



ORANGE COUNTY SANITATION DISTRICT **SPECIAL NOTICE REGARDING CORONAVIRUS (COVID-19)** **AND ATTENDANCE AT PUBLIC MEETINGS**

On March 4, 2020, Governor Newsom proclaimed a State of Emergency in California as a result of the threat of COVID-19. On March 12, 2020 and March 18, 2020, Governor Newsom issued Executive Order N-25-20 and Executive Order N-29-20, which temporarily suspends portions of the Brown Act which addresses the conduct of public meetings.

The General Manager and the Chairman of the Board of Directors have determined that due to the size of the Orange County Sanitation District's Board of Directors (25), and the health and safety of the members, the Board of Directors will be participating in meetings of the Board telephonically and via Internet accessibility.

PUBLIC PARTICIPATION

Your participation is always welcome. The Board of Directors meeting will be available to the public online at:

<https://ocsd.legistar.com/Calendar.aspx>

You may submit your comments and questions in writing for the Board's consideration in advance of the meeting by using the eComment feature available via the webpage above or sending them to OCSanClerk@ocsd.com with the subject line "PUBLIC COMMENT ITEM # (insert the item number relevant to your comment)" or "PUBLIC COMMENT NON-AGENDA ITEM". Submit your written comments by 6:00 p.m. on Tuesday, February 23, 2021.

You may also submit comments and questions for the Board's consideration during the meeting by using the eComment feature that will be available via the webpage above for the duration of the meeting.

All public comments will be provided to the Board and may be read into the record or compiled as part of the record.

Thank you.

February 17, 2021

NOTICE OF REGULAR MEETING

**BOARD OF DIRECTORS
ORANGE COUNTY SANITATION DISTRICT**

Wednesday, February 24, 2021 – 6:00 P.M.

ACCESSIBILITY FOR THE GENERAL PUBLIC

Due to the spread of COVID-19, the Orange County Sanitation District will be holding all upcoming Board and Committee meetings by teleconferencing and Internet accessibility. This meeting will be available to the public online at:

<https://ocsd.legistar.com/Calendar.aspx>

The Regular Meeting of the Board of Directors of the Orange County Sanitation District will be held in the manner indicated above on Wednesday, February 24, 2021 at 6:00 p.m.



Clerk of the Board

Upcoming Meetings – MARCH 2021:

**Special Board Meeting (Strategic Plan) -
Steering Committee -
Board Meeting -**

**Wednesday, March 17, 2021 at 2:00 p.m.
Wednesday, March 24, 2021 at 5:00 p.m.
Wednesday, March 24, 2021 at 6:00 p.m.**

Serving:

Anaheim
Brea
Buena Park
Cypress
Fountain Valley
Fullerton
Garden Grove
Huntington Beach
Irvine
La Habra
La Palma
Los Alamitos
Newport Beach
Orange
Placentia
Santa Ana
Seal Beach
Stanton
Tustin
Villa Park
County of Orange
Costa Mesa
Sanitary District
Midway City
Sanitary District
Irvine Ranch
Water District
Yorba Linda
Water District

BOARD MEETING DATES

March 24, 2021

April 28, 2021

May 26, 2021

June 23, 2021

July 28, 2021

August 25, 2021

September 22, 2021

October 27, 2021

November 17, 2021 *

December 15, 2021 *

January 26, 2022

February 23, 2022

**** Meeting will be held on the third Wednesday of the month***

ORANGE COUNTY SANITATION DISTRICT
BOARD OF DIRECTORS
Complete Roster

Effective 2/9/2021

AGENCY/CITIES	ACTIVE DIRECTOR	ALTERNATE DIRECTOR
Anaheim	Stephen Faessel	Jose Diaz
Brea	Glenn Parker	Steven Vargas
Buena Park	Art Brown	Connor Traut
Cypress	Stacy Berry	Anne Hertz
Fountain Valley	Patrick Harper	Glenn Grandis
Fullerton	Jesus J. Silva	Nick Dunlap
Garden Grove	Steve Jones	John O'Neill
Huntington Beach	Kim Carr	Dan Kalmick
Irvine	Anthony Kuo	Farrah N. Khan
La Habra	Rose Espinoza	Jose Medrano
La Palma	Marshall Goodman	Nitesh Patel
Los Alamitos	Mark A. Chirco	Ron Bates
Newport Beach	Brad Avery	Joy Brenner
Orange	Kim Nichols	Chip Monaco
Placentia	Chad Wanke	Ward Smith
Santa Ana	Johnathan Ryan Hernandez	Nelida Mendoza
Seal Beach	Sandra Massa-Lavitt	Schelly Sustarsic
Stanton	David Shawver	Carol Warren
Tustin	Ryan Gallagher	Austin Lumbard
Villa Park	Chad Zimmerman	Robert Collacott

Sanitary/Water Districts

Costa Mesa Sanitary District	Bob Ooten	Art Perry
Midway City Sanitary District	Andrew Nguyen	Sergio Contreras
Irvine Ranch Water District	John Withers	Douglas Reinhart
Yorba Linda Water District	Brooke Jones	Phil Hawkins

County Areas

Board of Supervisors	Doug Chaffee	Donald P. Wagner
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BOARD OF DIRECTORS
Regular Meeting Agenda
Wednesday, February 24, 2021 - 6:00 PM
Board Room
Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

AGENDA POSTING: In accordance with the requirements of California Government Code Section 54954.2, this agenda has been posted outside the main gate of the Sanitation District's Administration Building located at 10844 Ellis Avenue, Fountain Valley, California, and on the Sanitation District's website at www.ocsd.com not less than 72 hours prior to the meeting date and time above. All public records relating to each agenda item, including any public records distributed less than 72 hours prior to the meeting to all, or a majority of the Board of Directors, are available for public inspection in the office of the Clerk of the Board.

AGENDA DESCRIPTION: The agenda provides a brief general description of each item of business to be considered or discussed. The recommended action does not indicate what action will be taken. The Board of Directors may take any action which is deemed appropriate.

MEETING AUDIO: An audio recording of this meeting is available within 24 hours after adjournment of the meeting. Please contact the Clerk of the Board's office at (714) 593-7433 to request the audio file.

NOTICE TO DIRECTORS: To place items on the agenda for a Committee or Board Meeting, the item must be submitted in writing to the Clerk of the Board: Kelly A. Lore, MMC, (714) 593-7433 / klore@ocsd.com at least 14 days before the meeting.

FOR ANY QUESTIONS ON THE AGENDA, BOARD MEMBERS MAY CONTACT STAFF AT:

General Manager: Jim Herberg, jherberg@ocsd.com / (714) 593-7300
Asst. General Manager: Lorenzo Tyner, ltwyner@ocsd.com / (714) 593-7550
Asst. General Manager: Rob Thompson, rthompson@ocsd.com / (714) 593-7310
Director of Human Resources: Celia Chandler, cchandler@ocsd.com / (714) 593-7202
Director of Engineering: Kathy Millea, kmillea@ocsd.com / (714) 593-7365
Director of Environmental Services: Lan Wiborg, lwiborg@ocsd.com / (714) 593-7450

CALL TO ORDER

Board Chairman David Shawver

INVOCATION AND PLEDGE OF ALLEGIANCE

Doug Chaffee, Board of Supervisors

ROLL CALL AND DECLARATION OF QUORUM

Clerk of the Board

1. APPOINTMENTS TO THE ORANGE COUNTY SANITATION DISTRICT BOARD OF DIRECTORS [2021-1460](#)

RECOMMENDATION:

Receive and file minute excerpts of member agencies relating to appointments to the Orange County Sanitation District Board of Directors:

Agency	Director	Alternate Director
City of Orange	Kim Nichols	Chip Monaco
Yorba Linda Water District	Brooke Jones	Phil Hawkins
Board of Supervisors	Doug Chaffee	Donald P. Wagner

Originator: Kelly Lore

PUBLIC COMMENTS:

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You may submit your comments and questions in writing for the Board of Directors consideration in advance of the meeting by using the eComment feature available via the webpage above or sending them to OCSanClerk@ocsd.com with the subject line "PUBLIC COMMENT ITEM # (insert the item number relevant to your comment)" or "PUBLIC COMMENT NON-AGENDA ITEM". Submit your written comments by 6:00 p.m. on February 23, 2021.

You may also submit comments and questions for the Board of Directors consideration during the meeting by using the eComment feature that will be available via the webpage above for the duration of the meeting. All public comments will be provided to the Board of Directors and may be read into the record or compiled as part of the record.

SPECIAL PRESENTATIONS:

2. COMMENDATIONS TO OUTGOING BOARD MEMBERS [2021-1496](#)

RECOMMENDATION:

CITY/AGENCY	DIRECTOR	ALTERNATE DIRECTOR
Orange	Mark Murphy	

Originator: Kelly Lore

REPORTS:

The Board Chairperson and the General Manager may present verbal reports on miscellaneous matters of general interest to the Directors. These reports are for information only and require no action by the Directors.

CONSENT CALENDAR:

Consent Calendar Items are considered to be routine and will be enacted, by the Board of Directors, after one motion, without discussion. Any items withdrawn from the Consent Calendar for separate discussion will be considered in the regular order of business.

3. APPROVAL OF MINUTES

[2021-1408](#)

RECOMMENDATION:

Approve Minutes of the Regular Meeting of the Board of Directors held January 27, 2021 and of the Special Board of Directors Meeting held February 4, 2021.

Originator: Kelly Lore

Attachments: [Agenda Report](#)
[01-27-2021 Board Meeting Minutes](#)
[02-04-2021 Special Board Meeting Minutes - Orientation](#)

RECEIVE AND FILE:

4. REPORT OF THE INVESTMENT TRANSACTIONS FOR THE MONTH OF JANUARY 2021

[2020-1328](#)

RECOMMENDATION: Receive and file the following:

Report of the Investment Transactions for the month of January 2021.

Originator: Lorenzo Tyner

Attachments: [Agenda Report](#)
[Investment Transactions for January 2021](#)

5. COMMITTEE MEETING MINUTES

[2021-1477](#)

RECOMMENDATION: Receive and file the following:

- A. Minutes of the Legislative and Public Affairs Committee Meeting held November 9, 2020
- B. Minutes of the Steering Committee Meeting held November 18, 2020
- C. Minutes of the Operations Committee Meeting held December 2, 2020
- D. Minutes of the Administration Committee Meeting held December 9, 2020

Originator: Kelly Lore

Attachments: [Agenda Report](#)
[11-09-2020 Legislative and Public Affairs Meeting Minutes](#)
[11-18-2020 Steering Committee Minutes](#)
[12-02-2020 Operations Committee Minutes](#)
[12-09-2020 Administration Committee Minutes](#)

OPERATIONS COMMITTEE:

6. DIGESTER FERRIC CHLORIDE PIPING REPLACEMENT AT PLANT NO. 1, PROJECT NO. P1-135 [2021-1480](#)

RECOMMENDATION:

- A. Receive and file Bid Tabulation and Recommendation for Digester Ferric Chloride Piping Replacement at Plant No. 1, Project No. P1-135;
- B. Award a Construction Contract to Performance Plumbing & Mechanical Inc., dba PPM Contracting, for Digester Ferric Chloride Piping Replacement at Plant No. 1 for a total amount not to exceed \$515,000; and
- C. Approve a contingency of \$51,500 (10%).

Originator: Kathy Millea

Attachments: [Agenda Report](#)
[P1-135 Contract Agreement and Exhibit A Schedule of Prices](#)

7. TAFT BRANCH IMPROVEMENTS, PROJECT NO. 2-49 [2021-1482](#)

RECOMMENDATION:

- A. Approve a Professional Design Services Agreement with Woodard & Curran, Inc. to provide engineering services for Taft Branch Improvements, Project No. 2-49, for an amount not to exceed \$2,200,000; and
- B. Approve a contingency of \$220,000 (10%).

Originator: Kathy Millea

Attachments: [Agenda Report](#)
[2-49 PDSA \(Final\)](#)
[PPP 2-49 PDSA](#)

8. BAY BRIDGE PUMP STATION REPLACEMENT, PROJECT NO. 5-67 [2021-1483](#)

RECOMMENDATION:

- A. Consider, receive, and certify the Environmental Impact Report for the Bay

Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67, dated January 2021; and

- B. Adopt Resolution No. OC SAN 21-03, entitled: "A Resolution of the Board of Directors of the Orange County Sanitation District Certifying the Environmental Impact Report for the Bay Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67; Adopting the Mitigation Monitoring Program; and Approving the Bay Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67".

Originator: Kathy Millea

Attachments: [Agenda Report](#)
[Resolution No. OC SAN 21-03](#)
[Resolution OC SAN 21-03 Exhibit A Facts and Findings FINAL](#)
[PPP 5-67 CEQA](#)

9. ENGINEERING PROGRAM CONTRACT PERFORMANCE REPORT [2021-1484](#)

RECOMMENDATION:

Receive and file the Engineering Program Contract Performance Report for the period ending December 31, 2020.

Originator: Kathy Millea

Attachments: [Agenda Report](#)
[CIP Contract Report 20201231](#)

ADMINISTRATION COMMITTEE:

10. GENERAL MANAGER APPROVED PURCHASES AND ADDITIONS TO THE PRE-APPROVED OEM SOLE SOURCE LIST [2021-1488](#)

RECOMMENDATION:

- A. Receive and file Orange County Sanitation District purchases made under the General Manager's authority for the period of October 1, 2020 to December 31, 2020; and
- B. Approve the following additions to the pre-approved OEM Sole Source List for the period of October 1, 2020 to December 31, 2020:
- FONTAINE-AQUANOX - Replacement Parts, Equipment and Service
 - GOOCH THERMAL SYSTEMS, INC - Spiral Heat Exchangers
 - HIDROSTAL, LLC - Pumps and Replacement Parts
 - RODNEY HUNT, INC. - Diversion Gates and Actuators
 - SMARTCOVER SYSTEMS - Sewer Level Monitors

Originator: Lorenzo Tyner

Attachments: [Agenda Report](#)

11. MID-YEAR CONSOLIDATED FINANCIAL REPORT FOR THE PERIOD ENDED DECEMBER 31, 2020 [2021-1489](#)

RECOMMENDATION:

Receive and file the Orange County Sanitation District Mid-Year Financial Report for the period ended December 31, 2020.

Originator: Lorenzo Tyner

Attachments: [Agenda Report](#)
[FY 2020-21 Mid-Year Financial Report 12-31-2020](#)

12. BUSINESS ANALYSIS SERVICES FOR RESOURCE PROTECTION DIVISION [2021-1490](#)

RECOMMENDATION:

A. Award a Professional Consultant Services Agreement to EEC Environmental, Inc. for Pretreatment Program Consulting Services, for the procurement of Business Analysis services to document Resource Protection division business processes, Specification No. CS-2020-1167BD, for a total amount not to exceed \$385,625; and

B. Approve a contingency in the amount of \$38,563 (10%).

Originator: Lorenzo Tyner

Attachments: [Agenda Report](#)
[CS-2020-1167BD Final Contract](#)

LEGISLATIVE AND PUBLIC AFFAIRS COMMITTEE:

13. PUBLIC AFFAIRS STRATEGIC PLAN FOR FISCAL YEARS 2020-2022 MIDYEAR UPDATE [2021-1485](#)

RECOMMENDATION:

Receive and file the Public Affairs Strategic Plan for Fiscal Years 2020 - 2022 Midyear Update.

Originator: Jim Herberg

Attachments: [Agenda Report](#)
[Public Affairs Strategic Plan FY2020-2022](#)
[Communications Audit Report Executive Summary February 2020](#)
[Presentation](#)

14. PUBLIC AFFAIRS UPDATE FOR THE MONTHS OF NOVEMBER 2020 THROUGH JANUARY 2021 [2021-1486](#)

RECOMMENDATION:

Receive and file the Public Affairs Update for the months of November 2020 through January 2021.

Originator: Jim Herberg

Attachments: [Agenda Report](#)
[Outreach and Media Summary Report November 2020-January 2021](#)
[Presentation](#)

15. LEGISLATIVE AFFAIRS UPDATE FOR THE MONTHS OF NOVEMBER 2020 THROUGH JANUARY 2021 [2021-1487](#)

RECOMMENDATION:

Receive and file the Legislative Affairs Update for the months of November 2020 through January 2021.

Originator: Jim Herberg

Attachments: [Agenda Report](#)
[ENS Legislative Update](#)
[TPA Legislative Update](#)
[Grant Tracker 2021-2022](#)
[Presentation - ENS Legislative Update](#)
[Presentation - TPA Legislative Update](#)

STEERING COMMITTEE:

16. UPDATE TO THE ESTABLISHED RULES OF PROCEDURE FOR THE CONDUCT OF BUSINESS OF THE ORANGE COUNTY SANITATION DISTRICT [2021-1503](#)

RECOMMENDATION:

Adopt Resolution No. OC SAN 21-04 entitled, "A Resolution of the Board of Directors of the Orange County Sanitation District establishing Rules of Procedure for the Conduct of Business of the Orange County Sanitation District; and repealing

Resolution No. OC SAN 21-01”.

Originator: Jim Herberg

Attachments: [Agenda Report](#)
[OC SAN 21-04 Rules of Procedure - Redline](#)
[OC SAN 21-04 Rules of Procedure - Clean](#)

17. ESTABLISH BOARD OF DIRECTORS PROTOCOLS

2021-1504

RECOMMENDATION:

Adopt Resolution No. OC SAN 21-02 entitled, “A Resolution of the Board of Directors of the Orange County Sanitation District establishing Board of Directors Protocols”.

Originator: Jim Herberg

Attachments: [Agenda Report](#)
[OC SAN 21-02 - Protocols](#)

NON-CONSENT:

None.

INFORMATION ITEMS:

None.

AB 1234 DISCLOSURE REPORTS:

This item allows Board members to provide a brief oral report regarding the disclosure of outside committees, conferences, training, seminars, etc. attended at the Agency’s expense, per Government Code §53232.3(d).

CLOSED SESSION:

During the course of conducting the business set forth on this agenda as a regular meeting of the Board, the Chairperson may convene the Board in closed session to consider matters of pending real estate negotiations, pending or potential litigation, or personnel matters, pursuant to Government Code Sections 54956.8, 54956.9, 54957 or 54957.6, as noted.

Reports relating to (a) purchase and sale of real property; (b) matters of pending or potential litigation; (c) employment actions or negotiations with employee representatives; or which are exempt from public disclosure under the California Public Records Act, may be reviewed by the Board during a permitted closed session and are not available for public inspection. At such time the Board takes final action on any of these subjects, the minutes will reflect all required disclosures of information.

CONVENE IN CLOSED SESSION.

CS-1 CONFERENCE WITH LEGAL COUNSEL RE ANTICIPATED LITIGATION - GOVERNMENT CODE SECTION 54956.9(d)(4)

2021-1505

RECOMMENDATION: Convene in Closed Session:

Number of Potential Cases: 1

Potential initiation of eminent domain litigation regarding property owned by Bayside Village Marina LLC.

Attachments: [Agenda Report](#)
[Memoranda from Legal Counsel re Bayside Village Marina Anticipated Litigation](#)

CS-2 CONFERENCE WITH LEGAL COUNSEL RE ANTICIPATED LITIGATION - GOVERNMENT CODE SECTION 54956.9(d)(2) [2021-1506](#)

RECOMMENDATION: Convene in Closed Session:

Number of Potential Cases: 1

Significant exposure to litigation: threatened CEQA litigation regarding environmental impact report for Bay Bridge Pump Station Project.

Attachments: [Agenda Report](#)
[Memoranda from Legal Counsel re Bay Bridge Pump Station Anticipated Litigation](#)

CS-3 CONFERENCE WITH LEGAL COUNSEL RE ANTICIPATED LITIGATION - GOVERNMENT CODE SECTION 54956.9(d)(2) [2021-1507](#)

RECOMMENDATION: Convene in Closed Session:

Number of Potential Cases: (1)

Significant exposure to litigation: Claim of Raul Palazuelos.

Attachments: [Agenda Report](#)
[Memoranda from Legal Counsel re Palazuelos Anticipated Litigation](#)

RECONVENE IN REGULAR SESSION.

CONSIDERATION OF ACTION, IF ANY, ON MATTERS CONSIDERED IN CLOSED SESSION:

OTHER BUSINESS AND COMMUNICATIONS OR SUPPLEMENTAL AGENDA ITEMS, IF ANY:

BOARD OF DIRECTORS INITIATED ITEMS FOR A FUTURE MEETING:

At this time Directors may request staff to place an item on a future agenda.

ADJOURNMENT:

Adjourn the Board meeting until the Special Meeting of the Board of Directors on March 17, 2021 at 2:00 p.m.



BOARD OF DIRECTORS

Agenda Report

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

File #: 2021-1408

Agenda Date: 2/24/2021

Agenda Item No: 3.

FROM: James D. Herberg, General Manager
Originator: Kelly A. Lore, Clerk of the Board

SUBJECT:

APPROVAL OF MINUTES

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

Approve Minutes of the Regular Meeting of the Board of Directors held January 27, 2021 and of the Special Board of Directors Meeting held February 4, 2021.

BACKGROUND

In accordance with the Board of Directors Rules of Procedure, an accurate record of each meeting will be provided to the Directors for subsequent approval at the following meeting.

RELEVANT STANDARDS

- Resolution No. OC SAN 21-01

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Minutes of the Board of Directors meeting held January 27, 2021
- Minutes of the Special Board of Directors meeting held February 4, 2021

ORANGE COUNTY SANITATION DISTRICT

MINUTES

BOARD OF DIRECTORS

JANUARY 27, 2021



**Board Room
Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433**

CALL TO ORDER

A regular meeting of the Board of Directors of the Orange County Sanitation District was called to order by Board Chairman David Shawver on January 27, 2021 at 6:03 p.m. in the Administration Building. Chair Shawver announced that the meeting was being held telephonically and via audio/video teleconferencing in accordance with the Governor's Executive Order No. N-29-20, due to the Coronavirus Pandemic (COVID-19). Director Brooke Jones delivered the invocation and led the Pledge of Allegiance.

**1. APPOINTMENTS TO THE ORANGE COUNTY SANITATION DISTRICT [2020-1387](#)
BOARD OF DIRECTORS**

Originator: Kelly Lore

Late Communication was received regarding an appointment from the City of Villa Park after the publication of the agenda.

WITHOUT OBJECTION ACTION TAKEN TO:

Receive and file minute excerpts of member agencies relating to appointments to the Orange County Sanitation District Board of Directors:

Agency	Director	Alternate Director
City of Brea	Glenn Parker	Steven Vargas
City of Buena Park	Art Brown	Connor Traut
City of Fullerton	Jesus Silva	Nick Dunlap
City of La Palma	Marshall Goodman	Nitesh Patel
City of Newport Beach	Brad Avery	Joy Brenner
City of Placentia	Chad Wanke	Ward Smith
City of Seal Beach	Sandra Massa-Lavitt	Schelly Sustarsic
City of Stanton	David Shawver	Carol Warren
Irvine Ranch Water District	John Withers	Doug Reinhart
City of Villa Park	Chad Zimmerman	Robert Collacott

ROLL CALL AND DECLARATION OF QUORUM

The Clerk of the Board proceeded to roll call and declared a quorum present as follows :

PRESENT: Brad Avery, Stacy Berry, Art Brown, Doug Chaffee, Mark Chirco, Stephen Faessel, Ryan Gallagher, Marshall Goodman, Patrick Harper, Johnathan Ryan Hernandez, Brooke Jones, Steve Jones, Anthony Kuo, Sandra Massa-Lavitt, Mark Murphy, Andrew Nguyen, Robert Ooten, Glenn Parker, David Shawver, Jesus Silva, Chad Wanke, John Withers, Chad Zimmerman and Dan Kalmick (Alternate)

ABSENT: Rose Espinoza

STAFF MEMBERS PRESENT: Kelly Lore, Clerk of the Board; and Mortimer Caparas were present in the Board Room. General Manager Jim Herberg; Assistant General Manager

Lorenzo Tyner, Assistant General Manager Rob Thompson, Director of Engineering Kathy Millea, Director of Environmental Services Lan Wiborg, Director of Human Resources Celia Chandler, Jennifer Cabral, Jackie Castro, Brian Engeln, Tina Knapp, Joshua Martinez, Kym Smyth, and Thomas Vu participated telephonically.

OTHERS PRESENT: Brad Hogin (General Counsel) was present in the Board Room.

PUBLIC COMMENTS:

No public comments were provided.

The Clerk of the Board stated that Committee Assignment correspondence was received from Chairman Shawver which was provided to the Board members and made available to the public.

SPECIAL PRESENTATIONS:

Chair Shawver introduced Director of Engineering Kathy Millea who presented Administrative Assistant Kym Smith with her 30 year service award.

Chair Shawver also acknowledged employees who could not be in attendance:

20 Years: Arturo Diaz, Principal Environmental Specialist

25 Years: Debbie Marchegiano, Administrative Assistant

2. COMMENDATIONS TO OUTGOING BOARD MEMBERS

[2021-1400](#)

Originator: Kelly Lore

Chair Shawver presented Commendations to outgoing Board Members.

