. Proposed for installation are a fishway, fish screen, high and low flow fish exit channels, a spillway energy dissipater, and a series of low-head stone weirs and an at grade low flow channel crossing. The weirs allow for removal of the existing concrete road crossing downstream of the diversion spillway. The project is essential to provide and maintain access to good spawning and rearing habitat located upstream of Robles Diversion Facilities in the mainstem of the Ventura River, North Fork Matilija Creek, and the mainstem of Matilija Creek below Matilija Dam. The best habitat is available in North Fork Matilija and in Matilija Creek, upstream of Matilija Dam. Additionally, the provision of fish passage at the Robles Diversion Facilities would be a prerequisite to providing passage to the headwaters of the main Matilija Creek and tributaries following planned removal of the Matilija Dam.

The County of Ventura in cooperation with state and federal agencies is currently developing a plan for the removal of Matilija Dam. Achieving passage at Robles is of paramount importance for recovery of steelhead stocks in the Ventura River and essential for realizing full benefit from the removal of Matilija Dam. As such, the passage features at Robles have been designed with consideration of changes that may occur if Matilija Dam is removed and the watershed experiences an increase in sediment loading.

#### **1.4 REPORT ORGANIZATION**

The remainder of this document is organized as follows:

- Section 2.0 provides a detailed description of the project, including a site map and construction drawing.
- Section 3.0 provides the environmental checklist with explanations for each of the environmental factors.
- Section 4.0 provides a detailed list of mitigation measures.
- Section 5.0 provides a list of preparers.
- Section 6.0 provides a list of the literature cited.

## 2.0 PROJECT DESCRIPTION

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### 2.1 PROJECT SITE/EXISTING CONDITIONS

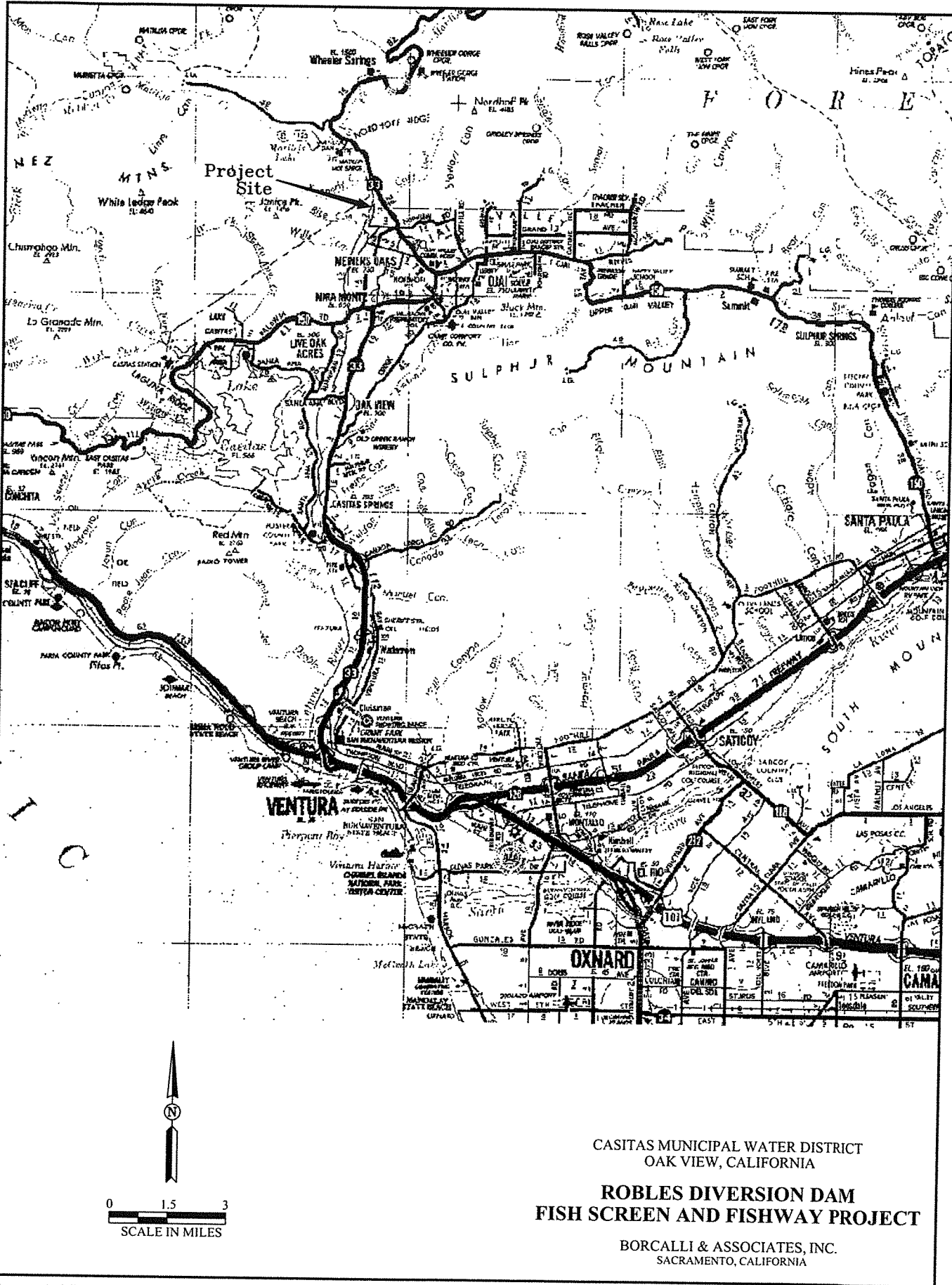
The proposed project is located at Robles Diversion Facilities in Ventura County within SE1/4 of Section 33, Township 5N, Range 23W, and the NE1/4 of Section 4, Township 4N, MDB&M. The water control and diversion headworks are located on the right bank of the Ventura River approximately 13.5 miles upstream from the Pacific Ocean and 2.0 miles downstream from Matilija Dam (Figure 1 and 2). The existing Robles Diversion Facilities consist of an earthen dam with a timber cutoff wall, a reinforced concrete spillway structure with three 16-foot-wide and one 10-foot-wide radial gates, and a headworks structure with three 11.5-foot-wide radial gates at the entrance to the concrete-lined canal used to convey water from the Ventura River to Lake Casitas. The canal includes a Parshall flume to measure the flow diverted from the Ventura River.

The radial gates in the spillway structure are operated to maintain a "forebay" pool during periods when water is being diverted through the headworks structure for conveyance to Lake Casitas. At all other times, the spillway gates are raised. The headworks is operated to control the amount of water diverted into the conveyance canal for delivery to Lake Casitas. Under current operations, adult or juvenile steelhead migrating downstream could be entrained in the diverted water, and would not be returned to the Ventura River.

The water rights permit under which CMWD operates, provides for diversion of up to 107,800 AF per year at the Robles Facility to storage in Lake Casitas. There is no instantaneous diversion limit established by the permit. However, there is a structural limit on the instantaneous diversion, as the canal that carries water from the Robles Diversion Dam to Lake Casitas has a maximum capacity of 600 cubic feet per second (cfs). Currently, when water is available, CMWD diverts up to 500 cfs to Lake Casitas. This provides additional capacity within the diversion canal for any additional inputs from sources such as rain and runoff.

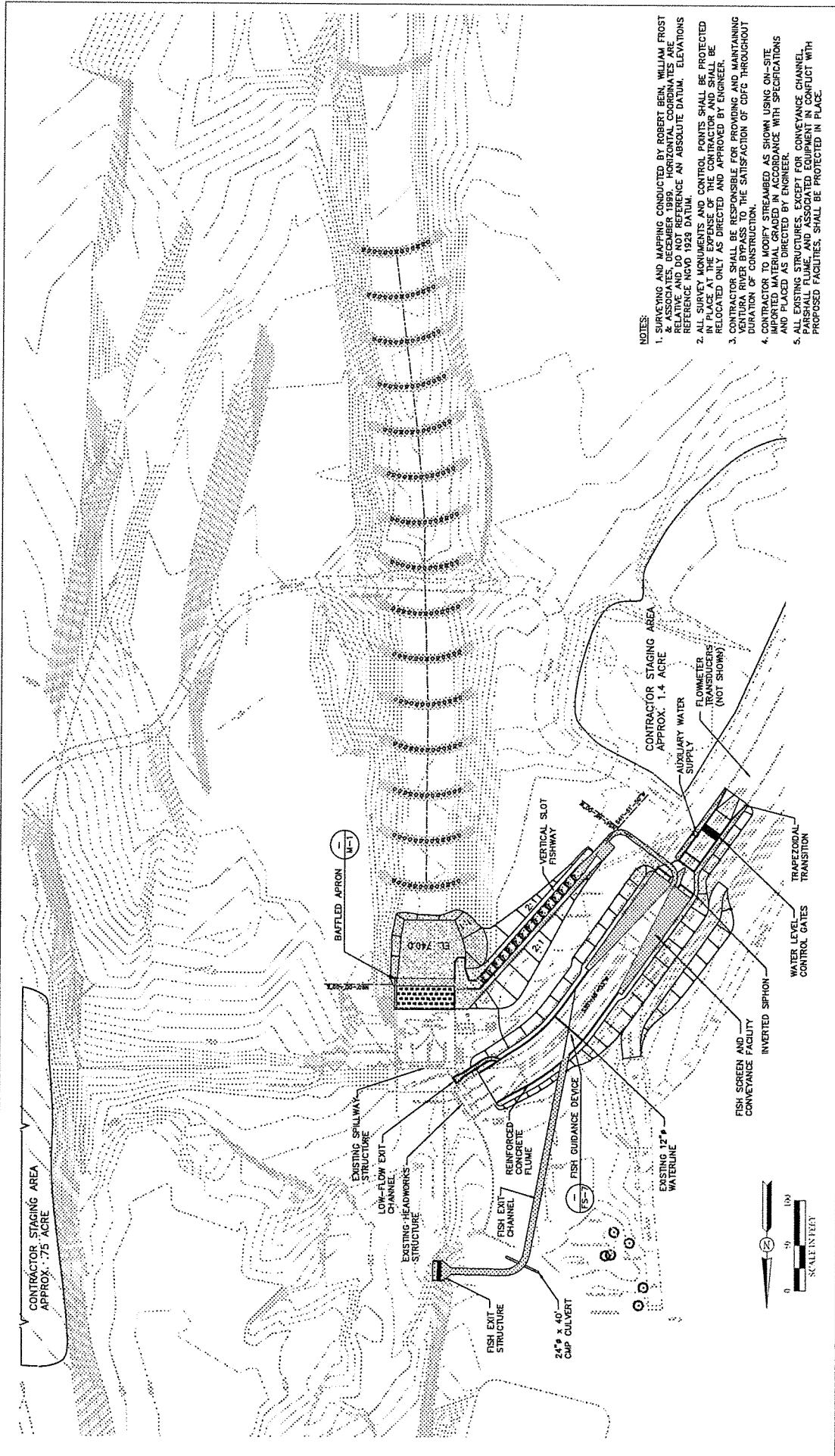
When the water level in Lake Casitas is at 2 feet below the spillway crest, CMWD does not divert water. The spillway gates at these times are raised, and all flows, up to approximately 7,000 to 8,000 cfs, pass through the spillway structure. When flows exceed the capacity of the spillway structure, water overtops the earthen dam and passes through the overflow channel. The confluence of the spillway channel and overflow channel is approximately 1,500 feet downstream of the Robles Diversion Facilities.

Approximately 450 feet downstream from the spillway is a concrete weir/roadway that functions as a low flow measuring station and provides vehicular access to the headworks when the flow is less than 15 cfs. The weir/roadway is impassable to fish when flows are less than 100 cfs. The spillway structure is impassable to upstream migrating steelhead



HA\_EngDoca\Proj\ria\200\G-018X11.dwg

Figure 1: Vicinity Map



- NOTES:**
1. SURVEYING AND MAPPING CONDUCTED BY ROBERT BERN, WILLIAM FROST & ASSOCIATES, DECEMBER 1999. HORIZONTAL CONTROL POINTS ARE ELEVATIONS RELATIVE AND DO NOT REFERENCE AN ABSOLUTE DATUM. ELEVATIONS REFERENCE NGVD 1928 DATUM.
  2. ALL SURVEY MONUMENTS AND CONTROL POINTS SHALL BE PROTECTED BY PLACE AT THE EXPENSE OF THE CONTRACTOR AND SHALL BE RELOCATED ONLY AS DIRECTED AND APPROVED BY ENGINEER.
  3. CONTRACTOR SHALL BE RESPONSIBLE FOR PROVIDING AND MAINTAINING SUFFICIENT WATER THROUGHOUT THE DURATION OF CONSTRUCTION.
  4. CONTRACTOR TO MODIFY STREAMBED AS SHOWN USING ON-SITE IMPORTED MATERIAL GRADED IN ACCORDANCE WITH SPECIFICATIONS AND PLACED AS DIRECTED BY ENGINEER.
  5. ALL EXISTING STRUCTURES, EXCEPT FOR CONVEYANCE CHANNEL, PARSHALL FLUME AND ASSOCIATED EQUIPMENT IN CONFLICT WITH PROPOSED FACILITIES, SHALL BE PROTECTED IN PLACE.

GASTANS MUNICIPAL WATER DISTRICT FACILES DIVISION DAM FISH SCREEN AND FISHWAY PROJECT		SCALE OF ORIGINAL 1"=50'	
		PROJECT NO. 14-000000 SHEET G-1 OF 1	
14-000000-01-001 FACILITIES DIVISION DAM FISH SCREEN AND FISHWAY PROJECT PROJECT NO. 14-000000 SHEET NO. G-1 OF 1		DATE 10/19/00	
SUBMITTED		APPROVED	
DESIGNED BY: T. BULLER DRAWN BY: T. BULLER CHECKED BY: F. BORCALLI IN CHARGE: F. BORCALLI	REVISIONS NO.   DATE   BY   DESCRIPTION	1   10/19/00   JMB   SEE SHEETING	

Figure 2



under all flow regimes. The existing Robles structures prevent steelhead from migrating upstream and spawning in North Fork Matilija Creek. Matilija Dam, located on Matilija Creek just upstream from the confluence with North Fork Matilija Creek, prevents access to suitable habitat upstream in Matilija Creek, Murietta Creek and the Upper North Fork Matilija Creek.

The habitat downstream of the Robles Diversion was surveyed by Mark Capelli in 1995. According to that survey, the river section between the Robles Diversion downstream to Highway 150, "consisted principally of a series of pools and glides through a boulder field with little or no riparian cover." Shade cover was provided by rocks or boulders and deep-water habitat. During the survey, this reach contained a greater number of steelhead captured per unit time effort, compared to reaches further downstream (Capelli 1997).

## 2.2 GENERAL PROJECT DESCRIPTION

The purpose of the proposed project is to facilitate the up- and downstream migration of southern steelhead trout (federally listed as endangered), and provide them access to suitable spawning and rearing habitat upstream of Robles Diversion Dam. The proposed project is also likely to improve the movement of any other native fish species. The project will result in the temporary removal of some of the riparian vegetation and disturbance of the associated wildlife immediately downstream of the Robles Diversion during grading and installation of the low-head stone weirs and low-flow crossing. The project is not expected to interfere with any other native and/or sensitive wildlife species, corridors, nursery sites, or other sensitive natural communities.

Construction is scheduled to begin in August 2001 and is expected to take 8 months to complete. Delay in obtaining the necessary permits or funding for the project will result in a delay in implementation. In such a case, it is anticipated that construction would begin in August 2002. Work taking place in the channel, such as construction of the fish ladder entrance, the upstream end of the exit channel, and streambed modification, will be limited to no flow conditions (*i.e.*, August 1 to October 31), when the channel is naturally dry. Priority will be given to completing instream work while the channel is dry. All construction activities taking place outside of the wetted channel (*e.g.*, fish screen, fish ladder, and auxiliary water supply) can generally be accomplished during most months.

## 2.3 PROJECT ENGINEERING DESCRIPTION

The primary project features include a fish screen, flow control structure, flow measurement section, fish guidance device, fishway, auxiliary water supply, high and low flow fish exit channels, a baffled apron, and a series of low-head stone weirs allowing for the removal of the existing concrete road crossing downstream of the spillway (Figure 2).

The project components are further described as follows:

1. Fish Screen and Diversion Structure – The fish screen structure will consist of vertical, stainless steel, wedge-wire screen panels aligned horizontally in series in a chevron configuration within the diversion flume. The fish screen assembly,

approximately 120 feet long, will be installed to prevent entrainment of adult and juvenile steelhead within the water diverted to Lake Casitas. The fish screen panels will be continuously cleaned using mechanical traveling brush mechanisms. The brush cleaning system will be operated via electric motors, activated manually or automatically, at preset time intervals.

The fish screen surface area was designed according to CMWD's historic maximum diversion rate of 500 cfs plus an additional 100 cfs for the auxiliary water supply pipeline, for a combined total of 600 cfs. In order to account for inefficiency in the fish screen system (*e.g.*, potentially non-uniform flow, debris, *etc.*), the system was over-designed for a maximum capacity of 726 cfs. Given the proper hydrologic and climatic conditions, CMWD may divert more than 500 cfs, up to either the fish screen limit or the diversion canal limit, whichever is less. The fish screen capacity will be determined during operation of the system. In practice, it is anticipated that CMWD will not divert more than 550 cfs. The design will comply with the criteria of the CDFG and NMFS. The approach velocity will not exceed 0.4 feet per second, and the sweeping velocity will be at least two times greater.

Adjustable, perforated plate baffle assemblies will be installed behind the fish screen panels to uniformly distribute approach velocities throughout the screen face. The porosity control devices will be implemented to prevent the occurrence of "hot spots" or areas where the approach velocity exceeds 0.4 feet per second.

The screen will be located between the existing headworks structure and concrete-lined diversion canal. The entire screen assembly will be installed within a new reinforced concrete flume with a width and height of 40.0 and 11.7 feet, respectively. Installation of the fish screen assembly will require excavation of 10,800 cubic yards of material, of which 5,600 cubic yards will be used as backfill and 5,200 cubic yards spoiled at CMWD's existing spoil area.

Approximately 350 lineal feet of the existing concrete-lined diversion canal, including a 74-foot-long Parshall flume, will be removed for construction of the fish screen and diversion structure. Approximately 75 cubic yards of reinforced concrete from demolishing the Parshall flume will be disposed at a facility appropriately licensed to accept the material. Approximately 950 cubic yards of new reinforced concrete will be placed to construct the new flume.

2. Flow Control Structure – The flow control structure will consist of a 20-foot wide rectangular flume section containing a single-leaf, overshot gate. The "overshot" gate will be electronically actuated to maintain a design forebay water surface elevation, and to provide the desired rate of diversion. The overshot gate will function as an adjustable weir. The gate will be operated manually or automatically according to a predetermined control logic subroutine.

When the gate is fully raised, the diversion process will be discontinued. Under normal operation, the radial gates at the headworks structure will be fully opened, and diversion control will be provided by the flow control structure.

Under current operation, if CMWD is not diverting water to Lake Casitas, the spillway gates are fully raised. The proposed project requires CMWD to modify its

current operation of the spillway gates and to use them to create a forebay pool, during the entire diversion season. In order to avoid trapping steelhead in the forebay pool at the end of the season, the low-flow fish exit channel gate will be raised to release water and fish. The low-flow fish exit will remain open during the summer and fall when CMWD is not diverting water. During brief periods of high runoff, the spillway gates will open as necessary to maintain the designated water surface elevation in the forebay.

Construction of the flow control structure will require excavation of 3,000 cubic yards of material, of which 1,600 cubic yards will be used as backfill and 1,400 cubic yards will be spoiled at CMWD's existing spoil area. Approximately 250 cubic yards of new reinforced concrete will be placed to construct the new flume.

3. Flow Measurement Structure – A section of the canal downstream of the flow control structure will be equipped with multi-path, ultrasonic velocity and water level measurement transducers. The measured data will be relayed to a central programmable logic controller (PLC) for flow monitoring and flow control/gate actuation purposes.

The structure instrumentation will document and record the amount of water diverted from the Ventura River to Lake Casitas.

4. Fish Guidance Device – The fish guidance device will be located within the diversion flume downstream of the headworks structure. The device will be aligned at approximately 25 degrees to the flume centerline, and will span almost its entire length. The fish guidance device consists of a series of slotted panels constructed of evenly spaced, vertically aligned, profiled louver vanes.

The primary objective of the guidance device is to direct adult upstream migrants toward the entrance of the high-flow exit channel. The project feature will ensure that upstream-migrants do not exit through the existing headworks structure, risk being captured within transverse velocities and swept downstream through the spillway structure. The high-flow exit channel is aligned to relocate the point of exit in the river or forebay approximately 200 feet upstream of the spillway structure where velocities are much less. The downstream end of the fish guidance device will include a covered slot, or fyke, enabling downstream migrants to negotiate past the fish guidance device while preventing upstream migrants from passing through. The fish guidance device will be configured to accommodate the safe passage of downstream migrating adult and juvenile steelhead.

5. Fishway – The fishway will be a vertical slot type, designed to function at flows of 10 to 50 cfs. It will facilitate upstream passage of adult steelhead around Robles Diversion Dam. The fishway will function for upstream migrating steelhead as well as downstream migrating juvenile and adult steelhead. Flow into the fishway will be self-regulating according to forebay and tailwater surface fluctuation. The entrance into the fishway will be located adjacent to the existing spillway abutment and immediately downstream of the spillway structure.

The fishway design flow is 1,500 cfs. Using accepted criteria, an attraction flow of 10 percent or 150 cfs is required and will be maintained during migration periods.

The fishway will be designed to convey up to 50 cfs, and the auxiliary water supply pipeline will contribute the balance of 100 cfs. The control slide gate will be adjusted automatically according to measured flow in the Ventura River and the pipeline to maintain the proper flow relationship.

The fishway will be approximately 360 feet long and consist of a sloped, rectangular flume partitioned by vertical slot baffles that are located at equal increments, creating a step-like arrangement of resting pools. The flume will be 8.0 feet wide with 16.0-foot high walls. The structure will be constructed of reinforced concrete, and entirely covered with galvanized steel grating for operational access, support and debris fallout protection. The fishway entrance will contain five vertical slots aligned perpendicular, 30 degrees to, and parallel with the streamflow. The slots can be manipulated to generate optimum fish attraction and will be equipped with stoplog channels to allow for closure during periods when the ladder is non-operational. The fishway exit will interface the fish screen via a rectangular channel and full-height vertical slot.

Construction of the fishway will require excavation of approximately 7,000 cubic yards of material, of which 5,000 cubic yards will be used as backfill and 2,000 cubic yards placed at CMWD's existing spoil area. Approximately 700 cubic yards of reinforced concrete will be required for construction of the fishway.

An entrance pool will be located at the fishway entrance to aid migrating fish into the fishway. One thousand cubic yards of material will be excavated to create the pool, all of which will be placed at the above-mentioned facility.

6. Auxiliary Water Supply Pipeline – The auxiliary water supply pipeline will introduce supplemental flow into the fishway at the entrance pool to enhance fish “attraction.” As noted previously, the fish passage design flow is 1,500 cfs. Using accepted criteria, an attraction flow of 10 percent or 150 cfs is required. With the fishway designed for a maximum of 50 cfs, the auxiliary water supply flow will be designed for 100 cfs. The auxiliary supply flow will be conveyed through an HDPE pipeline and introduced through the sidewall of the initial entrance pool of the fishway. To avoid the capture and entrainment of migrating fish at the pipeline inlet, the auxiliary water will be diverted downstream of the fish screen. Accordingly, the fish screen will be designed to accommodate both CMWD's historic maximum diversion rate of 500 cfs plus the additional auxiliary water supply flow of 100 cfs.

The auxiliary water supply will consist of an inlet control slide gate, a high-density polyethylene pipeline, a flowmeter, and an outlet diffuser structure. The diffuser will placidly introduce the supplemental flow into the entrance pool to avoid flows that could be injurious or confusing to fish. The inlet will be located downstream of the fish screen to avoid the risk of entrainment, and upstream of the proposed flow control structure to maintain submergence under all diversion conditions. The pipeline will be installed adjacent to the fishway. The 325-foot HDPE pipeline and concrete diffuser structure will utilize the open trench excavated for the fishway, therefore no additional excavation will be required.

7. Fish Exit Channels – Two fish exit channels are included in the proposed project. The high-flow exit channel will function as the primary migration route throughout

the diversion season. The high-flow exit channel is included, as previously mentioned, to prevent “fall-back” through the spillway structure by relocating the point of exit further upstream where conditions will be more favorable. The high-flow exit channel will operate at a flow rate of 40 cfs to 50 cfs. A low-flow exit channel is also included to circumvent the ambiguity of assigning a specific cut-off point at which the fish passage facilities are to be taken off-line. The purpose of the low-flow exit channel is two-fold. The channel will allow the forebay to self-drain at the end of the diversion season, thereby eliminating the forebay, which creates an attraction nuisance. The low-flow channel will also provide a means for fish passage during lower flows (less than cfs).

The low-flow channel will be opened at the end of the diversion season to drain the forebay. It will remain open until CMWD decides to begin diverting during the following rainy season, allowing any fish and water to bypass the system. Historically, CMWD allows the first few storms to move through the Robles Facility without diverting any water. These storms flush debris out of the system and act to recharge the alluvial groundwater basin. At the beginning of the diversion season, the low-flow fish exit will be closed to allow the forebay to fill in preparation for diversions. Once the forebay is full, the headworks of the diversion structure can be opened to provide a fish exit.

The high-flow exit channel will transition into an exit structure with a 54” slide gate, electric actuator, and steel trash rack, terminating at the Ventura River approximately 200 feet upstream of the spillway structure. The high-flow exit channel, including the exit structure, will be approximately 330 feet long. The high-flow exit channel will consist of a 5-foot wide by 12-foot deep rectangular reinforced concrete flume that interfaces with the fish screen structure just downstream of the guidance device. The low-flow exit channel inlet will be located between the existing headworks and spillway structures and will tie into the diversion flume downstream of the headworks structure. The low-flow exit channel will consist of a 3-foot wide by 17-foot high by 40-foot long concrete channel with a 60-inch slide gate and electric actuator. The channel walls will be constructed to existing grade and covered with galvanized steel grating.

Construction of the fish exit channels will require excavation of 5,000 cubic yards of material, of which 4,000 cubic yards will be used as backfill and 1,000 cubic yards placed at the above-mentioned facility. Approximately 600 cubic yards of reinforced concrete will be required for construction of the fish exit channels.

8. Streambed Modifications – A baffled apron structure and a series of low-head stone weirs will be included in the project to provide effective fish passage to the fishway entrance while maintaining a stable riverbed. The construction zone for the proposed streambed modifications is immediately downstream of the Robles Diversion spillway. This area is likely considered part of the designated critical habitat for steelhead in the lower Ventura River.

The baffled apron structure will be constructed immediately downstream of the existing spillway apron. The baffled apron will be a reinforced concrete sill with baffle blocks on a sloping concrete slab. The baffle blocks will be distributed over

the sloping concrete slab in accordance with the criteria of the U.S. Bureau of Reclamation (USBR) to dissipate energy and limit the extent of turbulent flow in to the entrance pool. The USBR's criteria have been widely applied for energy dissipation at hydraulic structures. This will function to minimize competing attraction flows from the spillway and obscuring the fishway entrance by flows from the spillway. The sill and baffled apron structure will dissipate excess energy by creating a hydraulic jump within the existing spillway structure throughout the design flow range (0 cfs to 1,500 cfs). The structure will tie into the downstream end of the existing spillway apron with an abrupt invert offset, or sill, and will descend into the entrance pool at the base of the fishway at a 2:1 slope. The apron will be embedded approximately 10 feet into the entrance pool to control the extent of scour.

The channel below the spillway is straight, approximately 40 to 60 feet wide with banks at a 2:1 slope. The streambed and bank substrate consists of large cobble and boulders 1 to 2 feet in diameter. The top of the banks are covered with a relatively young stand of three to five-year-old willows.

Approximately 450 feet downstream from the spillway structure, a concrete low flow measuring weir/roadway is constructed across the spillway channel. The crossing currently functions as a grade stabilization structure, generating a drop of approximately 5 feet in the water surface profile and obstructing steelhead migration at low flows. To correct this, a series of fifteen (15) low-head stone weirs will be installed within the channel at uniformly spaced increments throughout a reach of approximately 800 feet downstream of the existing spillway structure. The series of weirs is designed to produce a step-pool arrangement conducive to upstream fish passage through the spillway channel up to the fishway entrance. In addition, the system will stabilize the streambed, provide the necessary submergence of the fishway entrance, and help maintain a consistent low-flow channel.

The weirs are designed to be approximately 40 feet wide in an arc with the low point in the center, and will be keyed into the embankments a minimum of 4 to 6 feet. Native stone (*i.e.*, cobbles and boulders) will be embedded in a grouted stone footing to a depth of 1/3 of the stone's diameter. Boulders will be anchored to and embedded into the weir footings to prevent undermining the structural support of the weirs, and to prevent erosion of the banks. The center of the low-head stone weirs will be approximately 1 foot lower than the outer edges, thus concentrating the flow towards the center and creating a consistent low flow channel, and reducing the potential for bank scour. Step-pools will exist on the downstream side of each weir. The low-head stone weirs will have a maximum height of 18 inches from the bottom of the downstream pool to the top of the weir. When water is present, this should result in passable conditions for both adult and juvenile fish. The streambed downstream of the weirs will be armored with native material (*i.e.*, cobbles and boulders) to prevent the development of excessively large scour holes.

The existing concrete road crossing will be removed and replaced with grouted rock constructed at the grade of the new riverbed at the location of the existing road crossing. The new road crossing will have the same dimensions as the existing road crossing (12 feet wide), but will be at the new riverbed elevation through the entire width of the channel. The road on either side of the channel will be cut into the bank

to eliminate the need for any elevation increase within the channel. The low-flow crossing will be placed immediately upstream of a low-head stone weir (Figure 2). This will ensure that the crossing will not become a fish passage barrier. This crossing will only be usable at flows under 15 cfs, when steelhead are likely to be absent from this reach.

A 30-foot area along the top of both banks will be cleared and graded to provide access for modifying the gradient of the channel and construction of the weirs. This will result in the temporary removal or disturbance of riparian vegetation during construction. The impacted area is approximately 24,000 square feet or 0.55 acres.

Installation of the low-head stone weirs will impact approximately 1.7 acres of the streambed. Approximately 15,000 cubic yards of material will be excavated, of which 11,000 will be spoil. Approximately 4,000 yards of graded and processed material will be screened from the spoil and will be used to construct the weirs and armor the pool inverts. Approximately 1,000 yards of lean concrete (*i.e.*, concrete with reduced Portland cement content) will be used to anchor the stone weirs into the embankments and streambed.

Maintenance of the stone weirs should be minimal and limited to debris removal, and will occur only during dry conditions when the channel is dewatered. Since the gradation and boulder size is large in relation to conventional design standards, scour of the restoration area should be nominal. Inspections will be conducted early in the service life of the system and on an ongoing basis immediately following significant flood events. The inspections will involve identifying undercutting or flanking around the weirs and repairing, as necessary. Significant movement of the boulders or armoring material will be restored following the guidance of NMFS and USFWS. If removal or disturbance of the riparian vegetation is required, appropriate restoration will be conducted.

The successful passage of fish requires using the physical structures described above. Regardless of flow within the Ventura River, a forebay must be maintained upstream of the existing spillway structure for the fish passage facilities to function properly.

Earthwork for the above-mentioned facilities will involve the use of hydraulic excavators and loaders, bulldozers, and off-road earth-hauling trucks. All construction equipment will be well maintained to ensure that exhaust is minimized. All equipment, while not in use, will be stored at two staging areas, one on each side of the river (Figure 2). The main staging area will be located southwest of the Robles Diversion Dam, between the existing access road and the Robles Diversion Canal on a large flat approximately 1.4 acres in size. An additional staging area, of approximately 0.75 acres in size, will be located east of the spillway channel.

The concrete supply will probably be accomplished with placements ranging from approximately 50 to 150 cubic yards per day. The existing concrete canal lining will be broken, crushed, and placed with the excavation spoil. Approximately 75 cubic yards of reinforced concrete from demolishing the Parshall flume will be disposed at a facility appropriately licensed to accept the material. All excess excavated material for the entire project will be spoiled at CMWD's existing spoil area on the right bank approximately

500 feet upstream from the Robles Diversion Facilities. This spoil basin is located completely outside the high flow channel, and separated from the river channel by a raised berm. The spoil material will be used by CMWD at a later time for construction of road basins and/or slope and embankment maintenance, and will not affect the capacity of the existing spoil area. A qualified archeologist will be present during all necessary excavations to ensure that no cultural resources will be damaged.

Work within or adjacent to the waterway includes the fish exit structure on the right bank approximately 200 feet upstream of the existing spillway structure, excavation for construction of the fish ladder entrance on the right bank just downstream of the spillway structure, incorporation of the baffled apron into the existing spillway structure, and modification of approximately 800 feet of the existing spillway channel via incorporation of low-head stone weirs and the low-flow crossing. Work within the forebay or spillway channel, downstream of the existing spillway structure, will be performed during periods of no flow. This will ensure the absence of steelhead, that water quality is maintained, and erosion minimized.



3.0  
ENVIRONMENTAL CHECKLIST

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**Environmental Checklist Form**

1. Project title:

Robles Diversion Dam Fish Screen and Fishway

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2. Lead agency name and address:

Casitas Municipal Water District

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1055 Ventura Avenue

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Oak View, CA 93022

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3. Contact person and phone number:

John J. Johnson, (805) 649-2251

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4. Project location:

Robles Diversion Dam, Ventura River, Ventura County

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5. Project sponsor's name and address:

John J. Johnson

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(805) 649-2251

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1055 Ventura Avenue, Oak View, CA 93022

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6. General plan

designation:     Mult (multi use/water facility)    

7. Zoning:

    Mult (multi use/water facility)    

8. Description of project: (Describe the whole action involved, including but not limited to later phases of the project, and any secondary, support, or off-site features necessary for its implementation. Attach additional sheets if necessary.)

See Section 2.0 of this report.

9. Surrounding land uses and setting (briefly describe the project's surroundings):

Los Padres National Forest to the north, west and east. Rural mountainous setting. The fishway to be installed on the west (right when looking downstream) streambank of the existing Robles Diversion Dam, operated by CMWD.

10. Other public agencies whose approval is required (e.g., permits, financing approval, or participation agreement).

US Army Corps of Engineers, Section 404 and Section 10 permits. National Marine Fisheries Service and US Fish and Wildlife Service, Compliance with the Endangered Species Act, Section 7 Consultation. California Department of Fish and Game, Streambed Alteration Agreement. Regional Water Quality Control Board, 401 Water Quality Certification Waiver.

**ENVIRONMENTAL FACTORS POTENTIALLY AFFECTED:**

The environmental factors checked below would be potentially affected by this project, involving at least one impact that is a "Potentially Significant Impact" as indicated by the checklist on the following pages.

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Aesthetics                      | <input type="checkbox"/> Agriculture Resources                | <input type="checkbox"/> Air Quality              |
| <input checked="" type="checkbox"/> Biological Resources | <input type="checkbox"/> Cultural Resources                   | <input type="checkbox"/> Geology / Soils          |
| <input type="checkbox"/> Hazards & Hazardous Materials   | <input checked="" type="checkbox"/> Hydrology / Water Quality | <input type="checkbox"/> Land Use / Planning      |
| <input type="checkbox"/> Mineral Resources               | <input type="checkbox"/> Noise                                | <input type="checkbox"/> Population / Housing     |
| <input type="checkbox"/> Public Services                 | <input type="checkbox"/> Recreation                           | <input type="checkbox"/> Transportation / Traffic |
| <input type="checkbox"/> Utilities / Service Systems     | <input type="checkbox"/> Mandatory Findings of Significance   |   |

**DETERMINATION: (To be completed by the Lead Agency)**

On the basis of this initial evaluation:

I find that the proposed project COULD NOT have a significant effect on the environment, and a NEGATIVE DECLARATION will be prepared.

I find that although the proposed project could have a significant effect on the environment, there will not be a significant effect in this case because revisions in the project have been made by or agreed to by the project proponent. A MITIGATED NEGATIVE DECLARATION will be prepared.

I find that the proposed project MAY have a significant effect on the environment, and an ENVIRONMENTAL IMPACT REPORT is required.

I find that the proposed project MAY have a Potentially significant impact" or Potentially significant unless mitigated" impact on the environment, but at least one effect 1) has been adequately analyzed in an earlier document pursuant to applicable legal standards, and 2) has been addressed by mitigation measures based on the earlier analysis as described on attached sheets. An ENVIRONMENTAL IMPACT REPORT is required, but it must analyze only the effects that remain to be addressed.

I find that although the proposed project could have a significant effect on the environment, because all potentially significant effects (a) have been analyzed adequately in an earlier EIR or NEGATIVE DECLARATION pursuant to applicable standards, and (b) have been avoided or mitigated pursuant to that earlier EIR or NEGATIVE DECLARATION, including revisions or mitigation measures that are imposed upon the proposed project, nothing further is required.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
For

## EVALUATION OF ENVIRONMENTAL IMPACTS:

- 1) A brief explanation is required for all answers except "No Impact" answers that are adequately supported by the information sources which a lead agency cites in the parentheses following each question. A "No Impact" answer is adequately supported if the referenced information sources show that the impact simply does not apply to projects like the one involved (*e.g.*, the project falls outside a fault rupture zone). A "No Impact" answer should be explained where it is based on project-specific factors as well as general standards (*e.g.*, the project will not expose sensitive receptors to pollutants, based on a project-specific screening analysis).
- 2) All answers must take account of the whole action involved, including off-site as well as on-site, cumulative as well as project-level, indirect as well as direct, and construction as well as operational impacts.
- 3) Once the lead agency has determined that a particular physical impact may occur, then the checklist answers must indicate whether the impact is potentially significant, less than significant with mitigation, or less than significant. "Potentially Significant Impact" is appropriate if there is substantial evidence that an effect may be significant. If there are one or more "Potentially Significant Impact" entries when the determination is made, an EIR is required.
- 4) Negative Declaration: "Less Than Significant With Mitigation Incorporated" applies where the incorporation of mitigation measures has reduced an effect from "Potentially Significant Impact" to a "Less Than Significant Impact." The lead agency must describe the mitigation measures, and briefly explain how they reduce the effect to a less than significant level (mitigation measures from Section XVII, "Earlier Analyses," may be cross-referenced).
- 5) Earlier analyses may be used where, pursuant to the tiering, the program EIR, or other CEQA process, an effect has been adequately analyzed in an earlier EIR or negative declaration. Section 15063(c)(3)(D). In this case, a brief discussion should identify the following:
  - a) Earlier Analysis Used. Identify and state where these are available for review.
  - b) Impacts Adequately Addressed. Identify which effects from the above checklist were within the scope of work, and were adequately analyzed in an earlier document pursuant to applicable legal standards, and state whether such effects were addressed by mitigation measures based on the earlier analysis.
  - c) Mitigation Measures. For effects that are "Less than Significant with Mitigation Measures Incorporated," describe the mitigation measures which were incorporated or refined from the earlier document and the extent to which they address site-specific conditions for the project.
- 6) Lead agencies are encouraged to incorporate into the checklist references to information sources for potential impacts (*e.g.*, general plans, zoning ordinances).