CITY/AGENCY

DIRECTOR

ALTERNATE DIRECTOR

Brea

Huntington Beach

La Habra

Erik Peterson

Tim Shaw

Cecilia Hupp

3. UPDATE ON GWRS FINAL EXPANSION PROJECT

[2021-1414](#)

Originator: Jim Herberg

Sandy Scott Roberts, GWRS Program Manager at the Orange County Water District provided an informative PowerPoint presentation regarding the GWRS Final Expansion project.

ITEM RECEIVED AS AN:

Information Item.

REPORTS:

Chair Shawver provided information regarding the new Committee appointments and acknowledged and thanked all who have previously on the various committees and welcomed new Committee members.

Chair Shawver provided date and times of the upcoming Special Board meetings including Board of Directors Orientation, Strategic Plan Workshop, and a Virtual Tour.

General Manager Jim Herberg presented a COVID-19 update noting that a total of 52 employees have tested positive from May 2020 to date, with all but six recovered and back to work. He announced his weekly COVID-19 update email to the Board of Directors with additional information of OC San's progress as we move through this pandemic will be sent tomorrow.

Mr. Herberg stated that OC San receives the majority of its income through apportionments from the County of Orange. Through December 2020, OC San had received 2.5 percent more revenue than through December 2019. He also reported there is no immediate revenue impact as a result of the pandemic.

Mr. Herberg reported that vaccination request letters were sent by the California Association of Sanitation Agencies (CASA) to the California Vaccination Task Force on behalf of its member agencies asking for vaccinations for the essential employees in the wastewater industry. OC San also sent a joint letter with Orange County Water District to Dr. Chau from the Orange County Health Care Agency, requesting vaccinations for our essential employees. Mr. Herberg stated that we will continue to work with the Water Emergency Response Organization of Orange County (WEROC) who has taken the lead for water and wastewater agencies in Orange County in the vaccination process. Water and wastewater employees are currently slated in the 1C vaccination phase.

CONSENT CALENDAR:**4. APPROVAL OF MINUTES**[2020-1385](#)

Originator: Kelly Lore

MOVED, SECONDED, AND DULY CARRIED TO:

Approve Minutes of the Regular Meeting of the Board of Directors held December 16, 2020.

AYES: Brad Avery, Stacy Berry, Doug Chaffee, Mark Chirco, Stephen Faessel, Ryan Gallagher, Marshall Goodman, Patrick Harper, Johnathan Ryan Hernandez, Brooke Jones, Steve Jones, Anthony Kuo, Sandra Massa-Lavitt, Mark Murphy, Andrew Nguyen, Robert Ooten, Glenn Parker, David Shawver, Jesus Silva, Chad Wanke, John Withers, Chad Zimmerman and Dan Kalmick (Alternate)

NOES: None

ABSENT: Rose Espinoza

ABSTENTIONS: Art Brown

RECEIVE AND FILE:

5. COMMITTEE MEETING MINUTES

[2020-1386](#)

Originator: Kelly Lore

WITHOUT OBJECTION ACTION TAKEN TO RECEIVE AND FILE THE FOLLOWING:

A. Minutes of the Steering Committee Meeting held October 28, 2020

B. Minutes of the GWRS Steering Committee Meeting held on October 12, 2020

6. REPORT OF THE INVESTMENT TRANSACTIONS FOR THE MONTH OF DECEMBER 2020

[2020-1279](#)

Originator: Lorenzo Tyner

WITHOUT OBJECTION ACTION TAKEN TO RECEIVE AND FILE THE FOLLOWING:

Report of the Investment Transactions for the month of December 2020.

OPERATIONS COMMITTEE:

None.

ADMINISTRATION COMMITTEE:

None.

LEGISLATIVE AND PUBLIC AFFAIRS COMMITTEE:

None.

STEERING COMMITTEE:

7. GENERAL MANAGER'S FISCAL YEAR 2020-2021 WORK PLAN MID-YEAR UPDATE

[2021-1452](#)

Originator: Jim Herberg

MOVED, SECONDED, AND DULY CARRIED TO:

Receive and file the General Manager's Fiscal Year 2020-2021 Work Plan Mid-Year Update.

AYES: Brad Avery, Stacy Berry, Doug Chaffee, Mark Chirco, Stephen Faessel, Ryan Gallagher, Marshall Goodman, Patrick Harper, Johnathan Ryan Hernandez, Brooke Jones, Steve Jones, Anthony Kuo, Sandra Massa-Lavitt, Mark Murphy, Andrew Nguyen, Robert Ooten, Glenn Parker, David Shawver, Jesus Silva, Chad Wanke, John Withers, Chad Zimmerman and Dan Kalmick (Alternate)

NOES: None

ABSENT: Rose Espinoza

ABSTENTIONS: Art Brown

8. UPDATE TO THE ESTABLISHED RULES OF PROCEDURE FOR THE CONDUCT OF BUSINESS OF THE ORANGE COUNTY SANITATION DISTRICT [2021-1453](#)

Originator: Jim Herberg

Late communication was received regarding Item No. 8B which was pulled from consideration. Staff also stated that at the recommendation of the Steering Committee, the Resolution in Item No. 8A was revised.

MOVED, SECONDED, AND DULY CARRIED TO:

A. Adopt Resolution No. OC SAN 21-01 entitled, "A Resolution of the Board of Directors of the Orange County Sanitation District establishing Rules of Procedure for the Conduct of Business of the Orange County Sanitation District; and repealing Resolution No. OCSD 19-19"; ~~and~~

~~B. Adopt Resolution No. OC SAN 21-02 entitled, "A Resolution of the Board of Directors of the Orange County Sanitation District establishing Board of Directors Protocols".~~

AYES: Brad Avery, Stacy Berry, Doug Chaffee, Mark Chirco, Stephen Faessel, Ryan Gallagher, Marshall Goodman, Patrick Harper, Johnathan Ryan Hernandez, Brooke Jones, Steve Jones, Anthony Kuo, Sandra Massa-Lavitt, Mark Murphy, Andrew Nguyen, Robert Ooten, Glenn Parker, David Shawver, Jesus Silva, Chad Wanke, John Withers, Chad Zimmerman and Dan Kalmick (Alternate)

NOES: None

ABSENT: Rose Espinoza

ABSTENTIONS: Art Brown

NON-CONSENT:

None.

INFORMATION ITEMS:

None.

AB 1234 DISCLOSURE REPORTS:

None.

CLOSED SESSION:

None.

OTHER BUSINESS AND COMMUNICATIONS OR SUPPLEMENTAL AGENDA ITEMS, IF ANY:

None.

BOARD OF DIRECTORS INITIATED ITEMS FOR A FUTURE MEETING:

None.

ADJOURNMENT:

At 7:01 p.m., Chair Shawver adjourned the meeting until the Special Meeting of the Board of Directors (Board Member Orientation) on February 4, 2021 at 2:00 p.m. in memory of OC San employees Dan Chemotti and Linda Losurdo.

Submitted by:

Kelly A. Lore, MMC
Clerk of the Board

ORANGE COUNTY SANITATION DISTRICT

**SPECIAL MEETING OF THE
BOARD OF DIRECTORS**

Board Orientation

MINUTES

FEBRUARY 4, 2021



**Board Room
Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433**

CALL TO ORDER

A special meeting of the Board of Directors of the Orange County Sanitation District was called to order by Board Chairman David Shawver on February 4, 2021 at 2:05 p.m. in the Administration Building. Chair Shawver led the Pledge of Allegiance and announced that the meeting was being held telephonically and via audio/video teleconferencing in accordance with the Governor's Executive Order No. N-29-20, due to the Coronavirus Pandemic (COVID-19). The Chairman also announced the teleconference meeting guidelines.

ROLL CALL

The Clerk of the Board declared the following members present as follows:

PRESENT: Stacy Berry, Art Brown, Kim Carr, Doug Chaffee, Mark Chirco, Rose Espinoza, Stephen Faessel, Ryan Gallagher, Marshall Goodman, Patrick Harper, Johnathan Ryan Hernandez, Brooke Jones, Steve Jones, Anthony Kuo, Andrew Nguyen, Robert Ooten, Glenn Parker, David Shawver, John Withers, Chad Zimmerman, Joy Brenner (Alternate), Glenn Grandis (Alternate), Phil Hawkins (Alternate), Anne Hertz (Alternate), Dan Kalmick (Alternate), Farrah Khan (Alternate), Austin Lumbard (Alternate), Jose Medrano (Alternate), Nelida Mendoza (Alternate), Art Perry (Alternate), Douglas Reinhart (Alternate), Schelly Sustarsic (Alternate), Connor Traut (Alternate) Steve Vargas (Alternate), and Carol Warren (Alternate)

ABSENT: Brad Avery, Sandra Massa-Lavitt, Mark Murphy, Jesus Silva and Chad Wanke

STAFF MEMBERS PRESENT: Kelly Lore, Clerk of the Board; and Mortimer Caparas were present in the Board Room. General Manager Jim Herberg; Assistant General Manager Lorenzo Tyner, Assistant General Manager Rob Thompson, Director of Engineering Kathy Millea, Director of Environmental Services Lan Wiborg, Director of Human Resources Celia Chandler, Jennifer Cabral, Jackie Castro, Brian Engeln, Alfredo Garcia, Yolanda Herrera, Tina Knapp, Rebecca Long, Rob Michaels, Wally Ritchie, and Thomas Vu participated telephonically.

OTHERS PRESENT: Brad Hogin (General Counsel) participated telephonically.

PUBLIC COMMENTS:

The Clerk of the Board indicated that a public comment was received via eComment as follows:

Congratulations on your appointment to the Board. OCSan is near and dear to my heart. The staff are among the very best and brightest in their fields of expertise. Their credentials, degrees, certificates, and licenses are astounding. Trust in their counsel and let the science guide your decisions. OCSan is responsible for a significant portion of our environment. OCSan has a legal charge to protect the environment and now you do too. Good science should lead good policy.

INFORMATION ITEMS:**1. BOARD OF DIRECTORS ORIENTATION PRESENTATION**[2020-1393](#)**Originator:** Kelly Lore

Board Member Orientation included the following presentations and presenters.

ITEM RECEIVED AS AN:

Information Item.

STAFF PRESENTATIONS:

- Welcome to OC San Jim Herberg, General Manager
- Role of the Board Member Dave Shawver, Board Chairman
- Board Services Overview Kelly Lore, Clerk of the Board
- Transparency and Ethics Brad Hogin, General Counsel
- Regional Infrastructure - 20-Year Plan Rob Thompson, Asst. General Manager
- OC San Finances - Revenue Lorenzo Tyner, Asst. General Manager
- Environmental Services Overview Lan Wiborg, Dir. of Environmental Services
- Human Resources Overview Celia Chandler, Dir. of Human Resources
- Engineering Overview Kathy Millea, Dir. of Engineering
- Strategic Planning Overview John Withers, Board Vice-Chairman
- Conclusion & Questions Dave Shawver, Board Chairman

ADJOURNMENT:

At 4:00 p.m., Chair Shawver adjourned the meeting until the Special Meeting of the Board of Directors (Strategic Planning Workshop) on February 17, 2021 at 2:00 p.m.

Submitted by:

Kelly A. Lore, MMC
Clerk of the Board



BOARD OF DIRECTORS

Agenda Report

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

File #: 2020-1328

Agenda Date: 2/24/2021

Agenda Item No: 4.

FROM: James D. Herberg, General Manager
Originator: Lorenzo Tyner, Assistant General Manager

SUBJECT:

REPORT OF THE INVESTMENT TRANSACTIONS FOR THE MONTH OF JANUARY 2021

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION: Receive and file the following:

Report of the Investment Transactions for the month of January 2021.

BACKGROUND

The CA Government Code requires that a monthly report of investment transactions be provided to the legislative body. Attached is the monthly report of investment transactions for the month ended January 31, 2021.

RELEVANT STANDARDS

- CA Government Code Section 53607

PRIOR COMMITTEE/BOARD ACTIONS

N/A

FINANCIAL CONSIDERATIONS

N/A

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Report of the Investment Transactions for the Month of January 2021

**U.S. Bank
Transaction History
January 2021**

Entry Date	CUSIP Id	Explanation	Units	Price	Net Cash Amt	Cost	Gain/Loss
ACQUISITIONS							
01/04/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	1,500,000.0000	1.000000	-1,500,000.00	1,500,000.00	0.00
01/05/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	495.3400	1.000000	-495.34	495.34	0.00
01/05/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	30,308.1500	1.000000	-30,308.15	30,308.15	0.00
01/07/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	81,250.0000	1.000000	-81,250.00	81,250.00	0.00
01/11/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	8,468.7500	1.000000	-8,468.75	8,468.75	0.00
01/14/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	14,576.2500	1.000000	-14,576.25	14,576.25	0.00
01/15/2021	4581X0DN5	PURCHASED PAR VALUE OF INTER AMER BK M T N 0.625% 7/15/25 /TD SECURITIES (USA)/5,050,000 PAR VALUE AT 100.435 %	5,050,000.0000	1.004350	-5,071,967.50	5,071,967.50	0.00
01/15/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	7,126.0800	1.000000	-7,126.08	7,126.08	0.00
01/19/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	278,739.5700	1.000000	-278,739.57	278,739.57	0.00
01/19/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	82,875.0000	1.000000	-82,875.00	82,875.00	0.00
01/20/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	12.5000	1.000000	-12.50	12.50	0.00
01/20/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	16,828.7400	1.000000	-16,828.74	16,828.74	0.00
01/21/2021	912796C49	PURCHASED PAR VALUE OF U S TREASURY BILL 7/22/21 /NOMURA SECURITIES INTERNATIONA/5,000,000 PAR VALUE AT 99.9532362 %	5,000,000.0000	0.999532	-4,997,661.81	4,997,661.81	0.00
01/21/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	208,348.9000	1.000000	-208,348.90	208,348.90	0.00
01/21/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	83,843.9600	1.000000	-83,843.96	83,843.96	0.00
01/22/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	9,000,000.0000	1.000000	-9,000,000.00	9,000,000.00	0.00
01/22/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	39,375.0000	1.000000	-39,375.00	39,375.00	0.00
01/25/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	1,750,000.0000	1.000000	-1,750,000.00	1,750,000.00	0.00
01/25/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	22,312.5000	1.000000	-22,312.50	22,312.50	0.00
01/25/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	2,970,000.0000	1.000000	-2,970,000.00	2,970,000.00	0.00
01/25/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	242,912.3600	1.000000	-242,912.36	242,912.36	0.00
01/26/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	146,250.0000	1.000000	-146,250.00	146,250.00	0.00
01/28/2021	459058JL8	PURCHASED PAR VALUE OF INTL BK M T N 0.500% 10/28/25 /BMO CAPITAL MARKETS CORP/BONDS/3,080,000 PAR VALUE AT 100.064 %	3,080,000.0000	1.000640	-3,081,971.20	3,081,971.20	0.00
01/28/2021	912796C56	PURCHASED PAR VALUE OF U S TREASURY BILL 7/29/21 /WELLS FARGO SECURITIES, LLC/7,000,000 PAR VALUE AT 99.96107229 %	7,000,000.0000	0.999611	-6,997,275.06	6,997,275.06	0.00
01/28/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	51,252,724.9400	1.000000	-51,252,724.94	51,252,724.94	0.00
01/28/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	1,029,928.8000	1.000000	-1,029,928.80	1,029,928.80	0.00
01/29/2021	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	36,875.0000	1.000000	-36,875.00	36,875.00	0.00
TOTAL ACQUISITIONS			88,933,251.8400		-88,952,127.41	88,952,127.41	0.00

DISPOSITIONS							
01/04/2021	313385AD8	MATURED PAR VALUE OF F H L B DISC NTS 1/04/21 1,500,000 PAR VALUE AT 100 %	-1,500,000.0000	1.000000	1,498,340.00	-1,498,340.00	0.00

**U.S. Bank
Transaction History
January 2021**

Entry Date	CUSIP Id	Explanation	Units	Price	Net Cash Amt	Cost	Gain/Loss
01/15/2021	31348SWZ3	PAID DOWN PAR VALUE OF F H L M C #786064 3.845% 1/01/28 DECEMBER FHLMC DUE 1/15/21	-19.3800	0.000000	19.38	-18.91	0.47
01/15/2021	3133TCE95	PAID DOWN PAR VALUE OF F H L M C MLTCL MTG 3.929% 8/15/32	-113.3500	0.000000	113.35	-113.47	-0.12
01/15/2021	43815NAB0	PAID DOWN PAR VALUE OF HONDA AUTO 1.900% 4/15/22	-263,650.9300	0.000000	263,650.93	-263,632.48	18.45
01/15/2021	477870AB5	PAID DOWN PAR VALUE OF JOHN DEERE OWNER 2.280% 5/16/22	-226,449.3800	0.000000	226,449.38	-226,448.52	0.86
01/15/2021	47788CAC6	PAID DOWN PAR VALUE OF JOHN DEERE OWNER 2.660% 4/18/22	-64,719.7100	0.000000	64,719.71	-64,715.06	4.65
01/15/2021	47788EAC2	PAID DOWN PAR VALUE OF JOHN DEERE OWNER 3.080% 11/15/22	-260,804.5200	0.000000	260,804.52	-260,784.75	19.77
01/15/2021	65479GAD1	PAID DOWN PAR VALUE OF NISSAN AUTO 3.060% 3/15/23	-191,519.2100	0.000000	191,519.21	-191,513.01	6.20
01/15/2021	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-4,038,177.7600	1.000000	4,038,177.76	-4,038,177.76	0.00
01/19/2021	43814UAG4	PAID DOWN PAR VALUE OF HONDA AUTO 3.010% 5/18/22	-97,409.3500	0.000000	97,409.35	-97,407.23	2.12
01/20/2021	36225CAZ9	PAID DOWN PAR VALUE OF G N M A I I #080023 3.125% 12/20/26 DECEMBER GNMA DUE 1/20/21	-173.3000	0.000000	173.30	-176.16	-2.86
01/20/2021	36225CC20	PAID DOWN PAR VALUE OF G N M A I I #080088 2.875% 6/20/27 DECEMBER GNMA DUE 1/20/21	-117.7800	0.000000	117.78	-120.36	-2.58
01/20/2021	36225CNM4	PAID DOWN PAR VALUE OF G N M A I I #080395 2.875% 4/20/30 DECEMBER GNMA DUE 1/20/21	-103.5100	0.000000	103.51	-102.57	0.94
01/20/2021	36225CN28	PAID DOWN PAR VALUE OF G N M A I I #080408 2.875% 5/20/30 DECEMBER GNMA DUE 1/20/21	-1,140.9100	0.000000	1,140.91	-1,129.32	11.59
01/20/2021	36225DCB8	PAID DOWN PAR VALUE OF G N M A I I #080965 2.250% 7/20/34 DECEMBER GNMA DUE 1/20/21	-1,022.3600	0.000000	1,022.36	-1,021.72	0.64
01/21/2021	43815HAC1	PAID DOWN PAR VALUE OF HONDA AUTO 2.950% 8/22/22	-203,944.4200	0.000000	203,944.42	-203,916.44	27.98
01/21/2021	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-4,997,661.8100	1.000000	4,997,661.81	-4,997,661.81	0.00
01/22/2021	313385AX4	MATURED PAR VALUE OF F H L B DISC NTS 1/22/21 9,000,000 PAR VALUE AT 100 %	-9,000,000.0000	1.000000	8,999,543.75	-8,999,543.75	0.00
01/25/2021	45950KCM0	MATURED PAR VALUE OF INTL BK M T N 2.250% 1/25/21 2,970,000 PAR VALUE AT 100 %	-2,970,000.0000	1.000000	2,970,000.00	-2,961,268.20	8,731.80
01/25/2021	89114QBX5	MATURED PAR VALUE OF TORONTO DOMINION MTN 2.550% 1/25/21 1,750,000 PAR VALUE AT 100 %	-1,750,000.0000	1.000000	1,750,000.00	-1,774,762.50	-24,762.50
01/25/2021	31394JY35	PAID DOWN PAR VALUE OF F H L M C MLTCL MTG 6.500% 9/25/43	-2,681.4400	0.000000	2,681.44	-3,036.73	-355.29
01/25/2021	31371NUC7	PAID DOWN PAR VALUE OF F N M A #257179 4.500% 4/01/28 DECEMBER FNMA DUE 1/25/21	-132.6900	0.000000	132.69	-140.33	-7.64
01/25/2021	31376KT22	PAID DOWN PAR VALUE OF F N M A #357969 5.000% 9/01/35 DECEMBER FNMA DUE 1/25/21	-2,282.6100	0.000000	2,282.61	-2,453.81	-171.20
01/25/2021	31403DJZ3	PAID DOWN PAR VALUE OF F N M A #745580 5.000% 6/01/36 DECEMBER FNMA DUE 1/25/21	-1,393.8600	0.000000	1,393.86	-1,498.40	-104.54
01/25/2021	31403GXF4	PAID DOWN PAR VALUE OF F N M A #748678 5.000% 10/01/33 DECEMBER FNMA DUE 1/25/21	-6.1100	0.000000	6.11	-6.57	-0.46
01/25/2021	31406PQY8	PAID DOWN PAR VALUE OF F N M A #815971 5.000% 3/01/35 DECEMBER FNMA DUE 1/25/21	-5,474.3500	0.000000	5,474.35	-5,884.93	-410.58

**U.S. Bank
Transaction History
January 2021**

Entry Date	CUSIP Id	Explanation	Units	Price	Net Cash Amt	Cost	Gain/Loss
01/25/2021	31406XWT5	PAID DOWN PAR VALUE OF F N M A #823358 DUE 1/25/21	2.937% 2/01/35 DECEMBER FNMA -18,602.7600	0.000000	18,602.76	-18,457.43	145.33
01/25/2021	31407BXH7	PAID DOWN PAR VALUE OF F N M A #826080 DUE 1/25/21	5.000% 7/01/35 DECEMBER FNMA -313.2900	0.000000	313.29	-336.79	-23.50
01/25/2021	31410F4V4	PAID DOWN PAR VALUE OF F N M A #888336 DUE 1/25/21	5.000% 7/01/36 DECEMBER FNMA -1,698.7500	0.000000	1,698.75	-1,826.16	-127.41
01/25/2021	3138EG6F6	PAID DOWN PAR VALUE OF F N M A #AL0869 DUE 1/25/21	4.500% 6/01/29 DECEMBER FNMA -172.9100	0.000000	172.91	-182.87	-9.96
01/25/2021	31417YAY3	PAID DOWN PAR VALUE OF F N M A #MA0022 DUE 1/25/21	4.500% 4/01/29 DECEMBER FNMA -381.1400	0.000000	381.14	-403.09	-21.95
01/25/2021	31397QRE0	PAID DOWN PAR VALUE OF F N M A GTD REMIC 2.472% 2/25/41	-5,318.3400	0.000000	5,318.34	-5,316.68	1.66
01/25/2021	78445JAA5	PAID DOWN PAR VALUE OF S L M A 1.7338% 4/25/23	-358.5800	0.000000	358.58	-357.12	1.46
01/28/2021	037833BS8	FULL CALL PAR VALUE OF APPLE INC 2.250% 2/23/21 /CALLS/	-4,000,000.0000	1.000000	4,000,000.00	-4,050,840.00	-50,840.00
01/28/2021	912796UC1	MATURED PAR VALUE OF U S TREASURY BILL AT 100 %	1/28/21 58,250,000 PAR VALUE -58,250,000.0000	1.000000	58,193,363.48	-58,193,363.48	0.00
01/28/2021	459058JL8	PAID ACCRUED INTEREST ON PURCHASE OF INTL BK M T N 0.500% 10/28/25	0.0000	0.000000	-3,850.00	0.00	0.00
01/29/2021	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z -60,000,000.0000	1.000000	60,000,000.00	-60,000,000.00	0.00	0.00
TOTAL DISPOSITIONS			-147,855,844.5100		147,793,241.74	-147,864,958.41	-67,866.67
OTHER TRANSACTIONS							
01/04/2021	313385AD8	INTEREST EARNED ON F H L B DISC NTS SHARES DUE 1/4/2021 1,500,000 PAR VALUE AT 100 %	1/04/21 \$1 PV ON 1500000.0000 0.0000	0.000000	1,660.00	0.00	0.00
01/04/2021	31846V567	INTEREST EARNED ON FIRST AM GOVT OB FD CL Z UNIT ON 0.0000 SHARES DUE 12/31/2020 INTEREST FROM 12/1/20 TO 12/31/20	0.0000	0.000000	495.34	0.00	0.00
01/04/2021	31846V567	INTEREST EARNED ON FIRST AM GOVT OB FD CL Z UNIT ON 0.0000 SHARES DUE 12/31/2020 INTEREST FROM 12/1/20 TO 12/31/20	0.0000	0.000000	308.15	0.00	0.00
01/05/2021	3135G0S38	INTEREST EARNED ON F N M A SHARES DUE 1/5/2021	2.000% 1/05/22 \$1 PV ON 3000000.0000 0.0000	0.000000	30,000.00	0.00	0.00
01/07/2021	3135G0X24	INTEREST EARNED ON F N M A SHARES DUE 1/7/2021	1.625% 1/07/25 \$1 PV ON 10000000.0000 0.0000	0.000000	81,250.00	0.00	0.00
01/11/2021	3135G05G4	INTEREST EARNED ON F N M A SHARES DUE 1/10/2021	0.250% 7/10/23 \$1 PV ON 6775000.0000 0.0000	0.000000	8,468.75	0.00	0.00
01/13/2021	912828WU0	BOOK VALUE OF U S TREASURY I P S DECREASE TO ADJUST FOR CHANGE IN CPI	0.125% 7/15/24 ADJUSTED BY -3016.00 UNITS 0.0000	0.000000	0.00	0.00	0.00
01/13/2021	912828WU0	FED BASIS OF U S TREASURY I P S DECREASE TO ADJUST FOR CHANGE IN CPI	0.125% 7/15/24 ADJUSTED BY -3016.00 UNITS 0.0000	0.000000	0.00	-3,016.00	0.00
01/13/2021	912828WU0	PAR VALUE OF U S TREASURY I P S DECREASE TO ADJUST FOR CHANGE IN CPI	0.125% 7/15/24 ADJUSTED BY -3016.0000 UNITS -3,016.0000	0.000000	0.00	0.00	0.00
01/13/2021	912828WU0	STATE COST OF U S TREASURY I P S DECREASE TO ADJUST FOR CHANGE IN CPI	0.125% 7/15/24 ADJUSTED BY -3016.00 UNITS 0.0000	0.000000	0.00	0.00	0.00

**U.S. Bank
Transaction History
January 2021**

Entry Date	CUSIP Id	Explanation	Units	Price	Net Cash Amt	Cost	Gain/Loss
01/14/2021	02665WCJ8	INTEREST EARNED ON AMERICAN HONDA MTN 3.450% 7/14/23 \$1 PV ON 845000.0000 SHARES DUE 1/14/2021	0.0000	0.000000	14,576.25	0.00	0.00
01/15/2021	31348SWZ3	INTEREST EARNED ON F H L M C #786064 3.845% 1/01/28 \$1 PV ON 5.0600 SHARES DUE 1/15/2021 NOVEMBER FHLMC DUE 1/15/21	0.0000	0.000000	5.06	0.00	0.00
01/15/2021	3133TCE95	INTEREST EARNED ON F H L M C MLTCL MTG 3.929% 8/15/32 \$1 PV ON 14.6500 SHARES DUE 1/15/2021 \$0.00327/PV ON 4,473.70 PV DUE 1/15/21	0.0000	0.000000	14.65	0.00	0.00
01/15/2021	43815NAB0	INTEREST EARNED ON HONDA AUTO 1.900% 4/15/22 \$1 PV ON 2133.3000 SHARES DUE 1/15/2021 \$0.00158/PV ON 1,347,348.38 PV DUE 1/15/21	0.0000	0.000000	2,133.30	0.00	0.00
01/15/2021	47787NAC3	INTEREST EARNED ON JOHN DEERE OWNER 0.510% 11/15/24 \$1 PV ON 629.0000 SHARES DUE 1/15/2021 \$0.00042/PV ON 1,480,000.00 PV DUE 1/15/21	0.0000	0.000000	629.00	0.00	0.00
01/15/2021	477870AB5	INTEREST EARNED ON JOHN DEERE OWNER 2.280% 5/16/22 \$1 PV ON 1228.3900 SHARES DUE 1/15/2021 \$0.00190/PV ON 646,522.38 PV DUE 1/15/21	0.0000	0.000000	1,228.39	0.00	0.00
01/15/2021	47788CAC6	INTEREST EARNED ON JOHN DEERE OWNER 2.660% 4/18/22 \$1 PV ON 367.5200 SHARES DUE 1/15/2021 \$0.00222/PV ON 165,799.57 PV DUE 1/15/21	0.0000	0.000000	367.52	0.00	0.00
01/15/2021	47788EAC2	INTEREST EARNED ON JOHN DEERE OWNER 3.080% 11/15/22 \$1 PV ON 5507.7300 SHARES DUE 1/15/2021 \$0.00257/PV ON 2,145,869.81 PV DUE 1/15/21	0.0000	0.000000	5,507.73	0.00	0.00
01/15/2021	58770FAC6	INTEREST EARNED ON MERCEDES BENZ AUTO 1.840% 12/15/22 \$1 PV ON 3143.3300 SHARES DUE 1/15/2021 \$0.00153/PV ON 2,050,000.00 PV DUE 1/15/21	0.0000	0.000000	3,143.33	0.00	0.00
01/15/2021	65479JAD5	INTEREST EARNED ON NISSAN AUTO 1.930% 7/15/24 \$1 PV ON 6730.8700 SHARES DUE 1/15/2021 \$0.00161/PV ON 4,185,000.00 PV DUE 1/15/21	0.0000	0.000000	6,730.87	0.00	0.00
01/15/2021	65479GAD1	INTEREST EARNED ON NISSAN AUTO 3.060% 3/15/23 \$1 PV ON 5668.0800 SHARES DUE 1/15/2021 \$0.00255/PV ON 2,222,777.01 PV DUE 1/15/21	0.0000	0.000000	5,668.08	0.00	0.00
01/15/2021	89237VAB5	INTEREST EARNED ON TOYOTA AUTO RECV 0.440% 10/15/24 \$1 PV ON 1085.3300 SHARES DUE 1/15/2021 \$0.00037/PV ON 2,960,000.00 PV DUE 1/15/21	0.0000	0.000000	1,085.33	0.00	0.00
01/15/2021	912828WU0	INTEREST EARNED ON U S TREASURY I P S 0.125% 7/15/24 \$1 PV ON 11401728.0000 SHARES DUE 1/15/2021	0.0000	0.000000	7,126.08	0.00	0.00
01/19/2021	3135G0T94	INTEREST EARNED ON F N M A DEB 2.375% 1/19/23 \$1 PV ON 5000000.0000 SHARES DUE 1/19/2021	0.0000	0.000000	59,375.00	0.00	0.00
01/19/2021	43813KAC6	INTEREST EARNED ON HONDA AUTO 0.370% 10/18/24 \$1 PV ON 997.4600 SHARES DUE 1/18/2021 \$0.00031/PV ON 3,235,000.00 PV DUE 1/18/21	0.0000	0.000000	997.46	0.00	0.00
01/19/2021	43814UAG4	INTEREST EARNED ON HONDA AUTO 3.010% 5/18/22 \$1 PV ON 1582.7600 SHARES DUE 1/18/2021 \$0.00251/PV ON 631,002.32 PV DUE 1/18/21	0.0000	0.000000	1,582.76	0.00	0.00
01/19/2021	4581X0CW6	INTEREST EARNED ON INTER AMER DEV BK 2.125% 1/18/22 \$1 PV ON 3000000.0000 SHARES DUE 1/18/2021	0.0000	0.000000	31,875.00	0.00	0.00
01/19/2021	78013XZU5	INTEREST EARNED ON ROYAL BANK OF MTN 2.550% 7/16/24 \$1 PV ON 6500000.0000 SHARES DUE 1/16/2021	0.0000	0.000000	82,875.00	0.00	0.00
01/19/2021	89114QC48	INTEREST EARNED ON TORONTO MTN 3.500% 7/19/23 \$1 PV ON 5000000.0000 SHARES DUE 1/19/2021	0.0000	0.000000	87,500.00	0.00	0.00
01/20/2021	36225CAZ9	INTEREST EARNED ON G N M A I I #080023 3.125% 12/20/26 \$1 PV ON 29.7100 SHARES DUE 1/20/2021 DECEMBER GNMA DUE 1/20/21	0.0000	0.000000	29.71	0.00	0.00

**U.S. Bank
Transaction History
January 2021**

Entry Date	CUSIP Id	Explanation	Units	Price	Net Cash Amt	Cost	Gain/Loss
01/20/2021	36225CC20	INTEREST EARNED ON G N M A I I #080088 2.875% 6/20/27 \$1 PV ON 21.5500 SHARES DUE 1/20/2021 DECEMBER GNMA DUE 1/20/21	0.0000	0.000000	21.55	0.00	0.00
01/20/2021	36225CNM4	INTEREST EARNED ON G N M A I I #080395 2.875% 4/20/30 \$1 PV ON 11.4400 SHARES DUE 1/20/2021 DECEMBER GNMA DUE 1/20/21	0.0000	0.000000	11.44	0.00	0.00
01/20/2021	36225CN28	INTEREST EARNED ON G N M A I I #080408 2.875% 5/20/30 \$1 PV ON 85.7900 SHARES DUE 1/20/2021 DECEMBER GNMA DUE 1/20/21	0.0000	0.000000	85.79	0.00	0.00
01/20/2021	36225DCB8	INTEREST EARNED ON G N M A I I #080965 2.250% 7/20/34 \$1 PV ON 59.8900 SHARES DUE 1/20/2021 DECEMBER GNMA DUE 1/20/21	0.0000	0.000000	59.89	0.00	0.00
01/20/2021	45950KCJ7	INTEREST EARNED ON INTL FINANCE CORP 1.125% 7/20/21 \$1 PV ON 2500000.0000 SHARES DUE 1/20/2021	0.0000	0.000000	14,075.00	0.00	0.00
01/21/2021	3137EAEU9	INTEREST EARNED ON F H L M C M T N 0.375% 7/21/25 \$1 PV ON 5030000.0000 SHARES DUE 1/21/2021	0.0000	0.000000	9,326.46	0.00	0.00
01/21/2021	43815HAC1	INTEREST EARNED ON HONDA AUTO 2.950% 8/22/22 \$1 PV ON 4404.4800 SHARES DUE 1/21/2021 \$0.00246/PV ON 1,791,651.38 PV DUE 1/21/21	0.0000	0.000000	4,404.48	0.00	0.00
01/21/2021	90331HPL1	INTEREST EARNED ON US BANK NA MTN 2.050% 1/21/25 \$1 PV ON 7270000.0000 SHARES DUE 1/21/2021	0.0000	0.000000	74,517.50	0.00	0.00
01/22/2021	313385AX4	INTEREST EARNED ON F H L B DISC NTS 1/22/21 \$1 PV ON 9000000.0000 SHARES DUE 1/22/2021 9,000,000 PAR VALUE AT 100 %	0.0000	0.000000	456.25	0.00	0.00
01/22/2021	95000U2B8	INTEREST EARNED ON WELLS FARGO MTN 2.625% 7/22/22 \$1 PV ON 3000000.0000 SHARES DUE 1/22/2021	0.0000	0.000000	39,375.00	0.00	0.00
01/25/2021	03215PFN4	INTEREST EARNED ON AMRESCO 1.01546% 6/25/29 \$1 PV ON 100.7200 SHARES DUE 1/25/2021 \$0.00085/PV ON 119,021.64 PV DUE 1/25/21	0.0000	0.000000	100.72	0.00	0.00
01/25/2021	808513AT2	INTEREST EARNED ON CHARLES SCHWAB CORP 2.650% 1/25/23 \$1 PV ON 6750000.0000 SHARES DUE 1/25/2021	0.0000	0.000000	89,437.50	0.00	0.00
01/25/2021	31394JY35	INTEREST EARNED ON F H L M C MLTCL MTG 6.500% 9/25/43 \$1 PV ON 3039.4800 SHARES DUE 1/25/2021 \$0.00542/PV ON 561,133.95 PV DUE 1/25/21	0.0000	0.000000	3,039.48	0.00	0.00
01/25/2021	31371NUC7	INTEREST EARNED ON F N M A #257179 4.500% 4/01/28 \$1 PV ON 40.1400 SHARES DUE 1/25/2021 DECEMBER FNMA DUE 1/25/21	0.0000	0.000000	40.14	0.00	0.00
01/25/2021	31376KT22	INTEREST EARNED ON F N M A #357969 5.000% 9/01/35 \$1 PV ON 327.5900 SHARES DUE 1/25/2021 DECEMBER FNMA DUE 1/25/21	0.0000	0.000000	327.59	0.00	0.00
01/25/2021	31403DJZ3	INTEREST EARNED ON F N M A #745580 5.000% 6/01/36 \$1 PV ON 294.6800 SHARES DUE 1/25/2021 DECEMBER FNMA DUE 1/25/21	0.0000	0.000000	294.68	0.00	0.00
01/25/2021	31403GXF4	INTEREST EARNED ON F N M A #748678 5.000% 10/01/33 \$1 PV ON 5.4900 SHARES DUE 1/25/2021 DECEMBER FNMA DUE 1/25/21	0.0000	0.000000	5.49	0.00	0.00
01/25/2021	31406PQY8	INTEREST EARNED ON F N M A #815971 5.000% 3/01/35 \$1 PV ON 439.2800 SHARES DUE 1/25/2021 DECEMBER FNMA DUE 1/25/21	0.0000	0.000000	439.28	0.00	0.00
01/25/2021	31406XWT5	INTEREST EARNED ON F N M A #823358 2.937% 2/01/35 \$1 PV ON 222.9800 SHARES DUE 1/25/2021 DECEMBER FNMA DUE 1/25/21	0.0000	0.000000	222.98	0.00	0.00
01/25/2021	31407BXH7	INTEREST EARNED ON F N M A #826080 5.000% 7/01/35 \$1 PV ON 57.5200 SHARES DUE 1/25/2021 DECEMBER FNMA DUE 1/25/21	0.0000	0.000000	57.52	0.00	0.00

**U.S. Bank
Transaction History
January 2021**

Entry Date	CUSIP Id	Explanation	Units	Price	Net Cash Amt	Cost	Gain/Loss
01/25/2021	31410F4V4	INTEREST EARNED ON F N M A #888336 5.000% 7/01/36 \$1 PV ON 544.9700 SHARES DUE 1/25/2021 DECEMBER FNMA DUE 1/25/21	0.0000	0.000000	544.97	0.00	0.00
01/25/2021	3138EG6F6	INTEREST EARNED ON F N M A #AL0869 4.500% 6/01/29 \$1 PV ON 26.0800 SHARES DUE 1/25/2021 DECEMBER FNMA DUE 1/25/21	0.0000	0.000000	26.08	0.00	0.00
01/25/2021	31417YAY3	INTEREST EARNED ON F N M A #MA0022 4.500% 4/01/29 \$1 PV ON 43.4000 SHARES DUE 1/25/2021 DECEMBER FNMA DUE 1/25/21	0.0000	0.000000	43.40	0.00	0.00
01/25/2021	31397QRE0	INTEREST EARNED ON F N M A GTD REMIC 2.472% 2/25/41 \$1 PV ON 93.8200 SHARES DUE 1/25/2021 \$0.00069/PV ON 135,973.22 PV DUE 1/25/21	0.0000	0.000000	93.82	0.00	0.00
01/25/2021	45950KCM0	INTEREST EARNED ON INTL BK M T N 2.250% 1/25/21 \$1 PV ON 2970000.0000 SHARES DUE 1/25/2021	0.0000	0.000000	33,412.50	0.00	0.00
01/25/2021	46647PAU0	INTEREST EARNED ON JPMORGAN CHASE CO 3.797% 7/23/24 \$1 PV ON 2500000.0000 SHARES DUE 1/23/2021	0.0000	0.000000	47,462.50	0.00	0.00
01/25/2021	78445JAA5	INTEREST EARNED ON S L M A 1.7338% 4/25/23 \$1 PV ON 46.8800 SHARES DUE 1/25/2021 \$0.00433/PV ON 10,816.03 PV DUE 1/25/21	0.0000	0.000000	46.88	0.00	0.00
01/25/2021	89114QBX5	INTEREST EARNED ON TORONTO DOMINION MTN 2.550% 1/25/21 \$1 PV ON 1750000.0000 SHARES DUE 1/25/2021 INTEREST ON 1/25/2021 MATURITY	0.0000	0.000000	22,312.50	0.00	0.00
01/25/2021	90331HNL3	INTEREST EARNED ON US BANK NA MTN 2.850% 1/23/23 \$1 PV ON 2000000.0000 SHARES DUE 1/23/2021	0.0000	0.000000	28,500.00	0.00	0.00
01/26/2021	3133EKWV4	INTEREST EARNED ON F F C B DEB 1.850% 7/26/24 \$1 PV ON 5000000.0000 SHARES DUE 1/26/2021	0.0000	0.000000	46,250.00	0.00	0.00
01/26/2021	459058FY4	INTEREST EARNED ON INTL BK 2.000% 1/26/22 \$1 PV ON 10000000.0000 SHARES DUE 1/26/2021	0.0000	0.000000	100,000.00	0.00	0.00
01/27/2021	912828WU0	BOOK VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY -3640.00 UNITS DECREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
01/27/2021	912828WU0	FED BASIS OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY -3640.00 UNITS DECREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	-3,640.00	0.00
01/27/2021	912828WU0	PAR VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY -3640.0000 UNITS DECREASE TO ADJUST FOR CHANGE IN CPI	-3,640.0000	0.000000	0.00	0.00	0.00
01/27/2021	912828WU0	STATE COST OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY -3640.00 UNITS DECREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
01/28/2021	037833BS8	INTEREST EARNED ON APPLE INC 2.250% 2/23/21 \$1 PV ON 4000000.0000 SHARES DUE 1/28/2021	0.0000	0.000000	38,750.00	0.00	0.00
01/28/2021	61747WAL3	INTEREST EARNED ON MORGAN STANLEY 5.500% 7/28/21 \$1 PV ON 2800000.0000 SHARES DUE 1/28/2021	0.0000	0.000000	77,000.00	0.00	0.00
01/28/2021	912796UC1	INTEREST EARNED ON U S TREASURY BILL 1/28/21 \$1 PV ON 58250000.0000 SHARES DUE 1/28/2021 58,250,000 PAR VALUE AT 100 %	0.0000	0.000000	56,636.52	0.00	0.00
01/29/2021		CASH DISBURSEMENT PAID TO BANC OF CALIFORNIA OUTGOING DOMESTIC WIRE PER DIR DTD 1/27/2021	0.0000	0.000000	-60,000,000.00	0.00	0.00
01/29/2021	06406RAE7	INTEREST EARNED ON BANK OF NY MTN 2.950% 1/29/23 \$1 PV ON 2500000.0000 SHARES DUE 1/29/2021	0.0000	0.000000	36,875.00	0.00	0.00
TOTAL OTHER TRANSACTIONS			-6,656.0000		-58,841,114.33	-6,656.00	0.00



BOARD OF DIRECTORS

Agenda Report

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

File #: 2021-1477

Agenda Date: 2/24/2021

Agenda Item No: 5.

FROM: James D. Herberg, General Manager
Originator: Kelly A. Lore, Clerk of the Board

SUBJECT:

COMMITTEE MEETING MINUTES

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION: Receive and file the following:

- A. Minutes of the Legislative and Public Affairs Committee Meeting held November 9, 2020
- B. Minutes of the Steering Committee Meeting held November 18, 2020
- C. Minutes of the Operations Committee Meeting held December 2, 2020
- D. Minutes of the Administration Committee Meeting held December 9, 2020

BACKGROUND

In accordance with the Board of Directors Rules of Procedure, an accurate record of each meeting will be provided to the Directors for subsequent approval at the following meeting.

RELEVANT STANDARDS

- Resolution No. OC SAN 21-01

ADDITIONAL INFORMATION

The minutes of the Committee meetings are approved at their respective Committees and brought forth to the Board of Directors for receive and file only.

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Minutes of the Monthly Committee Meetings



CALL TO ORDER

A regular meeting of the Legislative and Public Affairs Committee was called to order by Committee Chair Peter Kim on Monday, November 9, 2020 at 12:00 p.m. in the Administration Building of the Orange County Sanitation District. Chair Kim stated that the meeting was being held telephonically and via audio/video teleconferencing in accordance with the Governor's Executive Order No. N-29-20, due to the Coronavirus Pandemic (COVID-19). Chair Kim led the Flag Salute.

ROLL CALL AND DECLARATION OF QUORUM:

Roll call was taken and a quorum was declared present, as follows:

PRESENT: Peter Kim, Allan Bernstein, Lucille Kring, Christina Shea, David Shawver and John Withers
ABSENT: Erik Peterson

STAFF PRESENT: Jim Herberg, General Manager; Kelly Lore, Clerk of the Board; and Brian Engeln were present in the Board Room. Rob Thompson, Assistant General Manager; Lorenzo Tyner, Assistant General Manager; Celia Chandler, Director of Human Resources; Kathy Millea, Director of Engineering; Lan Wiborg, Director of Environmental Services; Jennifer Cabral; Belen Carrillo; Tanya Chong; Daisy Covarrubias; Lisa Frigo; Tina Knapp; Rebecca Long; Joshua Martinez; Tom Meregillano; Kelly Newell; and Thomas Vu were in attendance telephonically.

OTHERS PRESENT: Brad Hogin, General Counsel; Eric Sapirstein, ENS Resources; Eric O'Donnell, Townsend Public Affairs (TPA); and Cori Takkinen, Townsend Public Affairs (TPA) were in attendance telephonically.

PUBLIC COMMENTS:

Clerk of the Board Kelly Lore read an eComment of support for the Committee provided by Greg Sebourn, PLS.

David This, CCL commented in regard to Item No. 3 requesting Orange County Sanitation District's support of House of Representatives Bill (H.R.) 763.

REPORTS:

Chair Kim congratulated the staff and Board Chairman on a very successful State of the District. He further stated that this will be his last meeting as his term will be coming to end in December and thanked the committee for their service.

General Manager Jim Herberg announced that the Sanitation District would be closed on November 11th in observance of Veteran's Day. He also provided a brief update regarding OCSD's Headquarters Complex project.

CONSENT CALENDAR:

1. APPROVAL OF MINUTES

[2020-1287](#)

Originator: Kelly Lore

MOVED, SECONDED, AND DULY CARRIED TO:

Approve Minutes of the Regular Meeting of the Legislative and Public Affairs Committee held September 14, 2020.

AYES: Peter Kim, Allan Bernstein, Lucille Kring, Christina Shea and David Shawver

NOES: None

ABSENT: Erik Peterson and John Withers

ABSTENTIONS: None

NON-CONSENT:

Chair Kim stated that Late Communication had been received for Item No. 2 with an amended recommendation.

2. 2021 LEGISLATIVE AND REGULATORY PLAN

[2020-1262](#)

Originator: Jim Herberg

Senior Public Affairs Specialist Rebecca Long provided a brief PowerPoint presentation. The recommendation was amended as described in late communication.

MOVED, SECONDED, AND DULY TO:

Review the Draft Orange County Sanitation District 2021 Legislative and Regulatory Plan; authorize staff to make changes to the Orange County Sanitation District 2021 Legislative and Regulatory Plan and recommend to the Board of Directors meeting of December 16, 2020 for approval.

AYES: Peter Kim, Allan Bernstein, Lucille Kring, Christina Shea, David Shawver and John Withers

NOES: None

ABSENT: Erik Peterson

ABSTENTIONS: None

3. **CONSIDERATION OF HOUSE OF REPRESENTATIVES BILL (H.R.) 763** [2020-1263](#)

Originator: Jim Herberg

Eric Sapirstein, ENS Resources, provided information and a brief overview of the Bill.

MOVED, SECONDED, AND DULY CARRIED TO:

Continue to monitor and watch House of Representatives Bill (H.R.) 763 - Energy Innovation and Carbon Dividend Act (Deutch); and provide update to future meeting.

AYES: Peter Kim, Allan Bernstein, Lucille Kring, Christina Shea, David Shawver and John Withers

NOES: None

ABSENT: Erik Peterson

ABSTENTIONS: None

4. **LEGISLATIVE AFFAIRS UPDATE FOR THE MONTHS OF SEPTEMBER AND OCTOBER 2020** [2020-1261](#)

Originator: Jim Herberg

Mr. Sapirstein provided a PowerPoint presentation that addressed key legislative activities including election results and impacts, infrastructure policymaking, and fiscal year 2022 appropriations.

Eric O'Donnell, TPA, provided a PowerPoint presentation that included a legislative end of session update, election results, and possible implications of the election results.

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

Receive and file the Legislative Affairs Update for the months of September and October 2020.

AYES: Peter Kim, Allan Bernstein, Lucille Kring, Christina Shea, David Shawver and John Withers

NOES: None

ABSENT: Erik Peterson

ABSTENTIONS: None

5. **PUBLIC AFFAIRS UPDATE FOR THE MONTHS OF SEPTEMBER AND OCTOBER 2020** [2020-1265](#)

Originator: Jim Herberg

Daisy Covarrubias, Principal Public Affairs Specialist, provided a PowerPoint

presentation that provided an overview of public affairs activities in September and October, an overview of upcoming activities, and a recap of awards recently received by the Sanitation District.

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

Receive and file the Public Affairs Update for the months of September and October 2020.