Reference to a previously prepared or outside document should, where appropriate, include a reference to the page or pages where the statement is substantiated.

- 7) Supporting Information Sources: A source list should be attached, and other sources used or individuals contacted should be cited in the discussion.
- 8) This is only a suggested form, and lead agencies are free to use different formats; however, lead agencies should normally address the questions from this checklist that are relevant to a project's environmental effects in whatever format is selected.
- 9) The explanation of each issue should identify:
  - a) the significance criteria or threshold, if any, used to evaluate each question, and
  - b) the mitigation measure identified, if any, to reduce the impact to less than significant.

### 3.2 ISSUES

#### 3.2.1 AESTHETICS

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the proposal:				
a) Have a substantial adverse effect on a scenic vista?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Substantially damage scenic resources, including, but not limited to, trees, rock outcroppings, and historic buildings within a state scenic highway?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Substantially degrade the existing visual character or quality of the site and its surroundings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
d) Create a new source of substantial light or glare, which would adversely affect day or nighttime views in the area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The proposed fish screen structure will consist of vertical, stainless steel, wedge-wire screen panels installed in a chevron configuration within a rectangular concrete flume which replaces a section of the existing diversion canal. The proposed fish guidance device will be located within the rectangular flume upstream of the fish screen structure and will guide in-migrants toward the proposed high-flow exit channel. The high-flow fish exit channel, a rectangular concrete flume covered with steel grating, will be aligned to terminate approximately 200 feet upstream of the headworks structure. The low-flow exit channel, a concrete channel covered with steel grating, will be located between the existing headworks and spillway structures and will tie into the diversion flume downstream of the headworks structure. The fish screen structure and fish exit channels will be

embedded and recessed within existing grade and will not be very visible. The fish guidance device will consist of a steel-grating walkway and adjustable louver panels aligned across the proposed concrete flume. The proposed features will be integral and will subtly merge with the existing diversion facilities. Due to the existing visual character of the project area (an existing diversion dam), the proposed facilities will not further degrade the aesthetic quality of the area.

The flow control structure will be housed within a rectangular concrete flume integral with the existing diversion canal. The flow measurement structure will be located in a relined section of the canal downstream of the flow control structure. Since the flow control and flow measurement structures will be incorporated within facilities emulating the existing canal, they will not present a dissimilar appearance and will not contrast with the existing visual character of the river and the surrounding terrain.

The proposed streambed modifications will consist of a baffled apron structure and a series of low-head stone weirs installed at uniform increments across the existing spillway channel, generating a natural riffle hydraulic gradient. The existing concrete road crossing located approximately 450 feet downstream of the spillway structure will be removed by the implementation of the stone weir system. The low-head stone weir system will include an at grade low-flow crossing that will be placed immediately upstream of one of the weirs. The construction will utilize native material (*i.e.*, cobbles and boulders) and concrete for spatially positioned weirs along a channel reach of approximately 800 feet. The proposed baffled apron structure, consisting of a descending concrete apron and baffle blocks, will be a simple extension of the existing spillway structure and will present no negative aesthetic appearances.

### 3.2.2 AGRICULTURAL RESOURCES

	Potentially Significant Impact	Less-than- significant with Mitigation Incorporated	Less-than- significant Impact	No Impact
<p>In determining whether impacts to agricultural resources are significant environmental effects, lead agencies may refer to the California Agricultural Land Evaluation and Site Assessment Model (1997) prepared by the California Dept. of Conservation as an optional model to use in assessing impacts on agriculture and farmland. Would the project:</p>				
a) Convert Prime Farmland, Unique Farmland, or Farmland of Statewide Importance (Farmland), as shown on the maps prepared pursuant to the Farmland Mapping and Monitoring Program of the California Resources Agency, to non-agricultural use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Conflict with existing zoning for agricultural use, or a Williamson Act contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Involve other changes in the existing environment which, due to their location or nature, could result in conversion of Farmland, to non-agricultural use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

There are no farmlands within the immediate vicinity of the proposed project. The routing of flow through the fish passage facilities will have no adverse effect on upstream or downstream water availability or adjudicated water right allotments for agricultural lands, or other water uses.

### 3.2.3 AIR QUALITY

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Where available, the significance criteria established by the applicable air quality management or air pollution control district may be relied upon to make the following determinations. Would the proposal:				
a) Conflict with or obstruct implementation of the applicable air quality plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Violate any air quality standard or contribute substantially to an existing or projected air quality violation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Result in a cumulatively considerable net increase of any criteria pollutant for which the project region is non-attainment under an applicable federal or state ambient air quality standard (including releasing emissions, which exceed quantitative thresholds for ozone precursors)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
d) Expose sensitive receptors to substantial pollutant concentrations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
e) Create objectionable odors affecting a substantial number of people?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

During construction, there could be some minor air emissions from construction equipment and dust generated from the necessary earthwork, material import operations, hauling, and concrete surface preparation (sandblasting). Construction equipment will be maintained to ensure exhaust is minimized. Water trucks may be used within the limits of the construction zone for dust control as necessary. No spraying or painting will be conducted at the project site. During project operations, no air emissions would be generated.

3.2.4 BIOLOGICAL RESOURCES

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the project:				
a) Have a substantial adverse effect, either directly or through habitat modifications, on any species identified as a candidate, sensitive, or special status species in local or regional plans, policies, or regulations, or by the California Dept. of Fish and Game or U.S. Fish and Wildlife Service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Have a substantial adverse effect on any riparian habitat or other sensitive natural community identified in local or regional plans, policies, regulations or by the California Dept. of Fish and Game or U.S. Fish and Wildlife Service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Have a substantial adverse effect on federally protected wetlands as defined by Section 404 of the Clean Water Act (including, but not limited to, marsh, vernal pool, coastal, etc.) through direct removal, filling, hydrological interruption, or other means?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
d) Interfere substantially with the movement of any native resident or migratory fish or wildlife species or with established native resident or migratory wildlife corridors or impede the use of native wildlife nursery sites?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
e) Conflict with any local policies or ordinances protecting biological resources, such as a tree preservation policy or ordinance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
f) Conflict with the provisions of an adopted Habitat Conservation Plan, Natural Community Conservation Plan, or other approved local regional, or state habitat conservation plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Dams have been constructed on most streams that sustain steelhead in California. A major impact of dams has been the hindrance and/or complete prevention of upstream and downstream migration of anadromous species, consequently prohibiting steelhead access to historical spawning habitat. The proposed project was developed to facilitate steelhead passage beyond the Robles Diversion Dam. The proposed passage facilities will allow fish to access the upper portion of the Ventura River and North Fork Matilija Creek, which would allow access to good rearing and spawning habitat. The proposed fish screen structure will allow juvenile and spawned adult steelhead to migrate downstream without risk of entrainment within the water conveyed to Lake Casitas. The proposed fishway will allow outmigrants to circumvent the existing spillway structure at low flows so they can successfully reach the ocean. The proposed project will benefit federally listed steelhead.

The proposed project will not have an adverse impact on any species identified as a candidate, sensitive, or special status species in local or regional plans, policies, or regulations, or by the CDFG or USFWS. California red-legged frogs, southwestern pond



turtles and Least Bell's vireo have been reported in the Ventura River watershed, but no individuals of these species, nor their habitat occur in the project area. No federally protected wetlands will be disturbed. The proposed project will not conflict with any habitat or natural community conservation plan.

The proposed project components will impact riparian vegetation in the area immediately downstream of the Robles Diversion Facilities during the proposed streambed modifications. This work will be performed when the river is dry. Riparian vegetation will be cleared to create 30-foot wide access lanes along each side of the spillway channel. This will temporarily displace the riparian wildlife community. These impacts will be mitigated by replanting and monitoring of vegetation where it has been disturbed (see Section 4.0).

The proposed project includes a component to restrict streambed construction timing to the dry season (periods of no flow). In most water year types, the river is dry at the project site during the proposed streambed construction period (August through October), so there will be no potential for sedimentation of downstream habitats. It is anticipated that subsurface water will be exposed during streambed excavation. Dewatering excavations may be necessary during construction. Excavation water containing fine-grained silt or sand will be pumped to an infiltration trench outside of the spillway channel. Under dry summer conditions the potential for sedimentation of downstream live river habitats is considered negligible because the live river is several miles downstream.

The proposed project will improve movement of steelhead in the Ventura River. With the exception of the removal and replacement of the riparian vegetation and temporary disturbance of the associated wildlife community, the project will not interfere with any other native wildlife species, corridors and/or nursery sites.

### 3.2.5 CULTURAL RESOURCES

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the proposal:				
a) Cause a substantial adverse change in the significance of a historical resource as defined in §15064.5?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b) Cause a substantial adverse change in the significance of an archaeological resource pursuant to §15064.5?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c) Directly or indirectly destroy a unique paleontological resource or site or unique geologic feature?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
d) Disturb any human remains, including those interred outside of formal cemeteries?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Construction of the diversion and fish screen structure, flow control structure, fishway, fish exit channels, low-head stone weirs, and baffled apron will involve the excavation of approximately

43,000 cubic yards of streambed, adjacent embankment, and concrete and bank material from the existing diversion canal. The area to be excavated is spatially isolated and limited to the respective components of the subject project. The actual surface area of earthwork impact will be approximately 3.9 acres. Depths of excavation will vary and may range from less than 1.0 foot to 28.0 feet below ground surface. Cultural resources could potentially be unearthed by the excavations. The California State Historic Preservation Officer (SHPO) has been notified in writing to ensure that the presence of any cultural resources in the areas to be excavated are identified. The SHPO indicates that no prehistoric or historic resources have been identified within the project area (see attached Records Search, Attachment 2). A qualified archeologist will be present during the necessary excavations to ensure that no cultural resources will be damaged, as suggested by the SHPO.

The fish guidance device and flow measurement structure will not involve excavation.

### 3.2.6 GEOLOGY AND SOILS

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the project:				
a) Expose people or structures to potential substantial adverse effects, including the risk of loss, injury, or death involving:				
i) Rupture of a known earthquake fault, as delineated on the most recent Alquist-Priolo Earthquake Fault Zoning Map issued by the State Geologist for the area or based on other substantial evidence of a known fault? Refer to Division of Mines and Geology Special Publication 42.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
ii) Strong seismic ground shaking?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
iii) Seismic-related ground failure, including liquefaction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
iv) Landslides?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Result in substantial soil erosion or the loss of topsoil?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Be located on a geologic unit or soil that is unstable, or that would become unstable as a result of the project, and potentially result in on- or off-site landslide, lateral spreading, subsidence, liquefaction, or collapse?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
d) Be located on expansive soil, as defined in Table 18-1-B of the Uniform Building Code (1994), creating substantial risk to life or property?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
e) Have soils incapable of adequately supporting the use of septic tanks or alternative wastewater disposal systems where sewers are not available for the disposal of wastewater?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The construction of the proposed facilities will not jeopardize the structural integrity of the existing diversion structures. The excavations required for construction of the proposed components will take place during periods of no flow, when the excavation areas are dry. This will eliminate the potential for erosion. The proposed structures will not be used by people, but will require nominal operation and maintenance by qualified owner personnel, as is being practiced now. Therefore, the proposed project would not increase the risk of loss, injury, or death from seismic ground shaking, landslides, soil erosion, or flooding.

### 3.2.7 HAZARDS AND HAZARDOUS MATERIALS

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the proposal:				
a) Create a significant hazard to the public or the environment through the routine transport, use, or disposal of hazardous materials?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Create a significant hazard to the public or the environment through reasonably foreseeable upset and accident conditions involving the release of hazardous materials into the environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Emit hazardous emissions or handle hazardous or acutely hazardous materials, substances, or waste within one-quarter mile of an existing or proposed school?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
d) Be located on a site which is included on a list of hazardous materials sites compiled pursuant to Government Code Section 65962.5 and, as a result, would it create a significant hazard to the public or the environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
e) For a project located within an airport land use plan or, where such a plan has not been adopted, within two miles of a public airport or public use airport, would the project result in a safety hazard for people residing or working in the project area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
f) For a project within the vicinity of a private airstrip, would the project result in a safety hazard for people residing or working in the project area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
g) Impair implementation of or physically interfere with an adopted emergency response plan or emergency evacuation plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
h) Expose people or structures to a significant risk of loss, injury or death involving wildland fires, including where wildlands are adjacent to urbanized areas or where residences are intermixed with wildlands?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The proposed project will not utilize, or emit hazardous materials, interfere with an adopted emergency response plan, or expose people or structures to a significant risk involving wildfires.

## 3.2.8 HYDROLOGY AND WATER QUALITY

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the project:				
a) Violate any water quality standards or waste discharge requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Substantially deplete groundwater supplies or interfere substantially with groundwater recharge such that there would be a net deficit in aquifer volume or a lowering of the local groundwater table level (e.g., the production rate of pre-existing nearby wells would drop to a level which would not support existing land uses or planned uses for which permits have been granted)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Substantially alter the existing drainage pattern of the site or area, including through the alteration of the course of a stream or river, or substantially increase the rate or amount of surface runoff in a manner, which would result in flooding on- or off-site?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
d) Create or contribute runoff water which would exceed the capacity of existing or planned stormwater drainage systems or provide substantial additional sources of polluted runoff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
e) Otherwise substantially degrade water quality?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
f) Place housing within a 100-year flood hazard area as mapped on a Federal Flood Hazard Boundary or Flood Insurance Rate Map or other flood hazard delineation map?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
g) Place within a 100-year flood hazard area structures, which would impede or redirect flood flows?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
h) Expose people or structures to a significant risk of loss, injury or death involving flooding, including flooding as a result of the failure of a levee or dam?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
i) Expose people or structures to a significant risk of loss, injury or death involving inundation by seiche, tsunami, or mudflow?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The flow of the Ventura River has been significantly altered by water diversions and is currently regulated by releases from the Matilija Dam and Robles Diversion. Historically, a flow of 20 cfs has been released through the spillway during diversions up to 500 cfs at the Robles Diversion, and the natural flow has been bypassed when not diverting. The implementation of the proposed fish ladder will include operational changes that may increase the flow conveyed downstream of the Robles Diversion. Water bypassed during diversion operations will be sufficient to provide for the safe passage flow requirements for upstream and downstream adult migrants and downstream juvenile migrants in the reach between the confluence with San Antonio Creek and the Robles Facility. This will ensure that migrating adult steelhead in the mainstem Ventura River will be able to reach the proposed fishway.

When not diverting to Lake Casitas, the natural flow will be bypassed through the a combination of the fishway, auxiliary pipeline and the spillway depending upon flow volume and conditions. Priority will be given to the fishway when flows are 50 cfs or less.

The proposed facilities will be automated to ensure that during diversions fish attraction flows equaling 10 percent of the total flow conveyed by the Ventura River will be passed downstream of the spillway through the fishway and auxiliary flow pipeline. This relationship will be maintained up to 1,500 cfs in the Ventura River or 150 cfs within the fishway and auxiliary flow pipeline. At flows greater than approximately 650 cfs, the spillway gates will be opened. The actual flow at which the gates are opened depends on how much water is being diverted. The 650 cfs value assumes a diversion of 500 cfs, although the system can divert slightly more.

The increased bypass flows during low flow periods will not alter the drainage patterns of the Ventura River, increase the rate or amount of surface runoff, or result in flooding on- or off-site. The project will not impede or redirect flood flows.

The project will influence groundwater recharge during low flow diversion periods when as much as 50 cfs would be released for operation of the fishway and passage of fish in the downstream reach. This will result in some increase in groundwater recharge because the proposed range of bypass flow exceeds the 20 cfs historically released during diversions. Areas where recharge will occur downstream of the fishway are not expected to change significantly. Although the increased volume of recharge is not expected to be significant, any increase in groundwater recharge during drought years would be considered a beneficial effect.

The proposed project includes a component to restrict construction timing to the dry season (July to October). In most water year types, the river will be dry at the project site during the proposed streambed construction period (August to October), so there will be no potential for sedimentation of downstream habitats.

#### 1.1.9 LAND USE PLANNING

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the project:				
a) Physically divide an established community?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Conflict with applicable environmental plan, policy, or regulation of an agency with jurisdiction over the project (including, but not limited to the general plan, specific plan, local coastal program, or zoning ordinance) adopted for the purpose of avoiding or mitigating an environmental effect?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Conflict with any applicable habitat conservation plan or natural community conservation plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The proposed project is located outside of any established community. The project does not conflict with any environmental, habitat or natural community conservation plan.

3.2.9 MINERAL RESOURCES

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the project:				
a) Result in the loss of availability of a known mineral resource that would be of future value to the region and the residents of the state?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Result in the loss of availability of a locally-important mineral resource recovery site delineated on a local general plan, specific plan, or other land use plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

There are no mineral extraction sites within the project area. The proposed project would have no affect on mineral resources.

3.2.10 NOISE

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the project:				
a) Exposure of persons to or generation of noise levels in excess of standards established in the local general plan or noise ordinance, or applicable standards of other agencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Exposure of persons to or generation of excessive groundborne vibration or groundborne noise levels?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) A substantial permanent increase in ambient noise levels in the project vicinity above levels existing without the project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
d) A substantial temporary or periodic increase in ambient noise levels in the project vicinity above levels existing without the project?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
e) For a project located within an airport land use plan or, where such a plan has not been adopted, within two miles of a public airport or public use airport, would the project expose people residing or working in the project area to excessive noise levels?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
f) For a project within the vicinity of a private airstrip, would the project expose people residing or working in the project area to excessive noise levels?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Noise will be generated during the construction of the proposed project. Noise will be associated with that of typical heavy equipment used for construction (*i.e.*, excavators, loaders, trucks) and use of miscellaneous tools. There are no residents or other sensitive noise receptors within close proximity to the project site. Following installation, the structure will not generate noise. Therefore, noise effects are considered to be insignificant.

### 3.2.11 POPULATION AND HOUSING

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the proposal:				
a) Induce substantial population growth in an area, either directly (for example, by proposing new homes and businesses) or indirectly (for example, through extension of roads or other infrastructure)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Displace substantial numbers of existing housing, necessitating the construction of replacement housing elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Displace substantial numbers of people, necessitating the construction of replacement housing elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The proposed project will not affect population trends in the project area. There will be no permanent employees associated with the project's operation on a full-time basis.

### 3.2.12 PUBLIC SERVICES

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
a) Would the project result in substantial adverse physical impacts associated with the provision of new or physically altered governmental facilities, need for new or physically altered governmental facilities, the construction of which could cause significant environmental impacts, in order to maintain acceptable service ratios, response times or other performance objectives for any of the public services:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
i) Fire protection?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
ii) Police protection?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
iii) Schools?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
iv) Parks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
v) Other public facilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The proposed project will have no affect on public services.

### 3.2.13 RECREATION

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the project:				
a) Would the project increase the use of existing neighborhood and regional parks or other recreational facilities such that substantial physical deterioration of the facility would occur or be accelerated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Does the project include recreational facilities or require the construction or expansion of recreational facilities, which might have an adverse physical effect on the environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The immediate project area does not provide recreational opportunities. Therefore, the proposed project will not affect recreational resources in the area.

### 3.2.14 TRANSPORTATION/TRAFFIC

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the project:				
a) Cause an increase in traffic, which is substantial in relation to the existing traffic load and capacity of the street system ( <i>i.e.</i> , result in a substantial increase in either the number of vehicle trips, the volume to capacity ratio on roads, or congestion at intersections)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b) Exceed, either individually or cumulatively, a level of service standard established by the county congestion management agency for designated road or highways?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Result in a change in air traffic patterns, including either an increase in traffic levels or a change in location that results in substantial safety risks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
d) Substantially increase hazards due to a design feature ( <i>e.g.</i> , sharp curves or dangerous intersections) or incompatible uses ( <i>e.g.</i> , farm equipment)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
e) Result in inadequate emergency access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
f) Result in inadequate parking capacity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
g) Conflict with adopted policies, plans, or programs supporting alternative transportation ( <i>e.g.</i> , bus turnouts, bicycle racks)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



During construction, traffic to the project area is expected to increase slightly. Once earthmoving equipment is mobilized, the traffic into and out of the project area will be limited to construction personnel, equipment deliveries, and concrete trucks. The largest concrete placement within a 24-hour period is anticipated to be approximately 700 cubic yards. Concrete deliveries will typically be accomplished with placements ranging from approximately 50 to 150 cubic yards per day.

The proposed project will have no direct or indirect affect on transportation and traffic once construction is completed.

### 3.2.15 UTILITIES AND SERVICE SYSTEMS

	Potentially Significant Impact	Less-than-significant with Mitigation Incorporated	Less-than-significant Impact	No Impact
Would the project:				
a) Exceed wastewater treatment requirements of the applicable Regional Water Quality Control Board?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Require or result in the construction of new water or wastewater treatment facilities or expansion of existing facilities, the construction of which could cause significant environmental effects?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c) Require or result in the construction of new stormwater drainage facilities or expansion of existing facilities, the construction of which could cause significant environmental effects?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
d) Have sufficient water supplies available to serve the project from existing entitlements and resources, or are new or expanded entitlements needed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
e) Be served by a landfill with sufficient permitted capacity to accommodate the project's solid waste disposal needs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
f) Comply with federal, state, and local statutes and regulations related to solid waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The proposed project will have no affect on utilities and service systems. Excess excavation material will be spoiled at CMWD's existing spoil area on the right bank, approximately 500 feet upstream from the Robles Diversion Facility. This spoil basin is located completely outside the high flow channel, and separated from the river channel by a raised rim. The spoiled material will be used by CMWD at a later time for construction of road basins and/or slope and embankment maintenance, and will not affect the capacity of the existing spoil area.

### 3.3 MANDATORY FINDINGS OF SIGNIFICANCE

	Potentially Significant Impact	Less-than- significant with Mitigation Incorporated	Less-than- significant Impact	No Impact
Mandatory Findings of Significance:				
a) Does the project have the potential to degrade the quality of the environment, substantially reduce the habitat of a fish or wildlife species, cause a fish or wildlife population to drop below self-sustaining levels, threaten to eliminate a plant or animal community, reduce the number or restrict the range of a rare or endangered plant or animal, or eliminate important examples of the major periods of California history or prehistory?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Issues (and Supporting Information Sources):				
a) Does the project have impacts that are individually limited, but cumulatively considerable? (“Cumulatively considerable” means that the incremental effects of a project are considerable when viewed in connection with the effects of past projects, the effects of other current projects, and the effects of probable future projects.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b) Does the project have environmental effects, which will cause substantial adverse effects on human beings, either directly or indirectly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The proposed project will assist in the restoration and recovery of steelhead in the Ventura River. The project will not adversely affect any resources.

## 4.0

**MITIGATION MEASURES**

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The following list of mitigation measures is recommended to protect sensitive species and their habitat from potential short-term impacts due to construction of the Robles Diversion fish screen and fishway.

1. In-channel construction will be restricted to the summer dry season when there will be no flow in the river.
2. Refueling of heavy equipment and vehicles will occur only within a designated, paved, bermed area where potential spills can be readily contained. Equipment and vehicles operated in or in close proximity to the river shall be checked and maintained to prevent leaks of fuels, lubricants or other fluids into the river. Construction equipment will be well maintained to ensure that exhaust is minimized.
3. All construction personnel will be informed of the potential for sensitive species to be present (and cursory identification) and will be instructed to inform the on-site biological monitor if suspected sensitive species are located.
4. A qualified archeologist will be present during the necessary excavations to ensure that no cultural resources will be damaged, as suggested by the SHPO.
5. Revegetation will be conducted to replace riparian trees and shrubs that will be removed or destroyed by construction work. All replacement vegetation will be native and could include arroyo or red willow, mulefat, sycamore or cottonwood. The revegetated area(s) will be monitored for five years.
6. River banks will be re-established to a 2:1 slope following construction of the low-head stone weirs to minimize erosion.

Francis Borcalli, Borcalli & Associates, Project Description

Tim Buller, Borcalli & Associates, Project Description

Layette Davis, ENTRIX, Inc., Fisheries Resources

Lina Hofmann, ENTRIX, Inc., Biological Sciences, Physical Sciences, Social Sciences

Brenda Peters, ENTRIX, Inc., Social Sciences

Jamie Tull, ENTRIX, Inc., Natural Resources Management

- Capelli, M. H. 1997. Ventura River Steelhead Survey. Ventura County, CA. California Department of Fish and Game.
- Chubb, S. 1997. Ventura watershed analysis, focused input for steelhead restoration. Los Padres National Forest, Ojai Ranger District. Draft, June 3, 1997.
- ENTRIX and Woodward Clyde Consultants. 1997. Ventura River Steelhead Restoration and Recovery Plan (SRRP) (December 1997).
- McEwan, D. and T. A. Jackson. 1996. Steelhead Restoration and Management Plan for California. February 1996. California Department of Fish and Game.
- Moore, Mark R. 1980. Stream Survey: Ojai Ranger District, Los Padres National Forest, Ventura Co., CA. United States Department of Agriculture, Forest Service.



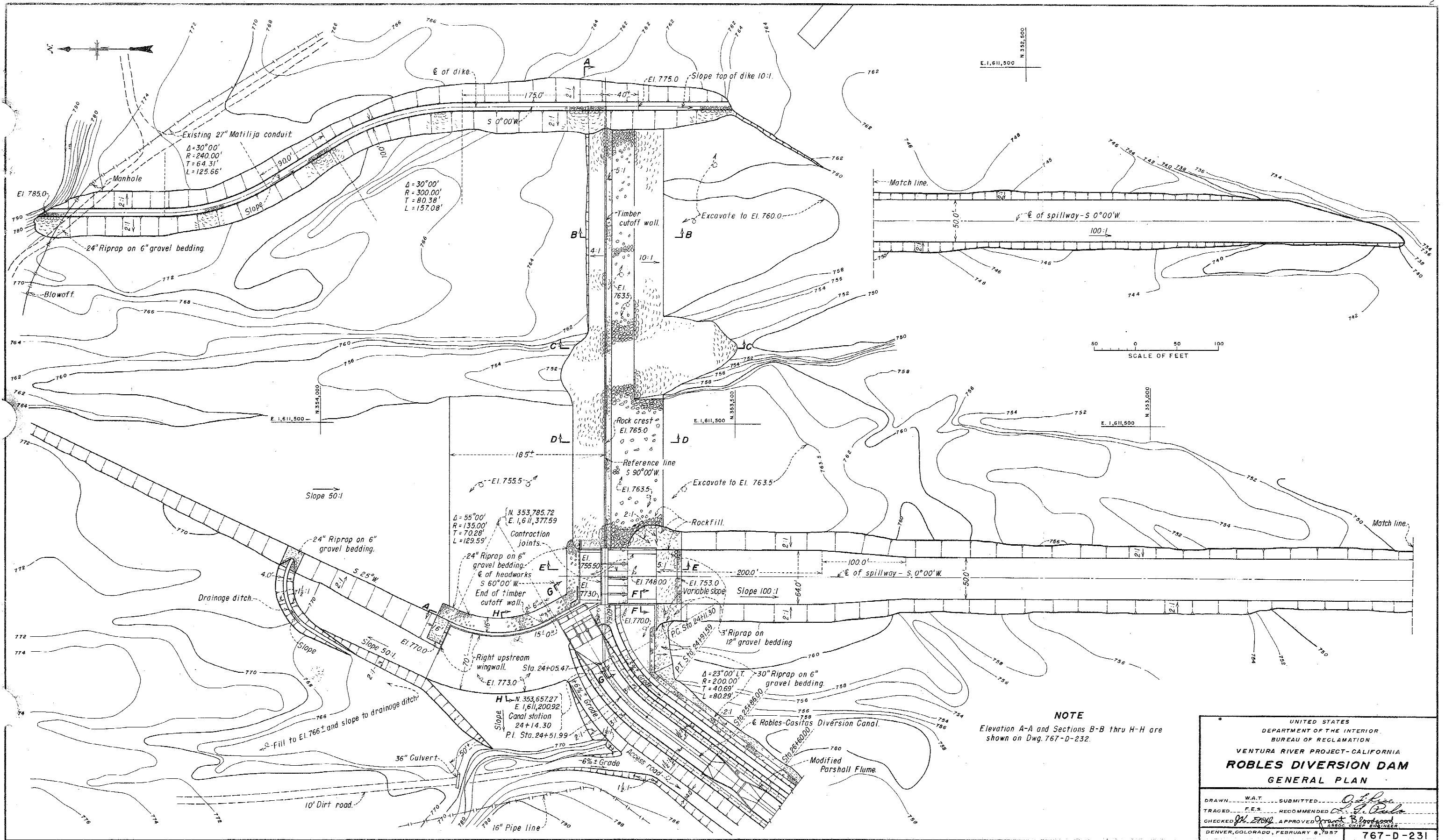


# Appendix C

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1957 Forebay Design





**NOTE**  
Elevation A-A and Sections B-B thru H-H are shown on Dwg. 767-D-232.

UNITED STATES DEPARTMENT OF THE INTERIOR BUREAU OF RECLAMATION	
VENTURA RIVER PROJECT-CALIFORNIA	
<b>ROBLES DIVERSION DAM</b>	
GENERAL PLAN	
DRAWN <i>W.A.T.</i>	SUBMITTED <i>Q.L. Rice</i>
TRACED <i>F.E.S.</i>	RECOMMENDED <i>Q.L. Rice</i>
CHECKED <i>W. E. ...</i>	APPROVED <i>Q.L. Rice</i>
DENVER, COLORADO, FEBRUARY 8, 1957	
767-D-231	

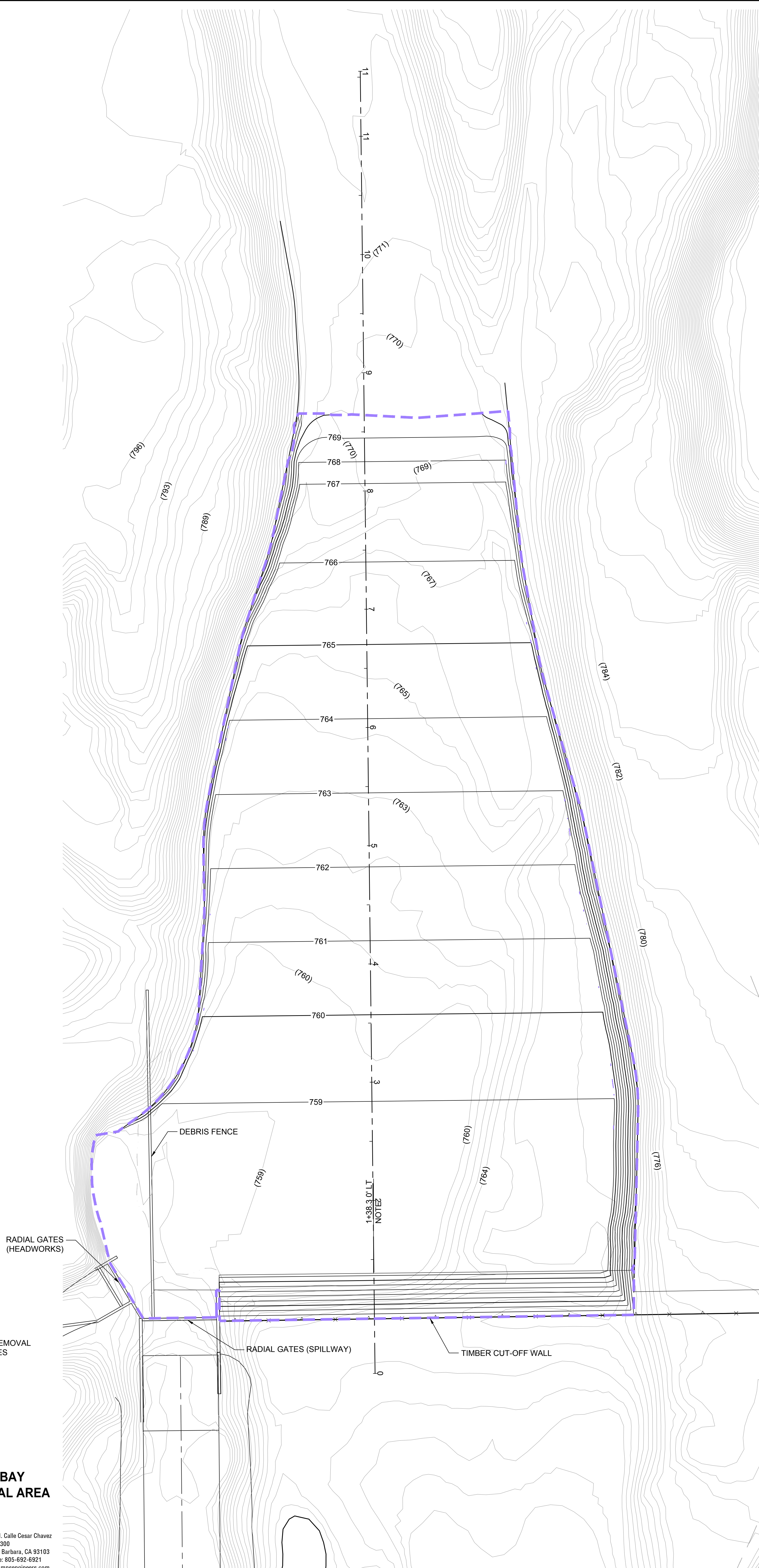


# Appendix D

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Robles Forebay Sediment Removal Area

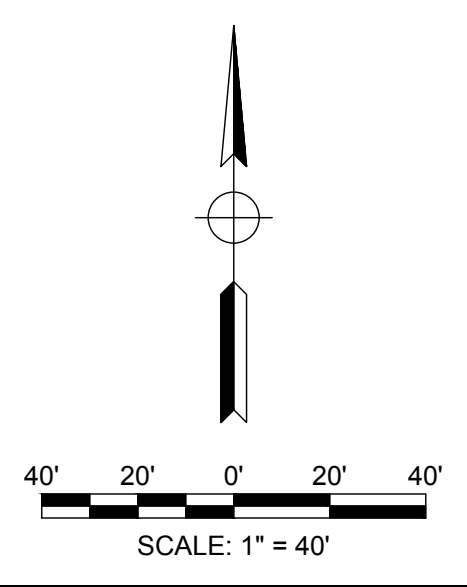




NOTE  
 1+83.0' LT. 0.83+1'

LIMITS OF SEDIMENT REMOVAL  
 AREA = 5.70 ACRES

**ROBLES FOREBAY  
 SEDIMENT REMOVAL AREA**



C:\Users\mca\OneDrive\Work\Projects\Robles Forebay\Drawings\304.dwg



# Appendix E

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Best Management Practices (BMPs) Summary Table



Best Management Practices (BMPs)	Activity 1 (Forebay Sediment)	Activity 2 (Fish Ladder, Screenbay, High- flow Bypass)	Activity 3 (Rock Weir and Measurement Weir)	Activity 4 (Entrance Pool)	Activity 5 (Concrete Repair)	Activity 6A (Timber Cut-off Wall)	Activity 6B (Debris Fence)	Activity 6C (Radial Gates)	Activity 6D (Instrumentation)	Activity 6E (Roads)
BMP-1 Work Period	X	X	X	X	X	X	X	X	X	X
BMP-2 Environmental Training	X	X	X	X	X	X	X	X	X	X
BMP-3 Pre-construction Wildlife Surveys	X	X	X	X	X	X	X	X	X	X
BMP-4 Steelhead Pre-construction Survey		X	X, unless dry	X, unless dry						
BMP-5 CRLF Pre-construction Surveys	X		X	X		X				X
BMP-6 LBVI and SWFL Pre-Construction Survey	X		X	X		X				X
BMP-7 Cover Excavations						X				
BMP-8 Nesting Birds	X	X	X	X	X	X	X	X	X	
BMP-9 On-site Biological Monitoring	X	X	X	X	X	X				X
BMP-10 Staging Equipment	X	X	X	X	X	X	X	X	X	X
BMP-11 Pollutant Management	X	X	X	X	X	X	X	X	X	X
BMP-12 Pollution Prevention	X	X	X	X	X	X	X	X	X	X
BMP-13 Material Storage	X	X	X	X	X	X	X	X	X	X
BMP-14 Tracking Loose Material	X	X	X	X	X	X	X	X	X	X
BMP-15 Stabilize Exposed Soil	X			X		X				X
BMP-16 Avoid Road Base Discharge	X									X
BMP-17 Concrete Washout Protocol					X					
BMP-18 Site Materials and Refuse Management	X	X	X	X	X	X	X	X	X	X
BMP-19 Re-fueling and Maintenance	X	X	X	X	X	X	X	X	X	X
BMP-20 Responding to Spilled Materials	X	X	X	X	X	X	X	X	X	X
BMP-21 Best Management Practice to Prevent Erosion	X	X	X	X	X	X	X	X	X	X
BMP-22 Speed Limits	X	X	X	X	X	X	X	X	X	X
BMP-23 Noxious Weeds	X	X	X	X	X	X	X	X	X	X
BMP-24 Noxious Vegetation Removal	X	X	X	X	X	X	X	X	X	X



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**CASITAS MUNICIPAL WATER DISTRICT  
MEMORANDUM**

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**TO:** BOARD OF DIRECTORS  
**FROM:** MICHAEL FLOOD, GENERAL MANAGER  
**SUBJECT:** DECLARE TWO DECOMMISSIONED AMMONIA TANKS AT THE MARION WALKER TREATMENT PLANT SURPLUS AND DIRECT STAFF TO PLACE THEM IN AN ONLINE AUCTION.  
**DATE:** DECEMBER 3, 2021

---

**RECOMMENDATION:**

The Board of Directors declare the two decommissioned ammonia tanks surplus and direct staff to place them in an online auction.

**BACKGROUND:**

Several years ago, Casitas replaced two fiberglass ammonia tanks with a stainless steel vessel. The fiberglass tanks decommissioned and stored in the area behind the Treatment Plant.