AYES: Peter Kim, Allan Bernstein, Lucille Kring, Christina Shea, David Shawver and John Withers
NOES: None
ABSENT: Erik Peterson
ABSTENTIONS: None

INFORMATION ITEMS:

None.

DEPARTMENT HEAD REPORTS:

None.

CLOSED SESSION:

None.

OTHER BUSINESS AND COMMUNICATIONS OR SUPPLEMENTAL AGENDA ITEMS, IF ANY:

Board Chairman Shawver thanked each of the four outgoing members for their service and wished them luck in the future. Chair Kim and Vice-Chair Bernstein also stated their appreciation of staff and partners ENS & TPA for their hard work.

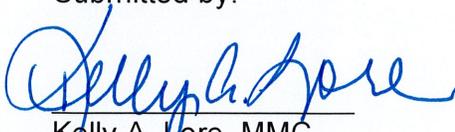
BOARD OF DIRECTORS INITIATED ITEMS FOR A FUTURE MEETING:

None.

ADJOURNMENT:

Committee Chair Kim declared the meeting adjourned at 1:05 p.m. to the next Legislative and Public Affairs Committee meeting, Monday, February 8, 2021 at 12:00 p.m.

Submitted by:

A handwritten signature in blue ink, appearing to read "Kelly A. Lore". The signature is written in a cursive style and is positioned above a horizontal line.

Kelly A. Lore, MMC
Clerk of the Board



CALL TO ORDER

A regular meeting of the Steering Committee of the Orange County Sanitation District was called to order by Board Chairman David Shawver on Wednesday, November 18, 2020 at 5:02 p.m. in the Administration Building of the Orange County Sanitation District. Clerk of the Board Kelly Lore stated that the meeting was being held telephonically and via audio/video teleconferencing in accordance with the Governor's Executive Order No. N-29-20, due to the Coronavirus Pandemic (COVID-19).

ROLL CALL AND DECLARATION OF QUORUM:

A quorum was declared present, as follows:

PRESENT: David Shawver, John Withers, Robert Collacott, Peter Kim, Glenn Parker and Tim Shaw
ABSENT: Chad Wanke

STAFF MEMBERS PRESENT: Jim Herberg, General Manager; Kelly Lore, Clerk of the Board; and Brian Engeln were present in the Board Room. Assistant General Manager Lorenzo Tyner, Assistant General Manager Rob Thompson, Director of Engineering Kathy Millea, Director of Environmental Services Lan Wiborg, Director of Human Resources Celia Chandler, Jennifer Cabral, Tina Knapp and Thomas Vu participated telephonically.

OTHERS PRESENT: Brad Hogin (General Counsel) was present in the Board Room.

PUBLIC COMMENTS:

None.

REPORTS:

None.

CONSENT CALENDAR:

1. APPROVAL OF MINUTES

[2020-1310](#)

Originator: Kelly Lore

MOVED, SECONDED, AND DULY CARRIED TO:

Approve Minutes of the Regular Meeting of the Steering Committee held October 28, 2020.

AYES: David Shawver, John Withers, Robert Collacott, Peter Kim, Glenn Parker and Tim Shaw
NOES: None
ABSENT: Chad Wanke
ABSTENTIONS: None

NON-CONSENT:

2. APPROVAL OF FOUNTAIN VALLEY DEVELOPMENT AGREEMENT [2020-1333](#)

Originator: Kathy Millea

General Manager Jim Herberg provided a brief introduction to the Item and clarification regarding the specific use of the site.

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

Approve the Development Agreement with the City of Fountain Valley and authorize its execution and implementation.

AYES: David Shawver, John Withers, Robert Collacott, Peter Kim, Glenn Parker and Tim Shaw
NOES: None
ABSENT: Chad Wanke
ABSTENTIONS: None

INFORMATION ITEMS:

None.

CLOSED SESSION:

None.

OTHER BUSINESS AND COMMUNICATIONS OR SUPPLEMENTAL AGENDA ITEMS, IF ANY:

Director Collacott requested that the Chairman send a letter to the member agencies regarding appointments to the Board of Directors.

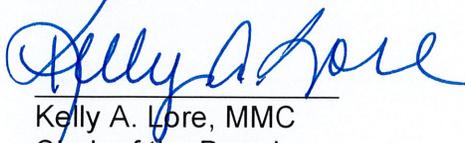
BOARD OF DIRECTORS INITIATED ITEMS FOR A FUTURE MEETING:

None.

ADJOURNMENT:

Chair Shawver declared the meeting adjourned at 5:19 p.m. to the next Steering Committee meeting to be held on Wednesday, December 16, 2020 at 5:00 p.m.

Submitted by:

A handwritten signature in blue ink, appearing to read "Kelly A. Lore". The signature is written in a cursive style and is positioned above a horizontal line.

Kelly A. Lore, MMC
Clerk of the Board



CALL TO ORDER

A regular meeting of the Operations Committee was called to order by Committee Chair Bob Collacott on Wednesday, December 2, 2020 at 5:01 p.m. in the Administration Building of the Orange County Sanitation District. Chair Collacott stated that the meeting was being held telephonically and via audio/video teleconferencing in accordance with the Governor's Executive Order No. N-29-20, due to the Coronavirus Pandemic (COVID-19). Director Fred Smith led the Flag Salute.

ROLL CALL AND DECLARATION OF QUORUM:

Roll call was taken and a quorum was declared present, as follows:

PRESENT: Robert Collacott, Brad Avery, Doug Chaffee, Brooke Jones, Steve Jones, Lucille Kring, Sandra Massa-Lavitt, Nelida Mendoza, Jesus Silva, Fred Smith, David Shawver, John Withers, and Mariellen Yarc

ABSENT: None

STAFF PRESENT: Jim Herberg, General Manager; Kelly Lore, Clerk of the Board; and Joshua Martinez were present in the Board Room. Rob Thompson, Assistant General Manager; Lorenzo Tyner, Assistant General Manager; Celia Chandler, Director of Human Resources; Kathy Millea, Director of Engineering; Lan Wiborg, Director of Environmental Services; Brian Engeln; Jennifer Cabral; Tina Knapp; Jeff Mohr; Adam Nazaroff; Don Stokes; Thomas Vu; Brian Waite; and Eros Yong were in attendance telephonically.

OTHERS PRESENT: Brad Hogin, General Counsel was present in the Board Room.

PUBLIC COMMENTS:

None.

Clerk of the Board Kelly Lore announced that Late Communication had been received requesting that Item No. 5 be pulled from consideration due to a recent protest.

REPORTS:

Assistant General Manager Rob Thompson provided an update on Prevention Maintenance Optimization as it related to the Asset Management Plan on the agenda.

CONSENT CALENDAR:

Board Chair Shawver and Operations Committee Vice-Chair Yarc appeared to be disconnected during the Consent Calendar voting.

1. APPROVAL OF MINUTES [2020-1312](#)

Originator: Kelly Lore

MOVED, SECONDED, AND DULY CARRIED TO:

Approve Minutes of the Regular Meeting of the Operations Committee Meeting on November 4, 2020.

2. RETURN ACTIVATED SLUDGE PUMP STATION ELEVATOR REHABILITATION AT PLANT NO. 2, PROJECT NO. SC19-03 [2020-1079](#)

Originator: Kathy Millea

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

- A. Approve a Service Contract to OTIS Elevator Co. for elevator rehabilitation services using the OMNIA Partners (formerly National IPA) cooperative contract for the Return Activated Sludge Pump Station Elevator Rehabilitation at Plant No. 2, Project No. SC19-03, for a total amount not to exceed \$432,400; and
- B. Approve a contingency of \$86,480 (20%).

AYES: Robert Collacott, Brad Avery, Doug Chaffee, Brooke Jones, Steve Jones, Lucille Kring, Sandra Massa-Lavitt, Nelida Mendoza (Alternate), Jesus Silva, Fred Smith and John Withers

NOES: None

ABSENT: Mariellen Yarc and David Shawver

ABSTENTIONS: None

3. SEAL BEACH PUMP STATION ISOLATION VALVE REPLACEMENT, PROJECT NO. FRC-0004 [2020-1144](#)

Originator: Kathy Millea

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

- A. Receive and file Bid Tabulation and Recommendation for Seal Beach Pump Station Isolation Valve Replacement, Project No. FRC-0004;
- B. Award a Construction Contract to J.R. Filanc Construction Co., Inc. for Seal Beach Pump Station Isolation Valve Replacement, Project No. FRC-0004, in the amount of \$466,830; and
- C. Approve a contingency of \$93,366 (20%).

AYES: Robert Collacott, Brad Avery, Doug Chaffee, Brooke Jones, Steve Jones, Lucille Kring, Sandra Massa-Lavitt, Nelida Mendoza (Alternate), Jesus Silva, Fred Smith and John Withers

NOES: None

ABSENT: Mariellen Yarc and David Shawver

ABSTENTIONS: None

4. CENGEN SUPPLY AIR FAN SUPPORT REPLACEMENT AT PLANT NO. 2, PROJECT NO. MP-305 [2020-1217](#)

Originator: Kathy Millea

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

- A. Receive and file Bid Tabulation and Recommendation for CenGen Supply Air Fan Support Replacement at Plant No. 2, Project No. MP-305;
- B. Award a Construction Contract to J.R. Filanc Construction Co., Inc. for CenGen Supply Air Fan Support Replacement at Plant No. 2, Project No. MP-305, for a total amount not to exceed \$297,000; and
- C. Approve a contingency of \$44,550 (15%).

AYES: Robert Collacott, Brad Avery, Doug Chaffee, Brooke Jones, Steve Jones, Lucille Kring, Sandra Massa-Lavitt, Nelida Mendoza (Alternate), Jesus Silva, Fred Smith and John Withers

NOES: None

ABSENT: Mariellen Yarc and David Shawver

ABSTENTIONS: None

5. PLANT WATER PIPELINE REPLACEMENT IN KINNISON, LINDSTROM, AND SCOTT TUNNELS AT PLANT NO. 2, PROJECT NO. FE18-14 [2020-1272](#)

Originator: Kathy Millea

Item No. 5 pulled from consideration and not heard.

- A. Receive and file Bid Tabulation and Recommendation for Plant Water Pipeline Replacement in Kinnison, Lindstrom, and Scott Tunnels at Plant No. 2, Project No. FE18-14;
- B. Award a Construction Contract to MMC Inc. for Plant Water Pipeline Replacement in Kinnison, Lindstrom, and Scott Tunnels at Plant No. 2, Project No. FE18-14, for a total amount not to exceed \$1,134,000; and
- C. Approve a contingency of \$170,100 (15%).

6. PURCHASE OF TWO 220 KVA TRAILER MOUNTED DIESEL GENERATORS

2020-1323

Originator: Rob Thompson

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

- A. Approve a Purchase Order to Multiquip Inc. for the purchase of two Multiquip Model DCA220 Trailer Mounted Diesel 220 kVA Electric Generators (Tier-4 Final Engine) using Sourcewell Cooperative Contract No. 041719-MTQ for a total amount not to exceed \$230,950; and
- B. Approve a contingency of \$11,548 (5%).

AYES: Robert Collacott, Brad Avery, Doug Chaffee, Brooke Jones, Steve Jones, Lucille Kring, Sandra Massa-Lavitt, Nelida Mendoza (Alternate), Jesus Silva, Fred Smith and John Withers

NOES: None

ABSENT: Mariellen Yarc and David Shawver

ABSTENTIONS: None

7. JANITORIAL & FLOOR MAINTENANCE SERVICE CONTRACT FOR PLANT NOS. 1 AND 2

2020-1296

Originator: Rob Thompson

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

- A. Approve a Service Agreement with JLK Enterprise, Inc. for janitorial and floor maintenance service at Plant Nos. 1 and 2, Specification No. S-2020-1189BD, for the period February 1, 2021 through January 31, 2023, for an amount not to exceed \$1,280,560, with three one-year renewal options in the amount of \$640,280 per year; and
- B. Approve a 10% contingency per contract term: \$128,056 (10%) for the initial two-year term and \$64,028 (10%) for each subsequent one-year renewal period.

AYES: Robert Collacott, Brad Avery, Doug Chaffee, Brooke Jones, Steve Jones, Lucille Kring, Sandra Massa-Lavitt, Nelida Mendoza (Alternate), Jesus Silva, Fred Smith and John Withers

NOES: None

ABSENT: Mariellen Yarc and David Shawver

ABSTENTIONS: None

8. PURCHASE OF 56 ELECTRIC CARTS

[2020-1355](#)

Originator: Rob Thompson

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

- A. Award a Purchase Order to Southwest Toyota Lift for the purchase of 56 electric carts using OMNIA Partners Cooperative Contract No. EV2671 for a total amount not to exceed \$1,101,172; and
- B. Approve a contingency of \$55,059 (5%).

AYES: Robert Collacott, Brad Avery, Doug Chaffee, Brooke Jones, Steve Jones, Lucille Kring, Sandra Massa-Lavitt, Nelida Mendoza (Alternate), Jesus Silva, Fred Smith and John Withers

NOES: None

ABSENT: Mariellen Yarc and David Shawver

ABSTENTIONS: None

9. PREVENTATIVE MAINTENANCE SERVICE FOR FIVE ALFA LAVAL CENTRIFUGES, MODEL ALDEC G3-125

[2020-1342](#)

Originator: Rob Thompson

MOVED, SECONDED, AND DULY CARRIED TO:

- A. Approve a Sole Source Purchase Order Service Contract with Alfa Laval to perform Original Equipment Manufacturer recommended biennial Preventative Maintenance on five centrifuge units at Plant No. 2 for an amount not to exceed \$101,693, plus applicable taxes and freight; and
- B. Approve a contingency of \$20,338 (20%).

AYES: Robert Collacott, Brad Avery, Doug Chaffee, Brooke Jones, Steve Jones, Lucille Kring, Sandra Massa-Lavitt, Nelida Mendoza (Alternate), Jesus Silva, Fred Smith and John Withers

NOES: None

ABSENT: Mariellen Yarc and David Shawver

ABSTENTIONS: None

10. PLANT NO. 2; REBUILD ROTATING ASSEMBLY, ALFA LAVAL CENTRIFUGE, MODEL ALDEC G3-125[2020-1341](#)**Originator:** Rob Thompson

MOVED, SECONDED, AND DULY CARRIED TO:

Approve a Sole Source Purchase Order contract to rebuild one rotating assembly for Alfa Laval Centrifuges at Plant No. 2 for a total amount not to exceed \$197,846.

AYES: Robert Collacott, Brad Avery, Doug Chaffee, Brooke Jones, Steve Jones, Lucille Kring, Sandra Massa-Lavitt, Nelida Mendoza (Alternate), Jesus Silva, Fred Smith and John Withers**NOES:** None**ABSENT:** Mariellen Yarc and David Shawver**ABSTENTIONS:** None

Operations Committee Vice-Chair Yarc appeared to be disconnected during the roll call vote for Item Nos. 11 & 12.

NON-CONSENT:**11. CEQA - FACILITIES MASTER PLAN, PROJECT NO. PS17-08**[2020-1318](#)**Originator:** Kathy Millea

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

- A. Consider, receive, and certify the Final Program Environmental Impact Report for the CEQA - Facilities Master Plan, Project No. PS17-08; and
- B. Adopt Resolution No. OCSD 20-XX, entitled: "A Resolution of the Board of Directors of the Orange County Sanitation District Certifying the Program Environmental Impact Report for the Facilities Master Plan, Project No. PS17-08; Adopting a Statement of Facts and Findings; Adopting a Statement of Overriding Considerations; and Adopting a Mitigation Monitoring and Reporting Program".

AYES: Robert Collacott, Brad Avery, Doug Chaffee, Brooke Jones, Steve Jones, Lucille Kring, Sandra Massa-Lavitt, Nelida Mendoza (Alternate), Jesus Silva, Fred Smith, David Shawver and John Withers**NOES:** None**ABSENT:** Mariellen Yarc**ABSTENTIONS:** None

**12. ORANGE COUNTY SANITATION DISTRICT 2020 ASSET
MANAGEMENT PLAN**[2020-1332](#)**Originator:** Kathy Millea

Engineering Manager Eros Yong provided a PowerPoint presentation regarding the item.

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

Receive and file the Orange County Sanitation District 2020 Asset Management Plan.

AYES: Robert Collacott, Brad Avery, Doug Chaffee, Brooke Jones, Steve Jones, Lucille Kring, Sandra Massa-Lavitt, Nelida Mendoza (Alternate), Jesus Silva, Fred Smith, David Shawver and John Withers

NOES: None

ABSENT: Mariellen Yarc

ABSTENTIONS: None

INFORMATION ITEMS:

None.

DEPARTMENT HEAD REPORTS:

None.

CLOSED SESSION:

None.

OTHER BUSINESS AND COMMUNICATIONS OR SUPPLEMENTAL AGENDA ITEMS, IF ANY:

Board Chair Shawver thanked the outgoing members of the Committee for their years of service. Directors Smith and Kring provided parting comments.

BOARD OF DIRECTORS INITIATED ITEMS FOR A FUTURE MEETING:

None.

ADJOURNMENT:

Chair Collacott adjourned the Operations Committee meeting at 5:46 p.m. until the next regularly scheduled meeting of Wednesday, February 3, 2021 at 5:00 p.m.

Submitted by:



Kelly A. Lore, MMC
Clerk of the Board



Wednesday, December 9, 2020

5:00 PM

Board Room
Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

CALL TO ORDER

A regular meeting of the Administration Committee was called to order by Committee Chair Chad Wanke on Wednesday, December 9, 2020 at 5:00 p.m. in the Administration Building of the Orange County Sanitation District. Chair Wanke stated that the meeting was being held telephonically and via audio/video in accordance with Governor's Executive Order No. N-29-20 due to the Coronavirus Pandemic. Director Glenn Parker led the Flag Salute.

ROLL CALL AND DECLARATION OF QUORUM:

Roll call was taken and a quorum was declared present, as follows:

PRESENT: Chad Wanke, Mark Murphy, Andrew Nguyen, Glenn Parker, Erik Peterson, Tim Shaw, David Shawver, John Withers, Patrick Harper (Alternate), Anthony Kuo (Alternate), Robert Ooten (Alternate) and Nitesh Patel (Alternate)

ABSENT: None

STAFF PRESENT: Jim Herberg, General Manager; Kelly Lore, Clerk of the Board; and Brian Engeln were present in the Board Room. Rob Thompson, Assistant General Manager; Lorenzo Tyner, Assistant General Manager; Celia Chandler, Director of Human Resources; Kathy Millea, Director of Engineering; Lan Wiborg, Director of Environmental Services; Jennifer Cabral; Mortimer Caparas; Tina Knapp; Wally Ritchie; and Thomas Vu were in attendance telephonically.

OTHERS PRESENT: Brad Hogin, General Counsel was present in the Board Room; and La Palma Council Member Marshall Goodman was present telephonically.

PUBLIC COMMENTS:

None.

The Clerk of the Board indicated that late communication was distributed pertaining to agenda Item No. 2 which provided the actual amount of the invoice to be approved for payment.

REPORTS:

Chair Wanke welcomed the four Alternate Directors attending the meeting.

General Manager Herberg did not provide a report.

CONSENT CALENDAR:

1. APPROVAL OF MINUTES

[2020-1362](#)

Originator: Kelly Lore

MOVED, SECONDED, AND DULY CARRIED TO:

Approve Minutes of the Regular Meeting of the Administration Committee held November 10, 2020.

AYES: Chad Wanke, Richard Murphy, Mark Murphy, Andrew Nguyen, Glenn Parker, Erik Peterson, Tim Shaw, David Shawver, John Withers, Patrick Harper (Alternate), Anthony Kuo (Alternate), Robert Ooten (Alternate) and Nitesh Patel (Alternate)

NOES: None

ABSENT: None

ABSTENTIONS: None

2. PAYMENT OF ANNUAL NATIONAL POLLUTANT DISCHARGE AND ELIMINATION SYSTEM (NPDES) PERMIT FEES

[2020-1363](#)

Originator: Lan Wiborg

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

Approve payment of \$712,888 for annual NPDES ocean discharge permit fees.

AYES: Chad Wanke, Richard Murphy, Mark Murphy, Andrew Nguyen, Glenn Parker, Erik Peterson, Tim Shaw, David Shawver, John Withers, Patrick Harper (Alternate), Anthony Kuo (Alternate), Robert Ooten (Alternate) and Nitesh Patel (Alternate)

NOES: None

ABSENT: None

ABSTENTIONS: None

NON-CONSENT:

Board Chair Shawver appeared to be disconnected from the meeting during Item No. 3.

3. ADOPT ORANGE COUNTY SANITATION DISTRICT'S DEBT POLICY

[2020-1360](#)

Originator: Lorenzo Tyner

Assistant General Manager Lorenzo Tyner provided a brief introduction to the item.

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of

Directors to:

Adopt Resolution No. OCSD 20-XX, entitled: "A Resolution of the Board of Directors of the Orange County Sanitation District Adopting the Orange County Sanitation District's Debt Policy and Repealing Resolution No. OCSD 18-16".

AYES: Chad Wanke, Richard Murphy, Mark Murphy, Andrew Nguyen, Glenn Parker, Erik Peterson, Tim Shaw, John Withers, Patrick Harper (Alternate), Anthony Kuo (Alternate), Robert Ooten (Alternate) and Nitesh Patel (Alternate)

NOES: None

ABSENT: David Shawver

ABSTENTIONS: None

Board Vice-Chair Withers appeared to be disconnected from the meeting during Item No. 4.

4. INVEST AND/OR REINVEST ORANGE COUNTY SANITATION DISTRICT'S FUNDS AND ADOPT INVESTMENT POLICY STATEMENT [2020-1325](#)

Originator: Lorenzo Tyner

Controller Wally Ritchie provided a PowerPoint presentation including information regarding Local Agency Investment Guidelines, Senate Bill No. 998 regarding allowable limits, Local Agency Investment Fund, and a summary of the proposed changes to the Investment Policy.

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

Adopt Resolution No. OCSD 20-XX, entitled: "A Resolution of the Board of Directors of the Orange County Sanitation District, Authorizing the Orange County Sanitation District's Treasurer to Invest and/or Reinvest the Orange County Sanitation District's Funds, Adopting the Orange County Sanitation District's Investment Policy Statement and Performance Benchmarks, and Repealing Resolution No. OCSD 19-21".

AYES: Chad Wanke, Richard Murphy, Mark Murphy, Andrew Nguyen, Glenn Parker, Erik Peterson, Tim Shaw, David Shawver, Patrick Harper (Alternate), Anthony Kuo (Alternate), Robert Ooten (Alternate) and Nitesh Patel (Alternate)

NOES: None

ABSENT: John Withers

ABSTENTIONS: None

INFORMATION ITEMS:

None.

DEPARTMENT HEAD REPORTS:

None.

CLOSED SESSION:

None.

OTHER BUSINESS AND COMMUNICATIONS OR SUPPLEMENTAL AGENDA ITEMS, IF ANY:

None.

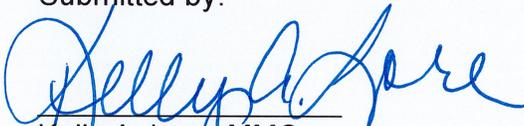
BOARD OF DIRECTORS INITIATED ITEMS FOR A FUTURE MEETING:

Alternate Director Bob Ooten requested an information item be provided regarding No Drugs Down the Drain.

ADJOURNMENT:

Chair Wanke declared the meeting adjourned at 5:22 p.m. to the Regular meeting to be held on Wednesday, February 10, 2021 at 5:00 p.m.

Submitted by:



Kelly A. Lore, MMC
Clerk of the Board



OPERATIONS COMMITTEE

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1480

Agenda Date: 2/24/2021

Agenda Item No: 6.

FROM: James D. Herberg, General Manager
Originator: Kathy Millea, Director of Engineering

SUBJECT:

DIGESTER FERRIC CHLORIDE PIPING REPLACEMENT AT PLANT NO. 1, PROJECT NO. P1-135

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

- A. Receive and file Bid Tabulation and Recommendation for Digester Ferric Chloride Piping Replacement at Plant No. 1, Project No. P1-135;
- B. Award a Construction Contract to Performance Plumbing & Mechanical Inc., dba PPM Contracting, for Digester Ferric Chloride Piping Replacement at Plant No. 1 for a total amount not to exceed \$515,000; and
- C. Approve a contingency of \$51,500 (10%).

BACKGROUND

Digester gas produced by digestion of wastewater sludge in anaerobic digesters contains mostly methane and carbon dioxide, but also hydrogen sulfide that must be limited in concentration to comply with South Coast Air Quality Management District permit conditions associated with the Central Generation co-generation facility. These facilities supply approximately two-thirds of the Orange County Sanitation District's (Sanitation District) power requirements.

Ferric chloride is added to anaerobic digesters to reduce the hydrogen sulfide concentration in the digester gas. To do this, small diameter piping is routed through utility tunnels from an existing digester ferric chloride facility to Anaerobic Digesters 7 through 16.