During Casitas MWD's annual Hazardous Materials Business Plan inspection, the County of Ventura noted on their report that the empty tanks should be removed.

**DISCUSSION:**

Estimates that were received from hazmat disposal contractors range from \$8,000 to \$10,000. It is believed that the tanks are still capable of containing water and could be repurposed in another application such as agricultural operations.

The intent is to post the tanks on the GovDeals website with the caveat that the buyer needs to coordinate transportation and Casitas is not liable for the condition of the tanks or their intended use.

Revenue generated from the sale is estimated at \$200 but would result in saving \$8,000 – \$10,000 in disposal costs.

# MEMORANDUM

---

TO: Board of Directors  
From: Michael L. Flood, General Manager  
RE: **Consideration of adoption of a resolution supporting the annexation of Parcel #032-0-202-075 to the Ventura River Water District**  
Date: December 3, 2021

---

## RECOMMENDATION:

Recommend adoption of the attached resolution supporting the annexation of Parcel # 032-0-202-075 (1000 Burnham Road) to the Ventura River Water District.

## BACKGROUND:

A property owner has applied with the Ventura River Water District for water service to their parcel.

The parcel lies within the Casitas Municipal Water District boundary and outside the Ventura River Water District boundary.

The Ventura River Water District has pipeline facilities adjacent to the property that could serve the parcel with construction of a service line and meter.

The Casitas Municipal Water District does not have pipeline facilities in the vicinity that could serve this property without significant pipeline construction costs.

## DISCUSSION:

Since VRWD is willing to the parcel if it's annexed into VRWD's district and the property owner would need to bear significant construction cost to obtain water service from Casitas MWD, this property would be better served by VRWD.

CASITAS MUNICIPAL WATER DISTRICT

**RESOLUTION RELEASING APN 032-0-202-075 FROM CASITAS MUNICIPAL WATER  
DISTRICT SERVICE AREA**

WHEREAS, there are established service areas for all water purveyors, and

WHEREAS, it would be difficult for the District to provide water service to APN 032-0-202-075, and

WHEREAS, Ventura River County Water District can serve APN 032-0-202-075 easily, and

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the Casitas Municipal Water District as follows:

1. Releases APN 032-0-202-075 from the Casitas Municipal Water District service area contingent on APN 032-0-202-075 being formally annexed into Ventura River County Water District service area.

ADOPTED this 8th day of December 2021.

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Brian Brennan, President

Casitas Municipal Water District

ATTEST:

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Pete Kaiser, Secretary

Casitas Municipal Water District



**VENTURA  
RIVER  
WATER DISTRICT**

409 Old Baldwin Road  
Ojai, CA 93023  
Phone (805)646-3403  
[www.VenturaRiverWD.com](http://www.VenturaRiverWD.com)

**DIRECTORS**

**President:**

Bruce Kuebler

**Vice President:**

Peggy Wiles

**Treasurer:**

Nathan Rosser

**Directors:**

Jack Curtis

Ed Lee

**GENERAL MANAGER**

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[Bert@VenturaRiverWD.com](mailto:Bert@VenturaRiverWD.com)

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**ATTORNEY**

Lindsay Nielson, ESQ

[NielsonLaw@aol.com](mailto:NielsonLaw@aol.com)

Mike Flood, General Manager  
Casitas Municipal Water District  
1055 Ventura Ave.  
Oak View, CA 93022

November 24, 2019

Subject: Annexation of One Parcel Into VRWD  
1000 Burnham Road, APN 032-0-202-075

The Ventura River Water District respectfully requests that the Casitas Board of Directors support the annexation of 1000 Burnham Road into the Ventura River Water District (VRWD).

It is not practical for the Casitas to serve 1000 Burnham Road because the Casitas Water mains are at least 2,000 feet from the property while VRWD has a 10" water main in Burnham Road along the frontage of the property.

The property owner of 1000 Burnham Road plans to use their groundwater well to provide outside irrigation and use VRWD water for potable use inside the proposed home.

If annexation of 1000 Burnham Road is allowed, it will be served water from the well service area of Ventura River Water District which has been 96% well water plus 4% lake water during past 9 years.

I have attached a copy of Resolution 2021-337 initiating proceedings for the annexation for VRWD.

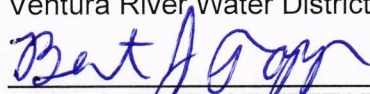
Very Truly Yours

VENTURA RIVER WATER DISTRICT

Bert J. Rapp, P.E.  
General Manager

CERTIFICATION

I hereby certify that the following is a true and correct copy of Ventura River Water District's Resolution No. 2021-337, Initiating Proceedings for a Change of Organization, adopted by the Ventura River Water District Board of Directors on November 17, 2021.

  
BERT J. RAPP, SECRETARY  
VENTURA RIVER WATER DISTRICT

11-18-2021  
DATE

---

**RESOLUTION NO. 2021 – 337**

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE  
VENTURA RIVER WATER DISTRICT  
INITIATING PROCEEDINGS FOR A

CHANGE OF ORGANIZATION

TO THE VENTURA RIVER WATER DISTRICT

WHEREAS, the Ventura River Water District (VRWD) desires to initiate a proceeding for the adjustment of the boundaries specified herein; and

WHEREAS, the property proposed for annexation into the Ventura River Water District is 1000 Burnham Road, APN 032-0-202-075, a 14.35 acre parcel, zoned Open Space with a 20 acre minimum parcel size and;

WHEREAS, the 1000 Burnham Road property has a water well that is used for irrigation. The owner would like to build a home on the property. Owner desires reliable potable water and not just the well for domestic water purposes, therefore the owner desires to connect to VRWD which also provides an emergency connection to the Casitas Municipal Water District; and

WHEREAS, at 1000 Burnham Road a 10" water main operated by the VRWD is located in Burnham Road adjacent to the property and the nearest Casitas Municipal Water District pipeline is about 2,000 feet from the property in Hwy 150; and

WHEREAS, 1000 Burnham Road is consistent with both the Sphere of Influence of the Ventura River Water District and the Casitas Municipal Water District and is outside the Sphere of Influence of the City of Ojai, (Government Code § 56700(a)(9); and

WHEREAS, an initial environmental study was prepared for the Tico consolidation with VRWD and 1000 Burnham Road annexation and found no significant environmental impact and Notice of Exemption was posted June 18, 2021.

NOW THEREFORE, the Ventura River Water District does hereby find, resolve and order as follows:



1. This proposal is made, and it is requested that proceedings be taken, pursuant to the Cortese-Knox-Hertzberg Local Government Reorganization Act of 2000, commencing with section 56000 of the California Government Code.
2. The reason for this proposal is to annex in territory to provide water service to accommodate the proposed development of a single-family home.
3. It is desired that the owners of APN 032-0-202-075 be subject to the following terms and conditions:

The owners will pay the following associated with APN 032-0-202-075: all annexation costs, Casitas water allocation costs, Project capital improvements and all connection related charges including Capacity Charges; operations & maintenance will be paid by a monthly service charge, bonded indebtedness, if any, will be financed through property taxes on the annexed property.

4. The findings and determinations contained herein are based on the evidence, both oral and written, contained in the entire Administrative Record relating to the proposed Project, which includes, but is not limited to: (a) the taped transcripts of the presentations to the District Board regarding the Project and all documents submitted therewith, (b) all completed Project reports, all completed Project correspondence, and all finished Project data and documents located in the District's official files, and (c) all documents referenced in or relied upon in any of the above listed records. These findings and determinations constitute the independent findings and determinations of the District Board in all respects and are completely supported by the substantial evidence in the record as a whole. Any finding made by the District Board shall be deemed made, regardless of where it appears in this document. All of the language included in this document constitutes findings by the District Board, whether or not any particular sentence or clause includes a statement to that effect. The District Board intends that these findings be considered as an integrated whole, whether or not any part of these findings fail to cross reference or incorporate by reference, any other part of these findings. The administrative Record shall be maintained in the District's official files in the District's offices.

The District Secretary is directed to transmit a certified copy of this resolution to the Ventura Local Agency Formation Commission.

PASSED AND ADOPTED this 17<sup>th</sup> day of November 2021.

AYES: Bruce Kuebler, Ed Lee, Jack Curtis

ABSTAIN: Nathan Rosser

ABSENT: Peggy Wiles

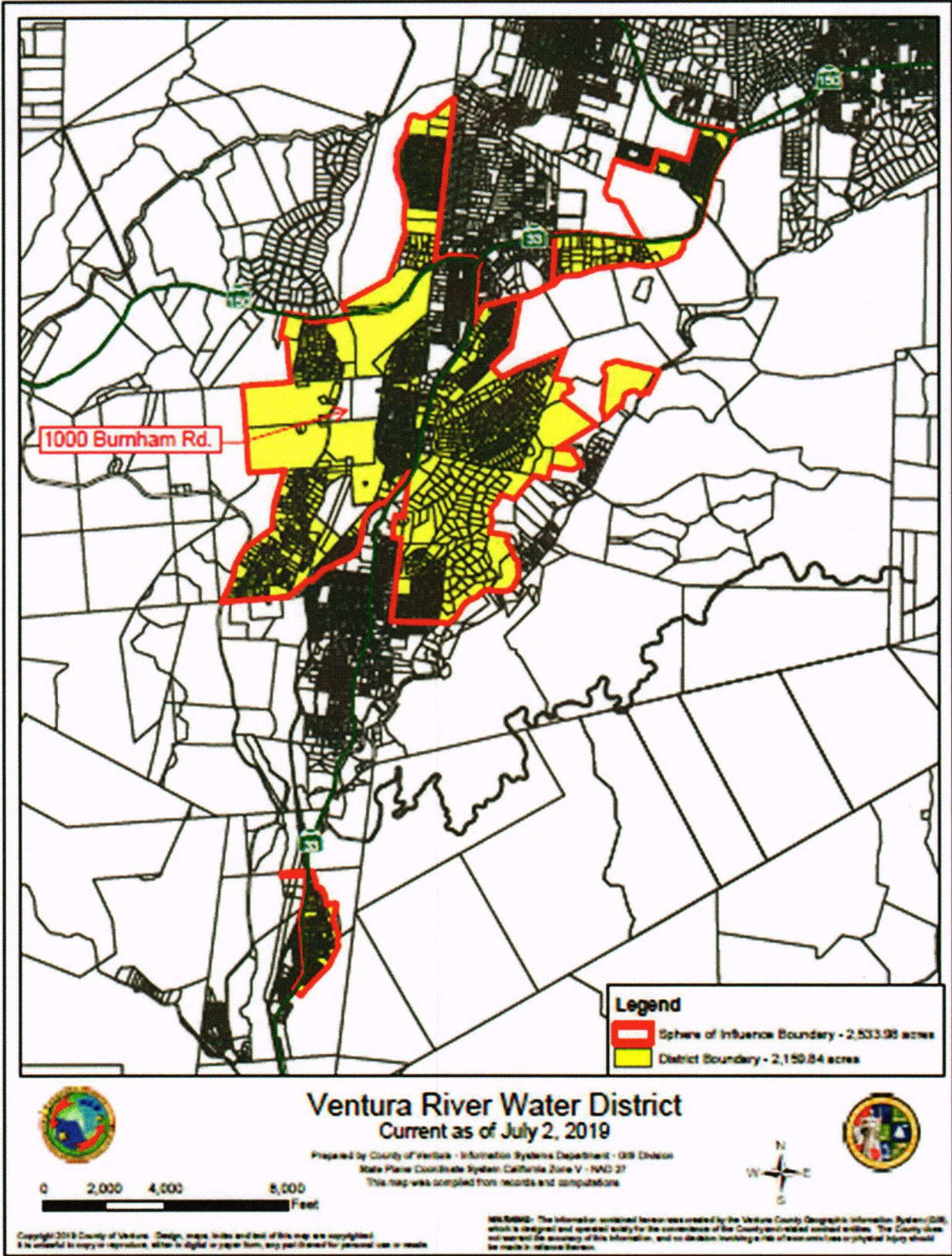
ATTEST:



Bert J. Rapp, P.E. – Secretary of the Board

  
\_\_\_\_\_  
Bruce Kuebler – President





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**CASITAS MUNICIPAL WATER DISTRICT  
MEMORANDUM**

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**TO:** BOARD OF DIRECTORS

**FROM:** MICHAEL FLOOD, GENERAL MANAGER

**SUBJECT:** PROFESSIONAL ENVIRONMENTAL CONSULTING SERVICES RELATED TO ECONOMIC DEVELOPMENT ADMINISTRATION (EDA) AMERICAN RESCUE PLAN ACT (ARPA) TOURISM GRANT FOR LAKE CASITAS RECREATION AREA (LCRA)

**DATE:** 12/08/21

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**RECOMMENDATION:**

- Authorize a Task Order to Rincon Consultants, Inc. to provide professional environmental consulting services for the LCRA Sewer Project in an amount not to exceed \$74,205.00

**BACKGROUND:**

The Economic Development Administration (EDA), an agency under the US Department of Commerce, has made funding available through the FY 2020 Public Works and Economic Adjustment Assistance (PWEAA) program to support economic development and foster job creation. Prior projects supported through this program include water and sewer system improvements. The Notice of Funding Opportunity (NOFO) is provided as an attachment.

Casitas completed the Lake Casitas Recreation Area (LCRA) Wastewater Collection System Implementation Plan (Plan) in March 2021. The Plan includes five implementation phases as shown in Figure 1-1. At the Board meeting of November 24, 2021, two Task Orders for MNS Engineers were approved to: 1) complete preliminary design of Phases 1 and 2 of the LCRA Sewer project, and 2) prepare the EDA Grant application for the LCRA Sewer Phases 1 and 2 and additional LCRA improvements.

The grant application will be bolstered by having compliance with California Environmental Quality Act (CEQA) in process. As this is a federal grant program, compliance with the National Environmental Policy Act (NEPA) is required. The grant program also requires any necessary archaeological and biological surveys, as well as proof of coordination with resource agencies. Additionally, EDA requires completion of an Environmental Narrative (attached) as part of the grant application package.

A proposal from Rincon Consultants to provide these environmental support services is attached. The following factors were taken into consideration for the purpose of developing the scope of work:

- The presence of bald eagles nesting in close proximity to the proposed sewer
- The potential for the presence of endangered California red-legged frog
- The Phase 1 and 2 sewer line is a new 1.65-mile pipeline, which is not a minor project
- The Ojai area is sensitive for biological and cultural resources



The proposal from Rincon is organized into phases. The first phase is developing the project description, performing technical studies, and developing the appropriate path for CEQA compliance based on these studies. The technical studies would need to be performed regardless of whether a Categorical Exemption (CE) or Initial Study – Mitigated Negative Declaration (IS-MND) is ultimately prepared. This phase also includes Administrative Draft CEQA Documentation. The deliverables from this phase will be used to support the EDA grant application, including the environmental narrative required.

The second phase includes Draft and Final CEQA Documentation, whether a CE or IS-MND is determined the appropriate pathway.

Rincon's proposal includes a fee not to exceed \$74,205.00 for both phases. Phase 1 tasks total \$63,163 and Phase 2 totals \$11,042 (Task 6 Project Management tasks are split 60% for Phase 1 and 40% for Phase 2).

**FINANCIAL IMPACT:**

The budget for fiscal year 2021-22 did not include funding for this project. A budget appropriation of \$75,000 is requested.

Attachments:

- Figure 1-1 from LCRA Wastewater Collection System Implementation Plan
- Notice of Funding Opportunity, Public Works and Economic Adjustment Assistance Programs
- EDA Environmental Narrative Requirements
- Proposal from Rincon Consultants dated 12/02/21

**NOTICE OF FUNDING OPPORTUNITY**  
**Public Works and Economic Adjustment Assistance Programs**

**EXECUTIVE SUMMARY**

- **Federal Agency Name:** Economic Development Administration (EDA or the Agency), U.S. Department of Commerce (DOC).
- **Federal Funding Opportunity Title:** FY 2020 Public Works and Economic Adjustment Assistance Notice of Funding Opportunity (FY20 PWEAA NOFO).
- **Announcement Type and Date:** FY20 PWEAA NOFO publishing EDA’s application submission requirements and review procedures for applications received under EDA’s (i) Public Works and Economic Development Facilities (Public Works) and (ii) Economic Adjustment Assistance (EAA) programs, authorized under the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. § 3121 *et seq.*). **Effective date: 5/7/2020**
- **Funding Opportunity Number: PWEAA2020**
- **Catalog of Federal Domestic Assistance (CFDA) Numbers:** 11.300, Investments for Public Works and Economic Development Facilities and 11.307, Economic Adjustment Assistance.
- **Dates:** There are no submission deadlines. Applications will be accepted on an ongoing basis until the publication of a new PWEAA NOFO, cancellation of this PWEAA NOFO, or all available funds have been expended. EDA intends to review applications within 60 days of receipt. Please see Section E of this NOFO for complete information on EDA’s review process.
- **Funding Opportunity Description:** EDA provides strategic investments on a competitive merit basis to support economic development, foster job creation, and attract private investment in economically distressed areas of the United States. Under this NOFO, EDA solicits applications from applicants in order to provide investments that support construction, non-construction, planning, technical assistance, and revolving loan fund projects under EDA’s Public Works program and EAA program (which includes Assistance to Coal Communities). Grants and cooperative agreements made under these programs are designed to leverage existing regional assets and support the implementation of economic development strategies that advance new ideas and creative approaches to advance economic prosperity in distressed communities, including those negatively impacted by changes to the coal economy.
- **Eligible applicants:** EDA is not authorized to provide grants or cooperative agreements under its Public Works or EAA programs to individuals or for-profit entities. Requests from such entities will not be considered for funding. Pursuant to Section 3(4) of PWEDA (42 U.S.C. § 3122(4)(a)) and 13 C.F.R. § 300.3 (Eligible Recipient), eligible applicants for EDA financial assistance under the Public Works and EAA programs include a(n): (i) District Organization of an EDA-designated Economic Development District; (ii) Indian Tribe or a consortium of Indian Tribes; (iii) State, county, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or

infrastructure development activities, or a consortium of political subdivisions; (iv) institution of higher education or a consortium of institutions of higher education; or (v) public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State.

**FULL ANNOUNCEMENT TEXT**

**FY 2020 Public Works and Economic Adjustment Assistance Programs**

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## A. Program Description

### 1. Overview

This Notice of Funding Availability (NOFO) announcement sets out EDA’s application submission and review procedures for two of its Economic Development Assistance Programs authorized under the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. § 3121 *et seq.*) (PWEDA): (i) Public Works and Economic Development Facilities (Public Works) and (ii) Economic Adjustment Assistance (EAA). EDA publishes separate NOFO announcements for other funding opportunities, including: Regional Innovation Strategies, Planning and Local Technical Assistance, University Center, Research and National Technical Assistance, and Disaster Recovery.

EDA’s Public Works and EAA programs provide economically distressed communities and regions with comprehensive and flexible resources to address a wide variety of economic needs. Projects funded by these programs will support the DOC Strategic Plan (2018-2022) by, among other things, advancing innovation, enhancing the manufacturing and export capacities of regions, providing workforce development opportunities, and growing ecosystems that attract foreign direct investment. Through these programs, EDA supports bottom-up strategies that build on regional assets to spur economic growth and resiliency. EDA encourages its grantees throughout the country to develop initiatives that present new ideas and creative approaches to advance economic prosperity in distressed communities.

### 2. EDA Investment Priorities

All projects considered for EDA funding under this NOFO must be consistent with at least one of EDA’s Investment Priorities. EDA’s Investment Priorities can be found at <https://www.eda.gov/about/investment-priorities.htm>. EDA’s website will be updated on January 15, April 15, June 15, or September 15 of each year if there are any revisions to these Investment Priorities.

### 3. EDA Program Information

This section provides detailed information on the two programs to which this NOFO applies. Additional information about EDA’s programs, including information about the eligibility of specific kinds of projects, is available through EDA staff.

EDA staff provides technical assistance to prospective applicants to assist in application development and submission. Applicants are *strongly encouraged* to contact the EDA representative listed for their applicable State in Section G of this NOFO before submitting an application to EDA to clarify technical matters involving their project, its alignment with EDA’s mission and Investment Priorities, and all other relevant publicly available information relating to general technical matters.

Except for a “Strategy Grant,” as described below, each project funded under Public Works and EAA must be consistent with the region’s current Comprehensive Economic Development Strategy (CEDS) or equivalent EDA-accepted regional economic development strategy that meets EDA’s CEDS or strategy requirements. Applicants must clearly detail how the project will support the economic development needs and objectives outlined in the CEDS or equivalent EDA-accepted regional economic development strategy. Applicants should

identify the CEDS or equivalent EDA-accepted regional economic development strategy and provide a copy of this planning document, either by attaching the document to the application or including the web link for the document. In addition, applicants should indicate if other Federal funds have been secured for, or have been requested to support, any portion of the project for which an EDA investment is proposed. Applicants should describe how the EDA investment will complement, leverage, or otherwise align with other public and private investments to implement the project. Where other Federal funding may be involved in the project, the applicant should provide the Federal program name and contact information with their application in order to facilitate interagency coordination and avoid duplication of resources.

Under this NOFO, applicants may also seek funding in the form of a “Strategy Grant” to develop, update, or refine a CEDS that alleviates long-term economic deterioration or a sudden and severe economic dislocation, as described in EDA’s regulations at 13 C.F.R. § 307.3.

Additional information and a summary of EDA’s CEDS and strategy requirements may be obtained through the appropriate EDA representative listed in Section G of this NOFO.

#### **a) Public Works<sup>1</sup>**

Through the Public Works program, EDA provides catalytic investments to help distressed communities build, design, or engineer critical infrastructure and facilities that will help implement regional development strategies and advance bottom-up economic development goals to promote regional prosperity. The Public Works program provides resources to meet the construction and/or infrastructure design needs of communities to enable them to become more economically competitive. Prior examples of investments EDA has supported through the Public Works program include projects supporting water and sewer system improvements, industrial parks, high-tech shipping and logistics facilities, workforce training facilities, business incubators and accelerators, brownfield redevelopment, technology-based facilities, wet labs, multi-tenant manufacturing facilities, science and research parks, and telecommunications infrastructure and development facilities.

As noted above, investments made through the Public Works program must be aligned with a current CEDS or equivalent EDA-accepted regional economic development strategy and clearly lead to the creation or retention of long-term high-quality jobs. For example, under this program, EDA may provide funding to a consortium of eligible recipients to support the construction of a technology center that provides laboratory, office, and manufacturing space that leads to the creation of advanced manufacturing jobs. As another example, EDA may provide funding to a county government to support regional job creation in targeted cluster industries and expand those industries’ ability to export goods.

#### **b) Economic Adjustment Assistance (EAA)<sup>2</sup>**

Through the EAA program, EDA provides investments that support a wide range of construction and non-construction activities (including infrastructure, design and engineering,

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<sup>1</sup> CFDA No. 11.300. The regulations implementing the Public Works program may be found at 13 C.F.R part 305.

<sup>2</sup> CFDA No. 11.307. The regulations implementing the EAA program may be found at 13 C.F.R. part 307. Please note that Section 307.3 of EDA’s regulations describe the differences between an EAA implementation grant and an EAA Strategy Grant. See also 42 U.S.C. § 3149(b)(2) (EAA planning project is not required to be carried out in an area with a CEDS or be consistent with an existing CEDS).

technical assistance, economic recovery strategies, and capitalization or re-capitalization of Revolving Loan Funds (RLF)) in regions experiencing severe economic dislocations that may occur suddenly or over time. EDA utilizes EAA investments to provide resources that help communities experiencing or anticipating economic dislocations to plan and implement specific solutions to leverage their existing regional economic advantages to support economic development and job creation. Like Public Works investments, EAA investments are designed to help communities catalyze public-private partnerships to foster collaboration, attract investment, create jobs, and foster economic resiliency and prosperity. For example, EDA might provide funding to a university or community college to create and launch an economic diversification strategy to promote and enhance the growth of emerging industries in a region facing job losses due to declines in regionally important industries. As another example, EDA might provide funding to a city to support the construction of a publicly-owned multi-tenant business and industrial facility to house early-stage businesses.

### **Nuclear Closure Communities (NCCs)**

EDA provides assistance to nuclear closure communities (NCCs) under EAA. Closures of nuclear power plants (NPPs) throughout the United States have had a significant impact on the economic foundations of surrounding communities through sudden job losses and a reduction to the local tax base. To address this, EDA assists regions that have been impacted, or can reasonably demonstrate that they will be impacted, by NPP closure(s).

To be eligible for NCC funding, a project must meet the NCC Special Need eligibility criterion in Section C.3.b.k. NCC funds may be used to make awards for any activity eligible for award under EAA, described immediately above in Section A.3.b, including but not limited to early-stage strategic planning activities, public works (construction) investments, and economic diversification initiatives.

### **Assistance to Coal Communities (ACC)**

EDA designates a portion of its EAA funding to support communities and regions that have been negatively impacted by changes in the coal economy.<sup>3</sup> To be eligible for ACC funding, a project must meet the ACC Special Need eligibility criterion in Section C.3.b.j.

To support these projects, EDA prioritizes ACC implementation projects and activities that:

- Will produce multiple economic and workforce development outcomes, such as promoting regional economic growth and diversification, new job creation, and re-employment opportunities for displaced coal economy workers; and
- Are specifically identified under local and regional economic development plans that have been collaboratively produced by diverse local and regional stakeholders.

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<sup>3</sup> “Coal economy” is a term that reflects the complete supply chain of coal-reliant industries. This includes, but is not limited to: coal mining, coal-fired power plants, along with related transportation, logistics, and supply chain manufacturing. This NOFO represents the fifth consecutive fiscal year in which EDA has made grant funds available specifically to assist communities and regions negatively impacted by economic contractions in the coal economy. During earlier competitive funding cycles, EDA made these funds available through the POWER+ Initiative. Through this NOFO, EDA makes these funds available solely through ACC grants; although, other Federal agencies may still have POWER grants that are open for application.



Under this NOFO, EDA will also support ACC planning through Strategy Grants that develop, update, or refine a CEDS or an equivalent regional economic development strategy document.

**ACC projects should respond to one or more of the following funding principles, as appropriate:**

- *Collaborative Partnerships:* Competitive applications will successfully demonstrate that the applicant is engaged in collaborative relationships with a variety of local and regional stakeholders (public, private, for-profit, and non-profit) whose combined contributions will be invested to support the development and implementation of the proposed project.
- *Economic and Workforce Development Integration:* Competitive applications will clearly demonstrate how the project is designed to simultaneously address the workforce needs of local and regional businesses and the re-employment needs of local and regional workers who have been displaced by changes in the coal economy.
- *High Quality Jobs and Worker Advancement:* Numerous communities, regions, and states across the country have historically relied upon the coal industry to provide good, reliable jobs and economic prosperity. Contractions in the coal economy and the resulting loss of these jobs are particularly harmful to workers in the various sectors of the coal economy. Competitive applications will include those that propose to implement or otherwise incorporate workforce development strategies that prioritize:
  - The creation and growth potential of family-supporting jobs and careers;
  - Workforce development activities that offer workers “career pathways” upon re-employment – the provision of additional educational and skills attainment opportunities directly linked to employee career advancement and better paying jobs within the targeted industry; and
  - The provision of job training courses that equip workers with industry-recognized credentials that enhance their economic mobility and advancement.<sup>4</sup>
- *Multi-Jurisdictional Project Impact:* Among other factors, applications that strive to produce economic diversification and job creation on a multi-jurisdictional basis will be prioritized for selection and funding. “Multi-Jurisdictional” is a term that can include, but is not limited to:
  - Multiple communities within a county;
  - Multiple counties within a region;
  - Multiple regions within a State; and

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<sup>4</sup> EDA recognizes that the quality of jobs created in emerging industries is often evolving, and such industries typically do not yet have mature career pathways or skill standards. Applicants focused on emerging industries where these circumstances prevail should explain how their proposed strategies will create the conditions for increasing job quality and better defined pathways for worker advancement over the longer term (which may extend beyond the time frame of eligible funding).

- Multiple regions in two or more States.

**ACC projects can include but are not limited to:**

- Supporting the creation of new businesses and jobs in a variety of industry sectors, including, but not limited to advanced manufacturing, agriculture, energy, information technology (IT), health care, telecommunications, tourism and recreation, transportation, and cultural and natural assets.
- Implementing local and regional job creation and growth and economic diversification strategies targeted towards affected workers and businesses.
- Strengthening or developing existing or emerging industry clusters.<sup>5</sup>
- Developing business incubator programs.
- Enhancing access to and use of broadband services to support job growth through business creation and expansion.
- The generation of economic development diversification strategies in accordance with CEDS criteria.<sup>6</sup>
- Facilitating access to private capital investment and providing related capacity building and technical assistance to maximize the effective utilization of capital investment for business development and job creation.
- Facilitating and promoting market access for goods and services created and manufactured by businesses in the impacted community/region.

Applicants are strongly encouraged to contact the appropriate Regional Office ACC program point of contact (POC) listed in Section G of this NOFO for specific guidance pertaining to the eligible use of program funds.

**Note: EDA’s EAA program supports a wide range of technical, planning, and public works and infrastructure projects in regions that are experiencing adverse economic changes that may occur suddenly or over time, including communities experiencing economic distress as the result of contractions in the local/regional coal economy. For more information regarding the full scope of EAA along with EDA’s other programs, as well as recent examples of awarded projects, applicants are encouraged to visit [www.eda.gov](http://www.eda.gov).**

#### **4. Statutory Authorities for EDA’s Programs**

The statutory authorities for EDA’s Public Works and EAA programs are Sections 201 (42 U.S.C. § 3141) and 209 (42 U.S.C. § 3149) of PWEDA, respectively.

Applicant eligibility and program requirements are set forth in EDA’s regulations (codified at 13 C.F.R. chapter III), and all applicants must address these requirements. Specific program requirements for the Public Works program are set out at 13 C.F.R. part 305 and for

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<sup>5</sup> Industry clusters are networks of interconnected firms and supporting institutions in a common geographic region. Clusters also are generally defined by and benefit from shared labor pools, infrastructure, and markets.

<sup>6</sup> See 13 C.F.R. § 303.7.

the EAA program at 13 C.F.R. part 307. For EDA’s Public Works and EAA programs, this announcement supersedes the EDAP NOFO announcement dated July 2, 2018. EDA’s regulations are accessible at the U.S. Government Publishing Office website at <https://www.ecfr.gov/cgi-bin/ECFR?page=browse>.<sup>7</sup> Under “Browse” select “Title 13 – Business Credit and Assistance,” click “Go,” and follow the link to parts “300-399.”

## **B. Federal Award Information**

### **1. What Funding Is Available Under This Announcement?**

For FY 2020, EDA was appropriated \$118.5 million for the Public Works program, \$37 million for the EAA program, an additional \$30 million in EAA funds for ACC, and \$15 million for NCC pursuant to the Consolidated Appropriations Act, 2020 (P.L. 116-93) (Division B—Commerce, Justice, Science, and Related Agencies Appropriations Act, 2020) and its accompanying joint explanatory statement.

The funding periods and amounts referenced in this PWEAA NOFO are subject to the availability of funds at the time of award as well as DOC and EDA priorities at the time of award. Neither DOC nor EDA will be held responsible for application preparation costs. Publication of this announcement does not obligate DOC or EDA to award any specific grant or cooperative agreement or to obligate all or any part of available funds.

The average award amounts set out below are provided only for your information and may prove useful for planning purposes. EDA anticipates making similar awards, subject to the availability of funding. Actual amounts awarded may be higher or lower depending on the nature of the proposed project and the availability of funds. Applications for funding of activities related to existing awards may compete with applications for new awards.

The average size of a Public Works investment has been approximately \$1.4 million and investments generally range from \$600,000 to \$3,000,000. Historically, EDA has awarded funds for between 80 and 150 Public Works projects a year.

The average size of an EAA investment has been approximately \$650,000 and investments generally range from \$150,000 to \$1,000,000. Historically, EDA has awarded funds for between 70 and 140 EAA projects a year.

In FY 2020, EDA will continue to support assistance to coal communities through the ACC program and expects to award grants generally ranging from \$500,000 to \$2,000,000 for implementation projects and from \$100,000 to \$350,000 for planning activities.

In FY 2020, EDA will support nuclear closure communities and expects to award grants generally ranging from \$500,000 to \$2,000,000 for implementation projects and from \$100,000 to \$350,000 for planning activities.

DOC or EDA may cancel or withdraw this NOFO at any time.

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<sup>7</sup> In the event of discrepancies between the instructions and information provided in this NOFO and EDA’s regulations, EDA regulations will control.

## 2. What Type of Funding Instrument Will Be Used to Make Awards and How Long Will a Project's Period of Performance Be?

*Funding Instrument:* Subject to the availability of funds, EDA may award grants or cooperative agreements to eligible applicants to help support economic development project-based activities. EDA will award a cooperative agreement on a case-by-case basis if substantial agency involvement is required. For a cooperative agreement, the nature of EDA's "substantial involvement" (to be included in the terms and conditions of the award) will generally be collaboration between EDA and the recipient on the scope of work. Other possible examples of EDA's "substantial involvement" pursuant to a cooperative agreement may include, but are not limited to: (i) authority to halt immediately an activity if detailed performance specifications are not met; (ii) stipulation that the recipient must meet or adhere to specific procedural requirements before subsequent stages of a project may continue; (iii) involvement in the recipient's selection of key personnel; and (iv) operational involvement during the project to ensure compliance with statutory requirements.

*Period of Performance:* The period of performance for a given project will depend on the type of project, scope of work, and the EDA program under which the grant or cooperative agreement for the project is awarded. For example, the period of performance for a construction investment under EDA's Public Works program may last for three years, while a strategy investment under the EAA program may allow for one to three years for completion of the scope of work, depending on its complexity or urgency. EDA will work closely with recipients to accommodate their projected timelines within reason and allowances of regulations and grant policies. EDA expects that all projects will proceed efficiently and expeditiously, and EDA encourages applicants to clearly document how quickly they will be able to start and complete the proposed project scope of work. All construction projects are expected to be completed within five years from the date of award.

### C. Eligibility Information

#### 1. Eligible Applicants

Eligible applicants for investment assistance under this PWEAA NOFO include a(n):

- a. District Organization;
- b. Indian Tribe or a consortium of Indian Tribes;
- c. State, county, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions;
- d. Institution of higher education or a consortium of institutions of higher education; or
- e. Public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State.<sup>8</sup>

Under its Public Works and EAA programs, EDA is **not** authorized to provide grants or cooperative agreements to individuals or to for-profit entities, and such requests will not be considered for funding.

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<sup>8</sup> See Section 3 of PWEDA (42 U.S.C. § 3122) and 13 C.F.R. § 300.3.

## 2. Cost Sharing or Matching

Cost sharing is an essential element of any EDA project, and the availability and committed nature of matching funds is a competitiveness factor in evaluating applications against each other. Generally, the amount of an EDA award may not exceed 50 percent of the total cost of the project. Projects may receive an additional amount that may not exceed up to 30 percent of the total project cost, based on the relative needs of the region<sup>9</sup> in which the project will be located, as determined by EDA.

In general, EDA’s maximum investment rate (percent of the total project cost) is determined by the average per capita income or unemployment rate of the region in which the project is located, as outlined in Table 1 below:<sup>10</sup>

**TABLE 1**

<b>Projects located in regions in which:</b>	<b>Maximum allowable investment rates (percentage of total project cost)</b>
(A) The 24-month unemployment rate is at least 225% of the national average; or	80
(B) The per capita income is not more than 50% of the national average.	80
(C) The 24-month unemployment rate is at least 200% of the national average; or	70
(D) The per capita income is not more than 60% of the national average.	70
(E) The 24-month unemployment rate is at least 175% of the national average; or	60
(F) The per capita income is not more than 65% of the national average.	60
(G) The 24-month unemployment rate is at least 1 percentage point greater than the national average; or	50
(H) The per capita income is not more than 80% of the national average.	50

For projects subject to a Special Need, as outlined in Section C.3 below, EDA will determine the maximum allowable investment rate, not to exceed 80 percent of the total project cost, based on the actual or threatened overall economic situation of the region in which the project is located.

In addition, the Assistant Secretary for Economic Development has discretion to establish a maximum EDA investment rate of up to 100 percent of the total project cost for

<sup>9</sup> See 13 C.F.R. § 300.3 for definition of “region.”

<sup>10</sup> See Section 204(a) of PWEDA (42 U.S.C. § 3144) and 13 C.F.R. § 301.4(b)(1).

projects: (i) of a State (or political subdivision of a State) that the Assistant Secretary for Economic Development determines has exhausted its effective taxing and borrowing capacity or (ii) of a non-profit organization that the Assistant Secretary for Economic Development determines has exhausted its effective borrowing capacity.<sup>11</sup> Additionally, EDA’s regulations provide discretion to establish a maximum EDA investment rate of up to 100 percent for projects of Indian Tribes.<sup>12</sup>

Potential applicants should contact the EDA representative listed for their State in Section G of this PWEAA NOFO to obtain additional information regarding these EDA investment rate determinations.

The applicant must document that the matching share will: (i) be committed to the project for the period of performance, (ii) be available as needed, and (iii) not be conditioned or encumbered in any way that may preclude its use consistent with the requirements of EDA investment assistance.<sup>13</sup> In order to meet these requirements, applicants should submit for each source of the matching share a commitment letter or equivalent document signed by an authorized representative of the organization providing the matching funds.

Additional documentation may be requested by EDA in order to substantiate the availability of the matching funds. For example, if bonds are contemplated as match, counsel opinion of the applicant’s bonding authority and eligibility of the bonds for use as match, along with full disclosure of the type of bonds and the schedule of the applicant’s intended bond issue, are required. Please contact the appropriate EDA representative listed in Section G of this PWEAA NOFO with questions regarding EDA’s matching share requirements.

Documented in-kind contributions may provide the required non-Federal Share of the total project cost, but they must be eligible project costs and meet applicable Federal cost principles and uniform administrative requirements. Examples of in-kind contributions can include space, equipment, services, or forgiveness or assumptions of debt.<sup>14</sup> Funds from other Federal financial assistance awards may be considered matching share funds only if authorized by statute, which may be determined by EDA’s reasonable interpretation of the statute.<sup>15</sup> To allow EDA to verify the value of in-kind matching share, the applicant should document the value of in-kind contributions in a matching share commitment letter and/or the budget narrative and also provide supporting documentation as appropriate.

Applicants are *strongly encouraged* to work with the appropriate EDA representative listed in Section G of this PWEAA NOFO to determine how in-kind contributions may be utilized to satisfy the matching share requirement for their application.