RELEVANT STANDARDS

- Comply with environmental permit requirements
- Comply with California Public Contract Code Section 20103.8, award construction contract to the lowest responsible bidder

PROBLEM

The existing digester ferric chloride piping is failing and has required repairs in numerous locations due to age and partial blockage.

PROPOSED SOLUTION

Award a Construction Contract for Digester Ferric Chloride Piping Replacement at Plant No. 1, Project No. P1-135. This contract will replace the deteriorated digester ferric chloride piping, valves, and appurtenances from the ferric chloride facility to each of the digesters to prevent periodic blockages and provide reliable injection of ferric chloride to digesters.

TIMING CONCERNS

A piping system failure preventing the addition of ferric chloride could result in a permit violation.

RAMIFICATIONS OF NOT TAKING ACTION

Without this project, the risk of pipe failure will continue to increase.

ADDITIONAL INFORMATION

The Sanitation District advertised for bids on October 27, 2020, and six sealed bids were received on December 8, 2020. A summary of the bids follows:

Engineer's Estimate	\$ 532,000
<u>Bidder</u>	<u>Amount of Bid</u>
Performance Plumbing & Mechanical Inc., dba PPM Contracting	\$ 515,000
Innovative Construction Solutions	\$ 540,000
Mehta Mechanical Co., dba MMC Inc.	\$ 584,280
Tharsos Inc.	\$ 595,000
Environmental Construction, Inc.	\$ 598,449
Houalla Enterprises, Ltd. dba Metro Builders & Engineers Group, Ltd.	\$ 771,173

The bids were evaluated in accordance with the Sanitation District policies and procedures. A notice was sent to all the bidders on January 8, 2021 informing them of the intent of the Sanitation District to recommend award of the construction contract to Performance Plumbing & Mechanical Inc., dba PPM Contracting.

Staff recommends awarding a Construction Contract to the lowest responsive bidder, PPM Contracting, for Digester Ferric Chloride Piping Replacement at Plant No.1, Project No. P1-135, for a total amount not to exceed \$515,000.

CEQA

The project is included in the Headworks Rehabilitation at Plant No.1, Project No. P1-105 Mitigated Negative Declaration (MND) State Clearinghouse Number 2019049152. This MND was certified by the Board of Directors and a Notice of Determination was filed on July 25, 2019.

FINANCIAL CONSIDERATIONS

This request complies with authority levels of the Sanitation District's Purchasing Ordinance. This item has been budgeted (Adopted Budget, Fiscal Years 2020-2021 and 2021-22, Section 8, Page 63, Digester Ferric Chloride Piping Replacement at Plant No. 1, Project No. P1-135) and the budget is sufficient for the recommended action.

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Construction Contract

GR:dm:gc

PART A
CONTRACT AGREEMENT

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CONTRACT AGREEMENT

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CONTRACT AGREEMENT
ORANGE COUNTY SANITATION DISTRICT

PROJECT NO. P1-135
DIGESTER FERRIC CHLORIDE PIPING REPLACEMENT AT PLANT NO. 1

THIS AGREEMENT is made and entered into, to be effective, this February 24, 2021, by and between Performance Plumbing & Mechanical Inc. dba PPM Contracting, hereinafter referred to as "CONTRACTOR" and the Orange County Sanitation District, hereinafter referred to as "OCSD".

WITNESSETH

That for and in consideration of the promises and agreements hereinafter made and exchanged, OCSD and CONTRACTOR agree as follows:

SECTION – 1 GENERAL CONDITIONS

CONTRACTOR certifies and agrees that all the terms, conditions and obligations of the Contract Documents as hereinafter defined, the location of the job site, and the conditions under which the Work is to be performed have been thoroughly reviewed, and enters into this Contract based upon CONTRACTOR's investigation of all such matters and is in no way relying upon any opinions or representations of OCSD. It is agreed that this Contract represents the entire agreement. It is further agreed that the Contract Documents are each incorporated into this Contract by reference, with the same force and effect as if the same were set forth at length herein, and that CONTRACTOR and its Subcontractors, if any, will be and are bound by any and all of said Contract Documents insofar as they relate in any part or in any way, directly or indirectly, to the Work covered by this Contract.

A. Contract Documents Order of Precedence

“Contract Documents” refers to those documents identified in the definition of “Contract Documents” in the General Conditions – Definitions.

1. In the event of a conflict between one Contract Document and any of the other Contract Documents, the provisions in the document highest in precedence shall be controlling. The order of precedence of the Contract Documents is as follows:
 - a. Supplemental Agreements – the last in time being the first in precedence
 - b. Addenda issued prior to the date for submittal of Bids – the last in time being the first in precedence
 - c. Contract Agreement
 - d. Permits and other regulatory requirements
 - e. Special Provisions
 - f. General Conditions (GC)
 - g. Notice Inviting Bids and Instruction to Bidders
 - h. Geotechnical Baseline Report (GBR), if attached as a Contract Document
 - i. Plans and Specifications – in these documents the order of precedence shall be:
 - i. Specifications (Divisions 01-17)
 - ii. Plans
 - iii. General Requirements (GR)
 - iv. Standard Drawings and Typical Details
 - j. CONTRACTOR's Bid
2. In the event of a conflict between terms within an individual Contract Document, the conflict shall be resolved by applying the following principles as appears applicable:
 - a. Figured dimensions on the Contract Documents shall govern. Dimensions not specified shall be as directed by the ENGINEER. Details not shown or

specified shall be the same as similar parts that are shown or specified, or as directed. Full-size details shall take precedence over scale Drawings as to shape and details of construction. Specifications shall govern as to material and workmanship.

- b. The Contract Documents calling for the higher quality material or workmanship shall prevail. Materials or Work described in words, which so applied, have a well known technical or trade meaning shall be deemed to refer to such recognized standards. In the event of any discrepancy between any Drawings and the figures thereon, the figures shall be taken as correct.
- c. Scale Drawings, full-size details, and Specifications are intended to be fully complementary and to agree. Should any discrepancy between Contract Documents come to the CONTRACTOR's attention, or should an error occur in the efforts of others, which affect the Work, the CONTRACTOR shall notify the ENGINEER, in writing, at once. In the event any doubts or questions arise with respect to the true meaning of the Contract Documents, reference shall be made to the ENGINEER whose written decision shall be final. If the CONTRACTOR proceeds with the Work affected without written instructions from the ENGINEER, the CONTRACTOR shall be fully responsible for any resultant damage or defect.
- d. Anything mentioned in the Specifications and not indicated in the Plans, or indicated in the Plans and not mentioned in the Specifications, shall be of like effect as if indicated and mentioned in both. In case of discrepancy in the Plans or Specifications, the matter shall be immediately submitted to OCSD's ENGINEER, without whose decision CONTRACTOR shall not adjust said

discrepancy save only at CONTRACTOR's own risk and expense. The decision of the ENGINEER shall be final.

In all matters relating to the acceptability of material, machinery or plant equipment; classifications of material or Work; the proper execution, progress or sequence of the Work; and quantities interpretation of the Contract Documents, the decision of the ENGINEER shall be final and binding, and shall be a condition precedent to any payment under the Contract, unless otherwise ordered by the Board of Directors.

B. Definitions

Capitalized terms used in this Contract are defined in the General Conditions, Definitions. Additional terms may be defined in the Special Provisions.

SECTION – 2 MATERIALS AND LABOR

CONTRACTOR shall furnish, under the conditions expressed in the Plans and Specifications, at CONTRACTOR'S own expense, all labor and materials necessary, except such as are mentioned in the Specifications to be furnished by OCSD, to construct and complete the Project, in good workmanlike and substantial order. If CONTRACTOR fails to pay for labor or materials when due, OCSD may settle such claims by making demand upon the Surety to this Contract. In the event of the failure or refusal of the Surety to satisfy said claims, OCSD may settle them directly and deduct the amount of payments from the Contract Price and any amounts due to CONTRACTOR. In the event OCSD receives a stop payment notice from any laborer or material supplier alleging non-payment by CONTRACTOR, OCSD shall be entitled to deduct all of its costs and expenses incurred relating thereto, including but not limited to administrative and legal fees.

SECTION – 3 PROJECT

The Project is described as:

**PROJECT NO. P1-135
DIGESTER FERRIC CHLORIDE PIPING REPLACEMENT AT PLANT NO. 1**

SECTION – 4 PLANS AND SPECIFICATONS

The Work to be done is shown in a set of Plans and Specifications entitled:

PROJECT NO. P1-135

DIGESTER FERRIC CHLORIDE PIPING REPLACEMENT AT PLANT NO. 1

Said Plans and Specifications and any revision, amendments and addenda thereto are attached hereto and incorporated herein as part of this Contract and referred to by reference.

SECTION – 5 TIME OF COMMENCEMENT AND COMPLETION

CONTRACTOR agrees to commence the Project within 15 calendar days from the date set forth in the “Notice to Proceed” sent by OCSD, unless otherwise specified therein and shall diligently prosecute the Work to completion within two hundred fifty-five (255) calendar days from the date of the “Notice to Proceed” issued by OCSD, excluding delays caused or authorized by OCSD as set forth in Sections 7, 8, and 9 hereof, and applicable provisions in the General Conditions.

The time for completion includes five (5) calendar days determined by OCSD likely to be inclement weather when CONTRACTOR will be unable to work.

In addition, CONTRACTOR shall accomplish such milestones within the periods of performance set forth in Appendix A of the Special Provisions entitled “Work Completion Schedule.”

SECTION – 6 TIME IS OF THE ESSENCE

Time is of the essence of this Contract. As required by the Contract Documents, CONTRACTOR shall prepare and obtain approval of all shop drawings, details and samples, and do all other things necessary and incidental to the prosecution of CONTRACTOR’s Work in conformance with an approved construction progress schedule. CONTRACTOR shall coordinate the Work covered by this Contract with that of all other contractors, subcontractors and of OCSD, in a manner that will facilitate the efficient completion of the entire Work and accomplish the required milestone(s), if any, by the applicable deadline(s) in accordance with Section 5 herein. OCSD shall have the right to assert complete control of the premises on

which the Work is to be performed and shall have the right to decide the time or order in which the various portions of the Work shall be installed or the priority of the work of subcontractors, and, in general, all matters representing the timely and orderly conduct of the Work of CONTRACTOR on the premises.

SECTION – 7 EXCUSABLE DELAYS

CONTRACTOR shall only be excused for any delay in the prosecution or completion of the Project as specifically provided in General Conditions, “Extension of Time for Delay”, and the General Requirements, “By CONTRACTOR or Others – Unknown Utilities during Contract Work”. Extensions of time and extra compensation arising from such excusable delays will be determined in accordance with the General Conditions, “Extension of Time for Delay” and “Contract Price Adjustments and Payments”, and extensions of time and extra compensation as a result of incurring undisclosed utilities will be determined in accordance with General Requirements, “By CONTRACTOR or Others – Unknown Utilities during Contract Work”. OCSD’s decision will be conclusive on all parties to this Contract.

SECTION – 8 EXTRA WORK

The Contract Price as set forth in Section 11, includes compensation for all Work performed by CONTRACTOR, unless CONTRACTOR obtains a Change Order signed by a designated representative of OCSD specifying the exact nature of the Extra Work and the amount of extra compensation to be paid all as more particularly set forth in Section 9 hereof and the General Conditions, “Request for Change (Changes at CONTRACTOR’s Request)”, “OWNER Initiated Changes”, and “Contract Price Adjustments and Payments”.

In the event a Change Order is issued by OCSD pursuant to the Contract Documents, OCSD shall extend the time fixed in Section 5 for completion of the Project by the number of days, if any, reasonably required for CONTRACTOR to perform the Extra Work, as determined by OCSD’s ENGINEER. The decision of the ENGINEER shall be final.

SECTION – 9 CHANGES IN PROJECT

OCSD may at any time, without notice to any Surety, by Change Order, make any changes in the Work within the general scope of the Contract Document, including but not limited to changes:

1. In the Specifications (including Drawings and designs);
2. In the time, method or manner of performance of the Work;
3. In OCSD-furnished facilities, equipment, materials, services or site; or
4. Directing acceleration in the performance of the Work.

No change of period of performance or Contract Price, or any other change in the Contract Documents, shall be binding until the Contract is modified by a fully executed Change Order.

All Change Orders shall be issued in accordance with the requirements set forth in the General Conditions, “Request for Change (Changes at CONTRACTOR’s Request)” and “OWNER Initiated Changes”.

SECTION – 10 LIQUIDATED DAMAGES FOR DELAY

Liquidated Damages shall be payable in the amounts and upon the occurrence of such events or failure to meet such requirements or deadlines as provided in the Special Provisions, “Liquidated Damages and Incentives.”

SECTION – 11 CONTRACT PRICE AND METHOD OF PAYMENT

- A. OCSD agrees to pay and the CONTRACTOR agrees to accept as full consideration for the faithful performance of this Contract, subject to any additions or deductions as provided in approved Change Orders, the sum of Five Hundred Fifteen Thousand Dollars (\$515,000) as itemized on the Attached Exhibit “A”.

Upon satisfaction of the conditions precedent to payment set forth in the General Requirements, Additional General Requirements and General Conditions (including but not limited to Sections entitled “Mobilization Payment Requirements” and “Payment

Itemized Breakdown of Contract Lump Sum Prices”), there shall be paid to the CONTRACTOR an initial Net Progress Payment for mobilization. OCSD shall issue at the commencement of the job a schedule which shows:

1. A minimum of one payment to be made to the CONTRACTOR for each successive four (4) week period as the Work progresses, and
2. The due dates for the CONTRACTOR to submit requests for payment to meet the payment schedule.

After the initial Net Progress Payment, and provided the CONTRACTOR submits the request for payment prior to the end of the day required to meet the payment schedule, the CONTRACTOR shall be paid a Net Progress Payment on the corresponding monthly payment date set forth in the schedule.

Payments shall be made on demands drawn in the manner required by law, accompanied by a certificate signed by the ENGINEER, stating that the Work for which payment is demanded has been performed in accordance with the terms of the Contract Documents, and that the amount stated in the certificate is due under the terms of the Contract.

Payment applications shall also be accompanied with all documentation, records, and releases as required by the Contract, Exhibit A, Schedule of Prices, and General Conditions, “Payment for Work – General”. The Total amount of Progress Payments shall not exceed the actual value of the Work completed as certified by OCSD’s ENGINEER. The processing of payments shall not be considered as an acceptance of any part of the Work.

- B. As used in this Section, the following defined terms shall have the following meanings:
1. **“Net Progress Payment”** means a sum equal to the Progress Payment less the Retention Amount and other qualified deductions (Liquidated Damages, stop payment notices, etc.).

2. **“Progress Payment”** means a sum equal to:
 - a. the value of the actual Work completed since the commencement of the Work as determined by OCSD;
 - b. plus the value of material suitably stored at the worksite, treatment plant or approved storage yards subject to or under the control of OCSD since the commencement of the Work as determined by OCSD;
 - c. less all previous Net Progress Payments;
 - d. less all amounts of previously qualified deductions;
 - e. less all amounts previously retained as Retention Amounts.

3. **“Retention Amount”** for each Progress Payment means the percentage of each Progress Payment to be retained by OCSD to assure satisfactory completion of the Contract. The amount to be retained from each Progress Payment shall be determined as provided in the General Conditions –“Retained Funds; Substitution of Securities.”

SECTION – 12 SUBSTITUTION OF SECURITIES IN LIEU OF RETENTION OF FUNDS

Pursuant to Public Contract Code Section 22300 et seq., the CONTRACTOR may, at its sole expense, substitute securities as provided in General Conditions – “Retained Funds; Substitution of Securities.”

SECTION – 13 COMPLETION

Final Completion and Final Acceptance shall occur at the time and in the manner specified in the General Conditions, “Final Acceptance and Final Completion”, “Final Payment” and Exhibit A - Schedule of Prices.

Upon receipt of all documentation, records, and releases as required by the Contract from the CONTRACTOR, OCSD shall proceed with the Final Acceptance as specified in General Conditions.

SECTION – 14 CONTRACTOR’S EMPLOYEES COMPENSATION

A. Davis-Bacon Act:

CONTRACTOR will pay and will require all Subcontractors to pay all employees on said Project a salary or wage at least equal to the prevailing rate of per diem wages as determined by the Secretary of Labor in accordance with the Davis-Bacon Act for each craft or type of worker needed to perform the Contract. The provisions of the Davis-Bacon Act shall apply only if the Contract is in excess of Two Thousand Dollars (\$2,000.00) and when twenty-five percent (25%) or more of the Contract is funded by federal assistance. If the aforesaid conditions are met, a copy of the provisions of the Davis-Bacon Act to be complied with are incorporated herein as a part of this Contract and referred to by reference.

B. General Prevailing Rate:

OCSD has been advised by the State of California Director of Industrial Relations of its determination of the general prevailing rate of per diem wages and the general prevailing rate for legal holiday and overtime Work in the locality in which the Work is to be performed for each craft or type of Work needed to execute this Contract, and copies of the same are on file in the Office of the ENGINEER of OCSD. The CONTRACTOR agrees that not less than said prevailing rates shall be paid to workers employed on this public works Contract as required by Labor Code Section 1774 of the State of California. Per California Labor Code 1773.2, OCSD will have on file copies of the prevailing rate of per diem wages at its principal office and at each job site, which shall be made available to any interested party upon request.

C. Forfeiture for Violation:

CONTRACTOR shall, as a penalty to OCSD, forfeit Two Hundred Dollars (\$200.00) for each calendar day or portion thereof for each worker paid (either by the CONTRACTOR or

any Subcontractor under it) less than the prevailing rate of per diem wages as set by the Director of Industrial Relations, in accordance with Sections 1770-1780 of the California Labor Code for the Work provided for in this Contract, all in accordance with Section 1775 of the Labor Code of the State of California.

D. Apprentices:

Sections 1777.5, 1777.6, 1777.7 of the Labor Code of the State of California, regarding the employment of apprentices are applicable to this Contract and the CONTRACTOR shall comply therewith if the prime contract involves Thirty Thousand Dollars (\$30,000.00) or more.

E. Workday:

In the performance of this Contract, not more than eight (8) hours shall constitute a day's work, and the CONTRACTOR shall not require more than eight (8) hours of labor in a day from any person employed by him hereunder except as provided in paragraph (B) above. CONTRACTOR shall conform to Article 3, Chapter 1, Part 7 (Section 1810 et seq.) of the Labor Code of the State of California and shall forfeit to OCSD as a penalty, the sum of Twenty-five Dollars (\$25.00) for each worker employed in the execution of this Contract by CONTRACTOR or any Subcontractor for each calendar day during which any worker is required or permitted to labor more than eight (8) hours in any one calendar day and forty (40) hours in any one week in violation of said Article. CONTRACTOR shall keep an accurate record showing the name and actual hours worked each calendar day and each calendar week by each worker employed by CONTRACTOR in connection with the Project.

F. Registration; Record of Wages; Inspection:

CONTRACTOR shall comply with the registration requirements of Labor Code Section 1725.5. Pursuant to Labor Code Section 1771.4, the Work is subject to compliance monitoring by the

California Department of Industrial Relations. CONTRACTOR shall maintain accurate payroll records and shall submit payroll records to the Labor Commissioner pursuant to Labor Code Section 1771.4(a)(3). Penalties for non-compliance with the requirements of Section 1776 may be deducted from progress payments per Section 1776.

CONTRACTOR shall comply with the job site notices posting requirements established by the Labor Commissioner per Title 8, California Code of Regulations Section 16461(e).

SECTION – 15 SURETY BONDS

CONTRACTOR shall, before entering upon the performance of this Contract, furnish Bonds approved by OCSD's General Counsel – one in the amount of one hundred percent (100%) of the Contract amount, to guarantee the faithful performance of the Work, and the other in the amount of one hundred percent (100%) of the Contract amount to guarantee payment of all claims for labor and materials furnished. As changes to the Contract occur via approved Change Orders, the CONTRACTOR shall assure that the amounts of the Bonds are adjusted to maintain 100% of the Contract Price. This Contract shall not become effective until such Bonds are supplied to and approved by OCSD. Bonds must be issued by a Surety authorized by the State Insurance Commissioner to do business in California. The Performance Bond shall remain in full force and effect through the warranty period, as specified in Section 19 below. All Bonds required to be submitted relating to this Contract must comply with California Code of Civil Procedure Section 995.630. Each Bond shall be executed in the name of the Surety insurer under penalty of perjury, or the fact of execution of each Bond shall be duly acknowledged before an officer authorized to take and certify acknowledgments, and either one of the following conditions shall be satisfied:

- A. A copy of the transcript or record of the unrevoked appointment, power of attorney, by-laws, or other instrument, duly certified by the proper authority and attested by the seal of

the insurer entitling or authorizing the person who executed the Bond to do so for and on behalf of the insurer, is on file in the Office of the County Clerk of the County of Orange; or

B. A copy of a valid power of attorney is attached to the Bond.

SECTION – 16 INSURANCE

CONTRACTOR shall purchase and maintain, for the duration of the Contract, insurance against claims for injuries to persons, or damages to property which may arise from or in connection with the performance of the Work hereunder, and the results of that Work by CONTRACTOR, its agents, representatives, employees, or Subcontractors, in amounts equal to the requirements set forth below. CONTRACTOR shall not commence Work under this Contract until all insurance required under this Section is obtained in a form acceptable to OCSD, nor shall CONTRACTOR allow any Subcontractor to commence Work on a subcontract until all insurance required of the Subcontractor has been obtained. CONTRACTOR shall maintain all of the foregoing insurance coverages in force through the point at which the Work under this Contract is fully completed and accepted by OCSD pursuant to the provisions of the General Conditions, "Final Acceptance and Final Completion". Furthermore, CONTRACTOR shall maintain all of the foregoing insurance coverages in full force and effect throughout the warranty period, commencing on the date of Final Acceptance. The requirement for carrying the foregoing insurance shall not derogate from the provisions for indemnification of OCSD by CONTRACTOR under Section 17 of this Contract. Notwithstanding nor diminishing the obligations of CONTRACTOR with respect to the foregoing, CONTRACTOR shall subscribe for and maintain in full force and effect during the life of this Contract, inclusive of all changes to the Contract Documents made in accordance with the provisions of the General Conditions, "Request for Change (Changes at CONTRACTOR's Request)" and/or "OWNER Initiated Changes", the following insurance in amounts not less than the amounts specified. OCSD reserves the right to amend the required limits of insurance commensurate with the

CONTRACTOR's risk at any time during the course of the Project. No vehicles may enter OCSD premises/worksite without possessing the required insurance coverage.

CONTRACTOR's insurance shall also comply with all insurance requirements prescribed by agencies from whom permits shall be obtained for the Work and any other third parties from whom third party agreements are necessary to perform the Work (collectively, the "Third Parties"), The Special Provisions may list such requirements and sample forms and requirements from such Third Parties may be included in an attachment to the General Requirements. CONTRACTOR bears the responsibility to discover and comply with all requirements of Third Parties, including meeting specific insurance requirements, that are necessary for the complete performance of the Work. To the extent there is a conflict between the Third Parties' insurance requirements and those set forth by OCSD herein, the requirement(s) providing the more protective coverage for both OCSD and the Third Parties shall control and be purchased and maintained by CONTRACTOR.

If CONTRACTOR maintains higher limits than the minimums shown in this Section, OCSD requires and shall be entitled to coverage for the higher limits maintained by the CONTRACTOR.

Where permitted by law, CONTRACTOR hereby waives all rights of recovery by subrogation because of deductible clauses, inadequacy of limits of any insurance policy, limitations or exclusions of coverage, or any other reason against OCSD, its or their officers, agents, or employees, and any other contractor or subcontractor performing Work or rendering services on behalf of OCSD in connection with the planning, development and construction of the Project. In all its insurance coverages (except for Professional Liability/Errors and Omissions coverages, if applicable) related to the Work, CONTRACTOR shall include clauses providing that each insurer shall waive all of its rights of recovery by subrogation against OCSD, its or their officers, agents, or employees, or any other contractor or subcontractor performing Work or rendering

services at the Project. Where permitted by law, CONTRACTOR shall require similar written express waivers and insurance clauses from each of its Subcontractors of every tier. A waiver of subrogation shall be effective as to any individual or entity, even if such individual or entity (a) would otherwise have a duty of indemnification, contractual or otherwise, (b) did not pay the insurance premium, directly or indirectly, and (c) whether or not such individual or entity has an insurable interest in the property damaged.

A. Limits of Insurance

1. General Liability: Two Million Dollars (\$2,000,000) per occurrence and a general aggregate limit of Four Million Dollars (\$4,000,000) for bodily injury, personal injury and property damage. If aggregate limits apply separately to this contract (as evidenced by submission of ISO form CG 25 03 or CG 25 04), then the aggregate limit may be equivalent to the per occurrence limit. Coverage shall include each of the following:
 - a. Premises-Operations.
 - b. Products and Completed Operations, with limits of at least Two Million Dollars (\$2,000,000) per occurrence and a general aggregate limit of Four Million Dollars (\$4,000,000) which shall be in effect at all times during the warranty period set forth in the Warranty section herein, and as set forth in the General Conditions, "Warranty (CONTRACTOR's Guarantee)", plus any additional extension or continuation of time to said warranty period that may be required or authorized by said provisions. If aggregate limits apply separately to this contract (as evidenced by submission of ISO form CG 25 03 or CG 25 04), then the aggregate limit may be equivalent to the per occurrence limit.
 - c. Broad Form Property Damage, expressly including damage arising out of explosion, collapse, or underground damage.