### **3. Economic Distress Criteria**

In order to be eligible for funding under this PWEAA NOFO, an applicant must propose a project that meets EDA’s distress criteria. Applicants must self-define the appropriate region geographically. The geographic area comprising a region need not be contiguous or defined by

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<sup>11</sup> See Sections 204(c)(1) and (2) of PWEDA (42 U.S.C. § 3144) and 13 C.F.R. § 301.4(b)(5).

<sup>12</sup> See 13 C.F.R. § 301.4(b)(5).

<sup>13</sup> See 13 C.F.R. § 301.5.

<sup>14</sup> See Section 204(b) of PWEDA (42 U.S.C. § 3144) and the definition of “In-Kind Contribution” at 13 C.F.R. § 300.3.

<sup>15</sup> See the definition of “Local Share or Matching Share” at 13 C.F.R. § 300.3. See also 2 C.F.R. § 200.306.

political boundaries but should constitute a cohesive area capable of undertaking self-sustained economic development. Applicants must provide third-party data that clearly indicate that the relevant region is subject to one (or more) of the following economic distress criteria: (i) an unemployment rate that is, for the most recent 24-month period for which data are available, at least one percentage point greater than the national average unemployment rate; (ii) per capita income that is, for the most recent period for which data are available, 80 percent or less of the national average per capita income; or (iii) a “Special Need,” as determined by EDA.<sup>16</sup>

EDA will review and evaluate documentation submitted by the applicant to determine eligibility. EDA will reject any documentation of eligibility that the agency determines is inaccurate or incomplete, which may cause the application to be rejected. **EDA reserves the right to request additional documentation or information from the applicant to make an eligibility determination.** The proposed project must meet EDA’s distress criteria as of the date EDA receives a complete application. However, if an award has not been made within six months of that date, EDA will then re-evaluate the project to determine continued eligibility for investment assistance. If the project no longer meets EDA’s distress criteria, the project will no longer be considered.

For construction projects (including design and engineering) the project must be located within an eligible region. For non-construction projects, the investment’s scope of work must primarily benefit an eligible region and stakeholders from that eligible area must be directly engaged. EDA suggests that applicants work closely with the EDA representative listed for their State as they define an eligible project in their region.

A proposed project may meet the regional eligibility criteria in one of the following three ways:

1. The proposed project will be located in a region that meets EDA’s economic distress criteria;
2. The proposed project is located in an Economic Development District (EDD) that is located in a region that does not meet EDA’s economic distress criteria, and EDA determines the proposed project will be of substantial direct benefit to a geographic area within the EDD that meets EDA’s economic distress criteria; or
3. The proposed project will be located in a geographic area of poverty or high unemployment that meets EDA’s economic distress criteria, but which is located in a region that overall does not meet EDA’s distress criteria.

Below are further details on economic distress criteria. See also 13 C.F.R. § 301.3(a).

**a) Unemployment Rate & Per Capita Income**

For economic distress levels based upon per capita income requirements, EDA will base its determination upon the most recent American Community Survey (ACS) published by the U.S. Census Bureau. For economic distress levels based upon the unemployment rate, EDA will base its determination upon the most recent data published by the Bureau of Labor Statistics (BLS), within the U.S. Department of Labor. For eligibility based upon either per capita income

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<sup>16</sup> See Section 301(a)(3) of PWEDA (42 U.S.C. § 3161(a)(3)) and 13 C.F.R. § 301.3.

requirements or the unemployment rate, when the ACS or BLS data, as applicable, are not the most recent Federal data available, EDA will base its decision upon the most recent Federal data from other sources (including data available from the Census Bureau and the Bureaus of Economic Analysis, Labor Statistics, Indian Affairs, or any other Federal source determined by EDA to be appropriate). If no Federal data are available, an applicant must submit to EDA the most recent data available from the State. The required State data must be for the region where the project will be located, the geographic area where substantial direct project benefits will occur, or the geographic area of poverty or high unemployment, as applicable.<sup>17</sup>

**b) “Special Need” Criteria**

For the purposes of determining eligibility based on a “Special Need”, an applicant must provide current and appropriate economic and demographic statistics for the applicable region to support the identified Special Need. EDA will base its Special Need eligibility determination on whether the proposed project meets the specific requirements outlined below or, in cases where specific thresholds are not identified, on whether the data and information provided by the applicant presents a compelling case that the region meets the Special Need criteria, as defined by EDA.

A project may be eligible pursuant to a Special Need if the project is located in a region that meets one or more of the criteria described below:<sup>18</sup>

- a. Closure or restructuring of industries or the loss of a major employer essential to the regional economy as defined by:
  - i. a public announcement of an impending closure or restructuring of a firm expected to occur within four (4) years of review of an application submission; or
  - ii. an actual closure or restructuring of a firm within the 24 months prior to submission of an application, resulting in sudden job losses; AND
  - iii. such threatened or actual closure results in sudden job losses meeting the following dislocation criteria:
    1. For regions with a population of at least 100,000, the threatened or actual dislocation is 500 jobs, or one percent of the civilian labor force (CLF), whichever is less.
    2. For regions with a population up to 100,000, the threatened or actual dislocation is 200 jobs, or one percent of the CLF, whichever is less.
- b. Substantial out-migration or population loss.
- c. Underemployment, meaning employment of workers at less than full-time or at less skilled tasks than their training or abilities permit.
- d. Military base closures or realignments, defense contractor reductions-in-force, or Department of Energy defense-related funding reductions.

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<sup>17</sup> See Section 301 of PWEDA (42 U.S.C. § 3161) and 13 C.F.R § 301.3.

<sup>18</sup> The following criteria are published in accordance with 13 C.F.R. § 301.3(a)(1)(iii) and define what may constitute a “Special Need” (as defined in 13 C.F.R. § 300.3) sufficient to make a project eligible for Public Works or EAA investment assistance, as described in Section C.3 of this announcement.



- i. A military base closure refers to a military base that was closed or is scheduled for closure, realignment, or growth pursuant to the base closure and realignment process or other Department of Defense (DOD) process. Unless further extended by the Assistant Secretary for Economic Development, the region is eligible from the date of DOD's recommendation for closure, realignment, or growth until five years after the actual date of closing of the installation or five years after the announced realignment or growth actually occurs.
  - ii. A defense contractor reduction-in-force refers to a defense contractor(s) experiencing defense contract cancellations or reductions resulting from official DOD announcements that have aggregate value of at least \$10 million per year. Actual dislocations must have occurred within one year of the date an application is submitted to EDA for and threatened dislocations must be anticipated to occur within two years of submittal of an application to EDA. Defense contracts that expire in the normal course of business will not be considered to meet this criterion.
  - iii. A Department of Energy defense-related funding reduction refers to a Department of Energy facility that has experienced or will experience a reduction of employment resulting from its defense mission change. The region is eligible from the date of the Department of Energy announcement of reductions until five years after the actual date of reduced operations at the installation.
- e. Natural or other major disasters or emergencies. A region that has received one of the following disaster declarations is eligible:
- i. A Presidentially declared disaster (declared under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. § 5121 *et seq.*)); or
  - ii. A Federally declared disaster (pursuant to the Magnuson-Stevens Fishery Conservation and Management Act, as amended (16 U.S.C. § 1861a(a)); the Consolidated Farm and Rural Development Act, as amended (7 U.S.C. § 1961); or the Small Business Act, as amended (Pub. L. No. 85-536, 15 U.S.C. § 631 *et seq.*, 72 Stat. 384 (1958)).
- Applicants must demonstrate a clear nexus between the needs created by the declared disaster and the proposed project.
- f. Extraordinary depletion of natural resources or other impact attributable to a new or revised Federal regulation or policy that will have a significant impact on a community's ability to prevent an extraordinary depletion of natural resources. For example, in the case of a Federal fishing regulation designed to promote and sustain a community and its fishery in the long-term, EDA could quickly help a coastal community respond to any short-term economic dislocations.
  - g. Communities undergoing transition of their economic base as a result of changing trade patterns.
  - h. A project located in a persistent poverty county is eligible. For purposes of determining Special Need, the term "persistent poverty county" means any county that has had 20 percent or more of its population living in poverty over the past 30 years, as measured by the 1990 and 2000 decennial censuses and the most recent Small Area Income and Poverty Estimates.

- i. The project i) is located in or ii) is proximate to and intended to directly and substantially benefit a designated “Qualified Opportunity Zone.” A current list of Qualified Opportunity Zones designated by the U.S. Department of the Treasury can be found at <https://www.cdfifund.gov/pages/Opportunity-Zones.aspx>.
- j. For ACC applications only, communities or regions that have been impacted,<sup>19</sup> or can reasonably demonstrate that they will be impacted, by coal mining or coal power plant employment loss, or employment loss in the supply chain industries<sup>20</sup> of either. Applications seeking ACC funding must provide appropriate third party economic and demographic statistics for the applicable community or region in order to document the extent to which contractions in the coal economy have negatively impacted the community or region.<sup>21</sup> Applicants are encouraged to cite federal data resources that may include, but are not limited to: (i) U.S. Department of Commerce (Bureau of Economic Analysis, <http://www.bea.gov/>; U.S. Census Bureau, American Community Survey (ACS), <https://www.census.gov/programs-surveys/acs/>); (ii) U.S. Department of Labor (Bureau of Labor Statistics (BLS), <http://www.bls.gov/>); (iii) U.S. Department of Energy (Energy Information Administration (EIA), <https://www.eia.gov/>); (iv) U.S. Department of Labor (Mine Safety Health Administration, <https://arlweb.msha.gov/OpenGovernmentData/OGIMSHA.asp>; Bureau of Indian Affairs (BIA)- American Indian Population and Labor Force Reports, <http://www.bia.gov/WhatWeDo/Knowledge/Reports/index.htm>).
- k. For NCC applicants only, regions that have been impacted, or can reasonably demonstrate that they will be impacted, by NPP closure(s). Applicants must demonstrate the manner and extent to which a region has been impacted or will be impacted by NPP closure(s). Geographic proximity to an NPP closure is by itself insufficient to demonstrate eligibility for NCC funds.
  - i. Applicants seeking NCC funding in regions that have been impacted by NPP closure(s) must provide appropriate third-party economic and/or demographic data for the applicable region to document the extent to which NPP closure(s) have negatively impacted the region. Such applicants are encouraged to cite federal data resources that may include, but are not limited to: (i) U.S. Department of Commerce (Bureau of Economic Analysis, <http://www.bea.gov/>; U.S. Census Bureau, American Community Survey (ACS), <https://www.census.gov/programs-surveys/acs/>); (ii) U.S. Department of Labor (Bureau of Labor Statistics (BLS), <http://www.bls.gov/>); (iii) U.S. Department of Energy (Energy

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<sup>19</sup> In general, EDA will consider applications for projects in communities and regions where the primary coal economy contraction “event” (e.g., closure of a coal mine or a coal-fired power plant, closure of various coal economy supply chain businesses, etc.) took place within 1-15 years prior to the application submission date.

<sup>20</sup> Examples of supply chain industries include, but are not necessarily limited to, manufacturers of mining equipment and parts for coal-fired power plants and transportation companies that carry coal. Note, this timeframe is a range during which projects will generally be eligible; applicants may propose projects outside this timeframe, but should take special care to demonstrate that the primary coal economy contraction “event” continues to tangibly impact the community.

<sup>21</sup> Examples of the types of acceptable data that applicants can use to demonstrate the negative impacts of local and/or regional coal industry contractions include (and are not limited to) economic indicators, labor market analyses, official announcements made by local and regional industries and firms, demographic, and industry data.

Information Administration (EIA), <https://www.eia.gov/>); (iv) U.S. Department of Labor (Mine Safety Health Administration, <https://arlweb.msha.gov/OpenGovernmentData/OGIMSHA.asp>); (v) Bureau of Indian Affairs (BIA)-American Indian Population and Labor Force Reports, <http://www.bia.gov/WhatWeDo/Knowledge/Reports/index.htm>); (vi) StatsAmerica, <http://www.statsamerica.org>; and (vii) US Nuclear Regulatory Commission, <http://www.nrc.gov>. If federal data is not available, applicants may consider demonstrating the negative impacts of nuclear power plant closure(s) using data including but not limited to local/regional economic indicators, labor market analyses, official announcements made by local and regional industries and firms, and demographic and industry data.

- ii. Applicants seeking NCC funding in regions that will be impacted in the future by NPP closure(s) must provide documentation demonstrating that the region will be negatively impacted in the future by NPP closure(s). Such documentation may, but is not required to, take the form of an announcement of future NPP closure and should be substantiated to the extent possible by third-party data sources as listed in above in Section C.3.b.k.i.
1. Other Special Need. The area is experiencing other special or extraordinary economic adjustment needs, as determined by the Assistant Secretary for Economic Development.

In addition to the above, all applications for funding based on Special Need must demonstrate how the project will address the economic development needs of the region resulting from that Special Need.

#### **D. Application Submission Information**

An applicant **must submit a complete application**, as detailed in Section D.2.a of this PWEAA NOFO, to be considered for funding. EDA intends to review an application within 60 days of EDA's receipt of the **complete application**. EDA may seek additional information or documentation from the applicant to clarify information presented in the application. Please see Section E of this PWEAA NOFO for more information on EDA's review and selection process.

EDA strongly encourages applicants to consult with the EDA representative for their State to discuss whether their project is in alignment with EDA's Investment Priorities, eligibility requirements, cost-sharing requirements, property standards, or other requirements outlined in this PWEAA NOFO. This consultation is limited to clarification of technical matters involving their proposed project, project alignment with EDA's mission and Investment Priorities, and all other relevant and publicly available information relating to general technical matters.

##### **1. Address to Request an Application**

An applicant may obtain the appropriate application electronically at Grants.gov. Applicants may search for this funding opportunity on Grants.gov using Funding Opportunity Number "PWEAA2020". All components of the appropriate application may be accessed and

downloaded (in a screen-fillable format) at <https://www.grants.gov/web/grants/search-grants.html>.

Applicants are advised that they **must complete the registration process prior to submitting an application through Grants.gov**; please note, however, registration is not required for an applicant to access, view, or download the application. Even though an applicant may be able to view and download an application, if the applicant has not correctly completed the Grants.gov registration process, the applicant will not be able to submit the application electronically for EDA’s review. Alternatively, an applicant eligible for assistance under this announcement may request a paper application by contacting the EDA representative listed for their State under Section G of this PWEAA NOFO.

## 2. Content and Form of the Application

EDA has developed a suite of forms designed to address all types of assistance the agency provides. In addition, Federal grant assistance forms from the Standard Form (SF) 424 family and certain Department of Commerce Forms (CD) forms are required as part of a complete application. The tables in Section D.2.a below describe all the forms and other documentation required for a complete application for each type of assistance EDA will provide under this NOFO and may serve as a checklist for applicants in preparing their submissions.

All relevant forms must be signed electronically by the applicant’s Authorized Organizational Representative (AOR); please see Section I of this PWEAA NOFO for information on AOR requirements. The preferred electronic file format for attachments is Adobe portable document format (PDF); however, EDA will accept electronic files in Microsoft Word, WordPerfect, or Microsoft Excel formats. EDA will not accept paper, facsimile, or email transmissions of applications. Please refer to important information on submitting your application provided in Section D.4 of this PWEAA NOFO.

All documentation and data submitted should be current and applicable as of the date submitted. Applicants are encouraged to contact the EDA representative for their State for technical assistance before submitting an application under this PWEAA NOFO. EDA staff members are available to provide applicants with technical assistance regarding application requirements. Additionally, EDA may reach out to the applicant to clarify application materials received.

### a) What is Required for a Complete Application?

The following table provides a complete list of documents required for a complete application based on the type of EDA assistance: construction, design and engineering (without a construction component), non-construction, and RLF.

Applications for **construction assistance** (including applications for design and engineering with construction activities) must include:

1. **One Form SF-424** (Application for Federal Assistance) from each co-applicant, as applicable.

2. **One Form SF-424C** (Budget Information—Construction Programs) per project.
3. **One Budget Narrative** that clearly identifies and justifies how funds in each line item of the budget (Form SF-424C) will be used to support the proposed project. The Budget Narrative should specifically address each budget line item (including both the Federal Share and matching non-Federal Share), and the narrative total should match the total project costs listed in both the SF-424 question 18, line g, and SF-424C (“Total Project Costs”). This includes describing any other Federal funds that have been secured or requested to support the project (see Section A.1). The Budget Narrative should include itemized valuations of any in-kind matching funds. The non-Federal Share, whether in cash or in-kind, is expected to be paid out at the same general rate as the Federal Share; however, if the applicant’s Budget Narrative proposes otherwise, applicants must also include information that clearly indicates what project elements the matching share funds will support and explain why deviation from paying out at the same general rate is required for the project to be implemented. \*Please note: In lieu of a separate Budget Narrative, this information may be included in the Preliminary Engineering Report as required by Section C of the ED-900C.
4. **One Form SF-424D** (Assurances—Construction Programs) from each co-applicant, as applicable.
5. **One Form ED-900** (General Application for EDA Programs). Applicants seeking ACC funding should note this information as a part of their response to Section B.1 of the form.
6. **One Form ED-900A** (Additional EDA Assurances for Construction or Non-Construction Investments) from each co-applicant, as applicable.
7. **One Form ED-900B** (Beneficiary Information Form) from each beneficiary of the proposed project, as applicable.
8. **One Form ED-900C** (EDA Application Supplement for Construction Programs) and accompanying supporting documentation, e.g., Preliminary Engineering Report. Form ED-900C requires, among other things, a description of real property acquisition, which should include any past or proposed use of eminent domain.
9. **One Form ED-900E** (Calculation of Estimated Relocation and Land Acquisition Expenses).
10. **Documentation of Matching Share** for each matching share source, such as a commitment letter, board resolution, proof of bonding authority, or similar document, as applicable. This should be attached to Form ED-900 (Section B.10.d of the form).
11. **One Environmental Narrative** that will enable EDA to comply with its NEPA responsibilities. A narrative outline that details required components may be accessed in EDA’s website at: [http://www.eda.gov/files/012\\_Environmental\\_Narrative\\_Template.zip](http://www.eda.gov/files/012_Environmental_Narrative_Template.zip).

12. **One Applicant’s Certification Clause** (see Appendix A to the environmental narrative noted above) completed separately and signed by each co-applicant, as applicable.
13. **One Form CD-511** (Certification Regarding Lobbying) from each co-applicant, as applicable.
14. **One Form SF-LLL** (Disclosure of Lobbying Activities) from each co-applicant, if applicable.
15. **Map of project site.**

Applications for **design and engineering assistance only** (without a construction component) must include:

1. **One Form SF-424** (Application for Federal Assistance) from each co-applicant, as applicable.
2. **One Form SF-424C** (Budget Information—Construction Programs).
3. **One Budget Narrative** that clearly identifies and justifies how funds in each line item of the budget (Form SF-424C) will be used to support the proposed project. The Budget Narrative should specifically address each budget line item (including both the Federal Share and matching Non-Federal Share), and the narrative total should match the total project costs listed in both the SF-424 question 18, line g, and SF-424C (“Total Project Costs”). This includes describing any other Federal funds that have been secured or requested to support the project (see Section A.1). The Budget Narrative should include itemized valuations of any in-kind matching funds. The non-Federal Share, whether in cash or in-kind, is expected to be paid out at the same general rate as the Federal Share; however, if the applicant’s Budget Narrative proposes otherwise, applicants must also include information that clearly indicates what project elements the matching share funds will support and explain why deviation from paying out at the same general rate is required for the project to be implemented.
4. **One Form SF-424D** (Assurances—Construction Programs) from each co-applicant, as applicable.
5. **One Form ED-900** (General Application for EDA Programs). Applicants seeking ACC funding should note this information as a part of their response to Section B.1 of the form.
6. **One Form ED-900A** (Additional EDA Assurances for Construction or Non—Construction Investments) from each co-applicant, as applicable.
7. **One Form ED-900D** (Requirements for Design and Engineering Assistance).
8. **Documentation of Matching Share** for each matching share source, such as a commitment letter, board resolution, proof of bonding authority, or similar

document, as applicable. This should be attached to Form ED-900 (Section B.10.d of the form).

9. **An Environmental Narrative** that will enable EDA to comply with its NEPA responsibilities. A narrative outline that details required components may be accessed in EDA’s website at: [http://www.eda.gov/files/012\\_Environmental\\_Narrative\\_Template.zip](http://www.eda.gov/files/012_Environmental_Narrative_Template.zip).
10. **One Applicant’s Certification Clause** (see Appendix A to the Environmental Narrative noted above) completed separately and signed by each co-applicant, as applicable.
11. **One Form CD-511** (Certification Regarding Lobbying) from each co-applicant, as applicable.
12. **One Form SF-LLL** (Disclosure of Lobbying Activities) from each co-applicant, as applicable.

Applications for **non-construction assistance** must include:

1. **One Form SF-424** (Application for Federal Assistance) from each co-applicant, as applicable.
2. **One Form SF-424A** (Budget Information—Non-Construction Programs).
3. **One Budget Narrative** that clearly identifies and justifies how funds in each line item of the budget (Form SF-424A) will be used to support the proposed project. The Budget Narrative should specifically address each budget line item (including both the Federal Share and matching Non-Federal Share), and the narrative total should match the total project costs listed in both the SF-424 question 18, line g, and SF-424A (“Totals”). This includes describing any other Federal funds that have been secured or requested to support the project (see Section A.1). The Budget Narrative should include itemized valuations of any in-kind matching funds. The non-Federal Share, whether in cash or in-kind, is expected to be paid out at the same general rate as the Federal Share; however, if the applicant’s Budget Narrative proposes otherwise, applicants must also include information that clearly indicates what project elements the matching share funds will support and explain why deviation from paying out at the same general rate is required for the project to be implemented.
4. **One Form SF-424B** (Assurances—Non-Construction Programs) from each co-applicant, as applicable, unless as part of the registration process for SAM each co-applicant has already completed the assurances for non-construction programs. In that case, each co-applicant must inform EDA that this was completed in SAM.
5. **One Form ED-900** (General Application for EDA Programs). Applicants seeking ACC funding should note this information as a part of their response to Section B.1 of the form.

6. **One Form ED-900A** (Additional EDA Assurances for Construction or Non—Construction Investments) from each co-applicant, as applicable.
7. **Documentation of Matching Share** for each matching share source, such as a commitment letter, board resolution, proof of bonding authority, or similar document, as applicable. This should be attached to Form ED-900 (Section B.10.d of the form).
8. **One Form CD-511** (Certification Regarding Lobbying) from each co-applicant, as applicable.
9. **One Form SF-LLL** (Disclosure of Lobbying Activities) from each co-applicant, as applicable.

Applications for **RLF assistance** must include:

1. **One Form SF-424** (Application for Federal Assistance) from each co-applicant, as applicable.
2. **One Form SF-424A** (Budget Information—Non-Construction Programs).
3. **One Budget Narrative** that clearly identifies and justifies how funds in each line item of the budget (Form SF-424A) will be used to support the proposed project. The Budget Narrative should specifically address each budget line item (including both the Federal Share and matching Non-Federal Share), and the narrative total should match the total project costs listed in both the SF-424 question 18, line g, and SF-424A (“Totals”). This includes describing any other Federal funds that have been secured or requested to support the project (see Section A.1). The Budget Narrative should include itemized valuations of any in-kind matching funds. The non-Federal Share, whether in cash or in-kind, is expected to be paid out at the same general rate as the Federal Share; however, if the applicant’s Budget Narrative proposes otherwise, applicants must also include information that clearly indicates what project elements the matching share funds will support and explain why deviation from paying out at the same general rate is required for the project to be implemented.
4. **One Form SF-424B** (Assurances—Non-Construction Programs) from each co-applicant, as applicable, unless as part of the registration process for SAM each co-applicant has already completed the assurances for non-construction programs. In that case, each co-applicant must inform EDA that this was completed in SAM.
5. **One Form ED-900** (General Application for EDA Programs).
6. **One Form ED-900A** (Additional EDA Assurances for Construction or Non—Construction Investments) from each co-applicant, as applicable.
7. **One Form ED-900F** (Supplement for Revolving Loan Fund Applications).
8. **Documentation of Matching Share** for each matching share source, such as a commitment letter, board resolution, proof of bonding authority, or similar



document, as applicable. This should be attached to Form ED-900 (Section B.10.d of the form).

9. **One Draft RLF plan** that addresses all components required by EDA's regulation at 13 C.F.R. § 307.9.
10. **One Form CD-511** (Certification Regarding Lobbying) from each co-applicant, as applicable.
11. **One Form SF-LLL** (Disclosure of Lobbying Activities) from each co-applicant, as applicable.

In addition, **an application to support a business incubator**, technology, or other type of incubator or accelerator, regardless of the type of assistance being requested (i.e., construction or non-construction) must also include:

- a. A feasibility study establishing the market demand for the specific start-up companies proposed for incubation (technology, general business, bio-tech, manufacturing, etc.) and the presence of necessary resources and community support;
- b. Documentation with detailed demonstration that the applicant has the financial capacity to operate the facility (if applicable) and reach a positive cash flow within a reasonable period of time, which EDA generally expects to be three years; *and*
- c. A management plan for operation that, *at a minimum*, includes a/an:
  - i. *Tenant/client selection policy* that includes a description of the types of businesses sought and any established selection criteria;
  - ii. *Tenant lease or license agreement* (if applicable) that enumerates the shared services to be provided; delineates the business assistance policy, including the provision of management, technical, and training assistance, and the graduation policy; and establishes periodic access to the tenant's business records to permit assessment of the financial and operational viability of the tenant's business;
  - iii. *Business assistance policy* that outlines the various types of assistance that will be provided to start-up firms, including how support will be provided to tenants/clients with access to capital needed to grow their businesses successfully;
  - iv. *Staffing plan* that details the talent and resources that will be dedicated to supporting the startup companies accepted;
  - v. *Tenant graduation policy* that is documented as a provision of the tenant lease or license agreement (if applicable) with clear requirements for tenant graduation from the facility or services; and
  - vi. *Performance plan* that includes how the entity will track the success of tenants/clients, specifically identifying what performance measurement data are proposed to be collected from tenants/clients and for what period of time during and after the service period the data will be collected. This should also include members of any oversight or policy board that will be responsible for setting performance

goals, selecting or approving selections of staff, establishing and reviewing policy, and monitoring performance.

Any applicant that proposes a project to support a business incubator, technology, or other type of incubator or accelerator is *strongly encouraged* to contact the EDA representative listed for their applicable State in Section G of this PWEAA NOFO to clarify technical matters involving their proposed project.

#### **b) Environmental and Historic Preservation Requirements**

All applicants for EDA construction assistance (including design and engineering assistance) are required to provide adequate environmental information. Each application will be reviewed by EDA for compliance with the National Environmental Policy Act (NEPA) of 1969, as amended. During the NEPA review process, applicants may be instructed to contact the designated State and/or Tribal Historic Preservation Officer (SHPO/THPO), provide approvals from other governmental agencies, or provide more detailed environmental information. EDA, after compliance with requirements for consultation with Federally-recognized Indian Tribes, may require applicants to participate in Tribal consultation, as necessary. The implementing regulations of NEPA require EDA to provide public notice of the availability of project-specific environmental documents, such as environmental impact statements, environmental assessments, findings of no significant impact, and records of decision, to the affected public. For further guidance and information, please contact the appropriate Regional Environmental Officer listed in Section G of this PWEAA NOFO. Applicants will be notified of any changes to these requirements via Grants.gov.

#### **c) Copy of Negotiated Indirect Cost Rate Agreement (if applicable)**

As noted in EDA's Standard Terms and Conditions for Construction Projects (Construction ST&Cs), indirect costs are generally not applicable to construction awards.

If indirect costs are included in the budget for a non-construction project, the applicant must include documentation to support the indirect cost rate it is using. For most applicants, this will entail the submission of a copy of its current, approved, and negotiated indirect cost rate agreement (NICRA). The maximum dollar amount of allocable indirect costs for which EDA will reimburse a recipient shall be the lesser of the (1) line-item amount for the Federal Share of indirect costs contained in the EDA approved budget for the award, or (2) Federal Share of the total allocable indirect costs of the award based on either (a) the indirect cost rate approved by EDA (or applicable cognizant Federal agency), provided that the cost rate is current at the time the costs were incurred and provided that the rate is approved on or before the award end date, or (b) other acceptable documentation as indicated below.

If the applicant does not have a current or pending NICRA, it may propose indirect costs in its budget; however, the applicant must prepare and submit an allocation plan and rate proposal for approval within 90 days from the award start date. See 2 C.F.R. part 200 Apps. III, IV, V, VI, VII for guidance. The allocation plan and the rate proposal shall be submitted to EDA's Office of Regional Affairs (or applicable cognizant Federal agency). If the applicant chooses to pursue this option, it should include a statement in its Budget Narrative that it does not have a current or pending NICRA and will submit an allocation plan and rate proposal to EDA or the applicant's cognizant Federal agency for approval.

If the applicant (1) does not have a current NICRA and (2) has never received a negotiated indirect cost rate, the applicant may alternatively elect to charge a *de minimis* rate of 10% of modified total direct costs subject to the exceptions of 2 C.F.R. § 200.414(f). The applicant should include a statement in its Budget Narrative that it does not have a NICRA; it has never received a negotiated indirect cost rate; and it is electing to charge the *de minimis* rate.

Note if the applicant is a State or local unit of government (or a Tribe) that receives less than \$35,000,000 in direct Federal funding per year it may submit any of the following:

- i. A Certificate of Indirect Costs from DOI or EDA;
- ii. Acknowledgment received from EDA and Certificate of Indirect Costs;
- iii. Cost Allocation Plan approved by a Federal agency; or
- iv. NICRA.

### **3. Unique Entity Identifier and System for Award Management (SAM)**

To enable the use of a universal identifier and to enhance the quality of information available to the public as required by the Federal Funding Accountability and Transparency Act of 2006, to the extent applicable,<sup>22</sup> applicants are required to: (i) be registered in the SAM before submitting their application; (ii) provide a valid unique entity identifier in their application; and (iii) continue to maintain an active SAM registration with current information at all times during which they have an active Federal award or an application or plan under consideration by a Federal awarding agency. EDA may not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements, and if an applicant has not fully complied with the requirements by the time EDA is ready to make an award, EDA may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant. Recipients will be subject to reporting requirements, as identified in OMB guidance published at 2 C.F.R. parts 25 and 170. The guidance set out at 2 C.F.R. parts 25 and 170 can be found at the U.S. Government Publishing Office website at <https://www.ecfr.gov/cgi-bin/ECFR?page=browse>. Under “Browse” select “Title 2 – Grants and Agreements,” then click “Go” and follow the link to parts “2-199.” Note that SAM now encompasses the Central Contractor Registration (CCR) and that the unique entity identifier is commonly referred to as the Data Universal Numbering System (DUNS) Number. The recipient must keep its SAM registration current.

### **4. Submission Dates and Times**

There are no application deadlines under this PWEAA NOFO. EDA plans to accept applications on a rolling basis subject to the availability of funds or until the NOFO is amended in relevant part or a new PWEAA NOFO is published. EDA may cancel or withdraw this NOFO at any time.

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<sup>22</sup> Individuals who apply for or receive agency awards or direct subawards are exempt from the requirements of the unique entity identifier and SAM. See 2 C.F.R. § 25.110(b). However, individuals are not eligible to receive awards under EDA’s Public Works and EAA programs.

## **a) How to Submit an Application?**

### **i. Electronic Submission**

**EDA accepts electronic submissions of applications through Grants.gov.** EDA will not accept paper, facsimile, or email transmissions of applications except as provided below.

Once an application is submitted, it undergoes a validation process through Grants.gov during which the application may be accepted or rejected by the system. Please be advised that the validation process may take 24 to 48 hours to complete. Applications that contain errors will be rejected by Grants.gov and will not be forwarded to EDA for review. The applicant must correct any errors before Grants.gov will accept and validate the application.

**Please see Section I of this PWEAA NOFO for more detailed instructions and information on the requirements for submitting applications electronically via Grants.gov.**

### **ii. Alternatives to Electronic Submission.**

If an applicant is unable to submit an application electronically for reasons beyond the control of the applicant, EDA, in its sole discretion, may **pre-approve in writing** submission via an alternate method (e.g., email).

## **5. Intergovernmental Review**

Applications submitted under this PWEAA NOFO are subject to the requirements of Executive Order (EO) 12372, “Intergovernmental Review of Federal Programs,” if a State has adopted a process under EO 12372 to review and coordinate proposed Federal financial assistance and direct Federal development (commonly referred to as the “single point of contact review process”). All applicants must give States and local governments a reasonable opportunity to review and comment on the proposed Project, including review and comment from area-wide planning organizations in metropolitan areas.<sup>23</sup> To find out more about a State’s process under EO 12372, applicants may contact their State’s Single Point of Contact (SPOC). Names and addresses of some States’ SPOCs are listed on OMB’s website at <https://www.whitehouse.gov/wp-content/uploads/2019/02/SPOC-February-2019.pdf>. Question 19 of Form SF-424 allows applicants to demonstrate compliance with EO 12372.

An applicant seeking funding under the Public Works program or for a construction project or RLF grant under the EAA program that is not a State, Indian Tribe, or general purpose local governmental authority must afford the appropriate general purpose local governmental authority in the project region a minimum of 15 days to review and comment on the proposed project and provide with its application a statement of its efforts to seek comments and either (i) a copy of the comments received and a statement of any actions to address those comments or (ii) a statement that no comments were received.

## **6. Funding Restrictions**

In general, EDA does not reimburse pre-award project costs. Applicants that are in need of such reimbursement should work closely with the EDA representative for their State to

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<sup>23</sup> As provided for in 15 C.F.R. part 13.

determine if their pre-award costs may be considered for reimbursement. In order for contracted pre-award costs to be eligible for reimbursement, the applicant must competitively procure services pursuant to the Federal government's procurement procedures. All pre-award costs are incurred at an applicant's own risk and will be considered for reimbursement, in EDA's sole discretion, only if an applicant receives an award and such costs are approved by EDA in writing. Under no circumstances will EDA or DOC be held responsible for application preparation expenditures, which are distinguished from pre-award project costs.

## **7. Other Submission Requirements**

After EDA reviews your application, EDA may contact the applicant to request any necessary additional documentation to clarify or substantiate submitted application materials, depending on the type of project proposed. Examples of additional documentation may include, but are not limited to, title verification, documentation of the value of in-kind contributions, evidence all funding is available and committed to the project, or documentation required for environmental or legal compliance. This additional documentation will be required to ensure that the proposed project complies with all applicable rules and regulations prior to EDA's issuance of an award. EDA will provide applicants a reasonable amount of time to provide any additional documentation. Failure to provide complete and accurate supporting documentation in a timely manner *when requested by EDA* may result in the denial of an application.

EDA may make changes or additions to this PWEAA NOFO. All changes will be communicated through Grants.gov.

## **E. Application Review Information**

Throughout the review and selection process, EDA reserves the right to seek clarification in writing from applicants whose applications are being reviewed. This may include reaching out to applicants and proposing they seek funding under a different EDA program or other Federal financial assistance program under which they may be more competitively assessed. EDA may additionally ask applicants to clarify application materials, objectives, and work plans, or modify budgets or other specifics necessary to comply with Federal requirements. Before applications are reviewed as described below, EDA will conduct an initial screening to verify that all required forms are complete and all required documentation is included. Applications that do not contain all elements listed in Section D.2.a of this PWEAA NOFO will not be reviewed.

### **1. Review and Selection Process**

#### **a) Investment Review Committee (IRC)**

Each Regional Office will convene periodic IRCs as necessary depending on the volume of applications, that consist of at least four EDA staff members (except in the case of an IRC to review ACC applications, which need only consist of three EDA staff members) to review each complete application. Before the IRC reviews an application EDA will conduct an administrative review to determine that the application is complete.

All IRC members will review each complete application before the IRC discussion and evaluation. The IRC will make a group evaluation of the merits of each application based on the extent to which the application meets the program-specific award and application requirements

provided in 13 C.F.R. part 305 for Public Works investments and 13 C.F.R. part 307 for EAA investments.

**For construction and non-construction projects (including NCC and ACC projects), except Strategy Grant proposals, the IRC will use the following criteria in its review, with each criterion receiving equal weight:**

- i. The project's sustainability/durability, including the extent to which the project demonstrates support from regional stakeholders (private, public, and non-profit entities, etc.);
- ii. The applicant's organizational capacity, including its financial and management capacity;
- iii. The project's alignment with the regional CEDS or equivalent EDA-accepted economic development strategy, including the extent to which the project is aligned with and integrated into other public or private investments currently ongoing or planned for the community and region;
- iv. The project's demonstrated alignment with EDA's current Investment Priorities;
- v. The project's demonstrated ability to foster creation and/or retention of high-quality jobs and promote private investment in the regional economy;
- vi. The extent to which the project will enable the community/region to become more economically diversified and prosperous; and
- vii. The project's feasibility, which may include the availability and committed nature of proposed matching funds.

In addition to the above criteria, for ACC projects only, the IRC also will equally weigh:

- viii. The integration and/or alignment of the impacted region's workforce development needs and priorities with the economic development strategy referenced in the application;
- ix. The extent to which the project objectives are designed to create jobs that pay family-supporting wages, create career pathways for workers, and are linked to industry-recognized credentials for high-demand positions; and
- x. The geographic impact and resulting economic benefit of the proposed scope of work.

**Note: Throughout the application review and selection process, ACC, EAA, NCC, and Public Works projects will be evaluated independently. While separate, these evaluations may occur concurrently. As stated above, each ACC project evaluation will be conducted based on both EAA and ACC evaluation criteria.**

Based on its consideration of the above factors, the IRC will prepare a priority order of funding recommendations for the Regional Director. EDA's final decision on whether to fund a project is dependent upon the ability of the applicant to provide sufficient documentation of the project's compliance with applicable rules and regulations.

EDA intends to provide applicants written notification of the outcome of the IRC within 60 days of EDA's receipt of the **complete application and any additional materials and information required for the review.**

## **b) Due Diligence**

If the IRC recommends an application, the applicant still may have to complete certain due diligence requirements before EDA can make an award. After an applicant has been notified that its application has been recommended by the IRC, EDA may request that the applicant submit additional documents and information to allow EDA to fully evaluate compliance with applicable rules and regulations.

For example, in the case of construction projects, such additional due diligence may include:

- i. Title verification;
- ii. Proof of project ownership;
- iii. Documentation of matching funds; and
- iv. Documentation required for environmental or legal compliance. This may include, but is not limited to: 404 Clean Water Act permits from the U.S. Army Corps of Engineers and accompanying environmental documentation (environmental assessment or environmental impact statement), Phase I and Phase II environmental assessments, State environmental assessment documentation (for compliance with State environmental statutes such as the Massachusetts Environmental Policy Act (MEPA) or the California Environmental Quality Act (CEQA)), archeological and biological surveys, and proof of coordination with resource agencies.

If the applicant provides the requested information and supporting documentation in a timely fashion and EDA determines the project is fully compliant with applicable rules and regulations, the application will be forwarded to the Regional Director for a final decision and award approval. Applicants that do not provide the additional information and supporting documentation in a timely fashion or who are deemed not to be in compliance with applicable rules and regulations will receive notification their application has been denied.

## **c) Grants Officer's Decision**

Applications recommended by the IRC and deemed fully compliant with applicable rules and regulations will be forwarded to the Regional Director, who is the designated Grants Officer under this PWEAA NOFO. Each Regional Director has been delegated the final authority regarding funding of applications and may select a project for funding that differs from the IRC's recommendations based on any of the following selection factors:

1. The relative economic distress of the region;
2. For Public Works projects, the extent to which the selection of the application, alone or in the context of other applications, supports EDA's compliance with appropriations law requirements and report language guidance;
3. The likelihood a given project will start quickly, realistically achieve project goals, and catalyze additional resources;
4. The extent to which the application meets the overall objectives of Section 2 of PWEDA (42 U.S.C. § 3121);
5. For ACC projects, the extent to which the project proposes an implementation activity that supports economic diversification, job creation, capital investment, and workforce development and re-employment opportunities;

6. The applicant's performance under previous Federal financial assistance awards, including whether the grantee submitted required performance reports and data;
7. The availability of program funding; and
8. The extent to which the project supports EDA's goals of geographic balance in distribution of program funds, project types, organizational type (to include smaller and rural organizations) and the overall portfolio.

The Regional Director's final decision must be consistent with EDA's and DOC's published policies. Any time a Regional Director makes a selection that differs from the IRC's recommendation, the Regional Director will document the rationale for the decision in writing.

## **2. Federal Awardee Performance and Integrity System (FAPIS) Review**

EDA, prior to making a Federal award with a total amount of Federal Share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIS). See 41 U.S.C. § 2313.

Each applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM. EDA will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.205.

## **F. Federal Award Administration Information**

### **1. Federal Award Notification**

If an application is selected for funding and the applicant successfully and timely completes all due diligence requirements, the expectation is that the EDA Grants Officer will issue the grant award (Form CD-450), which is the authorizing financial assistance award document and includes Specific Award Conditions and, as applicable, the DOC Financial Assistance Standard Terms and Conditions (DOC ST&Cs), the EDA Revolving Loan Fund Financial Assistance Award Standard Terms and Conditions (RLF ST&Cs), or the EDA Construction ST&Cs, as described in Section F.2.b, below.

By signing Form CD-450, the applicant agrees to comply with all award provisions. EDA will provide Form CD-450 via the award package to the applicant's authorized representative. The applicant's authorized representative must sign and return the Form CD-450 without modification within 30 calendar days of the date of EDA's signature on the form.

If an applicant is awarded funding, neither DOC nor EDA is under any obligation to provide any additional future funding in connection with that award or to make any future award(s). Amendment or renewal of an award to increase funding or to extend the period of performance is at the discretion of DOC and EDA.



EDA will notify unsuccessful applicants in writing to the applicant's authorized representative. EDA will retain unsuccessful applications in accordance with EDA's record retention schedule.

## **2. Administrative and National Policy Requirements**

### **a) Uniform Administrative Requirements, Cost Principles and Audit Requirements**

Recipients of an EDA award will be bound by the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) as set forth in 2 C.F.R. part 200. See a copy of these regulations at: <https://www.gpo.gov/fdsys/pkg/CFR-2016-title2-vol1/pdf/CFR-2016-title2-vol1-part200.pdf>. Please note that the Uniform Guidance superseded DOC's Uniform Administrative Requirements, which were found at 15 C.F.R. parts 14 and 24.

### **b) DOC Financial Assistance Standard Terms and Conditions**

For all projects except construction awards, DOC will apply the DOC ST&Cs applicable on the date of the award. The DOC ST&Cs may be accessed at the following website: [http://www.osec.doc.gov/oam/grants\\_management/policy/default.htm](http://www.osec.doc.gov/oam/grants_management/policy/default.htm).

For RLF awards, in addition to the DOC ST&Cs, EDA will apply the EDA RLF ST&Cs. The RLF ST&Cs may be accessed at <https://www.eda.gov/tools/grantee-forms/> under the header "Standard Terms and Conditions for RLF and Construction Projects".

For construction awards, EDA will apply the Construction ST&Cs. The Construction ST&Cs may be accessed at <https://www.eda.gov/tools/grantee-forms/> under the header "Standard Terms and Conditions for RLF and Construction Projects".

### **c) DOC Pre-Award Notification Requirements**

DOC will apply the Pre-Award Notification Requirements for Grants and Cooperative Agreements effective December 26, 2014, 79 Fed. Reg. 78,390. The Pre-Award Notice may be accessed at the Government Printing Office (GPO) website at <http://www.gpo.gov/fdsys/pkg/FR-2014-12-30/pdf/2014-30297.pdf>.

## **3. Reporting**

- a. All recipients are required to submit financial, performance, and impact reports in accordance with the terms and conditions of the grant award, generally no less than semi-annually. All project progress and financial reports must be submitted to the applicable EDA program officer in an electronic format to be determined at the time of award.
- b. The Federal Funding Accountability and Transparency Act of 2006 includes a requirement for awardees of applicable Federal grants to report information about first-tier subawards<sup>24</sup> and executive compensation under Federal assistance

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<sup>24</sup> A first-tier subaward means an award provided by the recipient to a subrecipient for the subrecipient to carry out as part of a Federal award.

awards issued in FY 2011 or later. All awardees of applicable grants and cooperative agreements are required to report to the Federal Subaward Reporting System (FSRS) available at [www.FSRS.gov](http://www.FSRS.gov) on all sub-awards over \$25,000. Please see the OMB guidance published at 2 C.F.R. part 170 (2015), which can be accessed at <http://www.gpo.gov/fdsys/pkg/CFR-2015-title2-vol1/pdf/CFR-2015-title2-vol1-part170.pdf>.

- c. EDA may require additional data on activities, outputs, and actual impact of the funded investment, pursuant to the Government Performance and Results Act (GPRA), as well as specified under the specific terms and conditions of the EDA grant award. For example, recipients may be expected to continuously track their engagement activities within the scope of work, other beneficiaries, and project-related stakeholders. They may also be expected to collect data on the outputs and impacts of their activities, such as, for example, the number of beneficiary strategic plans developed, the number of new business partnerships formed, or new capabilities acquired using surveys of beneficiaries or clients if necessary. EDA will specify the data collection techniques and reporting mechanisms to be used.

## G. Federal Awarding Agency Contacts

For questions concerning this PWEAA NOFO, or more information about EDA programs, you may contact the appropriate EDA representative listed below. An EDA contact for each State is provided for PW and non-ACC EAA projects. An EDA contact for each EDA Regional Office is provided for ACC projects and environmental inquiries. Updated contact information can be found on EDA's website at <https://www.eda.gov/contact/>.

### Atlanta Regional Office

H. Philip Paradise, Jr., Regional Director  
401 West Peachtree Street, NW, Suite 1820, Atlanta, GA 30308-3510  
(404) 730-3002 Main Office  
(404) 730-3025 Fax

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404-730-3020

#### Florida

Greg Vaday  
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#### Georgia

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[jcorso@eda.gov](mailto:jcorso@eda.gov)  
404-730-3023

#### Kentucky and ACC

Bertha Partin  
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404-730-3026

**Mississippi**  
Gil Patterson  
gpatterson2@eda.gov  
404-730-3032

**North Carolina**  
Hillary Sherman  
hsherman@eda.gov  
404-730-3013

**South Carolina**  
Robin Cooley  
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803-253-3640

**Tennessee**  
Lucas Blankenship  
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404-730-3010

**Environmental Officer**  
Keith Dyche  
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404-730-3029

**Austin Regional Office**

Jorge Ayala, Regional Director  
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(512) 381-8150 Main Office  
(512) 499-0478 Fax

**Louisiana and Arkansas**  
Jason Wilson  
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512-420-7738

**South Texas**  
Robert Peche  
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512-568-7732

**New Mexico, West Texas**  
Trisha Korbas  
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720-626-1499

**Environmental Officer**  
Corey Dunn  
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512-381-8169

**Oklahoma, North Texas and ACC**  
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512-381-8168

**Chicago Regional Office**

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**Indiana, Ohio**

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**Environmental Officer and ACC**

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312-789-9750

**Denver Regional Office**

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913-894-1586

**North Dakota, South Dakota, Western Iowa**

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**Environmental Officer**

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**Philadelphia Regional Office**

Linda Cruz-Carnall, Regional Director  
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**Delaware**

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 267-687-4317

**District of Columbia, Maryland**

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 215-597-7538

**Maine, New Hampshire, Rhode Island**

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 215-316-2124

**Pennsylvania**

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 215-597-1074

**Puerto Rico, Virgin Islands**

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 215-435-2212

**Vermont**

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 215-597-1242

**Virginia**

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 215-764-0427

**West Virginia and ACC**

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 304-533-4497

**Environmental Officer**

Megan Coll  
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 215-597-8795

**Seattle Regional Office**

A. Leonard Smith, Regional Director  
 Jackson Federal Building  
 915 Second Avenue, Room 1890, Seattle, WA 98174-1012  
 (206) 220-7660 Main Office  
 (206) 220-7669 Fax

**Alaska**

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**Arizona, Washington**

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 rberndt@eda.gov  
 206-220-7682

**California (Northern and Central Coast)**

Malinda Matson  
Mmatson1@eda.gov  
916-235-0088

**California (Southern and Central Valley), Nevada**

Wilfred Marshall  
Wmarshall@eda.gov  
310-348-5386

**Hawaii, Guam, Northern Mariana Islands, American Samoa, Marshall Islands, Federated States of Micronesia, Palau**

Herbert Thweatt  
hthweatt@eda.gov  
808-541-3391

**Oregon, Idaho**

Frances Sakaguchi – Acting EDR  
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206-220-7693

**Environmental Officer**

Rowena DeFato  
rdefato@eda.gov  
206-220-7703

**ACC**

Brian Parker  
BParker3@eda.gov  
206-220-7675

**H. Other Information**

**1. Right to Use Information**

DOC reserves the right to use information contained in applications submitted under this opportunity, as well as all reports and performance data submitted by recipients to undertake an evaluation of its programs, either through its staff or by hiring a third party. The applicant acknowledges and understands information and data contained in applications for financial assistance, as well as information and data contained in financial, performance, and other reports submitted by applicants, may be used by the DOC in conducting reviews and evaluations of its financial assistance programs. For this purpose, applicant information and data may be accessed, reviewed and evaluated by DOC employees, other Federal employees, Federal agents and contractors, and/or by non-Federal personnel, all of whom enter into appropriate confidentiality and nondisclosure agreements covering the use of such information. As may be provided in the terms and conditions of a specific financial assistance award, applicants are expected to support program reviews and evaluations by submitting required financial and performance information and data in an accurate and timely manner and by cooperating with DOC and external program evaluators. In accordance with 2 C.F.R. § 200.303(e), applicants must take reasonable measures to safeguard protected personally identifiable information and other confidential or sensitive personal or business information created or obtained in connection with a DOC Federal financial assistance award.

**2. Freedom of Information Act Disclosure**

The Freedom of Information Act (5 U.S.C. § 552) (FOIA) and DOC's implementing regulations at 15 C.F.R. part 4 set forth the rules and procedures to make requested material, information, and records publicly available. Unless prohibited by law and to the extent permitted

under FOIA, contents of applications submitted by applicants may be released in response to FOIA requests. In the event that an application contains information or data that the applicant deems to be confidential commercial information, that information should be identified, bracketed, and marked as “Privileged, Confidential, Commercial or Financial Information.” Based on these markings, the confidentiality of the contents of those pages will be protected to the extent permitted by law.

### **3. Notice of Government-Wide Procurement Restriction**

The general rule for Federal financial assistance is that contractors that develop draft specifications, requirements, statements of work, invitations for bids or requests for proposals are prohibited from competing for the final procurement. For instance, a professional engineer or architect who prepared the Preliminary Engineering Report for an EDA application would be excluded from bidding on the same work under the award. Under 2 C.F.R. § 200.319 and 200.317, only State recipients are expressly exempt from this prohibition. Local governments and Indian Tribes may also take advantage of the exemption in two narrow circumstances: (i) if they are required (by statute, for example) to follow the State’s procurement rules in full and without exception; or (ii) if they are required to follow a specific State procurement rule that creates an explicit conflict with the prohibition in 2 C.F.R. § 200.319(a) (i.e., there is a statute that requires or permits the local government or Indian Tribe to award the final procurement to the same contractor that developed the draft specifications). Absent one of these two scenarios, the local government or Indian Tribe must comply with the prohibition. Applicants are encouraged to contact the EDA representative listed for their applicable State in Section G of this PWEAA NOFO with any questions regarding application of this regulation.

### **4. Past Performance and Non-Compliance with Award Provisions**

Unsatisfactory performance under prior Federal awards may result in an application not being considered for funding. Failure to comply with any or all of the provisions of an award may have a negative impact on future funding by the DOC (or any of its operating units) may be considered grounds for any or all of the following actions: (1) establishing an account receivable; (2) withholding payments to the recipient under any DOC award(s); (3) changing the method of payment from advance to reimbursement only; (4) imposing other specific award conditions; (5) suspending any active DOC award(s); and (6) terminating any active DOC award(s).

### **5. Restrictions Governing Making Grants to Corporations Convicted of Federal Felony and Federal Criminal Tax Violations, Unpaid Federal Tax Assessments, and Delinquent Federal Tax Returns**

In accordance with current Federal appropriations law, execution by an applicant of the Certification Regarding Federal Felony and Federal Criminal Tax Convictions, Unpaid Federal Tax Assessments and Delinquent Federal Tax Returns (see Attachment 1) will be required in a format requested by EDA before any award will be made under this PWEAA NOFO.

Specifically, if an applicant is a corporation as defined in the Certification, it is required to sign and return the Attachment 1, Part I Certification. In addition, all applicants applying for financial assistance awards in excess of \$5 million are required to sign the Attachment 1, Part II

certification. The applicant will be required to submit these certifications, signed by its AOR, after being contacted by EDA that the IRC has recommended its application as described in Section E.1 of this PWEAA NOFO.

## **6. EDA's Non-Relocation Policy**

**Should an application be selected for award, the recipient will be required to adhere to a specific award condition relating to EDA's non-relocation policy as follows:**

In signing this award of financial assistance, Recipient(s) attests that EDA funding is not intended by the Recipient to assist its efforts to induce the relocation of existing jobs within the U.S. that are located outside of its jurisdiction to within its jurisdiction in competition with other U.S. jurisdictions for those same jobs. In the event that EDA determines that its assistance was used for those purposes, EDA retains the right to pursue appropriate enforcement action in accord with the Standard Terms and Conditions of the Award, including suspension of disbursements and termination of the award for convenience or material noncompliance, which may include the establishment of a debt requiring the Recipient to reimburse EDA.

For purposes of ensuring that EDA assistance will not be used to merely transfer jobs from one location in the United States to another, each applicant must inform EDA of all employers that constitute primary beneficiaries of the project assisted by EDA. EDA will consider an employer to be a "primary beneficiary" if: (i) the employer is specifically named in the application as benefitting from the project, and the applicant estimates that the employer will create or save 100 or more permanent jobs as a result of the investment assistance (if the jobs in question were originally located in a smaller community, EDA may extend this policy to the relocation of 50 or more jobs); or (ii) the employer is or will be located in an EDA-assisted building, port, facility, or industrial, commercial, or business park constructed or improved in whole or in part with investment assistance prior to EDA's final disbursement of funds.

## **7. Audit Requirements**

Single or program-specific audits shall be performed in accordance with the requirements contained in the Uniform Guidance (see 2 C.F.R. part 200, Subpart F, "Audit Requirements"). The Uniform Guidance requires any non-Federal entity (i.e., non-profit organizations, including non-profit institutions of higher education and hospitals, States, local governments, and Indian Tribes) that expends Federal awards of \$750,000 or more in the recipient's fiscal year to conduct a single or program-specific audit in accordance with the requirements set out in the OMB Uniform Guidance.

## **8. Implementing the Americans with Disabilities Act (ADA)**

The U.S. Department of Justice has issued revised regulations implementing Title II of the ADA (28 C.F.R. Part 35; 75 Fed. Reg. 56,164 (Sep. 15, 2010), as amended by 76 Fed. Reg. 13,285 (Mar. 11, 2011)) and Title III of the ADA (28 C.F.R. Part 36; 75 Fed. Reg. 56,236 (Sep. 15, 2010), as amended by 76 Fed. Reg. 13,286 (Mar. 11, 2011)).



## I. Instructions for Application Submission via Grants.gov

**Register early and submit early.** In order to submit an application through Grants.gov, an applicant must register for a Grants.gov user ID and password. Note that this process can take between three to five business days or as long as four weeks if all steps are not completed correctly. To avoid delays, EDA strongly recommends that applicants start this process as soon as possible before applying. Information about the Grants.gov registration process for organizations can be found at <http://www.grants.gov/web/grants/applicants/organization-registration.html>. Please note that organizations already registered with Grants.gov do not need to re-register; however, all registered organizations must keep their registration for SAM, which includes the CCR database, up-to-date through sam.gov or their applications will not be accepted by Grants.gov.

**Authorized Organizational Representative (AOR) requirement.** Applicants must register as organizations, not as individuals. As part of the registration process, you will register at least one AOR for your organization. AORs registered at Grants.gov are the only officials with the authority to submit applications at Grants.gov, so please ensure that your organization's application is submitted by an AOR. If the application is submitted by anyone other than your organization's AOR, it will be rejected by the Grants.gov system and cannot be considered by EDA. Note that a given organization may designate multiple individuals as AORs for Grants.gov purposes.

The most up-to-date instructions for application submission via Grants.gov can be found at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>. In order to begin, complete, and submit your application:

- Navigate to <https://www.grants.gov/web/grants/applicants/workspace-overview.html>;
- Click "Get Application Package";
- In "Funding Opportunity Number" field, enter "PWEAA2020";
- Click "Search";
- Under the "Actions" column, click the "Apply" link that corresponds with this opportunity;
- Enter your email address (if you would like to receive updates from Grants.gov regarding this grant opportunity) or check the box that indicates you do not wish to provide it, then click "Submit";
- Choose to apply using Workspace by clicking "Login to Apply Now";
- Follow the instructions provided on the Grants.gov website and on each webpage to complete and submit your application;
- For detailed step-by-step guidance on how to create a workspace, an application, and submit a workspace package, see the Grants.gov Online User Guide. Navigate to [www.grants.gov](http://www.grants.gov) and select "Apply for a Grant with Workspace" located in the banner or see <https://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Applicants%2FGrantApplications.htm>.

**Field limitations and special characters.** Please be advised that [Grants.gov](https://www.Grants.gov) provides the following notice with respect to form field limitations and special characters:

**Are there restrictions on file names for any attachment I include with my application?**

Please limit file names to 50 characters and do not use special characters (example: &, -, \*, %/, #) in attachment names and application form fields (including periods (.), blank spaces and accent marks) or attach documents with the same name. An underscore (example: my\_Attached\_File.pdf) may be used to separate a file name. Please note that if these guidelines are not followed, your application may be rejected.

**What kind of information can be entered into form fields within my application?**

Grants.gov applications offer fields to enter a set amount of data. When the limit is reached for a certain field, you will no longer be able to enter data into that field. For every form, there are different limitations to the data that you are allowed to enter (this varies between agency and form). Refer to the agency instructions available for download with the application for more detail.

Do not use special characters (example: &, -, \*, %/, #) within the application form fields including periods (.), blank spaces and accent marks; an underscore may be used. Please note that if these guidelines are not followed, your application may be rejected.

In EDA's experience, use of apostrophes (') in file names and fillable fields of required forms has resulted in application submission issues. Accordingly, please periodically check the status of your application to make sure it has been validated, and use file naming conventions that do not negatively affect your application submission.

If a response exceeds the field limit requirements of any form, including Form ED-900, the applicant is advised to include the response as an attachment to the application. The applicant should check the 'Attachments' box under 'Optional Documents for Submission' in the application, and clearly indicate in the form field that the information is included as an electronic file.

**Verify That Your Submission Was Successful.** Applicants should save and print written proof of an electronic submission made at Grants.gov. Applicants can expect to receive multiple emails regarding the status of their submission. Since email communication can be unreliable, applicants must proactively check on the status of their application if they do not receive email notifications within a day of submission.

An applicant should expect to receive two initial emails from Grants.gov: the first will confirm receipt of the application, and the second will indicate that the application has either been successfully validated by the system before transmission to EDA or has been rejected due to errors. Applicants should be aware that it may take up to two business days after Grants.gov receives an application for applicants to receive email notification of an error. Applicants will receive a third email once EDA has retrieved their application.

EDA requests applicants refrain from submitting multiple copies of the same application. Applicants should save and print both the confirmation screen provided on the Grants.gov website after the applicant has submitted an application and the confirmation email sent by Grants.gov when the application has been successfully received and validated in the system. If an applicant receives an email from Grants.gov indicating the application was received and subsequently validated, but does not receive an email from Grants.gov indicating that EDA has retrieved the application within 72 hours of that email, the applicant may contact the appropriate EDA representative listed in Section G of this announcement to inquire if EDA is in receipt of the applicant's submission.

It is the applicant's responsibility to verify that its submission was timely received and validated successfully at Grants.gov. To see the date and time your application was received, log on to Grants.gov and click on the "Track My Application" link from the left-hand menu. For a successful submission, the application must be received and validated by Grants.gov, and an agency tracking number assigned. If your application has a status of "Received," it is awaiting validation by Grants.gov and has not yet been received by EDA. Once validation is complete, the status will change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," an application has not been received successfully. For more detailed information on why an application may be rejected, please see "Encountering Error Messages" at <https://www.grants.gov/applicants/encountering-error-messages.html> and "Frequently Asked Questions by Applicants" at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html>.

**Grants.gov systems issues.** If you experience a Grants.gov systems issue (i.e., a technical problem or glitch with the Grants.gov website) that you believe threatens your ability to complete a submission before a deadline, please (i) print any error message received; (ii) call the Grants.gov Contact Center at (800) 518-4726 for immediate assistance; and (iii) contact EDA using the contact information in Section G. of this PWEAA NOFO. Applicants should obtain a case number regarding their communications with Grants.gov. Please note that problems with an applicant's computer system or equipment are **not** considered systems issues. Similarly, an applicant's failure to, e.g., (i) complete the required registration, (ii) ensure that a registered AOR submits the application, or (iii) notice receipt of an email message from Grants.gov are **not** considered systems issues. A Grants.gov systems issue is an issue occurring in connection with the operations of Grants.gov itself, such as the temporary loss of service by Grants.gov due to unexpected volume of traffic or failure of information technology systems, both of which are highly unlikely. In the event of a confirmed systems issue, EDA reserves the right to accept an application in an alternate format.

Applicants should access the following link for assistance in navigating Grants.gov and for a list of useful resources: <http://www.grants.gov/web/grants/support.html>. The following link lists "Frequently Asked Questions by Applicants": <https://www.grants.gov/web/grants/applicants/applicant-faqs.html>. If you do not find an answer to your question there, contact Grants.gov by email at [support@grants.gov](mailto:support@grants.gov) or telephone at (800) 518-4726. The Grants.gov Contact Center is open 24 hours a day, seven days a week, except on Federal holidays.

## **Attachment 1. Certifications Regarding Federal Felony and Federal Criminal Tax Convictions, Unpaid Federal Tax Assessments and Delinquent Federal Tax Returns**

As discussed in Part I and Part II below, current Federal appropriations law contains certain funding prohibitions and certification requirements applicable to financial assistance awards issued with appropriated funds. Based on these requirements, DOC requires the following certifications from prospective financial assistance award recipients (also referred to below as applicants):

### **PART I-Certifications from Corporations**

None of the appropriated funds made available by relevant appropriations Acts may be used to issue a financial assistance to any corporation that:

- (a) Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, unless a Federal agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government; and/or
- (b) Has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, unless a Federal agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government.

For purposes of the below certification, a corporation is defined as an entity that has filed articles of incorporation in one of the fifty States, the District of Columbia, or the various territories of the United States or associated independent republics including American Samoa, Federated States of Micronesia, Guam, Midway Islands, Northern Mariana Islands, Puerto Rico, Republic of Palau, Republic of the Marshall Islands, and the U.S. Virgin Islands. (Note that this includes both for-profit and non-profit organizations.)

The below certification is required for all new financial assistance awards and for all amendments to existing financial assistance awards, that are made to corporations (as defined above) and that are funded with appropriated funds made available to the Department of Commerce pursuant to relevant appropriations Acts. This certification is further required to the extent that other appropriation Acts contain the same or substantively similar prohibitions against the issuance of financial assistance awards to certain corporations.

**Instructions:** All recipients that are corporations (as defined above) must complete paragraphs (1) and (2) below, which must be signed below by an authorized representative of the corporation. Recipients that are not corporations are not required to complete this representation.

(1) \_\_\_\_\_ [insert name of corporation] certifies that it is  is not  (check one) a corporation that was convicted of a felony criminal violation under a Federal law within the 24 months preceding the signature date of this Representation.

(2) \_\_\_\_\_ [insert name of corporation] certifies that it is  is not  (check one) a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

By: \_\_\_\_\_  
[Typed name and title of the signing individual]  
[Typed phone number of the signing individual]  
[Typed email address of the signing individual]

Date: \_\_\_\_\_

### **PART II-Certifications for Awards Over \$5 Million**

For financial assistance awards in excess of \$5 million, the Department of Commerce is required to obtain written certification from all recipients that:

- (a) To the best of its knowledge and belief, the recipient has filed all Federal tax returns required during the three years preceding the certification;
- (b) The recipient has not been convicted of a criminal offense under the Internal Revenue Code of 1986; and/or
- (c) The recipient has not, more than 90 days prior to certification, been notified of any unpaid Federal tax assessment for which the liability remains unsatisfied, unless the assessment is the subject of an installment agreement or offer in compromise that has been approved by the Internal Revenue Service and is not in default, or the assessment is the subject of a non-frivolous administrative or judicial proceeding.

The below certification is required from all recipients receiving financial assistance awards in excess of \$5 million and funded with applicable appropriations. This certification is further required to the extent that other appropriation acts contain the same or substantively similar prohibitions against the issuance of financial assistance to certain recipients of financial assistance awards in excess of \$5 million.

Instructions: All applicants receiving financial assistance awards in excess of \$5 million and funded with applicable appropriations must complete paragraphs (1), (2) and (3) below, which must be signed below by an authorized representative of the applicant.

(1) \_\_\_\_\_ [insert name of applicant] certifies that it has  has not  (check one) filed all Federal tax returns required during the three years preceding this certification;

(2) \_\_\_\_\_ [insert name of applicant] certifies that it has  has not  (check one) been convicted of a criminal offense under the Internal Revenue Code of 1986, as amended; and/or

(3) \_\_\_\_\_ [insert name of applicant] certifies that it has  has not  (check one) been notified, more than 90 days prior to this certification, of any Federal tax assessment for which liability remains unsatisfied, unless the assessment is the subject of an installment agreement or offer in compromise that has been approved by the Internal Revenue Service and is not in default, or the assessment is the subject of a non-frivolous administrative or judicial proceeding.

By: \_\_\_\_\_  
*[Typed name and title of the signing individual]*  
*[Typed phone number of the signing individual]*  
*[Typed email address of the signing individual]*

Date: \_\_\_\_\_

**Addendum to the FY 2020 Public Works and Economic Adjustment Assistance  
Notice of Funding Opportunity (FY20 PWEAA NOFO)  
for the Economic Development Administration’s (EDA)’s Coronavirus Aid, Relief, and Economic  
Security Act (CARES Act) Recovery Assistance**

EDA’s CARES Act Recovery Assistance is an agency effort to assist communities impacted by the coronavirus pandemic.<sup>1</sup> The pandemic has caused, and will continue to cause, economic injury to U.S. regions and communities in devastating and unprecedented ways.

EDA’s CARES Act Recovery Assistance is designed to provide a wide-range of financial assistance to communities and regions as they respond to, and recover from, the impacts of the coronavirus pandemic. Under this announcement, EDA solicits applications under the authority of its Economic Adjustment Assistance (EAA) program, which is intended to be flexible and responsive to the economic development needs and priorities of local and regional stakeholders.

Through the EAA program, EDA provides investments that support a wide range of non-construction and construction activities, including Revolving Loan Funds, in regions experiencing severe economic dislocations, such as those brought about by the coronavirus pandemic. As part of CARES Act Recovery Assistance, EDA will also fund projects that qualify for EAA funding but are similar to the kinds of projects funded under other EDA programs, such as Public Works, Research and National Technical Assistance, Planning, Local Technical Assistance, University Centers, and Build to Scale (formerly Regional Innovation Strategies (RIS)).<sup>2</sup> In addition to projects with a regional focus, EDA anticipates making awards for projects of national scope as part of this funding opportunity.

In general, except as discussed below, EDA’s CARES Act Recovery Assistance serves as an addendum to and follows the same rules as the FY 2020 Public Works and Economic Adjustment Assistance Notice of Funding Opportunity (FY20 PWEAA NOFO) (link below). For more information, please see EDA’s website at <https://www.eda.gov/programs/eda-programs/> or contact the EDA representative for your region who can be found at <https://www.eda.gov/contact/>.

**Funding Availability**

The CARES Act (P.L. 116-136) provided EDA with \$1,500,000,000, to remain available until September 30, 2022, to “prevent, prepare for, and respond to coronavirus, ... including for necessary expenses for responding to economic injury as a result of coronavirus.” EDA intends to make these funds available through the EAA program using the existing procedures specified in the FY20 PWEAA NOFO (link below).<sup>3</sup> Under the EDA’s CARES Act Recovery Assistance addendum, EDA expects on a case-by-case basis to receive applications that exceed the historical averages described in section B.1 of the FY20 PWEAA NOFO.

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<sup>1</sup> Section 23005 of the CARES Act, Pub. L. 116-136 (March 27, 2020), defines “coronavirus” as “SARS-CoV-2 or another coronavirus with pandemic potential.”

<sup>2</sup> Only applicants who are eligible to receive funding under the Economic Adjustment Assistance program are eligible to receive grants under EDA’s CARES Act Recovery Assistance. EDA will work to ensure that its funding is not duplicative of other Federal assistance through grant conditions and certifications by applicants as well as recipients of RLF loans.

<sup>3</sup> To expedite funding to affected communities and regions, EDA may invite existing or past grantees, such as Economic Development Districts currently in receipt of Partnership Planning awards, operators of existing EDA-funded Revolving Loan Funds, and EDA-funded University Centers, to apply using specific procedures. EDA will independently contact such grantees with instructions.

EDA has allocated \$1,467,000,000<sup>4</sup> in supplemental program funds among its offices as follows:

Atlanta Regional Office – \$248,000,000  
Austin Regional Office – \$236,000,000  
Chicago Regional Office – \$225,000,000  
Denver Regional Office – \$193,000,000  
Philadelphia Regional Office – \$259,000,000  
Seattle Regional Office – \$266,000,000  
Headquarters – \$40,000,000

**Note: When appropriate, EDA may exercise its discretion to adjust the allocations to its offices based on its experience in administering the supplemental appropriations to ensure funds are used to maximum effect, or to adjust to unforeseen changes in recovery efforts.**

### **Eligible Applicants**

Eligible applicants under the EAA program include a(n):

- a. District Organization;
- b. Indian Tribe or a consortium of Indian Tribes;
- c. State, county, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions;
- d. Institution of higher education or a consortium of institutions of higher education; or
- e. Public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State.

### **EAA Program and Application Requirements for EDA’s CARES Act Recovery Assistance**

The following EAA program requirements are specific to EDA’s CARES Act Recovery Assistance. This is an addendum to the FY20 PWEAA NOFO (link below), and unless otherwise stated below, the requirements of the FY20 PWEAA NOFO apply. Please see the FY20 PWEAA NOFO for information on other EAA program requirements, award information, and the content and form of application submissions.

#### CARES Act Recovery Assistance Projects

Successful applications will enable affected communities to respond to the impacts of the coronavirus pandemic by supporting affected businesses and communities, including by providing technical assistance to retain existing and hire new employees; by providing a range of skills-training and workforce development projects to help employees compete for high-quality jobs; and by developing and implementing strategies to diversify regional economies to create jobs in new or existing industries. EAA investments are designed to help communities catalyze public-private partnerships to foster collaboration, attract investment, create jobs, and foster economic resiliency and prosperity. Examples of projects that may be funded through CARES Act Recovery Assistance include economic recovery planning and preparing technical strategies to address economic dislocations caused by the coronavirus pandemic,

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<sup>4</sup> Congress authorized up to \$30,000,000 to cover EDA’s administrative and oversight activities related to these awards and a transfer of \$3,000,000 to the Department of Commerce’s Office of the Inspector General for related investigations and audits.



preparing or updating resiliency plans to respond to future pandemics, implementing entrepreneurial support programs to diversify economies, and constructing public works and facilities that will support economic recovery, including the deployment of broadband for purposes including supporting telehealth and remote learning for job skills.

#### Economic Distress Criteria and Special Need; Pandemic Response Requirement

Section C.3. of the FY20 PWEAA NOFO (starting on pg. 13) sets out the economic distress criteria for the EAA program, including “Special Need” criteria. EDA has determined that economic injury from the coronavirus pandemic constitutes a “Special Need,” and eligibility may be established on that basis without reference to the other economic distress criteria specified in the FY20 PWEAA NOFO. This determination of nationwide eligibility for these funds is consistent with the President’s March 13, 2020 [\*Proclamation on Declaring a National Emergency Concerning the Novel Coronavirus Disease \(COVID-19\) Outbreak\*](#) that established a national emergency for all states, tribes, territories, local governments, and the District of Columbia (<https://www.fema.gov/news-release/2020/03/13/covid-19-emergency-declaration>).

To be eligible for funding under EDA’s CARES Act Recovery Assistance, applicants must explain clearly in their application how the proposed project would “prevent, prepare for, and respond to coronavirus” or respond to “economic injury as a result of coronavirus.” This explanation is required to assist reviewers in understanding how a proposed project aligns with the goals of EDA’s CARES Act Recovery Assistance. For example, if Smith County has experienced significant small business closures as a result of the pandemic, Smith County must demonstrate how the project addresses small business recovery and resilience priorities and objectives established under a Comprehensive Economic Development Strategy (CEDS) or other strategy acceptable to EDA (see below for information on strategy requirements). Projects that consider economic recovery in general must address the direct consequences of the coronavirus pandemic itself and how the project will contribute the community’s’ recovery and resiliency. **The extent to which a proposed project responds to needs caused by the coronavirus pandemic is one factor that EDA will consider when evaluating applications for funding.**

#### Cost Sharing or Matching

Section C.2. of the FY20 PWEAA NOFO (starting on pg. 11) sets out the cost sharing requirements for EDA projects. For EDA’s CARES Act Recovery Assistance, given the extent of the economic impact and in accordance with the agency’s statutory authority under Section 703 of the Public Works and Economic Development Act of 1965 (PWEDA) (42 U.S.C. § 3233), EDA generally expects to fund at least 80%, and up to 100%, of eligible project costs. In determining whether to fund a project’s Federal share above 80%, EDA’s Grants Officers in the applicable Regional Office will consider on a case-by-case basis whether the circumstances of the proposed project warrant a Federal share in excess of 80%, including whether the applicant has exhausted its effective taxing or borrowing capacity, the extent of the impact of the coronavirus pandemic on the region, or whether the region meets other thresholds for elevated need based on the relative economic distress of the region. Additionally, EDA may establish a maximum investment rate of up to 100% for projects of Indian Tribes. Any portion of the costs for the EDA scope of work funded below 100% must be borne by the recipient or provided to the recipient by a third party as a contribution for the purposes of and subject to the terms of the award.

The applicant is responsible for demonstrating to EDA that a grant rate above 80% is justified by providing statistics and other appropriate information on the nature and level of economic distress in the

region, including information regarding other recovery-related needs facing the region and the level of resources available to address those needs.

#### Comprehensive Economic Development Strategy (CEDS) Requirements

Except for a “Strategy Grant” to develop, update, or refine a CEDS, each project must be consistent with the region’s current CEDS or equivalent EDA-accepted regional economic development strategy that meets EDA’s CEDS or strategy requirements. Please see Section A.3. of the FY20 PWEAA NOFO (starting on pg. 5) for more information on CEDS requirements. In addition, in accordance with 13 CFR § 303.7(c)(1), in certain circumstances EDA may accept a non-EDA-funded CEDS that does not contain all the elements EDA requires of a CEDS.<sup>5</sup>

#### Application Information, Review and Selection Process, and Link to FY20 PWEAA NOFO

**Applications are accepted on a rolling basis.** Unless otherwise directed by EDA, all applicants for CARES Act Recovery Assistance must follow instructions included within the FY20 PWEAA NOFO, which can be found on:

<https://www.grants.gov/web/grants/view-opportunity.html?oppId=321695>. As necessary, each EDA Regional Office will periodically convene investment review committees (IRCs) that consist of at least three EDA staff members. After EDA determines an application is complete, it will be reviewed by the IRC, which will make a recommendation to the Grants Officer regarding funding.<sup>6</sup>

Along with other controlling law, EDA’s CARES Act Recovery Assistance awards will be governed by the Uniform Administrative Requirements, Cost Principles, and Audit Requirements as set forth in 2 C.F.R. part 200. For additional information, please contact the EDA representative for your region who can be found at <https://www.eda.gov/contact/>. Applicants should note that the Office of Management and Budget (OMB) has provided flexibility with respect to System of Award Management (SAM) registration at the time of application; however, at the time of award, the requirements of 2 C.F.R. § 200.205, *Federal awarding agency review of risk posed by applicants*, will continue to apply, including the requirement for SAM registration. In addition, current registrants in SAM with active registrations that expire before May 16, 2020 will be afforded an automatic one-time extension of 60 days.