- d. Contractual Liability, expressly including the indemnity provisions assumed under this Contract.
- e. Separation of Insured Clause, providing that coverage applies separately to each insured, except with respect to the limits of liability.
- f. Independent CONTRACTOR's Liability.

To the extent first dollar coverage, including defense of any claim, is not available to OCSD or any other additional insured because of any SIR, deductible, or any other form of self insurance, CONTRACTOR is obligated to assume responsibility of insurer until the deductible, SIR or other condition of insurer assuming its defense and/or indemnity has been satisfied.

CONTRACTOR shall be responsible to pay any deductible or SIR.

- g. If a crane will be used, the General Liability insurance will be endorsed to add Riggers Liability coverage or its equivalent to cover the usage of the crane and exposures with regard to the crane operators, riggers and others involved in using the crane.
- h. If divers will be used, the General Liability insurance will be endorsed to cover marine liability or its equivalent to cover the usage of divers.

- 2. Automobile Liability: The CONTRACTOR shall maintain a policy of Automobile Liability Insurance on a comprehensive form covering all owned, non-owned, and hired automobiles, trucks, and other vehicles providing the following minimum limits of liability coverage:

Either (1) a combined single limit of One Million Dollars (\$1,000,000) for bodily injury, personal injury and property damage;

- Or alternatively, (2) Five Hundred Thousand Dollars (\$500,000) per person for bodily injury, One Million Dollars (\$1,000,000) per accident for bodily injury, and Five Hundred Thousand Dollars (\$500,000) per accident for property damage.
3. **Umbrella Excess Liability:** The minimum limits of general liability and automobile liability insurance required, as set forth above, shall be provided for either in a single policy of primary insurance or a combination of policies of primary and umbrella excess coverage. Excess liability coverage shall be issued with limits of liability which, when combined with the primary insurance, will equal the minimum limits for general liability and automobile liability.
 4. **Drone Liability Insurance:** If a drone will be used, drone liability insurance must be maintained by CONTRACTOR in the amount of One Million Dollars (\$1,000,000) in a form acceptable to OCSD.
 5. **Worker's Compensation/Employer's Liability:** CONTRACTOR shall provide such Worker's Compensation Insurance as required by the Labor Code of the State of California, including employer's liability with a minimum limit of One Million Dollars (\$1,000,000) per accident for bodily injury or disease. If an exposure to Jones Act liability may exist, the insurance required herein shall include coverage with regard to Jones Act claims.
 6. **Pollution Liability Insurance:** CONTRACTOR shall purchase and maintain insurance for pollution liability covering bodily injury, property damage (including loss of use of damaged property or property that has not been physically injured or destroyed), cleanup costs, and defense costs (including costs and expenses for investigation, defense, or settlement of claims). Coverage shall carry limits of at least One Million Dollars (\$1,000,000) and shall apply to sudden and non-sudden pollution conditions (including sewage spills), both at the site or needed due to migration of pollutants

from the site, resulting from the escape or release of smoke, vapors, fumes, acids, alkalis, toxic chemicals, liquids or gases, waste materials, or other irritants, contaminants or pollutants.

If CONTRACTOR provides coverage written on a claims-made basis, OCSD has the right to approve or reject such coverage in its own discretion. If written on a claims-made basis, the CONTRACTOR warrants that any retroactive date applicable to coverage under the policy precedes the effective date of this Contract, and that continuous coverage will be maintained, or an extended discovery period will be exercised, for a period of two years beginning from the time that the Project under this Contract is completed.

B. Deductibles and Self-Insured Retentions

Any deductibles or self-insured retentions must be declared to and approved by OCSD. At the option of OCSD, either: the Insurer shall reduce or eliminate such deductibles or self-insured retentions as respects OCSD, its Directors, officers, agents, CONSULTANTS, and employees; or CONTRACTOR shall provide a financial guarantee satisfactory to OCSD guaranteeing payment of losses and related investigations, claim administration, and defense expenses.

C. Other Insurance Provisions

1. Each such policy of General Liability Insurance and Automobile Liability Insurance shall be endorsed to contain, the following provisions:
 - a. OCSD, its Directors, officers, agents, CONSULTANTS, and employees, and all public agencies from whom permits will be obtained, and their Directors, officers, agents, and employees are hereby declared to be additional insureds under the terms of this policy, but only with respect to the operations of CONTRACTOR at or from any of the sites of OCSD in connection with this

Contract, or acts and omissions of the additional insured in connection with its general supervision or inspection of said operations related to this Contract.

- b. Insurance afforded by the additional insured endorsement shall apply as primary insurance, and other insurance maintained by OCSD shall be excess only and not contributing with insurance provided under this policy.
2. Each insurance policy required herein shall be endorsed to state that coverage shall not be cancelled by either party, except after thirty (30) days prior written notice by certified mail, return receipt requested, and that coverage shall not be cancelled for non-payment of premium except after ten (10) days prior written notice by certified mail, return receipt requested. Should there be changes in coverage or an increase in deductible or SIR amounts, CONTRACTOR undertakes to procure a manuscript endorsement from its insurer giving 30 days prior notice of such an event to OCSD, or to have its insurance broker/agent send to OCSD a certified letter describing the changes in coverage and any increase in deductible or SIR amounts. The certified letter must be sent Attention: Risk Management and shall be received not less than twenty (20) days prior to the effective date of the change(s). The letter must be signed by a Director or Officer of the broker/agent and must be on company letterhead, and may be sent via e-mail in pdf format.
3. Coverage shall not extend to any indemnity coverage for the active negligence of any additional insured in any case where an agreement to indemnify the additional insured would be invalid under California Civil Code Section 2782(b).
4. If required by a public agency from whom permit(s) will be obtained, each policy of General Liability Insurance and Automobile Liability Insurance shall be endorsed to specify by name the public agency and its legislative members, officers, agents, CONSULTANTS, and employees, to be additional insureds.

D. Acceptability of Insurers

Insurers must have an “A-“, or better, Policyholder’s Rating, and a Financial Rating of at least Class VIII, or better, in accordance with the most current A.M. Best Rating Guide. OCSD recognizes that State Compensation Insurance Fund has withdrawn from participation in the A.M. Best Rating Guide process. Nevertheless, OCSD will accept State Compensation Insurance Fund for the required policy of worker’s compensation insurance, subject to OCSD’s option, at any time during the term of this Contract, to require a change in insurer upon twenty (20) days written notice. Further, OCSD will require CONTRACTOR to substitute any insurer whose rating drops below the levels herein specified. Said substitution shall occur within twenty (20) days of written notice to CONTRACTOR by OCSD or its agent.

E. Verification of Coverage

CONTRACTOR shall furnish OCSD with original certificates and mandatory endorsements affecting coverage. Said policies and endorsements shall conform to the requirements herein stated. All certificates and endorsements are to be received and approved by OCSD before Work commences. OCSD reserves the right to require complete, certified copies of all required insurance policies, including endorsements, affecting the coverage required by these Specifications at any time.

F. Subcontractors

CONTRACTOR shall be responsible to establish insurance requirements for any Subcontractors hired by CONTRACTOR. The insurance shall be in amounts and types reasonably sufficient to deal with the risk of loss involving the Subcontractor’s operations and work. OCSD and any public agency issuing permits for the Project must be named as “Additional Insured” on any General Liability or Automobile Liability policy obtained by a Subcontractor. The CONTRACTOR must obtain copies and maintain current versions of

OCSD, its directors, officers, agents, CONSULTANTS and employees and all public agencies from whom permits will be obtained as well as their directors, officers, agents, and employees shall be included as insureds under the policy. Any additional insured endorsement shall contain language at least as broad as the coverage language contained in ISO form CG 20 10 11 85 or alternatively in both CG 20 10 10 01 and CG 20 37 10 01 together.

SECTION – 17 RISK AND INDEMNIFICATION

All Work covered by this Contract done at the site of construction or in preparing or delivering materials to the site shall be at the risk of CONTRACTOR alone. CONTRACTOR shall save, indemnify, defend, and keep OCSD and others harmless as more specifically set forth in General Conditions, “General Indemnification”.

SECTION – 18 TERMINATION

This Contract may be terminated in whole or in part in writing by OCSD in the event of substantial failure by the CONTRACTOR to fulfill its obligations under this Agreement, or it may be terminated by OCSD for its convenience provided that such termination is effectuated in a manner and upon such conditions set forth more particularly in General Conditions, “Termination for Default” and/or “Termination for Convenience”, provided that no termination may be effected unless proper notice is provided to CONTRACTOR at the time and in the manner provided in said General Conditions. If termination for default or convenience is effected by OCSD, an equitable adjustment in the price provided for in this Contract shall be made at the time and in the manner provided in the General Conditions, “Termination for Default” and “Termination for Convenience”.

SECTION – 19 WARRANTY

The CONTRACTOR agrees to perform all Work under this Contract in accordance with the Contract Documents, including OCSD’s designs, Drawings and Specifications.

The CONTRACTOR guarantees for a period of at least one (1) year from the date of Final Acceptance of the Work, pursuant to the General Conditions, "Final Acceptance and Final Completion" that the completed Work is free from all defects due to faulty materials, equipment or workmanship and that it shall promptly make whatever adjustments or corrections which may be necessary to cure any defects, including repairs of any damage to other parts of the system resulting from such defects. OCSD shall promptly give notice to the CONTRACTOR of observed defects. In the event that the CONTRACTOR fails to make adjustments, repairs, corrections or other work made necessary by such defects, OCSD may do so and charge the CONTRACTOR the cost incurred. The CONTRACTOR's warranty shall continue as to any corrected deficiency until the later of (1) the remainder of the original one-year warranty period; or (2) one year after acceptance by OCSD of the corrected Work. The Performance Bond and the Payment Bond shall remain in full force and effect through the guarantee period.

The CONTRACTOR's obligations under this clause are in addition to the CONTRACTOR's other express or implied assurances under this Contract, including but not limited to specific manufacturer or other extended warranties specified in the Plans and Specifications, or state law and in no way diminish any other rights that OCSD may have against the CONTRACTOR for faulty materials, equipment or Work.

SECTION – 20 ASSIGNMENT

No assignment by the CONTRACTOR of this Contract or any part hereof, or of funds to be received hereunder, will be recognized by OCSD unless such assignment has had prior written approval and consent of OCSD and the Surety.

SECTION – 21 RESOLUTION OF DISPUTES

OCSD and the CONTRACTOR shall comply with the provisions of California Public Contract Code Section 20104 et. seq., regarding resolution of construction claims for any Claims which

arise between the CONTRACTOR and OCSD, as well as all applicable dispute and Claims provisions as set forth in the General Conditions and as otherwise required by law.

SECTION – 22 SAFETY & HEALTH

CONTRACTOR shall comply with all applicable safety and health requirements mandated by federal, state, city and/or public agency codes, permits, ordinances, regulations, and laws, as well as these Contract Documents, including but not limited to the General Requirements, Section entitled “Safety” and Exhibit B Contractor Safety Standards.

SECTION – 23 NOTICES

Any notice required or permitted under this Contract shall be sent by certified mail, return receipt requested, at the address set forth below. Any party whose address changes shall notify the other party in writing.

TO OCSD: Orange County Sanitation District
10844 Ellis Avenue
Fountain Valley, California 92708-7018
Attn: Clerk of the Board

Copy to: Orange County Sanitation District
10844 Ellis Avenue
Fountain Valley, California 92708-7018
Attn: Construction Manager

Bradley R. Hogin, Esquire
Woodruff, Spradlin & Smart
555 Anton Boulevard
Suite 1200
Costa Mesa, California 92626

TO CONTRACTOR: Performance Plumbing & Mechanical Inc. dba PPM Contracting
3740 Oceanic Way, #307
Oceanside, CA 92056

Copy to: Greg Taylor, President
Performance Plumbing & Mechanical Inc. dba PPM Contracting
3740 Oceanic Way, #307
Oceanside, CA 92056

IN WITNESS WHEREOF, the parties hereto have executed this Contract Agreement as the date first hereinabove written.

CONTRACTOR: Performance Plumbing & Mechanical Inc. dba PPM Contracting
3740 Oceanic Way, #307
Oceanside, CA 92056

By _____

Printed Name

Its _____

CONTRACTOR's State License No. 866856 (Expiration 11/30/2021)

OCSD: Orange County Sanitation District

By _____

David John Shawver
Board Chairman

By _____

Kelly A. Lore
Clerk of the Board

By _____

Ruth Zintzun
Purchasing & Contracts Manager

EXHIBIT A
SCHEDULE OF PRICES

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EXHIBIT A

SCHEDULE OF PRICES

EXA-1 BASIS OF COMPENSATION

CONTRACTOR will be paid the Contract Price according to the Schedule of Prices, and all other applicable terms and conditions of the Contract Documents.

EXA-2 PROGRESS PAYMENTS

Progress payments will be made in accordance with all applicable terms and conditions of the Contract Documents, including, but not limited to:

1. Contract Agreement – Section 11 – “Contract Price and Method of Payment;”
2. General Conditions – “Payment – General”;
3. General Conditions – “Payment – Applications for Payment”;
4. General Conditions – “Payment – Mobilization Payment Requirements;”
5. General Conditions – “Payment – Itemized Breakdown of Contract Lump Sum Prices”;
6. General Conditions – “Contract Price Adjustments and Payments”;
7. General Conditions – “Suspension of Payments”;
8. General Conditions – “OCSD’s Right to Withhold Certain Amounts and Make Application Thereof”; and
9. General Conditions – “Final Payment.”

EXA-3 RETENTION AND ESCROW ACCOUNTS

A. Retention:

OCSD shall retain a percentage of each progress payment to assure satisfactory completion of the Work. The amount to be retained from each progress payment shall be determined as provided in General Conditions – “Retained Funds; Substitution of Securities”. In all contracts between CONTRACTOR and its Subcontractors and/or Suppliers, the retention may not exceed the percentage specified in the Contract Documents.

B. Substitution of Securities:

CONTRACTOR may, at its sole expense, substitute securities as provided in General Conditions – “Retained Funds; Substitution of Securities.” Payment of Escrow Agent:

In lieu of substitution of securities as provided above, the CONTRACTOR may request and OCSD shall make payment of retention earned directly to the escrow agent at the expense of the CONTRACTOR. At the expense of the CONTRACTOR, the CONTRACTOR may direct the investment of the payments into securities consistent with Government Code §16430 and the CONTRACTOR shall receive the interest earned on the investments upon the same terms provided for in this article for securities deposited by the CONTRACTOR. Upon satisfactory completion of the Contract, the CONTRACTOR shall receive from the escrow agent all securities, interest and payments received by the escrow agent from OCSD, pursuant to the terms of this article. The CONTRACTOR shall pay to each Subcontractor, not later than twenty (20) calendar days after receipt of the payment, the respective amount of interest earned, net of costs attributed to retention withheld from each Subcontractor, on the amount of retention withheld to ensure the performance of the Subcontractor. The escrow agreement used by the escrow agent pursuant to this article shall be substantially similar to the form set forth in §22300 of the California Public Contract Code.

C. Release of Retention:

Upon Final Acceptance of the Work, the CONTRACTOR shall submit an invoice for release of retention in accordance with the terms of the Contract.

D. Additional Deductibles:

In addition to the retentions described above, OCSD may deduct from each progress payment any or all of the following:

1. Liquidated Damages that have occurred as of the date of the application for progress payment;
2. Deductions from previous progress payments already paid, due to OCSD's discovery of deficiencies in the Work or non-compliance with the Specifications or any other requirement of the Contract;
3. Sums expended by OCSD in performing any of the CONTRACTOR'S obligations under the Contract that the CONTRACTOR has failed to perform, and;
4. Other sums that OCSD is entitled to recover from the CONTRACTOR under the terms of the Contract, including without limitation insurance deductibles and assessments.

The failure of OCSD to deduct any of the above-identified sums from a progress payment shall not constitute a waiver of OCSD's right to such sums or to deduct them from a later progress payment.

EXA-4 STOP PAYMENT NOTICE

In addition to other amounts properly withheld under this article or under other provisions of the Contract, OCSD shall retain from progress payments otherwise due the CONTRACTOR an amount equal to one hundred twenty-five percent (125%) of the amount claimed under any stop payment notice under Civil Code §9350 et. seq. or other lien filed against the CONTRACTOR for labor, materials, supplies, equipment, and any other thing of value claimed to have been furnished to and/or incorporated into the Work; or for any other alleged contribution thereto. In addition to the foregoing and in accordance with Civil Code §9358 OCSD may also satisfy its duty to withhold funds for stop payment notices by refusing to release funds held in escrow pursuant to public receipt of a release of stop payment notice executed by a stop payment notice claimant, a stop payment notice release bond, an order of a court of competent jurisdiction, or other evidence satisfactory to OCSD that the CONTRACTOR has resolved such claim by settlement.

EXA-5 PAYMENT TO SUBCONTRACTORS

Requirements

1. The CONTRACTOR shall pay all Subcontractors for and on account of Work performed by such Subcontractors, not later than seven (7) days after receipt of each progress payment as required by the California Business and Professions Code §7108.5. Such payments to Subcontractors shall be based on the measurements and estimates made pursuant to article progress payments provided herein.
2. Except as specifically provided by law, the CONTRACTOR shall pay all Subcontractors any and all retention due and owing for and on account of Work performed by such Subcontractors not later than seven (7) days after CONTRACTOR'S receipt of said retention proceeds from OCSD as required by the California Public Contract Code §7107.

EXA-6 PAYMENT OF TAXES

Unless otherwise specifically provided in this Contract, the Contract Price includes full compensation to the CONTRACTOR for all taxes. The CONTRACTOR shall pay all federal, state, and local taxes, and duties applicable to and assessable against any Work, including but not limited to retail sales and use, transportation, export, import, business, and special taxes. The CONTRACTOR shall ascertain and pay the taxes when due. The CONTRACTOR will maintain auditable records, subject to OCSD reviews, confirming that tax payments are current at all times.

EXA-7 FINAL PAYMENT

After Final Acceptance of the Work, as more particularly set forth in the General Conditions, "Final Acceptance and Final Completion", and after Resolution of the Board authorizing final payment and satisfaction of the requirements as more particularly set forth in General Conditions – "Final Payment", a final payment will be made as follows:

1. Prior to Final Acceptance, the CONTRACTOR shall prepare and submit an application for Final Payment to OCSD, including:
 - a. The proposed total amount due the CONTRACTOR, segregated by items on the payment schedule, amendments, Change Orders, and other bases for payment;
 - b. Deductions for prior progress payments;
 - c. Amounts retained;
 - d. A conditional waiver and release on final payment for each Subcontractor (per Civil Code Section 8136);
 - e. A conditional waiver and release on final payment on behalf of the CONTRACTOR (per Civil Code Section 8136);
 - f. List of Claims the CONTRACTOR intends to file at that time or a statement that no Claims will be filed,
 - g. List of pending unsettled claims, stating claimed amounts, and copies of any and all complaints and/or demands for arbitration received by the CONTRACTOR; and
 - h. For each and every claim that resulted in litigation or arbitration which the CONTRACTOR has settled, a conformed copy of the Request for Dismissal with prejudice or other satisfactory evidence the arbitration is resolved.
2. The application for Final Payment shall include complete and legally effective releases or waivers of liens and stop payment notices satisfactory to OCSD, arising out of or filed in connection with the Work. Prior progress payments shall be subject to correction in OCSD's review of the application for Final Payment. Claims filed with the application for Final Payment must be otherwise timely under the Contract and applicable law.
3. Within a reasonable time, OCSD will review the CONTRACTOR'S application for Final Payment. Any recommended changes or corrections will then be forwarded to the CONTRACTOR. Within ten (10) calendar days after receipt of recommended changes from OCSD, the CONTRACTOR will make the changes, or list Claims that will be filed as a result of the changes, and shall submit the revised application for Final Payment. Upon

acceptance by OCSD, the revised application for Final Payment will become the approved application for Final Payment.

4. If no Claims have been filed with the initial or any revised application for Final Payment, and no Claims remain unsettled within thirty-five (35) calendar days after Final Acceptance of the Work by OCSD, and agreements are reached on all issues regarding the application for Final Payment, OCSD, in exchange for an executed release, satisfactory in form and substance to OCSD, will pay the entire sum found due on the approved application for Final Payment, including the amount, if any, allowed on settled Claims.
5. The release from the CONTRACTOR shall be from any and all Claims arising under the Contract, except for Claims that with the concurrence of OCSD are specifically reserved, and shall release and waive all unreserved Claims against OCSD and its officers, directors, employees and authorized representatives. The release shall be accompanied by a certification by the CONTRACTOR that:
 - a. It has resolved all Subcontractors, Suppliers and other Claims that are related to the settled Claims included in the Final Payment;
 - b. It has no reason to believe that any party has a valid claim against the CONTRACTOR or OCSD which has not been communicated in writing by the CONTRACTOR to OCSD as of the date of the certificate;
 - c. All warranties are in full force and effect, and;
 - d. The releases and the warranties shall survive Final Payment.
6. If any claims remain open, OCSD may make Final Payment subject to resolution of those claims. OCSD may withhold from the Final Payment an amount not to exceed one hundred fifty percent (150%) of the sum of the amounts of the open claims, and one hundred twenty-five percent (125%) of the amounts of open stop payment notices referred to in article entitled stop payment notices herein.
7. The CONTRACTOR shall provide an unconditional waiver and release on final payment from each Subcontractor and Supplier providing Work under the Contract (per Civil Code Section 8138) and an unconditional waiver and release on final payment on behalf of the CONTRACTOR (per Civil Code Section 8138) within thirty (30) days of receipt of Final Payment.

EXA-8 DISCOVERY OF DEFICIENCIES BEFORE AND AFTER FINAL PAYMENT

Notwithstanding OCSD's acceptance of the application for Final Payment and irrespective of whether it is before or after Final Payment has been made, OCSD shall not be precluded from subsequently showing that:

1. The true and correct amount payable for the Work is different from that previously accepted;

2. The previously-accepted Work did not in fact conform to the Contract requirements, or;
3. A previous payment or portion thereof for Work was improperly made.

OCSD also shall not be stopped from demanding and recovering damages from the CONTRACTOR, as appropriate, under any of the foregoing circumstances as permitted under the Contract or applicable law.

ATTACHMENT 1 – CERTIFICATION FOR REQUEST FOR PAYMENT

I hereby certify under penalty of perjury as follows:

That the claim for payment is in all respects true, correct; that the services mentioned herein were actually rendered and/or supplies delivered to OCSD in accordance with the Contract.

I understand that it is a violation of both the federal and California False Claims Acts to knowingly present or cause to be presented to OCSD a false claim for payment or approval.

A claim includes a demand or request for money. It is also a violation of the False Claims Acts to knowingly make use of a false record or statement to get a false claim paid. The term "knowingly" includes either actual knowledge of the information, deliberate ignorance of the truth or falsity of the information, or reckless disregard for the truth or falsity of the information. Proof of specific intent to defraud is not necessary under the False Claims Acts. I understand that the penalties under the Federal False Claims Act and State of California False Claims Act are non-exclusive, and are in addition to any other remedies which OCSD may have either under contract or law.

I hereby further certify, to the best of my knowledge and belief, that:

1. The amounts requested are only for performance in accordance with the Specifications, terms, and conditions of the Contract;
2. Payments to Subcontractors and Suppliers have been made from previous payments received under the Contract, and timely payments will be made from the proceeds of the payment covered by this certification;
3. This request for progress payments does not include any amounts which the prime CONTRACTOR intends to withhold or retain from a Subcontractor or Supplier in accordance with the terms and conditions of the subcontract; and
4. This certification is not to be construed as Final Acceptance of a Subcontractor's performance.

Name

Title

Date

ATTACHMENT 2 – SCHEDULE OF PRICES

See next pages for Bid Submittal Forms: Performance Plumbing & Mechanical Inc.
dba PPM Contracting

BF-14 SCHEDULE OF PRICES, Pages 1 - 2

BF-14 SCHEDULE OF PRICES

INSTRUCTIONS

A. General

For Unit Prices, it is understood that the following quantities are approximate only and are solely for the purpose of estimating the comparison of Bids, and that the actual value of Work will be computed based upon the actual quantities in the completed Work, whether they be more or less than those shown. CONTRACTOR's compensation for the Work under the Contract Documents will be computed based upon the lump sum amount of the Contract at time of award, plus any additional or deleted costs approved by OCSD via approved Change Orders, pursuant to the Contract Documents.