#### **Instructions for Applicants:**

- Download the FY20 PWEAA Notice of Funding Opportunity (NOFO) and application package from <https://www.grants.gov/web/grants/view-opportunity.html?oppId=321695>.
- In Form ED-900, section B.3.b., include a description of the economic impacts in the region from the coronavirus pandemic and describe how the proposed project scope of work will respond to those impacts and support pandemic recovery and resilience efforts. Applicants may also provide a separate narrative statement, not to exceed one page in length, of the economic impacts in the region from the coronavirus pandemic and how the proposed project scope of work responds to those impacts.
- Additionally, in Form ED-900, section B.6, explain how the proposed project would meet EDA’s Recovery and Resilience investment priority, which all CARES Act Recovery Assistance projects are expected to meet. You may also explain in this space how the proposed projects will meet any of EDA’s other investment priorities.

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<sup>5</sup> In doing so, EDA shall consider the circumstances surrounding the application for Investment Assistance, including emergencies or natural disasters and the fulfillment of the requirements of section 302 of PWEDA.

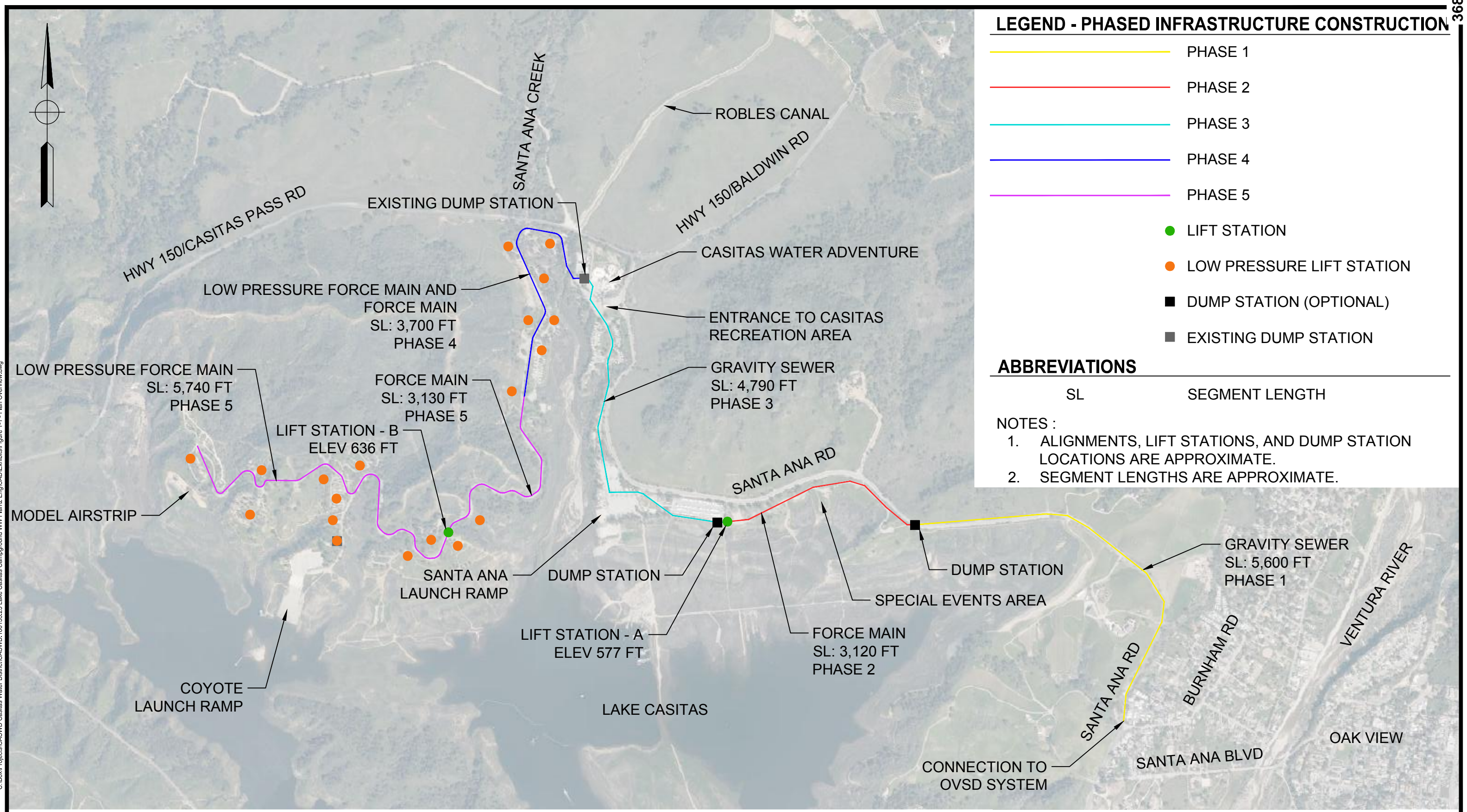
<sup>6</sup> See 13 C.F.R. § 302.2 (“When non-statutory EDA administrative or procedural conditions for Investment Assistance awards under PWEDA cannot be met by an Eligible Applicant as the result of a disaster, EDA may waive such conditions.”).

### Consultation with Regional Office

As with all EDA funding opportunities, prospective applicants are strongly encouraged to contact their applicable EDA Regional Office representatives to discuss their needs and project plans to help further refine the scope and intended outcomes of proposed projects. Prospective applicants can find current contact information for EDA Regional Office staff at <https://www.eda.gov/contact/>.



C:\Box\Projects\CASWD\Casitas Water District\CASWD\_180153\_23\_Lake Casitas Campground WW Plan2 Ego\CAD\Exhibits\Figure 1-1 - Plan Overview.dwg



**LEGEND - PHASED INFRASTRUCTURE CONSTRUCTION**

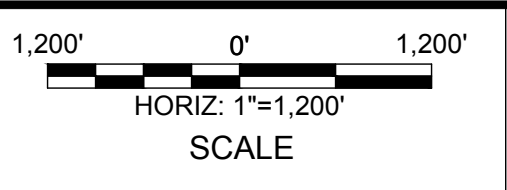
- PHASE 1
- PHASE 2
- PHASE 3
- PHASE 4
- PHASE 5
- LIFT STATION
- LOW PRESSURE LIFT STATION
- DUMP STATION (OPTIONAL)
- EXISTING DUMP STATION

**ABBREVIATIONS**

- | SL  | SEGMENT LENGTH |
|---|----------------|
| NOTES :   |                |
| 1. ALIGNMENTS, LIFT STATIONS, AND DUMP STATION LOCATIONS ARE APPROXIMATE. |                |
| 2. SEGMENT LENGTHS ARE APPROXIMATE.                                       |                |



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**CASITAS MUNICIPAL WATER DISTRICT  
LAKE CASITAS RECREATIONAL AREA CAMPGROUND  
SEWER IMPLEMENTATION PLAN  
WASTEWATER COLLECTION SYSTEM - OVERVIEW**

**FIGURE  
1-1**

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**MARCH 2021**

**Revised June 2021. Please check EDA’s website before using this template to confirm that you are using the latest version. As of the date of this version, the current template can be found at the bottom of the “Funding Opportunities” page at EDA.gov.**

### **Environmental Narrative Requirements**

The National Environmental Policy Act (NEPA) requires Federal agencies to assess the potential environmental impacts associated with proposed federal actions, including financial assistance.

Applicants are encouraged to contact their designated Economic Development Representative or the applicable EDA Regional Environmental Officer with questions regarding this template and/or the appropriate level of documentation (please see the EDA website or the applicable Federal Funding Opportunity for contact information). Resources of available information are listed in many of the sections. If you are using a locally saved copy of this template, please check EDA’s website to confirm this is the current version.

For further information regarding EDA’s obligations under NEPA, please refer to the regulations for implementing NEPA at 40 C.F.R. 1500-1508. The Council on Environmental Quality’s 2007 guidance document “A Citizen’s Guide to the NEPA” is another resource available online.

Several issues discussed in the environmental narrative below may require consultation with other State or Federal agencies at a later date (for example, the State Historic Preservation Office, the U.S. Fish and Wildlife Service, or the National Oceanic and Atmospheric Administration’s (NOAA) National Marine Fisheries Service (NMFS)). While EDA does not require that applicants complete such consultations before submitting an initial application, applicants should be aware that in the event their project is selected for further evaluation for funding, EDA may delegate these consultations to the applicant and expect them to be completed in an expeditious manner and prior to approval of an award.

**Applicants must provide information on the following items in the environmental narrative. For any area in which the applicant asserts that an item is not applicable to a project, provide an explanation.**

#### **A. PROJECT DESCRIPTION**

##### **1. Beneficiaries**

Identify any existing businesses or major developments that will benefit from the proposed project, and those that will expand or locate in the area because of the project.

##### **2. Proposed Construction**

As an exhibit to this Narrative, provide a topographical map of the project area and a site map (with legend and north arrow) displaying the project location and boundaries, existing and proposed project components and location of all sites and/or companies benefitting from the proposed project. The documents should be of sufficient clarity for adequate interpretation of the Applicant’s intentions.

Describe the project construction components in detailed, quantifiable terms. Describe the project location, proposed construction activities (e.g., grading, trenching), and schedule. **It is sufficient to simply reference the Preliminary Engineering Report (PER) here if a PER containing this information has been submitted or will be submitted concurrently.** See the mock example below for the level of specificity expected by EDA:

*The City of \_\_\_\_\_ is proposing to construct a 30-inch (in) water line which would be constructed within an existing 50-foot City of \_\_\_\_\_ right-of-way (ROW) and measure 1,220 linear feet (lf). The project is located within Township 39N, Range 10E, Section 24 in the City of \_\_\_\_\_, \_\_\_\_\_ County, [[[State]]]. The project would be constructed over a three-month period from April June 2011. Construction of this project would entail trenching a 1 ft wide by 3 ft. deep ditch and installing the 30-in. pipe within the existing ROW. Total land disturbance will be 2.1 acres. The construction staging area would be located entirely within the existing ROW. Minor maintenance would occur during the operation of the waterline, but would not entail any ground disturbing activities.*

**3. Need and Purpose**

Provide a brief summary of the underlying need and purpose of the proposal for EDA funding.

**4. Alternatives to the Proposed Project**

Based in the Need and Purpose summary above, provide a detailed description of alternative actions that were considered during the project planning but were not selected (e.g., alternative locations, designs, scopes, other projects having similar benefits, and a “no project” alternative). Explain why this project/site was selected as the preferred alternative. Provide detail on why other alternatives were rejected (e.g. did not meet the purpose and need of the project, implicated more environmental receptors, had greater climate impacts or were at greater risk to climate change than the proposed action). If the selected project would impact wetlands or floodplains, please provide a detailed description of alternatives to those proposed impacts.

**B. HISTORIC/ARCHEOLOGICAL RESOURCES**

Identify any known historic/archeological resources within the project site(s) or area of potential effect that are either listed on the National Register of Historic Places or considered to be of local or State significance and perhaps eligible for listing on the National Register. In many states, the State Historic Preservation Office (SHPO) maintains GIS databases of historic properties and cultural resources. Delineate an Area of Potential Effect (APE) for the project. The APE is the geographic area or areas within which a proposal may cause changes in the character or use of historic properties, which would include (but is not limited to) any new development or renovation by the beneficiary facilitated by the proposed EDA project. Discuss the potential impacts of the project on culturally significant resources and provide a determination as to whether there will be: no historical properties/cultural resources present; no historical properties/cultural resources adversely affected; or historical properties/cultural resources adversely affected.

**Note that the applicant is not required to contact the SHPO until directed to do so by EDA.** If comments from the SHPO have already been received, they should be attached along with copies of the information provided to the SHPO. If you wish to initiate early consultation, please consult the website of the appropriate SHPO for instructions on required information.

**C. AFFECTED ENVIRONMENT**

For the resource areas identified below, indicate potential direct and indirect impacts from proposed project activities and specify proposed measures to mitigate probable impacts. Direct impacts are caused by the proposed action and occur at the same time and place. Indirect impacts are those that are caused by a proposed action, but that may occur later in time or farther removed in distance, relative to the primary impacts of the proposed action (40 C.F.R. Section 1508.8) Development induced by the proposed project would be an example of an indirect impact.



**1. Affected Area**

Describe the general project area, including topography, historic land usages, unique geological features, and economic history. Provide site photographs if available. Identify native vegetation and wildlife found in the project area or its immediate vicinity. Describe the amount and type of vegetation in the project area and indicate the impact to vegetation if removed (e.g., 1.2 acres of early successional native hardwood forest). Identify any designated State and National Parks, National Wildlife Refuges, or National Game Preserves located on or in the vicinity of the proposed project activities. Identify any Wilderness Areas, as designated or proposed under the Wilderness Act, or wild or scenic rivers, as designated or proposed under the Wild and Scenic Rivers Act, or other lands protected under state or federal law that are located on or in the vicinity of the proposed project activities.

1. Please describe any direct effects
2. Please describe any indirect effects

**2. Coastal Zones**

Indicate whether the project is located within a designated coastal zone subject to the Coastal Zone Management Act. Information on coastal zone boundaries is available on the NOAA's website. Identify any shorelines, beaches, dunes, or estuaries within or adjacent to the project site(s) and explain how the proposed project is consistent with the state's Coastal Zone Management Plan. If state concurrence is required, identify the state's Coastal Zone Management Agency.

**3. Wetlands**

Identify any wetlands within or adjacent to the project site(s). If available, provide an on-site wetland/waters delineation performed in accordance with the 1987 (or current version) USACE Wetland Delineation Manual, as amended. Provide any correspondence from USACE, including any jurisdictional determination or permit documents.

1. Provide a determination of direct and indirect effects including the amount of jurisdictional waters affected by type (e.g. 1.1 acres of palustrine emergent wetlands would be impacted by the proposed project).
2. If any wetlands would be impacted by the project, provide an analysis of alternatives to wetland impact in this section or in the Alternatives to the Project section above.
3. Describe any mitigation plans here or in Section D below.

Also indicate if there are any proposed overwater structures that could impact navigable waters as defined in 33 CFR part 329.

If wetlands, streams, or navigable waters may be impacted, it is recommended that Applicants contact USACE concerning any jurisdictional waters resources.

**4. Floodplains**

Please state whether the project is located within a mapped 100- or 500-year floodplain. Provide a FEMA floodplain map (with the map number and effective date) displaying the project location and boundaries, existing and proposed project components, and location of all sites and/or companies benefiting from the proposed project. The document should be of sufficient clarity for adequate interpretation of the applicant's intentions.

Floodplain maps can be viewed and printed from FEMA’s website. If FEMA floodplain maps do not exist in the project area, provide a letter from a Professional Engineer regarding the presence or absence of a 100-year floodplain.

- i) Describe direct and indirect effects to 100-year floodplains, if any.
- ii) If any 100-year floodplains would be impacted by the project, provide an analysis of alternatives to floodplain impact in this section or in the Alternatives to the Project section above.
- iii) Indicate whether the Applicant’s community participates in the National Flood Insurance Program.
- iv) Indicate if a critical action (e.g., emergency response facility, hospital, wastewater treatment plant) is being located within the 500-year floodplain.

## 5. **Climate Change**

Identify any current or potential risks to the project due to climate change (e.g., flooding, wildfires, sea level rise, severe weather), utilizing federal resources, including the National Climate Assessment. Describe any steps taken in the planning and design of the project to mitigate those risks, including utilizing federal resources such as the U.S. Climate Resilience Toolkit. Identify any ways in which the project may contribute to future climate risks, such as by increasing flood risks, and any potential measures for mitigating those contributions. Describe any steps taken to reduce the project’s immediate and future carbon footprint (e.g., use of renewable building materials, incorporation of energy-efficient design features).

## 6. **Endangered Species**

Provide a list of all threatened, endangered, and candidate species located in or near the project area, including any proposed development by the beneficiary, and the immediate vicinity. Identify these species’ potential or existing habitat, and critical habitat designations in the project area. Identify the potential for direct or indirect impacts on these species. Critical habitat designations, lists of protected species by county, and information on effect determinations are available on the FWS website. The FWS’ web-based Information, Planning, and Conservation System (IPaC) may also be useful for the early planning stage of a project. If an Effect Determination or Biological Assessment has been completed for any of the species listed, please provide. Attach any correspondence with FWS that exists related to their proposal. For projects with possible impacts to fisheries and marine/coastal species, provide any correspondence with NMFS.

## 7. **Land Use and Zoning**

Describe the present formal zoning designation and current land use of the project site and adjacent land parcels. The areas include: the site of construction activities, adjacent areas, and areas affected by the primary beneficiaries. Land uses to be considered include, but are not limited to, industrial, commercial, residential, agriculture, recreational, woodlands, mines/quarries, and open spaces. Please indicate whether the project is located entirely within a city limit. Identify agriculture land parcels designated as “prime/unique agriculture lands” by the U.S. Department of Agriculture (USDA) under the Federal Farmlands Protection Act or a local equivalent. Additional information may be found at the USDA’s Natural Resources Conservation Service website.



**8. Solid Waste Management**

Indicate the types and quantities of solid wastes to be produced by the project facilities and primary beneficiary. Describe local solid waste collection and disposal methods and the expected useful life of the disposal facility. Indicate if recycling or resource recovery programs are currently being used or will be used in the future.

**9. Hazardous or Toxic Substances**

Describe any toxic, hazardous, or radioactive substances that will be utilized or produced by the proposed project facilities and primary beneficiaries. Describe the manner in which these substances would be stored, used, or disposed. Complete and sign one “Applicant Certification Clause” for each co-applicant (see Appendix A). Indicate if hazardous or toxic substances have been or must be remediated prior to construction, demolition, or renovation. If a recent Phase I or Phase II Environmental Site Assessment has been performed, please provide a copy of the executive summary (a full copy may be requested at a later date).

**10. Water Resources**

Describe surface and underground water resources at or near the proposed project site(s) and any impacts of the project to these. If groundwater will be used, is the aquifer in overdraft and /or adjudicated? If there will be discharges to surface water, is the receiving surface water body listed on the U.S. Environmental Protection Agency’s (EPA) Section 303(d) list of impaired waters? Is a National Pollution Discharge Elimination System (NPDES) permit required for any discharges to surface waters? Indicate if the proposed project is located within an area mapped by the EPA as sole source aquifer recharge area (maps and further information are available on EPA’s website). Describe any induced changes in local surface water runoff patterns, and the status of storm water discharge permit processes (if applicable).

**11. Water Supply and Distribution System**

Indicate the source, quality, and supply capacity of local domestic and industrial/commercial water resources, and the amount of water that project facilities and primary beneficiaries are expected to utilize. Note whether the water that is being supplied is in compliance with the Safe Drinking Water Act, and if not, what steps are being taken to ensure compliance.

**12. Wastewater Collection and Treatment Facilities**

Describe the wastewater treatment facilities available for processing the additional effluent including usage by the beneficiary(s). Indicate design capacities and current loading (both daily average and peak), and adequacy in terms of degree and type of treatment required. Describe all domestic class or process wastewater or other discharges associated with the proposed project facilities and its primary beneficiaries, and the expected composition and quantities to be discharged either to a municipal system or to the local environment. Indicate all discharges that will require on-site pre-treatment. Note whether the wastewater treatment plant is in violation of the Clean Water Act, and if so, what steps are being taken to ensure compliance. If local treatment and sewer systems are or will be inadequate or overloaded, describe the steps being taken for necessary improvements and their completion dates.

**13. Environmental Justice (Executive Order 12898)**

Describe whether the proposed project will result in disproportionate adverse human health or environmental impacts relative to minority and low income populations. Sufficient detail should

be provided to enable EDA to determine whether the project will comply with Executive Order 12898.

**14. Transportation (Streets, Traffic and Parking)**

Briefly describe the local street/road system serving the project site(s) and describe any new traffic patterns that may arise because of the proposed project. Indicate if land use in the vicinity, such as residential, hospital, school, or recreational, would be affected by these new traffic patterns. Indicate if any existing capacities of these transportation facilities would be exceeded as a direct or indirect result of this project implementation, particularly in terms of car and truck traffic, and what the new Level of Service designation would be.

**15. Air Quality**

Indicate types and quantities of air emissions (including odors) to be produced by the proposed project facilities **and its primary beneficiaries**, and any measures proposed to mitigate adverse impacts. Indicate the impact that the project would have on greenhouse gas emissions. Is the proposed project site within an area classified as a “non-attainment” for any criteria pollutants? If so, what are those pollutants? Indicate any local topographical or meteorological conditions that hinder the dispersal of air emissions.

**16. Noise**

Would operation of project facilities or primary beneficiaries’ facilities increase local ambient noise levels? If yes, indicate the estimated levels of increase, and the areas and sensitive receptors (e.g., residences, wildlife) to be affected.

**17. Permits**

Identify any Federal, State, or local permits of an environmental nature needed for the project (e.g., USACE, US Environmental Protection Agency (EPA), Coastal Zone Management/Shoreline Management, Air Quality, State Environmental Policy Act, NPDES) and the status of any such permits. Attach copies of any such permits and all associated correspondence, including the permit applications.

**18. Public Notification/Controversy**

Provide evidence of the community’s awareness of the project, such as newspaper articles or public notification and/or public meetings, as applicable. If a formal public hearing has been held, attach a copy of the minutes. Fully describe any public controversy or objections which have been made concerning this proposed project and discuss steps taken to resolve such objections.

**19. Cumulative Effects**

Please list projects (public and private, whether or not directly related to the proposed project described above) that have occurred or will occur in the past, present, and reasonably foreseeable future in and around the project area that could result in significant cumulative impacts when considered in aggregate with the proposed EDA project. Cumulative impacts result from the incremental impacts of a proposed action when added to other past, present and reasonable foreseeable future actions (40 C.F.R. Section 1508.7). In other words, cumulative impacts can result from individually minor but collectively significant impacts. Based on the direct and indirect impacts identified in Sections C1-18, identify which resources, ecosystems, and human

communities are affected; and which effects on these resources are important from a cumulative effects perspective.

**D. MITIGATION**

Describe methods to be employed to reduce impacts to any and all adverse impacts identified in Section C. List all mitigation measures that would be implemented to minimize impacts to environmental resources from project implementation.

**E. LIST OF ATTACHMENTS**

The following checklist is a list of required and optional attachments to the Environmental Narrative as described in the sections above. The items listed in the optional section may be required by EDA at a later date to complete the project review and selection process, so it is recommended that you provide them now if they are currently available. While the documents listed below are the most frequently required for scoping determinations, EDA reserves the right to request additional items that are not listed below when necessary.

Applicants are not required to contact other governmental agencies for environmental or historical resources consultation until directed by EDA, though any interagency coordination letters that may be currently available should be provided. **EDA expects that all Applicants whose projects are selected for further evaluation will proceed with consultations in an expeditious manner. As such, Applicants should have the required information prepared for submission immediately upon notification of selection by EDA.** If you determine prior to application that your project may affect environmental or historical resources, you may contact the appropriate Regional Environmental Officer to determine if early interagency consultation is appropriate.

Please refer to the applicable Federal Funding Opportunity for unique requirements for each individual grant competition and a list of documents required for submittal with the application.

**Checklist of Optional Environmental Documents that should be submitted with Application if available (will expedite review and selection process):**

- SHPO/THPO and Tribal leader comments and copy of submittals (see Section B)
- Site photographs (see Section C1)
- Coastal Zone consistency determination (see C2)
- Wetland delineation and/or Jurisdictional Determination (see C3)
- Preliminary wetland info (see C3)
- U.S. Army Corps of Engineers comments, Section 404 Permit, Section 10 Permit, and/or Water Quality Certification (401 approval) (see C3)
- Biological Assessment and/or survey for federally protected species (see C5)
- Correspondence with US Fish and Wildlife Service and/or National Marine Fisheries Service (see C5)
- Natural Resources Conservation Service determination of Prime Farmland, Form AD-1006, if applicable (see C6)
- Phase I and II Environmental Site Assessment (see C8)
- Sole Source Aquifer review by US Environmental Protection Agency, if applicable (see C9)
- Other federal, state and local environmental permits (see C16)
- Copies of public notices, public hearing minutes, etc. (see C17)

**Appendix A: Applicant Certification Clause**

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The applicant represents and certifies that it has used due diligence to determine that the description of the project site described herein is accurate with respect to the presence or absence of contamination from toxic and hazardous substances. The term “site” includes the entire scope of the project, including future phases of the project and all areas where construction will occur.

- 1. Is the site currently, or has it in the past 50 years, been used for any of the following operations or activities:
  - a. Generation of hazardous substances or waste?  
 Yes  No
  - b. Treatment, storage (temporary or permanent), or disposal of solid or hazardous substances or waste?  
 Yes  No
  - c. Storage of petroleum products?  
 Yes  No
  - d. Used/waste oil storage or reclamation units?  
 Yes  No
  - e. Research or testing laboratory?  
 Yes  No
  - f. Ordinance research, testing, production, use, or storage?  
 Yes  No
  - g. Chemical manufacturing or storage?  
 Yes  No
  - h. Weapons or ammunition training, use, or testing?  
 Yes  No
  - i. Iron works/foundry?  
 Yes  No
  - j. Railroad yard?  
 Yes  No
  - k. Industrial or manufacturing operation?  
 Yes  No

If any of the above operations ever occurred at the site, and if appropriate cleanup or other mitigation actions were performed in accordance with the local, State, and federal laws, please attach documentation of these actions.

**Appendix A: Applicant Certification Clause**

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2. Do wells draw from an underlying aquifer to provide the local domestic water supply?  
\_\_\_\_\_ Yes \_\_\_\_\_ No

3. Has a federal, State, or local regulatory authority ever conducted an environmental assessment, environmental impact statement, or a preliminary assessment/site inspection, or similar environmental surveyor inspection report at the site? If yes, please list here and attach copies of these reports or results.  
\_\_\_\_\_ Yes \_\_\_\_\_ No

1)

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2)

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3)

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4)

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5)

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4. Have any environmental or OSHA citations or notices of violation been issued to a facility at the site? If yes, please attach copies.  
\_\_\_\_\_ Yes \_\_\_\_\_ No

5. Have any unauthorized releases of hazardous substances occurred at any facility at the site which resulted in notification of the EPA's National Response Center?  
\_\_\_\_\_ Yes \_\_\_\_\_ No

6. Is any material containing asbestos or lead paint located at the site? If yes, please attach information concerning State and federal regulatory compliance.  
\_\_\_\_\_ Yes \_\_\_\_\_ No

7. Is there any equipment (electrical transformers, etc.) containing polychlorinated biphenyls (PCB) on the site? If yes, please attach a description of the equipment.  
\_\_\_\_\_ Yes \_\_\_\_\_ No

8. Are there underground or above ground storage tanks on the site? If yes, please attach a detailed description, including the number of underground storage tanks on the site, whether the tanks have been inspected (or removed) and the results of such inspections.  
\_\_\_\_\_ Yes \_\_\_\_\_ No

9. Has the site been tested for radon? If yes, please attach results.  
\_\_\_\_\_ Yes \_\_\_\_\_ No

**Appendix A: Applicant Certification Clause**

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10. Have there been, or are there now any environmental investigations by federal, State or local government agencies that could affect the site in question? If yes, please attach available information.

\_\_\_\_\_ Yes \_\_\_\_\_ No

The applicant acknowledges that this certification regarding hazardous substances and/or waste is a material representation of fact upon which EDA relies when making and executing an award. EDA reserves the right to terminate any award made in conjunction with the representations contained herein if, at any time during the useful life of the project, EDA becomes aware of the presence of hazardous materials or waste at the site, or that hazardous materials or waste have been inappropriately handled thereon.

Further, if it is determined at any time that the presence of hazardous materials or waste, or handling thereof, has been misrepresented, EDA may pursue other available legal remedies against the applicant.

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Applicant's Name

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Name and Title of Applicant's Authorized Representative

---

Signature of Applicant's Authorized Representative

Date



**Rincon Consultants, Inc.**

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December 2, 2021  
Project No: 21-12176

Julia Aranda, Engineering Manager  
Casitas Municipal Water District  
1055 Ventura Avenue  
Oak View, California 93022  
Via email: [jaranda@casitaswater.com](mailto:jaranda@casitaswater.com)

**Subject: Rincon Proposal to Prepare CEQA-Plus Analysis and Documentation for the Lake Casitas Sewer Project**

Dear Ms. Aranda:

Rincon Consultants, Inc. (Rincon) is pleased to submit this revised proposal to provide California Environmental Quality Act (CEQA) compliance and support services to Casitas Municipal Water District (CMWD) for the proposed Lake Casitas Recreation Area Wastewater Collection System Implementation Plan, also referred to as the Lake Casitas Sewer Project ("proposed project"). On November 12, 2021, Rincon provided a scope of work for the proposed project, which proposed that an Initial Study-Mitigated Negative Declaration (IS-MND) would be the appropriate level of CEQA documentation for the project. However, based upon communications between Rincon and CMWD, and with respect to discussion among the CMWD Board of Directors during the regularly scheduled Board meeting on November 24, 2021, this revised scope of work has been prepared to consider a reduced-effort pathway to CEQA compliance, via preparation of a Categorical Exemption (CE) for the proposed project.

Qualification of a project for a CE under CEQA is defined in Public Resources Code Section 21084, which requires the State CEQA Guidelines to include a list of classes of projects which have been determined not to have a significant effect on the environment and which shall, therefore, be exempt from the provisions of CEQA pursuant to Chapter 19, Sections 15301 through 15333 of the State CEQA Guidelines. The proposed project would implement a sewer system at the existing Lake Casitas Recreation Area, and therefore may qualify for a CE under Class 1 (Section 15301 – Existing Facilities), which allows for the "minor alteration" of existing public or private facilities, the implementation of which would involve negligible or no expansion of existing or former use. However, Section 15300.2 of the State CEQA Guidelines also stipulates that a project's qualification as exempt from CEQA is negated if the project would meet any of the Exceptions to CEQA Exemptions, as listed below.

1. The project site is environmentally sensitive as defined by the project's location. A project that is ordinarily insignificant in its impact on the environment may in a particularly sensitive environment be significant.
2. The project and successive projects of the same type in the same place will result in cumulative impacts.
3. There are "unusual circumstances" creating the reasonable possibility of significant effects.
4. The project may result in damage to scenic resources, including, but not limited to, trees, historic buildings, rock, outcroppings, or similar resources, within an officially designated scenic





highway, except with respect to improvements required as mitigation for projects for which negative declarations or EIRs have been prepared.

5. The project is located on a site that the Department of Toxic Substances Control and the Secretary of the Environmental Protection have identified, pursuant to Government Code section 65962.5, as being affected by hazardous wastes or clean-up problems.
6. The project may cause a substantial adverse change in the significance of an historical resource.

Based upon Rincon’s familiarity with the Lake Casitas Recreation Area and the existing environmental setting, it is anticipated that the proposed project may qualify for Exception No. 1, due to the presence of a known bald eagle nesting site near the project alignment. As detailed below under Task 2.2, *Biological Resources Assessment*, the bald eagle is protected by the federal Endangered Species Act (ESA) as well as the California ESA. In accordance with the federal ESA, any activities that would “harass” an active bald eagle nest would constitute “take” of the species. It is anticipated that construction activities for the proposed project would include the use of heavy equipment and machinery that would introduce noise and emissions in the vicinity of the bald eagle nesting site. This would constitute harassment and potentially take of the species, which would be a significant and unavoidable impact under CEQA, thereby negating the project’s potential Exemption from CEQA and requiring preparation of an IS-MND instead of a CE. Rincon will assess this potential and recommend an appropriate CEQA pathway for the project based upon the outcome of the Biological Resources Assessment and other technical studies prepared under Task 2, *Phase 1 – Technical Studies*. The technical studies to be prepared under Task 2 are required for the project’s CEQA-Plus documentation, regardless of whether a CE or an IS-MND is ultimately prepared; therefore, this approach offers CMWD the most streamlined pathway to CEQA compliance.

Under either pathway (CE or IS-MND), environmental documentation for the proposed project will be prepared to CEQA-Plus standards, thereby allowing CMWD to pursue federal funding to support the project. Rincon understands that CMWD intends to seek funding for the project through the Economic Development Grant (EDG) Program, as administered by the U.S. Economic Development Administration (USEDA) under the U.S. Department of Commerce. Grant funding awards are distributed on a first-come first-served basis; preparation of CEQA documentation is therefore time sensitive, as the availability of this documentation directly affects CMWD’s ability to pursue EDG funding support. It is anticipated that draft documentation will be sufficient to support the project’s grant funding application, and that final CEQA documentation is not required for the application process. In order to identify and prepare streamlined and technically sound CEQA documentation, while also supporting CMWD’s pursuit of federal funding for the proposed project, this revised scope of work includes two phases, as summarized below, and detailed under the following tasks.

- **Phase 1** consists of Task 2, *Phase 1 – Technical Studies*, and Task 3, *Phase 1 – Administrative Draft CEQA Documentation*, of the revised scope of work presented below. Phase 1 includes the preparation of technical studies for the proposed project, determination of the appropriate level of CEQA documentation (CE or IS-MND) based upon the results of those technical studies, and preparation of Administrative Draft documentation for the selected CEQA pathway. The technical studies to be prepared under Phase 1 are required under either CEQA pathway (CE or IS-MND), due to the documentation being prepared to CEQA-Plus standards. These studies include:
  - Air Quality/Greenhouse Gas (AQ/GHG) Emissions and Federal Clean Air Act (FCAA) Conformity Analysis (Task 2.1)



- Biological Resources Assessment (Task 2.2)
- Cultural Resources Technical Study (Task 2.3)
- Paleontological Resources Assessment (Task 2.4)

Rincon will work in close coordination with CMWD through the execution of Phase 1, in selecting the appropriate CEQA pathway for the project. Depending upon whether or not the results of the technical studies listed above indicate that the proposed project would have potential to result in significant impacts, Rincon will prepare the Administrative Draft documentation for either a CE or an IS-MND. As noted above, it is assumed that Final CEQA documentation is not required for the grant funding application process. Therefore, the results of Phase 1 of this scope of work, in the form of technical studies and Administrative Draft CEQA documentation for either a CE or an IS-MND, will be sufficient to support CMWD's grant funding application for the project.

- **Phase 2** consists of Task 4, *Phase 2 – Draft CEQA Documentation*, and Task 5, *Phase 2 – Final CEQA Documentation*, of the revised scope of work presented below. Phase 2 includes completion of the required CEQA documentation under the selected pathway to compliance, either a CE or an IS-MND, as summarized below and detailed under Task 4 of this revised scope of work.
  - **Notice of Exemption (NOE) for a CE** – if the project is determined to be categorically exempt from CEQA, then the Phase 2 documentation will include preparation of a brief environmental analysis to address each of the environmental issue areas identified in Appendix G of the State CEQA Guidelines, and a memo stating CMWD's conclusions regarding potential impacts of the project. This CE would then be considered for adoption by the CMWD Board of Directors, and a Notice of Exemption (NOE) would be filed with the Ventura County Clerk as well as the California Office of Planning and Research (OPR) State Clearinghouse (SCH), thereby initiating a 35-day statute of limitations period during which the project may be challenged on the basis of CEQA. If an NOE is not filed with the SCH, the statute of limitations period extends from 35 days to 180 days. The NOE must remain posted for public review for 30 of the 35 days.
  - **Notice of Intent (NOI) to Adopt and Notice of Determination (NOD) for an IS-MND** – if the project is determined to require analysis under an IS-MND, then the Phase 2 documentation will include the following: preparation of a Draft IS-MND and Notice of Intent (NOI) to Adopt; publication of the Draft IS-MND and NOI for a 30-day public review period; and preparation of the Final IS-MND, consisting of responses to comments on the Draft IS-MND, any associated errata, and a Mitigation Monitoring and Reporting Plan (MMRP). The Final IS-MND would then be considered for adoption by the CMWD Board of Directors, and filed with the Ventura County Clerk as well as the OPR SCH, with a Notice of Determination (NOD), thereby initiating a 30-day statute of limitations period during which the project may be challenged on the basis of CEQA. The 30-day statute of limitations period for an NOD begins on the first day after the NOD is posted and continues through the entire 30<sup>th</sup> day; if the NOD is not posted for this entire period, the statute of limitations period extends to 180 days.

The appropriate CEQA pathway for the project will be determined based upon the results of analysis conducted under Phase 1; both pathways are summarized above to demonstrate how the execution of Phase 2 of this revised scope of work would differ based upon the pathway selected.



As noted above, the project's CEQA schedule will be determined by the level of CEQA documentation required for the project, which will be determined by the environmental analysis conducted under Phase 1, while the required documentation for the selected level of compliance will be prepared under Phase 2. To demonstrate the differences between these options, two possible schedules are outlined under "Schedule", below, both of which are proposed on an expedited timeline through the completion of Phase 1, to facilitate timely application for grant funding. In addition, we understand that the USEDA has specific requirements for the environmental information to be included in the grant funding application; we have reviewed the USEDA's requirements, and included the required pieces of information in the CEQA scope provided below, thereby facilitating seamless support of the project's CEQA documentation to the grant funding application.

Rincon's understanding of the project is summarized below, as well as our proposed scope of work, schedule for completion, and proposed cost. We have included in this scope of work all services and deliverables that CMWD will need to provide the required level of CEQA-Plus documentation, including technical reports, to be eligible for the aforementioned EDG Program. The EDA will also need to complete documentation for National Environmental Policy Act (NEPA) compliance, which will be informed by the CEQA-Plus level of documentation provided herein; however, this scope of work does not include support for NEPA compliance.

## Understanding of the Project

The proposed project was developed to upgrade the existing sanitary system at Lake Casitas Recreation Area, to provide flushing toilets that are connected to a sewer system. Under existing conditions, the restroom facilities at Lake Casitas consist of pits or chemical toilets that are regularly emptied by CMWD staff. A pumper truck is used to pump raw sewage out of the pits and chemical toilets, and transport it to the Ojai Valley Sanitary District, which provides sanitary sewer service to the unincorporated areas of the Ojai Valley and the City of Ojai, and conducts wastewater treatment at the Ojai Valley WWTP. The Ojai Valley Sanitary District is located at 1072 Tico Road in Ojai, while the WWTP is located along the Ventura River, just south of Foster Park at Weldon Canyon, approximately five miles south of Oak View. Treated water from the WWTP is discharged into the Ventura River.

Under the proposed project, a sanitary sewer system would be installed at the Lake Casitas Recreation Area, for improved restroom facilities at the existing campground, the water park, and the café. These improved facilities would eliminate the need to collect and transport raw sewage from the recreation area to the WWTP. The sewer system would convey sewage collected at the recreation area to the Ojai Valley Sanitary District's WWTP for treatment and discharge into the Ventura River, as under existing conditions, but without the need to transport sewage by truck.

Implementation of the proposed project would facilitate CMWD's hosting of larger and/or more frequent events at the Lake Casitas Recreation Area. This would increase the amount of raw sewage generated on the project site and conveyed to the Ojai Valley Sanitary District's WWTP for treatment and discharge into the Ventura River. The IS-MND for the project will assess potential impacts associated with the potential for the project to increase visitation at the recreation area. In addition, the IS-MND will also provide for the development of mitigation measures to address the nesting bald eagles that are known to be present at Lake Casitas, including a nest near the proposed project activities.



## Scope of Work

The work program described below identifies the tasks to prepare a CEQA-Plus IS-MND for the proposed project. The IS-MND will address all environmental issue areas identified in the Environmental Checklist provided as Appendix G to the State CEQA Guidelines, as updated in 2019. Following is an overview of the tasks proposed under this scope of work, including assumptions and deliverables for each task.

### Task 1. Project Initiation and CEQA Project Description

Within one week of Notice to Proceed (NTP), Rincon will organize and conduct a kickoff meeting with CMWD. This kickoff meeting will serve as a forum to: share and discuss preliminary data requests (including, as necessary, to develop the Project Description); review and confirm study objectives; establish an operational protocol; confirm details for scheduled tasks; and gather any technical studies not already delivered. Based upon ongoing work with CMWD, it is anticipated weekly coordination calls between CMWD and Rincon will be established to ensure regular communication and status updates; the kickoff meeting is separate from weekly status calls, which are provided under Task 6.

Also under Task 1, and prior to initiating the environmental analysis, Rincon will prepare a Draft Project Description (PD) for CMWD review and comment. The Draft PD will include descriptions of the proposed project, including project purpose, site characteristics, and required discretionary approvals, including but not limited to requirements of CEQA-Plus compliance (discussed below). The PD will include textual, tabular, and graphic presentations. The PD will be based upon information provided by CMWD, including during (and in response to) the kickoff meeting, as well as existing studies and Rincon's familiarity with CMWD and the project area. The level of effort required to prepare the PD would be the same under either CEQA pathway (CE or IS-MND).

Rincon will initiate environmental review and analysis after CMWD has approved the Draft PD. It is assumed that substantial changes to project design will not occur after CMWD approval of the Draft PD; expanded or additional scope of work may be required if project changes are proposed after the environmental analyses have initiated.

#### *Task 1 Assumptions*

- CMWD will provide existing mapping data in GIS or CAD formats.
- The initial site visit does not constitute protocol-level surveys.
- Site photographs and noise level measurements will be collected during the initial site visit.
- Substantial project design modifications identified after CMWD's approval of the Draft PD may require a scope modification.

#### *Task 1 Deliverables*

- Kickoff meeting agenda and minutes.
- Project site visit maps.
- Site photographs and noise measurement data.
- Draft PD including one round of review and revisions.



## Task 2. Phase 1 - Technical Studies

Technical studies to be prepared under this scope of work and used to inform the CEQA-Plus analysis and documentation for the proposed project include an FCAA Conformity Analysis, Biological Resources Assessment, Cultural Resources Technical Study, and paleontological resources assessment, each of which are discussed below. The level of effort required to prepare these technical studies is the same for either CEQA pathway that may be selected for the project (CE or IS-MND), and the same technical studies will be used to inform either level of CEQA documentation; therefore, initiating execution of this scope of work with preparation of the technical studies detailed below provides a streamlined pathway to CEQA compliance.

### **Task 2.1 AQ/GHG Emissions and FCAA Conformity Analysis**

The Federal Clean Air Act (FCAA) Conformity Analysis will be prepared to determine whether the project would exceed *de minimis* standards, as required for the environmental checklist for federal financial assistance under the EDG Program.

The project site is located within the South Central Coast Air Basin, which is designated as being in attainment/unclassified for all federal standards, with the exception of 8-hour ozone; the Ventura County portion of the South Central Coast Air Basin is designated nonattainment for 8-hour ozone. The FCAA Conformity Analysis will include a summary of existing ambient air quality data from the nearest monitoring station to the project site, as well as a summary of the federal attainment status of the basin in the project area. The analysis will include both temporary construction and long-term operational emissions estimates for the project. Criteria pollutant emissions calculated in CalEEMod will be compared to applicable *de minimis* thresholds based on the South Central Coast Air Basin's federal attainment status. This evaluation will include an assessment of dust generation associated with excavation and grading, as well as emissions associated with heavy construction equipment and truck trips (soil hauling and material delivery).

If the project would include new or expanded operation of stationary equipment, criteria pollutant emissions will be quantified using Rincon's in-house calculation spreadsheets using emission factors from the manufacturer, Ventura County Air Pollution Control District (APCD), California Air Resources Board, United States Environmental Protection Agency, and other available sources as applicable. This scope of work assumes that CMWD will provide a list of the anticipated construction equipment, machinery, and vehicles, and approximate intensity of usage during the construction period. If construction or operational emissions would exceed *de minimis* thresholds, additional measures to mitigate air quality impacts will be identified. If mitigated emissions exceed *de minimis* thresholds, the project may be subject to a State Implementation Plan conformity determination. For the purposes of this scope and cost we assume this will not be required. If necessary, Rincon can provide a separate scope of work and cost estimate to prepare an air quality impact analysis for a conformity determination which assesses the project's impacts to federal attainment status utilizing air dispersion analysis.

A General Conformity Analysis will be prepared to determine whether the project would exceed *de minimis* emission levels, as required for the federal Clean Air Act (FCAA). A stand-alone FCAA Conformity Analysis memo will be prepared and appended to the CE or IS-MND.



## **Task 2.2 Biological Resources Assessment**

Rincon will prepare a Biological Resources Assessment (BRA) for the project. Rincon will first conduct a literature and database review, including review of the California Department of Fish and Wildlife's (CDFW) California Natural Diversity Database to determine if there are any recorded observations of special status species or natural terrestrial communities, or other special status biological resources within five miles of the project site. We will also review any readily available maps, photographs, and other relevant materials to better characterize the existing biological resources on the project site and in the vicinity. In addition, we will review the United States Fish and Wildlife Service's Critical Habitat Portal, the California Native Plant Society's Inventory of Rare and Endangered Plants of California, CDFW's Special Animals List, and relevant federal, state, and local plans, ordinances, policies, and regulations. It is understood that nesting bald eagles are known to be present in the project area, and there is at least one nest at the Lake Casitas Recreation Area. It is anticipated that project-specific mitigation measures will be recommended to avoid potential impacts to bald eagles.

Rincon will perform a reconnaissance-level site visit to map the existing vegetation communities and land cover types, as well as assess the potential of occurrence at the project site for regulated biological resources, including special status species, sensitive natural terrestrial communities, wetlands and drainages, protected trees (specific to local ordinance), and wildlife connectivity/ movement features.

Rincon will present the findings of the literature review and windshield survey in a BRA. The BRA will be designed to support CEQA environmental review and will address the CEQA Guidelines Appendix G environmental checklist questions for biological resources. The BRA will include an introduction, a discussion of existing conditions and applicable regulatory requirements, an analysis of potential direct and indirect impacts to biological resources, and, if required, mitigation measures to avoid or minimize significant impacts.

Rincon will submit electronic versions of the BRA to CMWD for review. Rincon will revise the report based on one round of consolidated comments from CMWD, to be provided in an electronic, editable format.

## **Task 2.3 Cultural Resources Technical Study**

Because CMWD is planning to pursue federal funding for the project, compliance with Section 106 of the National Historic Preservation Act (NHPA) is required. Accordingly, the cultural resources study for this project will be completed in accordance with Section 106 standards, in addition to addressing the CEQA Guidelines Appendix G environmental checklist items for cultural resources.

### **Records Searches**

Rincon will prepare an Area of Potential Effects (APE) map delineating both an area of direct impacts (i.e., all areas of project ground disturbance including staging areas) and area of indirect effects (e.g., visual effects). For cost-estimating purposes, Rincon assumes the APE for the project will be limited to the construction footprint.

Rincon will conduct a California Historical Resources Information System records search of the project APE plus a 0.5-mile radius surrounding the APE at the South Central Coastal Information Center (SCCIC) at California State University Fullerton. The records searches will identify cultural resources known to exist on or near the project site, as well as the nature and extent of previously conducted cultural resources studies. We assume direct expenses for the SCCIC records search will not exceed \$800.





In addition, Rincon will request a search of the Sacred Lands File (SLF) from the Native American Heritage Commission (NAHC). The SLF search will indicate whether cultural resources important to Native Americans are present within the vicinity of the APE. The NAHC will also provide a contact list of Native American groups who may have interest in the project area. Rincon will prepare and mail a letter to each of these Native American groups, requesting the groups provide information on known tribal cultural resources in the project area. Rincon will conduct up to two telephone calls to each contact to demonstrate “good-faith” efforts to follow-up. This effort will not satisfy the requirements of Assembly Bill (AB) 52, which requires government-to-government consultation between CEQA lead agencies and Native American tribes who have requested to be contacted pursuant to AB 52. However, under this scope of work, Rincon will also provide AB 52 assistance to CMWD, by providing the following resources: a list of Native American contacts; template letters to solicit AB 52 consultation, and template letters to follow-up and close consultation; a tracking sheet to record communications conducted for AB 52 compliance; and detailed instructions on how to navigate the consultation process for compliance with AB 52. In addition, although AB 52 consultation must be conducted on a government-to-government basis, meaning directly between CMWD and the relevant tribes, Rincon will be available to CMWD throughout this process to provide expert guidance and trouble-shooting based on our extensive experience with these processes.

Rincon will also contact local governments and local historic groups regarding their knowledge of historic properties in the immediate vicinity of the APE. Up to two additional telephone calls to each group will be conducted to demonstrate “good-faith” efforts to follow-up.

#### **Pedestrian Survey**

Upon completion of the records search, Rincon will conduct a Phase I intensive pedestrian survey of the APE. The survey will be conducted using transects spaced at maximum intervals of 15 meters with transect accuracy maintained through use of a hand-held global positioning system (GPS) unit. Developed areas (e.g., paved roadways) will be subject to a windshield survey (i.e., inspection by vehicle). For cost-estimating purposes, Rincon assumes the survey will not identify any cultural resources (archaeological, historical, or built environment) requiring recordation or updating. Should cultural resources be identified during the records searches or survey which require recordation or updating, a contract amendment will be necessary. This scope of work does not include subsurface testing or the collection of artifacts, samples, or specimens during the survey.

#### **Technical Report**

Rincon will prepare a technical report documenting the results of the cultural resources study, as well as provide management recommendations for cultural resources within or near the project APE. The report will be prepared following the California Office of Historic Preservation’s *Archaeological Resource Management Reports (ARMR): Recommended Contents and Format* and in accordance with CEQA and NHPA Section 106 requirements. The report will include figures depicting the area surveyed and studied for cultural resources. Rincon will submit electronic versions of the technical report to CMWD for review. Rincon will revise the report based on one round of consolidated comments from CMWD, to be provided in an electronic, editable format.

### **Task 2.4 Paleontological Resources Assessment**

Rincon will conduct a paleontological resources assessment to identify the geologic units which may be impacted by project construction, determine the paleontological sensitivity of impacted geologic units assess the potential for significant impacts to paleontological resources, and, if needed, recommend



mitigation measures to avoid or minimize such impacts. The paleontological resources assessment will consist of a fossil locality records search and a review of existing geologic maps and literature regarding fossiliferous geologic units within the project area. This scope of work does not include a paleontological field survey. For cost-estimating purposes, we assume the direct cost of the locality search will not exceed \$300. Results of the paleontological resources assessment will be documented in the CE or IS-MND; a standalone technical report will not be prepared.

### *Task 2 Assumptions*

- CMWD will provide existing mapping data in GIS or CAD formats.
- CMWD will provide a construction schedule and construction equipment information (with attention to heavy diesel-powered construction equipment).
- The Paleontological Resources Assessment does not include field survey or formal locality search.
- Direct expenses for the SCCIC record search will not exceed \$800.
- Direct expenses for the paleontological resources locality search will not exceed \$300.
- No cultural resources will be identified or documented during the study.
- Rincon assumes that CMWD will provide Rincon with the results of any AB 52 consultation.
- Substantial project design modifications will not occur after initiation of the technical studies.
- A stand-alone report will not be prepared for paleontological resources, as the results of the assessment provided under Task 2.4 will be incorporated directly into the CE or IS-MND.

### *Task 2 Deliverables*

- Stand-alone reports that will be attached to the CE or IS-MND and incorporated by reference including an FCAA Conformity Analysis memo, a BRA Report, and a Cultural Resources Technical Report
- Paleontological resources assessment that will be incorporated into the CE or IS-MND under the issue area for geology and soils

## Task 3. Phase 1 - Administrative Draft CEQA Documentation

Phase 1 of this revised scope of work will be fulfilled upon completion of the Administrative Draft CEQA documentation to be prepared under this Task 3. Upon completion of Phase 1, CMWD will have sufficient CEQA documentation to support the grant funding application to the USEDA for project support through the EDG Program (based on the assumption that Final CEQA documentation is not required for this purpose).

As discussed in the introduction to this revised scope of work, the appropriate level of CEQA documentation for the project will be determined based upon the results and recommendations of the technical studies prepared under Task 2. However, due to the highly sensitive timeline for the project related to the “first come first served” basis of grant funding awards, in order to streamline the CEQA documentation process, Rincon will prepare environmental analysis for an Administrative Draft IS-MND concurrent with preparation of the technical studies discussed above. Then, if the results of the technical studies indicate that the project does qualify for a CE, the analysis prepared to date at that





time will be shifted from an IS-MND format to a CE format, such that all efforts will be fully utilized. Alternately, if the results of the technical studies confirm that the project does not qualify for a CE such that an IS-MND is necessary, no time will have been lost in the schedule, as preparation of the IS-MND will already be underway. For the purposes of this scope of work, the following Tasks 3 through 5 outline the possibilities of achieving CEQA compliance through either a CE or an IS-MND.

### **Administrative Draft CE**

If it is determined that the proposed project would qualify for an Exemption to CEQA and does not meet any of the Exceptions to Exemptions, then the format of the environmental analysis will be shifted from an IS-MND (discussed below) to a CE. As mentioned above, in order to preserve time in the schedule, Rincon will begin analysis for an IS-MND level of documentation concurrent with preparation of the technical studies, and down-scale the environmental analysis to a CE level of documentation only if and when that is determined to be appropriate. The CE documentation will address each Exception to CEQA Exemptions, as defined in the CEQA Guidelines, Section 15300.2, and will demonstrate why the proposed project would not result in a significant impact due to location, cumulative impacts, unusual circumstances, scenic highways, hazardous waste sites, and historic resources. Rincon will prepare one Administrative Draft CE for CMWD's review and comment, and will respond to one round of comments.

### **Administrative Draft IS-MND**

If it is determined that the project would not achieve CEQA compliance through a CE, an IS-MND will be the appropriate level of CEQA documentation. The IS-MND analysis will discuss existing conditions, thresholds of significance for CEQA, methodology for impact assessment, project-specific impacts and mitigation measures, cumulative impacts, and residual impacts for the proposed project. The focus of the analysis will be to avoid or minimize potential impacts. Appropriate mitigation will be developed where potential impacts may occur as a result of the project. Rincon is aware that CMWD has existing operational procedures in place to minimize or avoid potential environmental impacts, including but not limited to stormwater controls during construction to limit erosion and sedimentation issues; the impact analyses in the IS-MND will identify these existing actions where applicable to minimize or avoid impacts of the project, and will apply existing CMWD procedures in place of project-specific mitigation measures to the maximum extent feasible.

The IS-MND will be prepared to CEQA-Plus standards, as discussed further below, and will address each of the environmental issue areas identified on the current CEQA Guidelines Appendix G Environmental Checklist. Where appropriate, impacts will be quantified in relation to established thresholds of significance. A determination of significance will be made for each issue area and mitigation measures will be provided as necessary for identified significant effects. Although each topic will be discussed in appropriate detail in the IS, we anticipate key issue areas for the project will include biological resources, cultural resources, hydrology and water quality, noise, transportation, and utilities; these key issue areas are therefore summarized below.

- **Biological Resources.** The analysis of impacts to biological resources will be based on the BRA to be prepared under Task 2.2. As mentioned above, there is a known presence of bald eagles in the project area, including a nest that bald eagles return to each year. The bald eagle is protected by the federal ESA as well as the California ESA. In accordance with the federal ESA, "harassment" of an active bald eagle nest constitutes "take"; therefore, mitigation measures for the proposed project will be developed to restrict project construction activities to outside the active nesting season for bald eagle, to avoid potential take including through harassment of an active nest.



- **Cultural Resources.** The analysis of impacts to cultural resources will be based on the Cultural Resources Technical Study to be prepared under Task 2.3. The proposed project is not anticipated to adversely affect cultural resources; however, it is possible that an unanticipated find of cultural resources could occur during project construction, and mitigation measures may be recommended to ensure that proper handling and response procedures are implemented.
- **Hydrology and Water Quality.** Due to the location of the proposed project being along the shoreline of Lake Casitas, there is potential for an accidental spill or release of potentially hazardous materials to occur, particularly during construction activities, potentially resulting in water quality impacts in the lake. Such materials may include sediments excavated to install the proposed sewer facilities, fuels and other fluids required to operate construction vehicles, equipment, and machinery, and potentially raw sewage from the existing facilities. If the project would disturb less than 0.5 acre, such that compliance with the National Pollutant Discharge Elimination System (NPDES) General Construction Permit is not required, mitigation measures will be developed to include requirements for implementation of a Stormwater Pollution Prevention Plan (SWPPP) with best management practices (BMPs) for water quality control such as would be required for NPDES compliance.
- **Noise.** Rincon will quantitatively analyze noise and vibration impacts associated with project construction and operation. Rincon will use an ANSI Type II integrating sound level meter to record up to four 15-minute noise measurements on and around the project site to establish ambient noise conditions. The analysis of temporary noise and vibration impacts associated with construction will be based upon typical construction noise and vibration levels and standard noise and vibration attenuation factors. Construction noise will be modeled using the Federal Highway Administration's Roadway Construction Noise Model (RCNM). Noise and vibration levels associated with construction activities will be quantified at the nearest sensitive receptors. Rincon will also evaluate the temporary noise impacts associated with delivery and material truck trips on haul routes during project construction. In addition, Rincon will calculate noise impacts from long-term operation of the pump station. If detailed information about the pump station (e.g., electric or diesel, location, pump size) is available, Rincon will calculate noise impacts from operation of the pump station. If detailed information is not available at the time of analysis, Rincon will conduct an operational noise constraints analysis with mitigation measures. The exposure of nearby sensitive receptors to noise will be evaluated against applicable noise thresholds. The applicable threshold will be determined in consultation with CMWD; these potentially include thresholds established by the County of Ventura. If noise impacts are determined to be significant, mitigation measures will be developed to avoid or minimize impacts to less than significant levels.
- **Transportation.** This scope of work does not include a quantitative traffic/transportation study; rather, the transportation analysis will qualitatively describe potential impacts associated with construction and operation of the project. It is anticipated the project would ultimately have beneficial impacts to transportation, by reducing the need for pumper trucks to transport raw sewage from the project site to the Ojai Valley WWTP. However, during project construction, transportation-related impacts could occur from the presence of large construction equipment and machinery accessing the project site via existing two-lane roadways. Accordingly, mitigation in the form of preparation and implementation of a traffic management plan during construction will likely be warranted.
- **Utilities.** The proposed project would provide improved restroom facilities and sewage disposal for the Lake Casitas Recreation Area, thereby facilitating larger and/or more frequent events to be hosted by CMWD at the recreation area. The IS-MND will assess whether this or any other aspect of



the proposed project could result in potential impacts to public utilities, which include water and wastewater facilities, stormwater drainage, electrical power, natural gas, telecommunications, and solid waste disposal.

As mentioned above, the IS-MND will be prepared to CEQA-Plus standards, which require more extensive analysis and documentation related to federal regulations than would be required for a typical CEQA analysis. Accordingly, this scope of work includes preparation of the technical studies provided under Task 2 above, which will occur concurrent with preparation of the Administrative Draft IS-MND. In addition, as discussed in the introduction to this letter, Rincon understands that the project's CEQA documentation will be used to support an application to the USEDA for support through the EDG Program. CEQA-Plus documentation is required to support application for those federal funds. If the USEDA chooses to support the proposed project under the EDG Program, it will also need to complete the federal environmental review process under the NEPA.

### *USEDA Environmental Narrative Requirements*

As stated in the "Environmental Templates" resource found on the USEDA's "Funding Opportunities" webpage, applications for support through the EDG Program must include the environmental narrative information that will ultimately be required of the USEDA to include in its NEPA documentation. The required pieces of information are listed below, and will be addressed in detail in a stand-alone chapter of the IS-MND, such that it may be easily referred to by the USEDA, in confirming that all required components of the environmental narrative are fulfilled.

- A. **Project Description.** The Project Description prepared to CEQA-Plus standards for the IS-MND will already include the required contents specified by USEDA, with the exception of alternatives, as CEQA does not require analysis of project alternatives at the Initial Study stage. However, the required information is provided in Casitas' existing design and analysis of the project, as provided in MNS Engineers' March 5<sup>th</sup> report, *Lake Casitas Recreation Area Wastewater Collection System Implementation Plans*. This required information includes:
  1. Explain why this project/site was selected as the preferred alternative.
  2. Provide detail on why other alternatives were rejected (e.g. did not meet the purpose and need of the project, implicated more environmental receptors, had greater climate impacts or were at greater risk to climate change).
  3. If the selected project would impact wetlands or floodplains, please provide a detailed description of alternatives to those proposed impacts.
  
- B. **Historic / Archaeological Resources and State Historic Preservation Officer (SHPO) consultation.** The CEQA-Plus scope of work includes a Cultural Resources Technical Study under Task 2.3, which will provide the required information regarding historic and archaeological resources, including an APE for the project. The CEQA-Plus scope of work does not include direct coordination with the SHPO; however, as noted in the USEDA's Environmental Templates, the applicant is not required to contact the SHPO unless and until directed by the USEDA to do so.
  
- C. **Affected Environment.** The CEQA-Plus scope of work includes discussion of the affected environment, or baseline environmental conditions, for each of the areas identified by the USEDA, including: coastal zones; wetlands; floodplains; climate change; endangered species; land use and zoning; solid waste management; hazardous or toxic substances; water resources; water supply and distribution system; wastewater collection and treatment facilities; environmental justice (Executive



Order 12898); transportation (streets, traffic, and parking); air quality; noise; required permits; areas of public controversy; and cumulative effects.

- D. **Mitigation.** The CEQA-Plus scope of work includes the development of mitigation measures, if it is determined based upon the environmental analysis conducted that mitigation is required to reduce or minimize impacts to a less-than-significant level. It is anticipated that all potential impacts of the proposed project will be less than significant or mitigable to a less-than-significant level, and thus an IS-MND is the appropriate level of CEQA documentation.
- E. **List of Attachments.** The USEDA’s Environmental Templates lists a suite of additional materials that may be provided as attachments to the environmental narrative containing the required information discussed above. The items listed in this section are optional at the time of application for support under the EDG Program; however, the items may be requested by the USEDA at any time during its review of a project’s application materials, and it is therefore advised that any items that are already available to the applicant at the time of application should be provided as optional attachments. Rincon has reviewed the list of optional items and, while some will be included in the CEQA-Plus scope of work, such as site photographs, most other items are NEPA-specific and will be developed in coordination with the USEDA, as needed.

As mentioned above, many of the items required by the USEDA to be included in the EDG Program application materials will already be included in the project’s IS-MND. To ensure the project’s CEQA documentation provides the information required to be included in the EDG Program application, a separate section will be included in the CEQA document to address each of the requirements listed above. Rincon will submit electronic versions of the Administrative Draft IS-MND for CMWD’s review. Rincon will revise the report based on two rounds of consolidated comments from CMWD, to be provided in an electronic, editable format.

### *Task 3 Assumptions*

#### **CE and IS-MND Assumptions**

- Rincon will provide electronic versions of the Administrative Draft CEQA documentation and technical reports in Word and PDF formats; no hard copies of the Administrative Draft CEQA documentation will be prepared.
- CMWD will provide comments in a consolidated format, with any internal conflicts between comments resolved prior to providing them to Rincon.
- The Transportation & Traffic analysis for the Administrative Draft CEQA documentation will utilize construction traffic estimates provided by CMWD along with standard construction traffic control measures; additional traffic modeling will not be conducted as part of this scope of work. Information required includes, but is not limited to, an estimate of the number deliveries per day, average number of workers at the site per day and whether or not import or export of soil would be required. If needed, we can work with CMWD to develop reasonable estimates for construction traffic.
- Computerized hydrologic modeling such as to characterize drainage patterns and other existing physical conditions will not be conducted as part of the project; rather, existing information including previously prepared maps and models will be utilized to the extent feasible.



- Focused and protocol surveys are not included in this scope of work.
- Visual simulations will not be prepared as part of the project, as impacts are anticipated to be limited to the construction period, and the project would not result in substantial changes to the existing visual environment during the operation and maintenance period.

### *Task 3 Deliverables*

#### **CE Deliverables**

- Administrative Draft CE (for CMWD review and comment).

#### **IS-MND Assumptions**

- Administrative Draft IS-MND (for CMWD review and comment)
- Revised Administrative Draft IS-MND (with revisions incorporated based upon CMWD comments)

### Task 4. Phase 2 - Draft CEQA Documentation

As discussed above, it is assumed that the environmental documentation produced through Tasks 2 and 3 above will be sufficient to inform and support CMWD's funding application to the USDA for the proposed project, and Phase 1 of this scope of work will be complete with Task 3, above. Phase 2 of this scope of work initiates with Task 4, for Draft CEQA documentation. As discussed above for the Administrative Draft documentation, at this time it has not been confirmed whether the project's CEQA pathway will consist of a CE or an IS-MND; therefore, both potential pathways are discussed below.

#### **Draft CE and NOE**

Rincon will respond to one round of review and comment by CMWD on the Administrative Draft CE, and will incorporate appropriate revisions to produce the Draft CE. Rincon will provide the Draft CE and NOE to CMWD for final review and approval; upon approval, the Draft documentation will comprise the Final documentation, as discussed under Task 5, below. A CE/NOE is not required to be published for public review, but rather will be adopted by CMWD as the CEQA Lead Agency, and will be filed with the SCH for a period of 35 days, as discussed below in Task 5. All document submittals will be conducted electronically in an editable document format.

#### **Draft IS-MND and NOI**

The Draft IS-MND will be comprised of the revised Administrative Draft IS-MND, with revisions and responses to up to two rounds of review incorporated, as described above for Task 3. Rincon will provide the required noticing for the Draft IS-MND under this scope of work, as described below. Prior to public noticing for the Draft IS-MND, Rincon will provide a "street ready" version of the Draft IS-MND to CMWD, for review and approval prior to publication for public review. The required 30-day public review period for CEQA may be initiated upon CMWD's approval of the "street ready" Draft IS-MND. Rincon will prepare the NOI and file the NOI with the SCH on behalf of CMWD, to initiate the public review period. This scope of work assumes that CMWD will distribute the NOI to adjacent property owners, parties that have requested such notifications, and regulatory agencies. This scope of work also assumes the CMWD will public the NOI in a local newspaper circulated in the project area.

The NOI will provide notice of the 30-day public comment period for the IS-MND. During the public review period following publication of the Draft IS-MND, public and agency comments will be collected



on the Draft IS-MND, and Rincon will update the document to address these comments and incorporate revisions as necessary. It is anticipated that through early agency coordination, understanding of public concerns, and experience on previous CMWD projects, minimal revisions will be necessary between the Draft IS-MND and the Final IS-MND, described below.

#### *Task 4 Assumptions:*

##### **CE Assumptions**

- Rincon will provide an electronic version of the Draft CE in PDF format for review and approval; it is assumed that no substantive revisions will be necessary.
- No public review will occur.

##### **IS-MND Assumptions**

- Rincon will provide an electronic version of the “street ready” Draft IS-MND in PDF format for review and approval; it is assumed that no substantive revisions will be necessary at this step.
- CMWD will distribute the NOI to interested parties and regulatory agencies, file the NOI with the Ventura County Clerk (and provide the \$50 filing fee), and provide for publication of the NOI in a local newspaper circulated in the project area.
- Rincon will file the NOI electronically with the State Clearinghouse, on behalf of CMWD, to formally initiate the project’s 30-day public review period.
- This scope of work does not include a public meeting for the IS-MND. If desired by CMWD, Rincon will provide support for a public meeting under a separate scope of work.

#### *Task 4 Deliverables:*

##### **CE Deliverables**

- Draft CE and NOE for CMWD review

##### **IS-MND Deliverables**

- Draft IS-MND for public review (accessible PDF electronic version for posting on CMWD’s website)
- Notice of Intent (accessible PDF electronic version for posting on CMWD’s website)
- Electronic submittal of the NOI and Draft IS-MND to the SCH

### Task 5: Phase 2 - Final CEQA Documentation

As discussed above, both potential CEQA pathways under consideration for the proposed project are addressed for the purposes of this revised scope of work.

#### **Final CE and NOE**

Following review of the Draft CE and NOE by CMWD, Rincon will update the CE as needed to address comments and will provide a Final CE to CMWD for use for the project approval process. It is anticipated comments on the Draft CE will be minimal, as CMWD will have already reviewed the Administrative and Draft versions. Upon approval by CMWD, Rincon will file the NOE on behalf of CMWD with the Ventura County Clerk Recorder and the SCH.





## **Final IS-MND and NOD**

Subsequent to collection of all comments on the Draft IS-MND, Rincon will prepare draft responses to comments and revisions or additions to the IS-MND resulting from comments received on the Draft IS-MND. Rincon will also prepare an MMRP, which will take the form of a detailed table to compile all mitigation measures for the project, and provide all information necessary to monitor compliance with each measure, including identification of the parties responsible for monitoring compliance, timing when the mitigation and monitoring must occur, frequency of monitoring, and criteria to be used to determine compliance with each measure. The Final IS-MND will be comprised of the responses to comments, revised or added portions of the Draft IS-MND, and the MMRP. Rincon will provide responses/revisions to up to two rounds of review of the Final IS-MND by CMWD.

Rincon will also complete the NOD form for filing with the Ventura County Clerk's office upon certification of the document and project approval.

### *Task 5 Assumptions:*

#### **CE Assumptions**

- Rincon will provide an electronic version of the Final CE and NOE in accessible PDF format for posting on CMWD's website.
- Rincon will file the NOE with the County Clerk and SCH on behalf of CMWD.

#### **IS-MND Assumptions**

- Rincon will provide an electronic version of the Final IS-MND and MMRP in accessible PDF format for posting on CMWD's website.
- CMWD will provide payment for all filing fees associated with the NOD, including for Ventura County (\$50 through 2022) and the California Department of Fish and Wildlife (\$2,480.25 through December 31, 2021, increasing to \$2,548.00 on January 1, 2022).
- Rincon will file the NOD with the SCH on behalf of CMWD.

### *Task 5 Deliverables:*

#### **CE Assumptions**

- Final CE and NOE (accessible PDF electronic version for posting on CMWD's website)

#### **IS-MND Assumptions**

- Final IS-MND and MMRP (accessible PDF electronic version for posting on CMWD's website)
- Notice of Determination (accessible PDF electronic version for posting on CMWD's website)

## **Task 6. Project Management and Status Meetings**

This task provides for overall project management, including but not limited to coordination between issue area specialists and between Rincon and CMWD, completion of quality assurance and quality control (QA/QC) procedures for all deliverables, and up to six (6) 30-minute project status calls that will be held throughout execution of the approved scope of work. Rincon's proposed budget for this scope of work includes one hour per status call, allowing time to prepare an agenda and meeting minutes for



each status call. Due to current social distancing protocols for COVID-19, meetings will be conducted over the phone to the maximum extent feasible, and a screenshare program (such as Zoom) will be used as needed to share information.

*Task 6 Assumptions:*

- Project status meetings will occur as phone calls

*Task 6 Deliverables:*

- Agenda and action items for each status meeting
- QA/QC complete for each project deliverable

## Schedule

Rincon will work with CMWD to provide submittals in a timely manner. As stated in the introduction to this letter, Rincon understands that preparation of the project’s CEQA documentation is time-sensitive, as CMWD’s application for grant funding to support the project requires the public review draft IS-MND to have been published at the time the grant application is submitted. Because grant funds are awarded on a first-come first-served basis, the schedule below provides for expedited development of the public review Draft IS-MND.

The schedule below provides for completion of the complete scope of work for an IS-MND within 24 weeks, with the public review Draft IS-MND available within approximately 12 weeks, or approximately three (3) months from NTP. If it is determined based upon the outcome of Phase 1 of this revised scope of work that the project may achieve CEQA compliance through a CE, then the scope of work including technical studies (required for CEQA-Plus) may be complete within approximately 12 weeks from NTP.

As mentioned above, it is understood that CMWD’s application for EDG Program funding is required to include Draft CEQA documentation, and the schedule to reaching the public review stage has therefore been accelerated, as shown below. Rincon will closely monitor the schedule during execution of this scope of work, and will coordinate with CMWD immediately if any factors affecting schedule arise, so that this scope of work can be completed as outlined below.

Deliverable	Timing and Assumptions	Week No.
Kickoff Meeting & Site Visit	Within one week of CMWD’s issuance of NTP for the approved scope of work. Rincon will provide initial data requests. CMWD will provide all existing design information, maps, and site-specific studies.	1
Draft Project Description	Within one week of the kickoff meeting, assuming CMWD provides responses to all data requests.	2
<i>CMWD review of the Project Description</i>	<i>One week.</i>	<i>3</i>
Administrative Draft IS-MND* and Technical Studies	Within four weeks of CMWD approval of the Project Description.	7
<i>CMWD Admin Draft Review #1</i>	<i>One week.</i>	<i>8</i>
Revised Admin Draft IS-MND #1	Within one week of receipt of CMWD’s comments from Review #1.	9
<i>CMWD Admin Draft Review #2</i>	<i>One week.</i>	<i>10</i>





“Screencheck” Draft IS-MND	Within one week of receipt of CMWD’s comments from Review #2.	11
<i>CMWD approval of the Screencheck Draft IS-MND</i>	<i>Within one week; the purpose of this review step is to confirm the Draft IS-MND is ready for public review, and no substantive changes will be needed.</i>	12
Draft IS-MND	Upon CMWD’s approval of the Screencheck Draft IS-MND, it will comprise the Draft IS-MND to be published for public review.	12
<i>Public Review Period</i>	<i>Assuming a 30-day public review period.</i>	<i>13-16</i>
Final IS-MND and MMRP	Within two weeks of the close of the public review period.	18
<i>CMWD Final Review</i>	<i>Two weeks total.</i>	<i>20</i>
Revised Final IS-MND and MMRP #1	Within two weeks of receipt of CMWD’s comments from Review #1.	22
<i>CMWD Final Review #2</i>	<i>One week total.</i>	<i>23</i>
Revised Final IS-MND and MMRP #2	Within one week of receipt of CMWD comments from Review #2.	24
CMWD Board of Directors meeting to approve the proposed project	Board meetings are held on the second and fourth Wednesdays of each month at 5:00 p.m.	TBD

*\* If it is determined based upon the results and recommendations of the Technical Studies that the proposed project may achieve CEQA compliance through a CE instead of an IS-MND, then the environmental analysis prepared to date at this point in the schedule will be transitioned from an IS-MND format to a CE format, and a Final CE including NOE and with the supporting technical studies will be provided within five weeks from this point, such that the entire scope of work for a CE would be complete within approximately 12 weeks.*

## Cost

Our cost estimate to complete the IS-MND scope of work is **\$74,205**. As discussed previously, the same technical studies would be required to inform the project’s CEQA documentation for either a CE pathway or an IS-MND pathway; therefore, the cost for either pathway would be the same through Task 2, totaling \$34,109. Task 3, for the preparation of Administrative Draft CEQA documentation, would be executed concurrently with Task 2, for the technical studies, in order to streamline the project schedule; if the project is determined to be eligible for a CE, that determination will be made at some point during the concurrent execution of Tasks 2 and 3, and all analysis conducted to date at that time will be shifted from the IS-MND format to the CE format, to save both time and budget while streamlining the schedule. Should this occur, the overall cost for the scope of work would be reduced, because a CE does not require the same level of detail or public review that is required for an IS-MND; however, it is not known at this time by how much the cost would be reduced, as that will depend on when during the execution of this scope of work the determination is made. Rincon will coordinate with CMWD immediately regarding cost of the reduced scope of work should the CE pathway be determined to be appropriate for the project.



	Hours	Labor Budget	Direct Expenses	Total Budget
<b>Task 1: Project Initiation and CEQA Project Description</b>	28	5,096	188	5,284
Task 1.1 Kickoff Meeting and Site Visit	11	2,114	188	2,302
Task 1.2 CEQA Project Description	17	2,982	0	2,982
<b>Task 2: Technical Studies</b>	182	27,390	1,435	28,825
Task 2.1 AQ/GHG and FCAA Conformity	28	4,714	0	4,714
Task 2.2 Biological Resources Assessment	66	9,468	85	9,553
Task 2.3 Cultural Resources Technical Study	75	11,003	1,005	12,008
Task 2.4 Paleontological Resources Assessment	13	2,205	345	2,550
<b>Task 3: Administrative Draft IS-MND</b>	172	27,050	0	27,050
	172	27,050	0	27,050
<b>Task 4: Draft IS-MND and NOI</b>	26	3,932	0	3,932
	26	3,932	0	3,932
<b>Task 5: Final IS-MND and MMRP</b>	36	5,774	0	5,774
	36	5,774	0	5,774
<b>Task 6: Project Management and Status Meetings</b>	16	3,340	0	3,340
	16	3,340	0	3,340
<b>Project Total</b>	<b>460</b>	<b>72,582</b>	<b>1,623</b>	<b>74,205</b>
<b>Direct Expenses Summary</b>				<b>Amount</b>
Record Search				1,265
Sound Level Field Monitoring Package				103
Vehicle Day Rate				255
<b>Direct Expenses Subtotal</b>				<b>1,623</b>

This proposal is valid for a period of 30 days and is fully negotiable to meet the needs of CMWD. We appreciate the opportunity to assist CMWD with this project. Please let us know if you have any questions regarding this proposal.