Bidder shall separately price and accurately reflect costs associated with each line item, leaving no blanks. Any and all modifications to the Bid must be initialed by an authorized representative of the Bidder in accordance with the Instructions to Bidders, Preparation of Bid.

Bidders are reminded of Instruction to Bidders, Discrepancy in Bid Items, which, in summary, provides that the total price for each item shall be based on the Unit Price listed for each item multiplied by the quantity; and the correct Total Price for each item shall be totaled to determine the Total Amount of Bid.

All applicable costs including overhead and profit shall be reflected in the respective unit costs and the TOTAL AMOUNT OF BID. The Bid price shall include all costs to complete the Work, including profit, overhead, etc., unless otherwise specified in the Contract Documents. All applicable sales taxes, state and/or federal, and any other special taxes, patent rights or royalties shall be included in the prices quoted in this Bid.

B. Basis of Award

AWARD OF THE CONTRACT WILL BE MADE ON THE BASIS OF THE LOWEST RESPONSIVE AND RESPONSIBLE BID.

Note 1: Base Bid. Includes all costs necessary to furnish all labor, materials, equipment and services for the construction of the Project per the Contract Documents.

Bid Submitted By: Performance Plumbing & Mechanical Inc., DBA PPM Contracting
 (Name of Firm)

EXHIBIT A
SCHEDULE OF PRICES

BASE BID ITEMS (Refer to Note 1 in the Instructions):

Item No.	Description	Unit of Measurement	Approx Qty	Unit Price	Extended Price
1.	Mobilization as described in Specifications Section 01155 and in conformance with the Contract Documents for the lump sum price of...	Lump Sum	N/A		= \$ 18,000
2.	All other portions of the Work, except the Work of Item Nos. 1 and 3, as described in Specifications Section 01155 and in conformance with the Contract Documents for the lump sum price of...	Lump Sum	N/A		= \$ 493,000. ⁰⁰
3.	Demobilization including final progress payment, clean-up of the Project site as described in Specifications Section 01155 and in conformance with the Contract Documents for the lump sum price of...	Lump Sum	N/A		= \$ 4,000

TOTAL AMOUNT OF BID (BASIS OF AWARD) \$ 515,000.⁰⁰



OPERATIONS COMMITTEE

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1482

Agenda Date: 2/24/2021

Agenda Item No: 7.

FROM: James D. Herberg, General Manager
Originator: Kathy Millea, Director of Engineering

SUBJECT:

TAFT BRANCH IMPROVEMENTS, PROJECT NO. 2-49

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

- A. Approve a Professional Design Services Agreement with Woodard & Curran, Inc. to provide engineering services for Taft Branch Improvements, Project No. 2-49, for an amount not to exceed \$2,200,000; and
- B. Approve a contingency of \$220,000 (10%).

BACKGROUND

The Orange County Sanitation District (Sanitation District) owns and maintains regional conveyance facilities in the City of Orange, including the 60-year-old 12 to 18-inch diameter Taft Branch sewer. The Taft Branch runs approximately 13,000 feet from the intersection of Santiago Blvd. and Meats Ave. to the intersection of Batavia St. and Taft Ave.

RELEVANT STANDARDS

- Achieve less than 2.1 sewer spills per 100 miles
- Protect OC San assets
- California Government Code §4526: Select the “best qualified firm” and “negotiate fair and equitable fees”

PROBLEM

The 2019 Master Plan Update (Collections Capacity Evaluation Study) determined the Taft Branch does not have enough capacity under peak wet weather conditions. Additionally, the current sewer alignment has restricted maintenance access where it crosses under the 55 Freeway just south of Meats Ave. and adjacent to residential and Orange County Flood Control properties.

PROPOSED SOLUTION

Award a Professional Design Services Agreement for Taft Branch Improvements, Project No. 2-49. The project will eliminate the current capacity deficiencies and improve maintenance access. The engineering effort will include an evaluation of alternative sewer alignments and construction methods.

TIMING CONCERNS

The schedule driver of this project is to resolve the capacity deficiencies to reduce the risk of potential spills during wet weather events and improve the current restricted maintenance access.

RAMIFICATIONS OF NOT TAKING ACTION

Increased risk of spills during wet weather events due to capacity deficiencies.

PRIOR COMMITTEE/BOARD ACTIONS

N/A

ADDITIONAL INFORMATIONConsultant Selection:

The Sanitation District requested and advertised for proposals for Taft Branch Improvements, Project No. 2-49, on August 27, 2020. The following evaluation criterion were described in the Request for Proposals (RFP) and used to determine the most qualified Consultant.

CRITERION	WEIGHT
Project Understanding and Approach	35%
Related Project Experience	35%
Project Team and Staff Qualifications	30%

Eight proposals were received on October 19, 2020 and evaluated in accordance with the evaluation process set forth in the Sanitation District's Board of Directors Purchasing Ordinance No. OCSD-52 (Purchasing Ordinance) by a pre-selected Evaluation Team consisting of the Sanitation District staff: Senior Engineer (Project Manager), Associate Engineer (Project Engineer), two Engineering Supervisors, and a Maintenance Manager. The Evaluation Team also included one non-voting representative from the Contracts Administration Division.

The Evaluation Team scored the proposal on the established criterion as summarized in the table below:

	Proposer	Project Understanding and Approach (Max. 35 Points)	Related Project Experience (Max. 35 Points)	Project Team and Staff Qualifications (Max. 30 Points)	Total Score (Max. 100 Points)
1	Woodard & Curran, Inc.	27	29	23	79
2	Michael Baker International	25	27	22	74
3	CDM Smith Inc.	22	20	22	64
4	HDR Engineering, Inc.	25	21	18	64
5	Gannett Fleming, Inc.	21	22	20	63
6	GHD Inc.	19	20	17	56
7	Carollo Engineers, Inc.	13	15	13	41
8	Atkins North America, Inc.	10	13	12	35

Following scoring, the five highest-scoring firms were invited for interviews. The interviews were conducted on November 18, 2020. After the interviews, the Evaluation Team determined the highest-scoring proposer based on both the written proposal and the interview. Below is the summary of the final scores.

	Proposer	Project Understanding and Approach (Max. 35 Points)	Related Project Experience (Max. 35 Points)	Project Team and Staff Qualifications (Max. 30 Points)	Total Score (Max. 100 Points)
1	Woodard & Curran, Inc.	32	32	26	90
2	CDM Smith Inc.	27	27	25	79
3	Michael Baker International	25	23	20	68
4	HDR Engineering, Inc.	20	18	16	54
5	Gannett Fleming, Inc.	18	18	17	53

Woodard and Curran, Inc. was selected based on their superior understanding of the goals of the project. The firm presented multiple solutions and conveyed a deep understanding of the hydraulic limitations of the sewer system and the public impacts of the solutions presented. The proposal and interview demonstrated the team's in-depth knowledge of topics such as CEQA approvals for

potential new alignments and constructability risks that were not apparent nor addressed by other proposers. The team members have project experience related to both trenchless and open cut sewer projects that is well suited to the scope and likely challenges of the current project.

Review of Fee Proposal and Negotiations:

Proposals were accompanied by sealed fee proposals. Only the fee proposal of the Evaluation Committee's highest-ranked firm, as approved by the Director of Engineering, was opened in accordance with the Purchasing Ordinance.

Staff conducted negotiations with Woodard and Curran, Inc. to clarify the requirements of the Scope of Work, the assumptions used for the estimated level of effort, and the proposed approach to meet the goals and objectives for the project. Negotiations were held with multiple follow up e-mails and calls. During negotiations, the Scope of Work was reviewed in detail and certain areas were identified that could be adjusted to increase efficiency. The fee decreased due to combining multiple design memos and meetings, reduction in the number of potholes, reduction in the number of design plan sheets, and elimination of additional flow monitoring currently being conducted by the Sanitation District to capture wet weather flows.

	Original Fee Proposal	Negotiated Fee
Total Hours	7,888	5,684
Total Fee	\$2,942,059	\$2,200,000

The Consultant's fringe and overhead costs, which factor into the billing rate, have been substantiated. The contract profit is 8.38%, which is based on an established formula based on the Sanitation District's standard design agreements.

Based on the above, staff has determined that the final negotiated fee is fair and reasonable for the level of effort required for this project and recommends award of the Professional Design Services Agreement to Woodard and Curran, Inc.

CEQA

The Project is included in the 2020 Facilities Master Plan, Program Environmental Impact Report (PEIR), State Clearinghouse Number 2019070998. The PEIR was certified by the Sanitation District Board of Directors in December 2020.

FINANCIAL CONSIDERATIONS

This request complies with authority levels of the Sanitation District's Purchasing Ordinance. This item has been budgeted (Adopted Budget, Fiscal Years 2020-2021 and 2021-22, Section 8, Page 17, Taft Branch Improvements, Project No. 2-49) and the budget is sufficient for the recommended action.

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Professional Design Services Agreement
- Presentation

RL:dm:gc

PROFESSIONAL DESIGN SERVICES AGREEMENT

THIS AGREEMENT, is made and entered into to be effective the 24th day of February, 2021 by and between the ORANGE COUNTY SANITATION DISTRICT, hereinafter referred to as "SANITATION DISTRICT", and WOODARD & CURRAN INC., for purposes of this Agreement hereinafter referred to as "CONSULTANT".

WITNESSETH:

WHEREAS, the SANITATION DISTRICT desires to engage a CONSULTANT for **Taft Branch Improvements, Project No. 2-49**; and to provide Design services for the upsizing of 12-inch to 21-inch VCP sewer, manhole rehabilitation, sewer modeling and designing maintenance access to manholes and,

WHEREAS, CONSULTANT is qualified to provide the necessary services in connection with these requirements and has agreed to provide the necessary professional services; and,

WHEREAS, the SANITATION DISTRICT has adopted procedures for the selection of professional services and has proceeded in accordance with said procedures to select a CONSULTANT to perform this work; and,

WHEREAS, at its regular meeting on February 24, 2021, the Board of Directors, by Minute Order, accepted the recommendation of the Operations Committee pursuant to SANITATION DISTRICT's Purchasing Ordinance to approve this Agreement between the SANITATION DISTRICT and CONSULTANT.

NOW, THEREFORE, in consideration of the promises and mutual benefits, which will result to the parties in carrying out the terms of this Agreement, it is mutually agreed as follows:

1. SCOPE OF WORK

CONSULTANT agrees to furnish necessary professional and technical services to accomplish those project elements outlined in the Scope of Work attached hereto as Attachment "A", and by this reference made a part of this Agreement.

- A. The CONSULTANT shall be responsible for the professional quality, technical accuracy, completeness, and coordination of all design, drawings, specifications, and other services furnished by the CONSULTANT under this Agreement, including the work performed by its Subconsultants. Where approval by the SANITATION DISTRICT is indicated, it is understood to be conceptual approval only and does not relieve the CONSULTANT of responsibility for complying with all laws, codes, industry standards and liability for damages caused by errors, omissions, noncompliance with industry standards, and/or negligence on the part of the CONSULTANT or its Subconsultants.
- B. CONSULTANT is responsible for the quality of work prepared under this Agreement and shall ensure that all work is performed to the industry based and customary standards of engineering practice for clarity, uniformity, and completeness. CONSULTANT shall respond to all comments, suggestions, and

recommendations on the SANITATION DISTRICT's review comment sheets (i.e. DS1, DS2 and DS3). All comments shall be incorporated into the design prior to the next submittal deadline or addressed, in writing, as to why the comment has not been incorporated. CONSULTANT shall ensure that each submittal is 100% accurate for the level of work submitted (i.e. correct references, terms, capitalization or equal status, spelling, punctuation, etc.)

- C. In the event that work is not performed to the satisfaction of the SANITATION DISTRICT and does not conform to the requirements of this Agreement or any applicable industry standards, the CONSULTANT shall, without additional compensation, promptly correct or revise any errors or deficiencies in its designs, drawings, specifications, or other services within the timeframe specified by the Project Engineer/Project Manager. The SANITATION DISTRICT may charge to CONSULTANT all costs, expenses and damages associated with any such corrections or revisions.
- D. All CAD drawings, figures, and other work shall be produced by CONSULTANTS and Subconsultants using the SANITATION DISTRICT CAD Manual. Conversion of CAD work from any other non-standard CAD format to the SANITATION DISTRICT format shall not be acceptable in lieu of this requirement.

Electronic files shall conform to the SANITATION DISTRICT specifications. Any changes to these specifications by the CONSULTANT are subject to review and approval of the SANITATION DISTRICT.

Electronic files shall be subject to an acceptance period of thirty (30) calendar days during which the SANITATION DISTRICT shall perform appropriate reviews and including CAD Manual compliance. CONSULTANT shall correct any discrepancies or errors detected and reported within the acceptance period at no additional cost to the SANITATION DISTRICT.

- E. The CONSULTANT shall ensure that all plans and specifications prepared, or recommended under this Agreement allow for competitive bidding. The CONSULTANT shall design such plans or specifications so that procurement of services, labor or materials are not available from only one source, and shall not design plans and specifications around a single or specific product, piece of major equipment or machinery, a specific patented design or a proprietary process, unless required by principles of sound engineering practice and supported by a written justification that has been approved in writing by the SANITATION DISTRICT. The CONSULTANT shall submit this written justification to the SANITATION DISTRICT prior to beginning work on such plans and specifications. Whenever the CONSULTANT recommends a specific product or equipment for competitive procurement, such recommendation shall include at least two brand names of products that are capable of meeting the functional requirements applicable to the project.
- F. All professional services performed by the CONSULTANT, including but not limited to all drafts, data, correspondence, proposals, reports, and estimates compiled or composed by the CONSULTANT, pursuant to this Agreement, are

for the sole use of the SANITATION DISTRICT, its agents and employees. Neither the documents nor their contents shall be released to any third party without the prior written consent of the SANITATION DISTRICT. This provision does not apply to information that (a) was publicly known, or otherwise known to the CONSULTANT, at the time that it was disclosed to the CONSULTANT by the SANITATION DISTRICT, (b) subsequently becomes publicly known to the CONSULTANT other than through disclosure by the SANITATION DISTRICT.

2. COMPENSATION

Total compensation shall be paid to CONSULTANT for services in accordance with the following provisions:

A. Total Compensation

Total compensation shall be in an amount not to exceed Two Million Two Hundred Thousand Dollars (\$2,200,000). Total compensation to CONSULTANT including burdened labor (salaries plus benefits), overhead, profit, direct costs, and Subconsultant(s) fees and costs shall not exceed the sum set forth in Attachment "E" - Fee Proposal.

B. Labor

As a portion of the total compensation to be paid to CONSULTANT, the SANITATION DISTRICT shall pay to CONSULTANT a sum equal to the burdened salaries (salaries plus benefits) actually paid by CONSULTANT charged on an hourly-rate basis to this project and paid to the personnel of CONSULTANT. Upon request of the SANITATION DISTRICT, CONSULTANT shall provide the SANITATION DISTRICT with certified payroll records of all employees' work that is charged to this project.

C. Overhead

As a portion of the total compensation to be paid to CONSULTANT, the SANITATION DISTRICT shall compensate CONSULTANT and Subconsultants for overhead at the rate equal to the percentage of burdened labor as specified in Attachment "E" - Fee Proposal.

D. Profit

Profit for CONSULTANT and Subconsultants shall be a percentage of consulting services fees (Burdened Labor and Overhead). When the consulting or subconsulting services amount is \$250,000 or less, the maximum Profit shall be 10%. Between \$250,000 and \$2,500,000, the maximum Profit shall be limited by a straight declining percentage between 10% and 5%. For consulting or subconsulting services fees with a value greater than \$2,500,000, the maximum Profit shall be 5%. Addenda shall be governed by the same maximum Profit percentage after adding consulting services fees.

As a portion of the total compensation to be paid to CONSULTANT and Subconsultants, the SANITATION DISTRICT shall pay profit for all services rendered by CONSULTANT and Subconsultants for this project according to Attachment "E" - Fee Proposal.

E. Subconsultants

For any Subconsultant whose fees for services are greater than or equal to \$100,000 (excluding out-of-pocket costs), CONSULTANT shall pay to Subconsultant total compensation in accordance with the Subconsultant amount specified in Attachment "E" - Fee Proposal.

For any Subconsultant whose fees for services are less than \$100,000, CONSULTANT may pay to Subconsultant total compensation on an hourly-rate basis per the attached hourly rate Schedule and as specified in the Scope of Work. The SANITATION DISTRICT shall pay to CONSULTANT the actual costs of Subconsultant fees and charges in an amount not to exceed the sum set forth in Attachment "E" - Fee Proposal.

F. Direct Costs

The SANITATION DISTRICT shall pay to CONSULTANT and Subconsultants the actual costs of permits and associated fees, travel and licenses for an amount not to exceed the sum set forth in Attachment "E" - Fee Proposal. The SANITATION DISTRICT shall also pay to CONSULTANT actual costs for equipment rentals, leases or purchases with prior approval of the SANITATION DISTRICT. Upon request, CONSULTANT shall provide to the SANITATION DISTRICT receipts and other documentary records to support CONSULTANT's request for reimbursement of these amounts, see Attachment "D" - Allowable Direct Costs. All incidental expenses shall be included in overhead pursuant to Section 2 - COMPENSATION above.

G. Other Direct Costs

Other Direct Costs incurred by CONSULTANT and its Contractor due to modifications in scope of work resulting from field investigations and field work required by Contract. These items may include special equipment, test equipment and tooling and other materials and services not previously identified. Refer to attachment "D" Allowable Direct Costs for payment information.

H. Reimbursable Direct Costs

The SANITATION DISTRICT will reimburse the CONSULTANT for reasonable travel and business expenses as described in this section and further described in Attachment "D" - Allowable Direct Costs to this Agreement. The reimbursement of the above mentioned expenses will be based on an "accountable plan" as considered by Internal Revenue Service (IRS). The plan includes a combination of reimbursements based upon receipts and a "per diem" component approved by IRS. The most recent schedule of the per diem rates utilized by the SANITATION

DISTRICT can be found on the U.S. General Service Administration website at <http://www.gsa.gov/portal/category/104711#>.

The CONSULTANT shall be responsible for the most economical and practical means of management of reimbursable costs inclusive but not limited to travel, lodging and meals arrangements. The SANITATION DISTRICT shall apply the most economic and practical method of reimbursement which may include reimbursements based upon receipts and/or “per diem” as deemed the most practical.

CONSULTANT shall be responsible for returning to the SANITATION DISTRICT any excess reimbursements after the reimbursement has been paid by the SANITATION DISTRICT.

Travel and travel arrangements – Any travel involving airfare, overnight stays or multiple day attendance must be approved by the SANITATION DISTRICT in advance.

Local Travel is considered travel by the CONSULTANT within the SANITATION DISTRICT general geographical area which includes Orange, Los Angeles, Ventura, San Bernardino, Riverside, San Diego, Imperial and Kern Counties. Automobile mileage is reimbursable if CONSULTANT is required to utilize personal vehicle for local travel.

Lodging – Overnight stays will not be approved by the SANITATION DISTRICT for local travel. However, under certain circumstances overnight stay may be allowed at the discretion of the SANITATION DISTRICT based on reasonableness of meeting schedules and the amount of time required for travel by the CONSULTANT. Such determination will be made on a case-by-case basis and at the discretion of the SANITATION DISTRICT.

Travel Meals – Per-diem rates as approved by IRS shall be utilized for travel meals reimbursements. Per diem rates shall be applied to meals that are appropriate for travel times. Receipts are not required for the approved meals.

Additional details related to the reimbursement of the allowable direct costs are provided in the Attachment “D” - Allowable Direct Costs of this Agreement.

I. Limitation of Costs

If, at any time, CONSULTANT estimates the cost of performing the services described in CONSULTANT’s Proposal will exceed seventy-five percent (75%) of the not-to-exceed amount of the Agreement, including approved additional compensation, CONSULTANT shall notify the SANITATION DISTRICT immediately, and in writing. This written notice shall indicate the additional amount necessary to complete the services. Any cost incurred in excess of the approved not-to-exceed amount, without the express written consent of the SANITATION DISTRICT’s authorized representative shall be at CONSULTANT’s own risk. This written notice shall be provided separately from, and in addition to any notification requirements contained in the CONSULTANT’s invoice and

monthly progress report. Failure to notify the SANITATION DISTRICT that the services cannot be completed within the authorized not-to-exceed amount is a material breach of this Agreement.

3. REALLOCATION OF TOTAL COMPENSATION

The SANITATION DISTRICT, by its Director of Engineering, shall have the right to approve a reallocation of the incremental amounts constituting the total compensation, provided that the total compensation is not increased.

4. PAYMENT

- A. Monthly Invoice: CONSULTANT shall include in its monthly invoice, a detailed breakdown of costs associated with the performance of any corrections or revisions of the work for that invoicing period. CONSULTANT shall allocate costs in the same manner as it would for payment requests as described in this Section of the Agreement. CONSULTANT shall warrant and certify the accuracy of these costs and understand that submitted costs are subject to Section 11 - AUDIT PROVISIONS.
- B. CONSULTANT may submit monthly or periodic statements requesting payment for those items included in Section 2 - COMPENSATION hereof in the format as required by the SANITATION DISTRICT. Such requests shall be based upon the amount and value of the work and services performed by CONSULTANT under this Agreement and shall be prepared by CONSULTANT and accompanied by such supporting data, including a detailed breakdown of all costs incurred and project element work performed during the period covered by the statement, as may be required by the SANITATION DISTRICT.

Upon approval of such payment request by the SANITATION DISTRICT, payment shall be made to CONSULTANT as soon as practicable of one hundred percent (100%) of the invoiced amount on a per-project-element basis.

If the SANITATION DISTRICT determines that the work under this Agreement or any specified project element hereunder, is incomplete and that the amount of payment is in excess of:

- i. The amount considered by the SANITATION DISTRICT's Director of Engineering to be adequate for the protection of the SANITATION DISTRICT; or
- ii. The percentage of the work accomplished for each project element.

He may, at his discretion, retain an amount equal to that which insures that the total amount paid to that date does not exceed the percentage of the completed work for each project element or the project in its entirety.

- C. CONSULTANT may submit periodic payment requests for each 30-day period of this Agreement for the profit as set forth in Section 2 - COMPENSATION above. Said profit payment request shall be proportionate to the work actually

accomplished to date on a per-project-element basis. In the event the SANITATION DISTRICT's Director of Engineering determines that no satisfactory progress has been made since the prior payment, or in the event of a delay in the work progress for any reason, the SANITATION DISTRICT shall have the right to withhold any scheduled proportionate profit payment.

- D. Upon satisfactory completion by CONSULTANT of the work called for under the terms of this Agreement, and upon acceptance of such work by the SANITATION DISTRICT, CONSULTANT will be paid the unpaid balance of any money due for such work, including any retained percentages relating to this portion of the work.
- E. Upon satisfactory completion of the work performed hereunder and prior to final payment under this Agreement for such work, or prior settlement upon termination of this Agreement, and as a condition precedent thereto, CONSULTANT shall execute and deliver to the SANITATION DISTRICT a release of all claims against the SANITATION DISTRICT arising under or by virtue of this Agreement other than such claims, if any, as may be specifically exempted by CONSULTANT from the operation of the release in stated amounts to be set forth therein.
- F. Pursuant to the California False Claims Act (Government Code Sections 12650-12655), any CONSULTANT that knowingly submits a false claim to the SANITATION DISTRICT for compensation under the terms of this Agreement may be held liable for treble damages and up to a ten thousand dollars (\$10,000) civil penalty for each false claim submitted. This Section shall also be binding on all Subconsultants.

A CONSULTANT or Subconsultant shall be deemed to have submitted a false claim when the CONSULTANT or Subconsultant: a) knowingly presents or causes to be presented to an officer or employee of the SANITATION DISTRICT a false claim or request for payment or approval; b) knowingly makes, uses, or causes to be made or used a false record or statement to get a false claim paid or approved by the SANITATION DISTRICT; c) conspires to defraud the SANITATION DISTRICT by getting a false claim allowed or paid by the SANITATION DISTRICT; d) knowingly makes, uses, or causes to be made or used a false record or statement to conceal, avoid, or decrease an obligation to the SANITATION DISTRICT; or e) is a beneficiary of an inadvertent submission of a false claim to the SANITATION DISTRICT, and fails to disclose the false claim to the SANITATION DISTRICT within a reasonable time after discovery of the false claim.

5. CALIFORNIA DEPARTMENT OF INDUSTRIAL RELATIONS (DIR) REGISTRATION AND RECORD OF WAGES

- A. To the extent CONSULTANT's employees and/or Subconsultants who will perform Work during the design and preconstruction phases of a construction contract for which Prevailing Wage Determinations have been issued by the DIR and as more specifically defined under Labor Code Section 1720 et seq, CONSULTANT and Subconsultants shall comply with the registration requirements of Labor Code Section 1725.5. Pursuant to Labor Code Section 1771.4, the Work is subject to compliance monitoring and enforcement by the DIR.