Sincerely,

**Rincon Consultants, Inc.**

Aubrey Mescher  
 Project Manager

Jennifer Haddow, PhD  
 Principal Environmental Scientist

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**CASITAS MUNICIPAL WATER DISTRICT  
MEMORANDUM**

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**TO:** BOARD OF DIRECTORS  
**FROM:** MICHAEL FLOOD, GENERAL MANAGER  
**SUBJECT:** PREQUALIFICATION OF PIPELINE CONTRACTORS FOR 2022  
**DATE:** 12/08/21

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**RECOMMENDATION:**

- Determine bids for pipeline construction will only be accepted from the provided list of pre-qualified contractors for calendar year 2022 and the contractors who provided labor and equipment schedules may perform emergency pipeline repairs using their 2022 rate schedule.

**BACKGROUND:**

The District issued a Request for Qualifications for Pipeline Contractors on October 28, 2021. Seventeen qualification packages were received. Sixteen contractors received passing scores based on reference checks, safety record, bonding capacity, compliance with civil and criminal law, and other factors in the questionnaire. The contractors who are eligible to submit bids for pipeline construction in 2022 are:

- |  |  |
|--|--|
| 1. Blois Construction, Inc.                  | 9. Pipe Jacking Trenchless, Inc.       |
| 2. BSN Construction, Inc.                    | 10. Sam Hill & Sons, Inc               |
| 3. Burns-Pacific Construction, Inc.          | 11. Tierra Contracting, Inc            |
| 4. CD Lyon, Inc.                             | 12. Toro Enterprises                   |
| 5. Cedro Construction, Inc.                  | 13. Travis Agricultural Construction   |
| 6. Damar Construction, Inc.                  | 14. Unified Field Services Corporation |
| 7. J&H Engineering General Contractors, Inc. | 15. Union Engineering                  |
| 8. J Vega Engineering, Inc.                  | 16. WM Lyles                           |

Contractors who provided their labor and equipment rate schedules will be used in the event emergency pipeline repairs are performed.

**FINANCIAL IMPACT:**

The fiscal year 2021-22 capital improvement program budget includes construction of several pipeline projects in the Casitas and Ojai systems, which will also be funded in the fiscal year 2022-23 budget. Emergency repairs will be performed as necessary from operating funds.

# MEMORANDUM

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TO: Board of Directors  
From: Michael L. Flood, General Manager  
RE: **Denial of a claim at 5510 Casitas Pass Road, Ventura Ca.**  
Date: December 3, 2021

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## RECOMMENDATION:

Deny the claim at 5510 Casitas Pass Road, Ventura Ca.

## BACKGROUND:

The attached claim was received by Casitas MWD regarding conditions at 5510 Casitas Pass Road Ventura, Ca.

It is recommended that the Board of Directors deny the claim without comment.

## Casitas Municipal Water District Claim Form

Claimant must show:

Todays Date: 3-29-2018

Name: Levinson William C ET AL

Address: 5510 casitas pass rd Ventura ca 93001

PO Box or address to which claimant wants notices to be sent: 5510 casitas pass rd Ventura ca 93001

Date of circumstance or occurrence: 12-27-2017

Place of circumstance or occurrence: Directly below casitas tank. Starting at the storm drain and continuing 200 yards down the mountain.


Other circumstances which gave rise to the claim: not maintaining casitas drainage coming from the tank pad. Mark Flood was notified 12-27-17. Mark Flood was made aware of potential occurrence of property damage to Levinson William C ET AL property, and ignored and never responded back.

General description of indebtedness, obligation, injury, damage or loss incurred so far as it may be known at the time of presentation of the claim: A 200-yard landslide downhill destroyed 2 terraces and up to 30 productive avocado trees.


Name or names of public employees causing the injury, damage, or loss if known: Mark Flood is negligent for never following up and inquiring to prevent the possible disaster and was warned 3 months prior.

The amount claimed if it totals less than ten thousand dollars (\$10,000) as of the date of presentation of the claim, including the estimated amount of any prospective injury, damage, or loss insofar as it may be known at the time of the claim together with the basis of computation of the amount claims. If the amount claimed exceeds ten thousand dollars (\$10,000), no dollar amount shall be included in the claim; however, it shall indicate whether jurisdiction over the claim would rest in municipal or superior court.

Most likely municipal court and we will be getting bids from license contractors and waiting to hear from Casitas. The longer it takes, be aware that there could be catastrophic damages including Casitas tank falling of the hill and jeopardizing households of people below it. (Productive). Also, the underground utilities that service my client's property may be damaged.

Signature 

Date 3-29-18

Signature  JOSHUA Levinson

Date 3-29-18

Signature  Helena Levinson

Date 3-29-18



















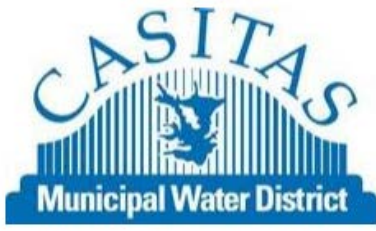


**LAKE IMPROVEMENT FOUNDATION**

<b>DATE</b>	<b>FROM</b>	<b>DEPOSIT</b>	<b>PYMTS</b>	<b>BALANCE</b>
10/1/1997	Tanaka Bait & Tackle	500.00		\$500.00
10/1/1998	Oak View Civic Council	50.00		\$550.00
10/1/1998	Tanaka Bait & Tackle	1,250.00		\$1,800.00
9/1/1999	Tanaka Bait & Tackle	1,700.00		\$3,500.00
9/1/1999	Rotary Club of Ojai West	500.00		\$4,000.00
12/1/1999	Suzi Lydick	250.00		\$4,250.00
1/1/2000	Bill Hicks	300.00		\$4,550.00
5/1/2000	Pat Weinberger		487.99	\$4,062.01
6/1/2000	Cash Contributions	34.00		\$4,096.01
6/1/2000	James Word	15.00		\$4,111.01
6/1/2000	Ronald Paul	45.00		\$4,156.01
6/1/2000	Doris Harbison	15.00		\$4,171.01
?????	Unknown Entry	212.54		\$4,383.55
8/14/2002	Secretary of State		20.00	\$4,363.55
4/21/2003	American Bass Association	1,155.00		\$5,518.55
6/26/2003	American Bass Association	1,025.00		\$6,543.55
6/30/2004	Interest Transfer for Year	127.08		\$6,670.63
6/30/2004	Memorial for Jim Loeble		177.04	\$6,493.59
12/23/2003	Elaine Paul	100.00		\$6,593.59
7/1/2003	Affinity Group	250.00		\$6,843.59
6/30/2005	Santa Barbara Monumental Co.		283.08	\$6,560.51
9/23/2005	Interest Transfer for Year	159.68		\$6,720.19
8/18/2005	Secretary of State		20.00	\$6,700.19
1/25/2006	The Tax Specialists		500.00	\$6,200.19
6/30/2006	Interest Transfer for Year	233.55		\$6,433.74
2/6/2007	Norm Smith / Family Fishing		500.00	\$5,933.74
9/12/2007	State of California		20.00	\$5,913.74
12/26/2007	Roger Snowbarger	100.00		\$6,013.74
3/14/2008	Kenneth Wayne McFeeters	50.00		\$6,063.74
3/14/2008	Wells Hall	100.00		\$6,163.74
3/14/2008	David C. Regan	100.00		\$6,263.74
3/19/2008	Ojai Electric	100.00		\$6,363.74
3/19/2008	Ventura Wholesale Electric Inc.	15.00		\$6,378.74
3/24/2008	Coordinated Wire Rope	200.00		\$6,578.74
7/18/2008	Night Fishing Tournament	1,170.00		\$7,748.74
8/22/2008	Contest for Fair Booth LCRA	300.00		\$8,048.74
9/9/2008	Night Fishing Tournament	1,305.00		\$9,353.74
9/9/2008	Night Fishing Tournament	1,350.00		\$10,703.74
9/10/2008	Moonlight Fishing	990.00		\$11,693.74
10/9/2008	Visions in Time Foundation	500.00		\$12,193.74
10/21/2008	Night Fishing Tournament	1,215.00		\$13,408.74
10/21/2008	Night Fishing Tournament	900.00		\$14,308.74
10/30/2008	Reclass to Revenue Re: Rob, Pirates Festival		500.00	\$13,808.74
12/18/2008	Moonlight Fishing	510.00		\$14,318.74
2/1/2009	Okuma Fishing Tackle		858.00	\$13,460.74
2/1/2009	Okuma Fishing Tackle		683.18	\$12,777.56
2/1/2009	Okuma Fishing Tackle		333.19	\$12,444.37
2/1/2009	Okuma Fishing Tackle		482.63	\$11,961.74
2/1/2009	Okuma Fishing Tackle		107.25	\$11,854.49
4/1/2009	Casitas Park Store		1,250.00	\$10,604.49
4/1/2009	Casitas Park Store		1,250.00	\$9,354.49
5/8/2009	State of California		20.00	\$9,334.49



6/17/2009	Night Fishing Tournament	1,440.00		\$10,774.49
6/17/2009	Night Fishing Tournament	1,035.00		\$11,809.49
7/28/2009	Donation	510.00		\$12,319.49
8/18/2009	Donation Shelly M. Reyes	990.00		\$13,309.49
8/27/2009	Donation West Coast Christian Anglers	420.00		\$13,729.49
9/22/2009	Donation Shelly M. Reyes	855.00		\$14,584.49
9/22/2009	Donation Shelly M. Reyes	810.00		\$15,394.49
9/29/2009	Donation West Coast Christian Anglers	570.00		\$15,964.49
2/22/2010	Donation Kiwanis Club	500.00		\$16,464.49
2/22/2010	Donation Firemans Assoc. Charity Fund	606.00		\$17,070.49
3/15/2010	Check 4569 Okuma Fishing Tackle		985.07	\$16,085.42
3/15/2010	Check 4717 Coordinated Wire Rope		374.19	\$15,711.23
3/19/2010	Check 4770 Sysco Food Services of LA		2,249.63	\$13,461.60
3/20/2010	Check 4648 Harbor Freight		21.60	\$13,440.00
3/25/2010	Check 4725 Erics Tackle		593.99	\$12,846.01
3/25/2010	Petty Cash Family Fishing Day		43.11	\$12,802.90
6/29/2010	Donation Shelly M. Reyes	900.00		\$13,702.90
3/9/2011	Importation Permit / Fish Planting		45.25	\$13,657.65
3/23/2011	Rainbow Trout / Kids Fishing Day		7,500.50	\$6,157.15
3/24/2011	Food for Kids Fishing Day / Water Spring Alpine		239.60	\$5,917.55
3/24/2011	Food for Kids Fishing Day / Hot Dog Buns		315.90	\$5,601.65
5/9/2011	State of California		20.00	\$5,581.65
5/10/2011	LCIF Night Fishing	400.00		\$5,981.65
6/15/2011	Jim Reyes	925.00		\$6,906.65
8/29/2011	Money Order	500.00		\$7,406.65
10/18/2011	Daniel & Megan Merchant	155.00		\$7,561.65
10/18/2011	Kevin Caruso	255.00		\$7,816.65
2/22/2012	Flora Gardens - Replace Lobal Oak Tree		80.43	\$7,736.22
2/24/2012	Harbor Freight - Ties for Kids Fishing Day		8.54	\$7,727.68
6/15/2012	Donation - Richard Tauber	494.00		\$8,221.68
8/6/2012	Donation - Richard Tauber	416.00		\$8,637.68
8/10/2012	Donation - Richard Tauber	338.00		\$8,975.68
8/10/2012	Donation - Richard Tauber	105.00		\$9,080.68
8/14/2012	Donation - Richard Tauber	494.00		\$9,574.68
9/4/2012	Donation - Richard Tauber	100.00		\$9,674.68
9/4/2012	Donation - Richard Tauber	338.00		\$10,012.68
9/4/2012	Donation - Richard Tauber	520.00		\$10,532.68
12/19/2012	Live Rainbow Trout		2,101.80	\$8,430.88
12/1/2012	Live Rainbow Trout		2,101.80	\$6,329.08
4/4/2013	State of California		20.00	\$6,309.08
5/2/2013	Donation - Richard Tauber	1,120.00		\$7,429.08
5/8/2013	Donation - Richard Tauber	1,120.00		\$8,549.08
6/27/2013	Donation - Richard Tauber	1,120.00		\$9,669.08
7/24/2013	Donation - Richard Tauber	1,120.00		\$10,789.08
9/9/2013	Donation - Richard Tauber	1,120.00		\$11,909.08
9/18/2013	Dockside Products - Rowing Dock for LCRA		4,000.00	\$7,909.08
2/25/2014	LCIF Exemption form 1023		400.00	\$7,509.08
10/4/2014	Donation - Richard Tauber	7,952.00		\$15,461.08
4/8/2015	State of California		20.00	\$15,441.08
9/25/2015	PSP Matting		3,406.03	\$12,035.05
4/28/2016	PSP Matting		1,786.29	\$10,248.76
4/25/2017	State of California		20.00	\$10,228.76
3/14/2019	LCIF Donation-LCRA unclaimed after 90 days	111.05		\$10,339.81
4/4/2019	Purchased Triploid Trout for Kids Fishing Day		10,128.00	\$211.81
9/18/2019	LCIF Donation-Found in Lobby	20.00		\$231.81



**Casitas Municipal Water District**  
**State Water Project - Interconnect Project Costs**  
**As of 11/30/2021**

Project No:	Project Name:	Costs paid to date	Encumbered	Total Encumbered & Cost To Date
378	State Water Interconnect - Calleguas to Casitas	116,252	-	116,252
527	State Water Interconnect - Carpinteria to Casitas	674,580	2,076,253	2,750,833
606	State Water Interconnect - Ventura to Casitas	224,241	25,002	<u>249,242</u>
Project(s) Cost To Date:				<u><u>3,116,327</u></u>

**CASITAS MUNICIPAL WATER DISTRICT  
COMMUNITY FACILITIES DISTRICT NO. 2013-1 (OJAI)  
SPECIAL TAX AND BOND ACCOUNTABILITY REPORT**

The purpose of this report is to comply with the provisions of the Local Agency Special Tax and Bond Accountability Act (the "Accountability Act"). According to Senate Bill ("SB") 165, any local special tax measure that is subject to voter approval on or after January 1, 2001 that would provide for the imposition of a special tax by a local agency shall require the chief fiscal officer of the levying local agency to file an annual Special Tax and Bond Accountability Report ("Accountability Report") with its governing body no later than January 1, 2002, and at least once a year thereafter, meeting the requirements of the Accountability Act. The Accountability Report shall contain a description of the following:

- The amount of funds collected and expended.
- The status of any project required or authorized to be funded as identified in subdivision (a) of Section 50075.1 and Article 1.5, Section 53410.

In compliance with the required Accountability Report the following is submitted:

The Casitas Municipal Water District Community Facilities District No. 2013-1 (Ojai) ("CFD No. 2013-1") issued \$39,910,000 in bonds in May 2017, consisting of \$100,000 aggregate principal amount of its Series A Special Tax Bonds and \$39,810,000 aggregate principal amount of its Series B Special Tax Bonds. In November 2019, CFD No. 2013-1 issued \$12,265,000 aggregate principal amount of Series C Special Tax Bonds. The Series A Special Tax Bonds, Series B Special Tax Bonds, and the Series C Special Tax Bonds are collectively referred to herein as the "Bonds". The Bonds have been issued to finance the acquisition of water facilities serving property owners within CFD No. 2013-1, and the construction of certain eligible infrastructure improvements to these water facilities needed to serve the property owners within CFD No. 2013-1, both as described in Resolution No. 13-12 adopted by the Casitas Municipal Water District on March 13, 2013.

Separate accounts have been established with a third-party trustee to administer the receipt and subsequent disbursement of the bond proceeds for Casitas Municipal Water District Community Facilities District No. 2013-1 (Ojai). A summary sheet showing the deposit of bond proceeds as well as all subsequent disbursements made during the reporting period (November 1, 2020 through October 31, 2021) is attached as part of this report.

On June 7, 2017 a payment to the Golden State Water Company in the amount of \$34,481,628 was paid with monies in the Improvement Funds for the acquisition of water facilities serving property owners within CFD No. 2013-1.

Additionally, as of October 31, 2021, Casitas Municipal Water District staff had processed twenty (20) requisitions, resulting in the Casitas Municipal Water District being reimbursed a total of \$14,061,535 from the Improvement Funds for improvements to the water meter installation and pipeline repair at the intersection of Mallory Way and Eucalyptus Street, applicable water meter costs, Ojai system master plan, running ridge hydraulic improvements, signal booster zone hydraulic improvements, Casitas-Ojai system integration, Heidelberg pump plant retaining wall, valve and appurtenance replacement at Ventura Street, Mutual and San Antonio well rehabilitation and replacement, Mutual well #7 drilling and equipping, Mutual building improvements, and San Antonio building improvements and wellfield variable frequency drives (VFDs). Pipeline has been replaced at Sunset Place, Cuyama, Palomar and El Paseo roads, Fairview, Grand Avenue, Emily Street, south San Antonio and Crestview Drive, Ojai Avenue, and Grand Ave and Lion Street. Design work has also been done for the Pleasant Avenue, Daly Road pipeline.

CFD No. 2013-1 special taxes were levied in fiscal year 2020-2021 in the amount of \$2,772,642. These special taxes were used to pay debt service on the Bonds, administrative expenses of CFD No. 2013-1, and directly for authorized public infrastructure.

**CASITAS MUNICIPAL WATER DISTRICT  
COMMUNITY FACILITIES DISTRICT NO. 2013-1 (OJAI)  
SERIES 2017 & SERIES 2019 SPECIAL TAX BONDS**

**SB 165 FUND SUMMARY**

<b>Series 2017 Funds &amp; Accounts</b>	<b>Bond Proceeds (Deposited on 5/31/17)</b>	<b>Funds Previously Accrued</b>	<b>Funds Previously Expended</b>	<b>Ending Balance as of 10/31/20</b>	<b>Funds Accrued (11/1/20 through 10/31/21)</b>	<b>Funds Expended (11/1/20 through 10/31/21)</b>	<b>Ending Balance as of 10/31/21</b>
Improvement Fund	\$42,658,223.98	\$219,342.70	(\$42,777,907.18)	\$99,659.50	\$3.27	(\$99,662.60)	\$0.17
Special Tax Fund	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Administrative Expense Fund	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Costs of Issuance Fund <sup>[1]</sup>	\$326,000.00	\$0.00	(\$326,000.00)	\$0.00	\$0.00	\$0.00	\$0.00
Bond Fund	\$466,447.67	\$6,194,872.10	(\$6,661,315.75)	\$4.02	\$2,112,285.34	(\$2,112,287.50)	\$1.86
Reserve Fund <sup>[2]</sup>	\$0.00	\$2,624,671.88	\$0.00	\$2,624,671.88	\$0.00	\$0.00	\$2,624,671.88
Special Tax Prepayments Account	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Rebate Fund	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Grand Total</b>	<b>\$43,450,671.65</b>	<b>\$9,038,886.68</b>	<b>(\$49,765,222.93)</b>	<b>\$2,724,335.40</b>	<b>\$2,112,288.61</b>	<b>(\$2,211,950.10)</b>	<b>\$2,624,673.91</b>

<b>Series 2019 Funds &amp; Accounts</b>	<b>Bond Proceeds (Deposited on 11/5/19)</b>	<b>Funds Previously Accrued</b>	<b>Funds Previously Expended</b>	<b>Ending Balance as of 10/31/20</b>	<b>Funds Accrued (11/1/20 through 10/31/21)</b>	<b>Funds Expended (11/1/20 through 10/31/21)</b>	<b>Ending Balance as of 10/31/21</b>
Improvement Fund	\$13,570,000.00	\$60,171.81	(\$1,064,520.46)	\$12,565,651.35	\$703.51	(\$4,601,073.07)	\$7,965,281.79
Costs of Issuance Fund <sup>[3]</sup>	\$195,465.66	\$31.30	(\$195,496.96)	\$0.00	\$0.00	\$0.00	\$0.00
Reserve Fund <sup>[4]</sup>	\$0.00	\$735,607.50	\$0.00	\$735,607.50	\$0.00	\$0.00	\$735,607.50
Bonds Proceeds Account	\$0.00	\$588,151.10	(\$588,151.10)	\$0.00	\$601,001.03	(\$601,000.00)	\$1.03
<b>Grand Total</b>	<b>\$13,765,465.66</b>	<b>\$1,383,961.71</b>	<b>(\$1,848,168.52)</b>	<b>\$13,301,258.85</b>	<b>\$601,704.54</b>	<b>(\$5,202,073.07)</b>	<b>\$8,700,890.32</b>

**Notes:**

[1] Costs of issuance included (i) \$326,000.00 deposited into Costs of Issuance Fund, (ii) discount of \$214,316.70 retained by underwriter, (iii) payment of \$415,883.85 for bond insurance, (iv) payment of \$56,430.45 for surety bond, less (v) original issue premium of \$4,227,302.65.

[2] Reserve Fund balance is based on market value and represents the Municipal Bond Debt Service Reserve Insurance Policy in the face amount of \$2,624,671.88 issued by Build America Mutual Assurance Company. The Reserve Policy constitutes a Credit Facility under the Fiscal Agent Agreement and is being issued in the amount of the Reserve Requirement.

[3] Costs of issuance included (i) \$195,465.66 deposited into Costs of Issuance Fund, (ii) discount of \$82,788.75 retained by underwriter, (iii) payment of \$112,589.18 for bond insurance, (iv) payment of \$15,815.56 for surety bond, less (v) original issue premium of \$1,711,659.15.

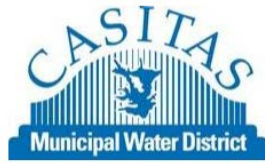
[4] Reserve Fund balance is based on market value and represents the Municipal Bond Debt Service Reserve Insurance Policy in the face amount of \$735,607.50 issued by Build America Mutual Assurance Company. The Reserve Policy constitutes a Credit Facility under the Fiscal Agent Agreement and is being issued in the amount of the Reserve Requirement.



**Casitas Municipal Water District  
Adjudication Charge Summary Report**

	2020 July	2020 August	2020 September	2020 October	2020 November	2020 December	2021 January	2021 February	2021 March	2021 April	2021 May	2021 June	FY21 YTD
Revenue	(58,817)	(59,032)	(59,061)	(59,278)	(49,090)	(48,787)	(49,013)	(48,754)	(48,737)	(49,088)	(48,639)	(46,304)	(624,600)
Expenses													
Legal	-	26,378	15,228	-	29,451	4,917	4,625	14,288	1,344	32,955	15,958	13,332	158,476
Other Pro Fees	-	-	-	-	-	-	20,322	14,782	-	-	7,813	82,257	125,175
Bank Fees	-	-	-	-	130	-	-	-	-	-	-	-	130
<b>Net Total</b>	<b>(58,817)</b>	<b>(32,654)</b>	<b>(43,833)</b>	<b>(59,278)</b>	<b>(19,509)</b>	<b>(43,870)</b>	<b>(24,066)</b>	<b>(19,684)</b>	<b>(47,393)</b>	<b>(16,133)</b>	<b>(24,868)</b>	<b>49,285</b>	<b>(340,819)</b>
Cash Collected	948	2,630	44,674	48,421	47,746	50,454	48,260	46,160	52,298	46,680	49,070	46,673	484,014
Cash Disbursed	-	(26,378)	(15,228)	(0)	(29,573)	(4,917)	(24,955)	(29,070)	(1,344)	(32,955)	(23,771)	(63,445)	(251,637)
Accounts Payable	-	-	-	-	(8)	-	8	-	-	-	(0)	(32,144)	(32,144)
Accounts Receivable	47,737	46,263	4,271	738	1,344	(1,667)	754	2,594	(3,561)	2,408	(431)	(369)	100,081
<b>Net Total</b>	<b>48,685</b>	<b>22,515</b>	<b>33,717</b>	<b>49,160</b>	<b>19,509</b>	<b>43,870</b>	<b>24,066</b>	<b>19,684</b>	<b>47,393</b>	<b>16,133</b>	<b>24,868</b>	<b>(49,285)</b>	<b>300,314</b>
	2021 July	2021 August	2021 September	2021 October	2021 November	2021 December	2022 January	2022 February	2022 March	2022 April	2022 May	2022 June	YTD
Revenue	(48,514)	(48,430)	(48,489)	(48,520)	9	-	-	-	-	-	-	-	(818,543)
Expenses													
Legal	-	-	-	-	-	-	-	-	-	-	-	-	158,476
Other Pro Fees	-	12,030	18,564	23,673	46,621	-	-	-	-	-	-	-	226,063
Bank Fees	-	-	-	-	-	-	-	-	-	-	-	-	130
<b>Net Total</b>	<b>(48,514)</b>	<b>(36,400)</b>	<b>(29,925)</b>	<b>(24,847)</b>	<b>46,630</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(433,874)</b>
Cash Collected	50,335	46,498	49,795	48,266	(567)	-	-	-	-	-	-	-	678,341
Cash Disbursed	(32,144)	(22,110)	(18,564)	(23,673)	-	-	-	-	-	-	-	-	(348,128)
Accounts Payable	32,144	10,079	-	-	-	-	-	-	-	-	-	-	10,079
Accounts Receivable	(1,821)	1,932	(1,306)	253.23	(46,063)	-	-	-	-	-	-	-	53,077
<b>Net Total</b>	<b>48,514</b>	<b>36,400</b>	<b>29,925</b>	<b>24,847</b>	<b>(46,630)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>393,369</b>
Note: Data as of 12/01/2021	-	-	-	-	-	-	-	-	-	-	-	-	330,214





**Casitas Municipal Water District  
Revenue & Expense Report  
For the Month Ending, September 30th, 2021**

% of the Year Completed: 25.00%

	Current Budget (a)	Current Period Balance	Year to Date Balance (b) FY2021	Prior Year to Date Balance FY2020
Water Sales	8,492,083	1,308,845	4,026,773	3,127,159
Water Standby	5,075,845	473,328	1,426,422	1,270,092
Water Delinquency & Penalties	97,951	125,274	483,418	312,658
Water Other	15,218	-	5,550	2,625
Recreation- Operations	3,871,270	243,431	962,669	952,488
Recreation- Water Park	542,776	-	-	(75)
Miscellaneous Operational	446,849	7,144	138,202	12,559
<b>Subtotal Operating Revenue (d)</b>	<b>18,541,992</b>	<b>2,158,022</b>	<b>7,043,033</b>	<b>5,677,506</b>
Miscellaneous Non-Operational	732,162	1,838	9,946	192,539
Grants/ Reimbursements	1,425,000	-	-	-
Taxes & Assessments	6,275,639	42,287	42,287	63,879
Miscellaneous	-	-	-	-
<b>Subtotal Non-Operating Revenue (e)</b>	<b>8,432,801</b>	<b>44,126</b>	<b>52,233</b>	<b>256,418</b>
<b>Total Revenue (d+e)</b>	<b>26,974,793</b>	<b>2,202,148</b>	<b>7,095,266</b>	<b>5,933,924</b>

Total Encumbered (c)	Budget Remaining (a)-(b)-(c)	% YTD Budget (b)/(a)	% YTD Budget Encumbered (b+c)/(a)
-	4,465,310	47.42%	47.42%
-	3,649,423	28.10%	28.10%
-	(385,467)	493.53%	493.53%
-	9,668	36.47%	36.47%
-	2,908,601	24.87%	24.87%
-	542,776	0.00%	0.00%
-	308,647	30.93%	30.93%
-	<b>11,498,959</b>	<b>37.98%</b>	<b>37.98%</b>
-	722,216	1.36%	1.36%
-	1,425,000	0.00%	0.00%
-	6,233,352	0.67%	0.67%
-	-	0.00%	0.00%
-	<b>8,380,568</b>	<b>0.62%</b>	<b>0.62%</b>
-	<b>19,879,527</b>	<b>26.30%</b>	<b>26.30%</b>

**Expenses**

Administration	1,420,804	121,864	323,277	529,589
Board of Directors	245,609	11,447	40,140	41,368
District Maintenance	652,945	51,531	143,003	148,550
Electrical Mechanical	3,193,279	271,612	518,481	638,644
Engineering	1,544,502	93,799	249,312	254,993
Fisheries	558,824	43,136	117,842	115,144
Human Resources	540,157	23,193	211,160	-
Information Technology	357,071	32,577	85,429	65,518
Management	1,167,833	97,350	267,454	383,922
Pipeline	1,693,105	135,859	327,636	404,198
Recreation - Operations / Maint. / PR / Water Pk	4,302,509	285,440	856,650	992,528
Retirees	510,395	38,589	116,178	127,643
Safety / Garage	259,509	19,606	59,530	71,594
Utilities Maintenance	885,052	78,306	257,759	232,310
Water Conservation - P/R	687,918	46,141	135,400	173,869
Water Quality- Lab	809,308	51,111	142,729	144,342
Water Treatment	2,013,736	166,535	460,603	445,248
<b>Total Operating Expenses (f)</b>	<b>20,842,556</b>	<b>1,568,096</b>	<b>4,312,584</b>	<b>4,769,460</b>
<b>Net, Operating gain/loss (d-f)</b>	<b>(2,300,564)</b>	<b>589,927</b>	<b>2,730,449</b>	<b>908,045</b>
<b>Net, total gain/loss (d+e-f)</b>	<b>6,132,237</b>	<b>634,052</b>	<b>2,782,682</b>	<b>1,164,463</b>

23,964	1,073,563	22.75%	24.44%
-	205,469	16.34%	16.34%
38,125	471,817	21.90%	27.74%
118,852	2,555,946	16.24%	19.96%
714,838	580,352	16.14%	62.42%
4,025	436,957	21.09%	21.81%
-	328,997	39.09%	39.09%
190	271,452	23.92%	23.98%
34,666	865,713	22.90%	25.87%
18,710	1,346,759	19.35%	20.46%
9,685	3,436,174	19.91%	20.14%
-	394,217	22.76%	22.76%
-	199,979	22.94%	22.94%
6,711	620,582	29.12%	29.88%
115,064	437,454	19.68%	36.41%
40,544	626,035	17.64%	22.65%
372,042	1,181,091	22.87%	41.35%
<b>1,497,417</b>	<b>15,032,555</b>	<b>20.69%</b>	<b>27.88%</b>

**Debt Service**

	Current Budget (a)	Current Period Balance	Year to Date Balance (b)	Prior Year to Date Balance
CFD 2013-1	2,748,438	271	1,161,733	1,169,390
Mira Monte	20,038	0	0.07	0
State Water	831,058	108,997	393,176	71
<b>Total Debt Service</b>	<b>3,599,534</b>	<b>109,268</b>	<b>1,554,909</b>	<b>1,169,461</b>

Total Encumbered (c)	Budget Remaining (a)-(b)-(c)	% YTD Budget (b)/(a)	% YTD Budget encumbered (b+c)/(a)
-	1,586,705	42.27%	42.27%
-	20,038	0.00%	0.00%
-	437,882	47.31%	47.31%
-	<b>2,044,625</b>	<b>43.20%</b>	<b>43.20%</b>

Capital	Current Budget (a)	Current Period Balance	Year to Date Balance (b) FY2021	Prior Year to Date Balance	Total Encumbered (c)	Budget Remaining (a)-(b)-(c)	% YTD Budget (b)/(a)	% YTD Budget encumbered (b+c)/(a)
	Administration	-	-	-	-	-	-	0.00%
Board of Directors	-	-	-	-	-	-	0.00%	0.00%
District Maintenance	16,000	-	-	-	40	15,960	0.00%	0.25%
Electrical Mechanical	80,900	14,076	23,185	4,405	6,686	51,029	28.66%	36.92%
Engineering	3,350,000	140,782	211,520	1,249,627	2,105,896	1,032,584	6.31%	69.18%
Engineering- CFD	6,291,000	637,929	1,365,727	-	1,035,255	3,890,018	21.71%	38.17%
Fisheries	-	-	-	-	-	-	0.00%	0.00%
Information Technology	-	-	-	-	-	-	0.00%	0.00%
Management	-	-	-	-	-	-	0.00%	0.00%
Pipeline	73,100	-	-	-	-	73,100	0.00%	0.00%
Recreation - Operations / Maint. / PR / Water Pk	227,500	167	7,431	-	7,450	212,619	3.27%	6.54%
Retirees	-	-	-	-	-	-	0.00%	0.00%
Safety / Garage	266,914	11,257	11,257	30,832	161,849	93,808	4.22%	64.85%
Utilities Maintenance	78,200	42,851	71,864	1,568	11,416	(5,080)	91.90%	106.50%
Water Conservation - P/R	-	-	-	-	-	-	0.00%	0.00%
Water Quality- Lab	84,544	-	2,454	17,662	5,097	76,993	2.90%	8.93%
Water Treatment	195,500	-	87,552	27,362	39,109	68,839	44.78%	64.79%
<b>Total Capital</b>	<b>10,663,658</b>	<b>847,062</b>	<b>1,780,990</b>	<b>1,331,455</b>	<b>3,372,798</b>	<b>5,509,870</b>	<b>16.70%</b>	<b>48.33%</b>
Robles Forebay Restoration (7/28)	-							
Grant Support Services (9/8)	75,000							
Robles Forebay Restoration (9/8)	320,475							
Robles Diversion Canal Panel Replacement (9/8)	15,000							
Mutual Well #7 (9/8)	795,000							
LCRA Prefabricated Camping Cabins (TBD)	90,000							
CalWEP Smart Rebates Program (9/22)	10,000							
Hildebrand Consulting- Water Rate Study (9/22)	79,810							
<b>Board Approved unbudgeted items</b>	<b>1,385,285</b>							
<b>Net assets, End of year</b>	<b>(9,516,240)</b>	<b>(322,278)</b>	<b>(553,216)</b>	<b>(1,336,452)</b>				
<small>(Total Revenue-Total Expenses-Total Debt Service-Total Capital-Unbudgeted Items)</small>								

	Beginning of Fiscal Year Balance	Year to Date Balance
General Fund Balance	6,616,588	4,965,812
U.S Bank Investments	11,185,313	11,106,976
U.S Bank Money Market Account	595,084	585,315
LAIF	482	482
County of Ventura Investment (COVI)	3,056	3,059
CFD-2013-1 Improvement Bond	11,067,442	9,198,410
<b>Total Reserves</b>	<b>29,467,965</b>	<b>25,860,054</b>

September Summary

- Water revenue is about \$1.2 million higher year over year and of that about \$171k is directly related to delinquencies/penalties.
- Majority of the capital expenses relate to CFD 2013-1 projects Lion Street pipeline replacement and Fairview Road connections, West Ojai pipeline replacement, and Grand Ave pipeline replacement. Other capital expenses include Santa Ana bridge pipeline replacement and Robles fish screen blasting.
- Recreation revenue is about the same year over year while expenses are \$136k lower.



**CASITAS MUNICIPAL WATER DISTRICT  
TREASURER'S MONTHLY REPORT OF INVESTMENTS  
11/30/21**

Type of Invest	Institution	CUSIP	Date of Maturity	Original Cost	Current Mkt Value	Rate of Interest	Date of Deposit	% of Portfolio	Days to Maturity
*TB	Federal Home Loan Bank	3130A0EN6	12/10/2021	\$547,735	\$500,360	2.875%	5/9/2016	4.55%	10
*TB	Federal Home Loan Bank	3130AIXJ2	6/14/2024	\$941,144	\$890,427	2.875%	8/2/2016	8.11%	914
*TB	Federal Home Loan Bank	3130A5VW6	7/10/2025	\$1,025,110	\$1,059,340	2.700%	5/10/2017	9.64%	1300
*TB	Federal National Assn	31315P2J7	5/1/2024	\$809,970	\$768,457	3.300%	5/25/2016	6.99%	871
*TB	Farmer MAC	31315PYF0	5/2/2028	\$512,355	\$545,630	2.925%	11/20/2017	4.97%	2312
*TB	Federal Farm CR Bank	31331VWN2	4/13/2026	\$940,311	\$843,357	5.400%	5/9/2016	7.68%	1573
*TB	Federal Home Loan Bank	313383YJ4	9/8/2023	\$476,582	\$435,377	3.375%	7/14/2016	3.96%	638
*TB	Farmer MAC	3133EEPH7	2/12/2029	\$480,251	\$515,714	2.710%	11/20/2017	4.69%	2592
*TB	Federal National Assn	3135G0K36	4/24/2026	\$2,532,940	\$2,602,125	2.125%	7/6/2010	23.69%	1584
*TB	Federal National Assn	3135G0ZR7	9/6/2024	\$1,488,050	\$1,465,852	2.625%	5/25/2016	13.34%	996
*TB	Federal Home Loan MTG Corp	3137EADB2	1/13/2022	\$683,584	\$665,780	2.375%	5/1/2016	6.06%	43
*TB	US Treasury Note	912828WE6	11/15/2023	\$723,061	\$693,442	2.750%	12/13/2013	6.31%	705
<b>Total in Gov't Sec. (11-00-1055-00&amp;1065)</b>				<b>\$11,161,094</b>	<b>\$10,985,860</b>			<b>99.97%</b>	
<b>Total Certificates of Deposit:</b>				<b>\$0</b>	<b>\$0</b>			<b>0.00%</b>	
**	<b>LAIF as of 6/30/2021: (11-00-1050-00)</b>		N/A	<b>\$482</b>	<b>\$482</b>	1.36%	Estimated	<b>0.00%</b>	
***	<b>COVI as of 6/30/2021: (11-00-1060-00)</b>		N/A	<b>\$3,066</b>	<b>\$3,066</b>	1.50%	Estimated	<b>0.03%</b>	
<b>TOTAL FUNDS INVESTED</b>				<b>\$11,164,643</b>	<b>\$10,989,409</b>			<b>100.00%</b>	
Total Funds Invested last report				\$11,164,635	\$11,019,521				
Total Funds Invested 1 Yr. Ago				\$11,755,763	\$12,010,334				
****	<b>CASH IN BANK (11-00-1000-00) EST.</b>			<b>\$6,200,634</b>	<b>\$6,200,634</b>				
	<b>CASH IN Custody Money Market</b>			<b>\$588,421</b>	<b>\$588,421.22</b>	0.30%			
<b>TOTAL CASH &amp; INVESTMENTS</b>				<b>\$17,953,698</b>	<b>\$17,778,464</b>				
TOTAL CASH & INVESTMENTS 1 YR AGO				\$15,353,568	\$15,608,139				
*CD	CD - Certificate of Deposit								
*TB	TB - Federal Treasury Bonds or Bills								
**	Local Agency Investment Fund								
***	County of Ventura Investment Fund								
	Estimated interest rate, actual not due at present time.								
****	Cash in bank								

No investments were made pursuant to subdivision (i) of Section 53601, Section 53601.1 and subdivision (i) Section 53635 of the Government Code.

All investments were made in accordance with the Treasurer's annual statement of investment policy.