- B. The CONSULTANT and Subconsultants shall maintain accurate payroll records and shall comply with all the provisions of Labor Code Section 1776, and shall submit payroll records to the Labor Commissioner pursuant to Labor Code Section 1771.4(a)(3). Penalties for non-compliance with the requirements of Section 1776 may be deducted from progress payments per Section 1776.
- C. Pursuant to Labor Code Section 1776, the CONSULTANT and Subconsultants shall furnish a copy of all certified payroll records to SANITATION DISTRICT and/or general public upon request, provided the public request is made through SANITATION DISTRICT, the Division of Apprenticeship Standards or the Division of Labor Enforcement of the Department of Industrial Relations.
- D. The CONSULTANT and Subconsultants shall comply with the job site notices posting requirements established by the Labor Commissioner per Title 8, California Code of Regulation Section 16461(e).

6. DOCUMENT OWNERSHIP – SUBSEQUENT CHANGES TO PLANS AND SPECIFICATIONS

- A. Ownership of Documents for the Professional Services performed.

All documents, including but not limited to, original plans, studies, sketches, drawings, computer printouts and disk files, and specifications prepared in connection with or related to the Scope of Work or Professional Services, shall be the property of the SANITATION DISTRICT. The SANITATION DISTRICT's ownership of these documents includes use of, reproduction or reuse of and all incidental rights, whether or not the work for which they were prepared has been performed; provided that any use or reuse other than for the purposes as detailed in this Agreement are taken at the sole risk of the SANITATION DISTRICT. The SANITATION DISTRICT ownership entitlement arises upon payment or any partial payment for work performed and includes ownership of any and all work product completed prior to that payment. This Section shall apply whether the CONSULTANT's Professional Services are terminated: a) by the completion of the Agreement, or b) in accordance with other provisions of this Agreement. Notwithstanding any other provision of this paragraph or Agreement, the CONSULTANT shall have the right to make copies of all such plans, studies, sketches, drawings, computer printouts and disk files, and specifications.
- B. CONSULTANT shall not be responsible for damage caused by subsequent changes to or uses of the plans or specifications, where the subsequent changes or uses are not authorized or approved by CONSULTANT, provided that the service rendered by CONSULTANT was not a proximate cause of the damage.

7. INSURANCE

- A. General
 - i. Insurance shall be issued and underwritten by insurance companies acceptable to the SANITATION DISTRICT.

- ii. Insurers must have an “A-” Policyholder’s Rating, or better, and Financial Rating of at least Class VIII, or better, in accordance with the most current A.M. Best’s Guide Rating. However, the SANITATION DISTRICT will accept State Compensation Insurance Fund, for the required policy of Worker’s Compensation Insurance subject to the SANITATION DISTRICT’s option to require a change in insurer in the event the State Fund financial rating is decreased below “B”. Further, the SANITATION DISTRICT will require CONSULTANT to substitute any insurer whose rating drops below the levels herein specified. Said substitution shall occur within twenty (20) days of written notice to CONSULTANT, by the SANITATION DISTRICT or its agent.
- iii. Coverage shall be in effect prior to the commencement of any work under this Agreement.

B. General Liability

The CONSULTANT shall maintain during the life of this Agreement, including the period of warranty, Commercial General Liability Insurance written on an occurrence basis providing the following minimum limits of liability coverage: Two Million Dollars (\$2,000,000) per occurrence with Four Million Dollars (\$4,000,000) aggregate unless aggregate applies separately to this project (via use of ISO CG 25 03 or 25 04), then aggregate limit equals Two Million Dollars (\$2,000,000) or ½ the general aggregate. Said insurance shall include coverage for the following hazards: Premises-Operations, blanket contractual liability (for this Agreement), products liability/completed operations (including any product manufactured or assembled), broad form property damage, blanket contractual liability, independent contractors liability, personal and advertising injury, mobile equipment, and cross liability and severability of interest clauses. A statement on an insurance certificate will not be accepted in lieu of the actual additional insured endorsement(s). If requested by SANITATION DISTRICT and applicable, XCU coverage (Explosion, Collapse and Underground) must be included in the General Liability policy and coverage must be reflected on the submitted Certificate of Insurance.

C. Umbrella Excess Liability

The minimum limits of general liability and Automotive Liability Insurance required, as set forth herein, shall be provided for through either a single policy of primary insurance or a combination of policies of primary and umbrella excess coverage. Umbrella excess liability coverage shall be issued with limits of liability which, when combined with the primary insurance, will equal the minimum limits for general liability and automotive liability.

D. Automotive/Vehicle liability Insurance

The CONSULTANT shall maintain a policy of Automotive Liability Insurance on a comprehensive form covering all owned, non-owned, and hired automobiles, trucks, and other vehicles providing the following minimum limits of liability coverage: Combined single limit of One Million Dollars (\$1,000,000) per occurrence or alternatively, Five Hundred Thousand Dollars (\$500,000) per

person for bodily injury, One Million Dollars (\$1,000,000) per accident for bodily injury and Five Hundred Thousand Dollars (\$500,000) per accident for property damage. A statement on an insurance certificate will not be accepted in lieu of the actual additional insured endorsement.

E. Drone Liability Insurance

If a drone will be used, drone liability insurance must be maintained by CONSULTANT in the amount of one million dollars (\$1,000,000) in form acceptable to the SANITATION DISTRICT.

F. Worker's Compensation Insurance

The CONSULTANT shall provide such Workers' Compensation Insurance as required by the Labor Code of the State of California in the amount of the statutory limit, including Employer's Liability Insurance with a minimum limit of One Million Dollars (\$1,000,000) per occurrence. Such Worker's Compensation Insurance shall be endorsed to provide for a waiver of subrogation in favor of the SANITATION DISTRICT. A statement on an insurance certificate will not be accepted in lieu of the actual endorsements unless the insurance carrier is State of California Insurance Fund and the identifier "SCIF" and endorsement numbers 2570 and 2065 are referenced on the certificate of insurance. If an exposure to Jones Act liability may exist, the insurance required herein shall include coverage for Jones Act claims.

G. Errors and Omissions/Professional Liability

CONSULTANT shall maintain in full force and effect, throughout the term of this Agreement, standard industry form professional negligence errors and omissions insurance coverage in an amount of not less than Two Million Dollars (\$2,000,000) with limits in accordance with the provisions of this Paragraph. If the policy of insurance is written on a "claims made" basis, said policy shall be continued in full force and effect at all times during the term of this Agreement, and for a period of five (5) years from the date of the completion of the services hereunder.

In the event of termination of said policy during this period, CONSULTANT shall obtain continuing insurance coverage for the prior acts or omissions of CONSULTANT during the course of performing services under the term of this Agreement. Said coverage shall be evidenced by either a new policy evidencing no gap in coverage or by separate extended "tail" coverage with the present or new carrier.

In the event the present policy of insurance is written on an "occurrence" basis, said policy shall be continued in full force and effect during the term of this Agreement or until completion of the services provided for in this Agreement, whichever is later. In the event of termination of said policy during this period, new coverage shall be obtained for the required period to insure for the prior acts of CONSULTANT during the course of performing services under the term of this Agreement.

J. Primary Insurance

All liability policies shall contain a Primary and Non Contributory Clause. Any other insurance maintained by the SANITATION DISTRICT shall be excess and not contributing with the insurance provided by CONSULTANT.

K. Separation of Insured

Except for Professional Liability, all liability policies shall contain a "Separation of Insureds" clause.

L. Non-Limiting (if applicable)

Nothing in this document shall be construed as limiting in any way, nor shall it limit the indemnification provision contained in this Agreement, or the extent to which CONSULTANT may be held responsible for payment of damages to persons or property.

M. Deductibles and Self-Insured Retentions

Any deductible and/or self-insured retention must be declared to the SANITATION DISTRICT on the Certificate of Insurance.

N. Defense Costs

Liability policies shall have a provision that defense costs for all insureds and additional insureds are paid in addition to and do not deplete any policy limits except for Professional Liability.

O. Subconsultants

The CONSULTANT shall be responsible to establish insurance requirements for any Subconsultant hired by the CONSULTANT. The insurance shall be in amounts and types reasonably sufficient to deal with the risk of loss involving the Subconsultant's operations and work.

P. Limitation of Liability

Neither party shall be responsible or liable to the other for special, indirect or consequential damages. The total aggregate liability of the CONSULTANT to the SANITATION DISTRICT or anyone claiming through the SANITATION DISTRICT for any and all claims whatsoever arising out of this Agreement shall not exceed Two Million Dollars (\$2,000,000).

8. SCOPE CHANGES

In the event of a change in the Scope of Work, requested by SANITATION DISTRICT, the parties hereto shall execute an amendment to this Agreement setting forth with particularity all terms of the new Agreement, including but not limited to any additional CONSULTANT's fees.

9. PROJECT TEAM AND SUBCONSULTANTS

CONSULTANT shall provide to SANITATION DISTRICT, prior to execution of this Agreement, the names and full description of all Subconsultants and CONSULTANT's project team members anticipated to be used on this project by CONSULTANT. CONSULTANT shall include a description of the scope of work to be done by each Subconsultant and each CONSULTANT's project team member. CONSULTANT shall include the respective compensation amounts for CONSULTANT and each Subconsultant on a per-project-element basis, broken down as indicated in Section 2 - COMPENSATION.

There shall be no substitution of the listed Subconsultants and CONSULTANT's project team members without prior written approval by the SANITATION DISTRICT.

10. ENGINEERING REGISTRATION

The CONSULTANT's personnel are comprised of registered engineers and a staff of specialists and draftsmen in each department. The firm itself is not a registered engineer but represents and agrees that wherever in the performance of this Agreement requires the services of a registered engineer. Such services hereunder will be performed under the direct supervision of registered engineers.

11. AUDIT PROVISIONS

- A. SANITATION DISTRICT retains the reasonable right to access, review, examine, and audit, any and all books, records, documents and any other evidence of procedures and practices that the SANITATION DISTRICT determines are necessary to discover and verify that the CONSULTANT is in compliance with all requirements under this Agreement. The CONSULTANT shall include the SANITATION DISTRICT's right as described above, in any and all of their subcontracts, and shall ensure that these rights are binding upon all Subconsultants.
- B. SANITATION DISTRICT retains the right to examine CONSULTANT's books, records, documents and any other evidence of procedures and practices that the SANITATION DISTRICT determines are necessary to discover and verify all direct and indirect costs, of whatever nature, which are claimed to have been incurred, or anticipated to be incurred or to ensure CONSULTANT's compliance with all requirements under this Agreement during the term of this Agreement and for a period of three (3) years after its termination.
- C. CONSULTANT shall maintain complete and accurate records in accordance with generally accepted industry standard practices and the SANITATION DISTRICT's policy. The CONSULTANT shall make available to the SANITATION DISTRICT for review and audit, all project related accounting records and documents, and any other financial data within 15 days after receipt of notice from the SANITATION DISTRICT. Upon SANITATION DISTRICT's request, the CONSULTANT shall submit exact duplicates of originals of all requested records to the SANITATION DISTRICT. If an audit is performed, CONSULTANT shall ensure that a qualified employee of the CONSULTANT will

be available to assist SANITATION DISTRICT's auditor in obtaining all project related accounting records and documents, and any other financial data.

12. LEGAL RELATIONSHIP BETWEEN PARTIES

The legal relationship between the parties hereto is that of an independent contractor and nothing herein shall be deemed to make CONSULTANT an employee of the SANITATION DISTRICT.

13. NOTICES

All notices hereunder and communications regarding the interpretation of the terms of this Agreement, or changes thereto, shall be effected by delivery of said notices in person or by depositing said notices in the U.S. mail, registered or certified mail, return receipt requested, postage prepaid.

Notices shall be mailed to the SANITATION DISTRICT at:

ORANGE COUNTY SANITATION DISTRICT
10844 Ellis Avenue
Fountain Valley, CA 92708-7018
Attention: Diane Marzano, Contracts Administrator
Copy: Rich Leon, Project Manager

Notices shall be mailed to CONSULTANT at:

WOODARD & CURRAN INC.
24422 Avenida de la Carlota, Suite 180
Laguna Hills, CA 92653
Attention: Scott Goldman

All communication regarding the Scope of Work, will be addressed to the Project Manager. Direction from other SANITATION DISTRICT's staff must be approved in writing by the SANITATION DISTRICT's Project Manager prior to action from the CONSULTANT.

14. TERMINATION

The SANITATION DISTRICT may terminate this Agreement at any time, without cause, upon giving thirty (30) days written notice to CONSULTANT. In the event of such termination, CONSULTANT shall be entitled to compensation for work performed on a prorated basis through and including the effective date of termination.

CONSULTANT shall be permitted to terminate this Agreement upon thirty (30) days written notice only if CONSULTANT is not compensated for billed amounts in accordance with the provisions of this Agreement, when the same are due.

Notice of termination shall be mailed to the SANITATION DISTRICT and/or CONSULTANT in accordance with Section 13 - NOTICES.

15. DOCUMENTS AND STUDY MATERIALS

The documents and study materials for this project shall become the property of the SANITATION DISTRICT upon the termination or completion of the work. CONSULTANT agrees to furnish to the SANITATION DISTRICT copies of all memoranda, correspondence, computation and study materials in its files pertaining to the work described in this Agreement, which is requested in writing by the SANITATION DISTRICT.

16. COMPLIANCE

A. Labor

CONSULTANT certifies by the execution of this Agreement that it pays employees not less than the minimum wage as defined by law, and that it does not discriminate in its employment with regard to race, color, religion, sex or national origin; that it is in compliance with all federal, state and local directives and executive orders regarding non-discrimination in employment; and that it agrees to demonstrate positively and aggressively the principle of equal opportunity in employment.

B. Air Pollution

CONSULTANT and its subconsultants and subcontractors shall comply with all applicable federal, state and local air pollution control laws and regulations.

17. AGREEMENT EXECUTION AUTHORIZATION

Both the SANITATION DISTRICT and CONSULTANT do covenant that each individual executing this document by and on behalf of each party is a person duly authorized to execute agreements for that party.

18. DISPUTE RESOLUTION

In the event of a dispute arising between the parties regarding performance or interpretation of this Agreement, the dispute shall be resolved by binding arbitration under the auspices of the Judicial Arbitration and Mediation Service ("JAMS"), or similar organization or entity conducting alternate dispute resolution services.

19. ATTORNEY'S FEES, COSTS AND NECESSARY DISBURSEMENTS

If any action at law or in equity or if any proceeding in the form of an Alternative Dispute Resolution (ADR) is necessary to enforce or interpret the terms of this Agreement, the prevailing party shall be entitled to reasonable attorney's fees, costs and necessary disbursements in addition to any other relief to which it may be entitled.

20. PROGRESS REPORTS

Monthly progress reports shall be submitted for review by the tenth day of the following month and must include as a minimum: 1) current activities, 2) future activities, 3) potential items that are not included in the Scope of Work, 4) concerns and possible delays, 5) percentage of completion, and 6) budget status.

21. PERFORMANCE OF SERVICES

CONSULTANT shall perform its services in accordance with generally accepted industry and professional standards. If, within the 12-month period following completion of its services, the SANITATION DISTRICT informs CONSULTANT that any part of the services fails to meet those standards, CONSULTANT shall, within the time prescribed by the SANITATION DISTRICT, take all such actions as are necessary to correct or complete the noted deficiency(ies).

22. INDEMNIFICATION

To the fullest extent permitted by law, CONSULTANT shall indemnify, defend (at CONSULTANT's sole cost and expense and with legal counsel approved by the SANITATION DISTRICT, which approval shall not be unreasonably withheld), protect and hold harmless the SANITATION DISTRICT and all of SANITATION DISTRICT's officers, directors, employees, CONSULTANT's, and agents (collectively the "Indemnified Parties"), from and against any and all claims, damages, liabilities, causes of action, suits, arbitration awards, losses, judgments, fines, penalties, costs and expenses (including, without limitation, attorneys' fees, disbursements and court costs, and all other professional, expert or CONSULTANT's fees and costs and the SANITATION DISTRICT's general and administrative expenses; individually, a "Claim"; collectively, "Claims") which may arise from or are in any manner related, directly or indirectly, to any work performed, or any operations, activities, or services provided by CONSULTANT in carrying out its obligations under this Agreement to the extent of the negligent, recklessness and/or willful misconduct of CONSULTANT, its principals, officers, agents, employees, CONSULTANT's suppliers, CONSULTANT, Subconsultants, subcontractors, and/or anyone employed directly or indirectly by any of them, regardless of any contributing negligence or strict liability of an Indemnified Party. Notwithstanding the foregoing, nothing herein shall be construed to require CONSULTANT to indemnify the Indemnified Parties from any Claim arising solely from:

- (A) the active negligence or willful misconduct of the Indemnified Parties; or
- (B) a natural disaster or other act of God, such as an earthquake; or
- (C) the independent action of a third party who is neither one of the Indemnified Parties nor the CONSULTANT, nor its principal, officer, agent, employee, nor CONSULTANT's supplier, CONSULTANT, Subconsultant, subcontractor, nor anyone employed directly or indirectly by any of them.

Exceptions (A) through (B) above shall not apply, and CONSULTANT shall, to the fullest extent permitted by law, indemnify the Indemnified Parties, from Claims arising from more than one cause if any such cause taken alone would otherwise result in the obligation to indemnify hereunder.

CONSULTANT's liability for indemnification hereunder is in addition to any liability CONSULTANT may have to the SANITATION DISTRICT for a breach by CONSULTANT of any of the provisions of this Agreement. Under no circumstances shall the insurance requirements and limits set forth in this Agreement be construed to limit CONSULTANT's indemnification obligation or other liability hereunder. The terms

of this Agreement are contractual and the result of negotiation between the parties hereto. Accordingly, any rule of construction of contracts (including, without limitation, California Civil Code Section 1654) that ambiguities are to be construed against the drafting party, shall not be employed in the interpretation of this Agreement.

California Civil Code 2782.8 is expressly incorporated herein and modifies this indemnity provision as required by law.

23. DUTY TO DEFEND

Such defense obligation shall arise immediately upon presentation of a Claim by any person if, without regard to the merit of the Claim, such Claim could potentially result in an obligation to indemnify one or more Indemnified Parties, and upon written notice of such Claim being provided to CONSULTANT. Payment to CONSULTANT by any Indemnified Party or the payment or advance of defense costs by any Indemnified Party shall not be a condition precedent to enforcing such Indemnified Party's rights to indemnification hereunder. In the event a final judgment, arbitration, award, order, settlement, or other final resolution expressly determines that the claim did not arise out of, pertain to, or relate to the negligence, recklessness, or willful misconduct of the CONSULTANT, to any extent, then the DISTRICT will reimburse CONSULTANT for the reasonable costs of defending the Indemnified Parties against such claims.

CONSULTANT's indemnification obligation hereunder shall survive the expiration or earlier termination of this Agreement until such time as action against the Indemnified Parties for such matter indemnified hereunder is fully and finally barred by the applicable statute of limitations.

24. CONSULTANT PERFORMANCE

The CONSULTANT's performance shall be evaluated by the SANITATION DISTRICT. A copy of the evaluation shall be sent to the CONSULTANT for comment. The evaluation, together with the comments, shall be retained by the SANITATION DISTRICT and may be considered in future CONSULTANT selection processes.

25. COMPLIANCE WITH SANITATION DISTRICT POLICIES AND PROCEDURES

CONSULTANT shall comply with all SANITATION DISTRICT policies and procedures including the Contractor Safety Standards, as applicable, all of which may be amended from time to time.

26. CLOSEOUT

When the SANITATION DISTRICT determines that all Work authorized under the Agreement is fully complete and that the SANITATION DISTRICT requires no further work from CONSULTANT, or the Agreement is otherwise terminated or expires in accordance with the terms of the Agreement, the SANITATION DISTRICT shall give the Consultant written notice that the Agreement will be closed out. CONSULTANT shall submit all outstanding billings, work submittals, deliverables, reports or similarly related documents as required under the Agreement within thirty (30) days of receipt of notice of Agreement closeout.

Upon receipt of CONSULTANT's submittals, the SANITATION DISTRICT shall commence a closeout audit of the Agreement and will either:

- i. Give the CONSULTANT a final Agreement Acceptance: or
- ii. Advise the CONSULTANT in writing of any outstanding item or items which must be furnished, completed, or corrected at the CONSULTANT's cost.

CONSULTANT shall be required to provide adequate resources to fully support any administrative closeout efforts identified in this Agreement. Such support must be provided within the timeframe requested by the SANITATION DISTRICT.

Notwithstanding the final Agreement Acceptance the CONSULTANT will not be relieved of its obligations hereunder, nor will the CONSULTANT be relieved of its obligations to complete any portions of the work, the non-completion of which were not disclosed to the SANITATION DISTRICT (regardless of whether such nondisclosures were fraudulent, negligent, or otherwise); and the CONSULTANT shall remain obligated under all those provisions of the Agreement which expressly or by their nature extend beyond and survive final Agreement Acceptance.

Any failure by the SANITATION DISTRICT to reject the work or to reject the CONSULTANT's request for final Agreement Acceptance as set forth above shall not be deemed to be acceptance of the work by the SANITATION DISTRICT for any purpose nor imply acceptance of, or agreement with, the CONSULTANT's request for final Agreement Acceptance.

27. ENTIRE AGREEMENT

This Agreement constitutes the entire understanding and agreement between the Parties and supersedes all previous negotiations between them pertaining to the subject matter thereof.

IN WITNESS WHEREOF, this Agreement has been executed in the name of the SANITATION DISTRICT, by its officers thereunto duly authorized, and CONSULTANT as of the day and year first above written.

CONSULTANT: WOODARD & CURRAN INC.

By _____
Date _____

Printed Name & Title

ORANGE COUNTY SANITATION DISTRICT

By _____
David John Shawver
Board Chairman
Date _____

By _____
Kelly A. Lore
Clerk of the Board
Date _____

By _____
Ruth Zintzun
Purchasing & Contracts Manager
Date _____

- Attachments: Attachment "A" – Scope of Work
Attachment "B" – Labor Hour Matrix
Attachment "C" – Not Attached
Attachment "D" – Allowable Direct Costs
Attachment "E" – Fee Proposal
Attachment "F" – Not Used
Attachment "G" – Not Attached
Attachment "H" – Not Used
Attachment "I" – Cost Matrix and Summary
Attachment "J" – Not Attached
Attachment "K" – Minor Subconsultant Hourly Rate Schedule
Attachment "L" – Contractor Safety Standards

Taft Branch Improvements, Project No. 2-49

Presented by:
Kathy Millea
Director of
Engineering
Operations
Committee
February 3, 2021

Design Contract Award



1

Project Location – City of Orange



2

Existing Taft Branch Sewer

Existing sewer alignments adjacent to the 55 Freeway

Meats Ave

55 Freeway Crossing

3

3

Selection Process

- Eight proposals received
- Interviewed five highest scoring firms
- Woodard and Curran, Inc. selected
 - Clear understanding of the project
 - Deep understanding of the hydraulic limitations and public impacts
 - Experienced project team

4

4

Negotiations

	Original Proposal	Negotiated
Total Hours	7,888	5,684
Total Fee	\$2,942,059	\$2,200,000

- Multiple meetings held with Consultant
- Clarified project elements and design assumptions
- Ensured scope and level of effort are appropriate
 - Combined meetings and deliverables to increase efficiency and decrease fee
- Confirmed schedule and deliverables

5

5

Recommendation

- Approve a Professional Design Services Agreement with Woodard and Curran, Inc. to provide engineering services for Taft Branch Improvements, Project No. 2-49, for an amount not to exceed \$2,200,000; and
- Approve a contingency of \$220,000 (10%).

6

6

Questions



7

7



OPERATIONS COMMITTEE

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1483

Agenda Date: 2/24/2021

Agenda Item No: 8.

FROM: James D. Herberg, General Manager
Originator: Kathy Millea, Director of Engineering

SUBJECT:

BAY BRIDGE PUMP STATION REPLACEMENT, PROJECT NO. 5-67

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

- A. Consider, receive, and certify the Environmental Impact Report for the Bay Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67, dated January 2021; and
- B. Adopt Resolution No. OC SAN 21-03, entitled: "A Resolution of the Board of Directors of the Orange County Sanitation District Certifying the Environmental Impact Report for the Bay Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67; Adopting the Mitigation Monitoring Program; and Approving the Bay Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67".

BACKGROUND

The Bay Bridge Pump Station and associated force mains were constructed in 1966 on Pacific Coast Highway just east of the Newport Back Bay Channel. The two force mains cross the channel and connect to the existing Newport force main network. The pump station is critical to the Orange County Sanitation District's (Sanitation District) infrastructure as it conveys over half of Newport Beach's wastewater.

The pump station space is limited and bounded on three sides by a proposed three-story, mixed-use development, and bounded on the south side by Pacific Coast Highway. Part of the existing site was lost when Pacific Coast Highway was rerouted in the late 1980s to accommodate a new Bay Bridge. Additional real estate is required to replace the pump station to meet current safety and environmental requirements which includes improved odor treatment systems.

The Sanitation District has prepared an Environmental Impact Report (EIR) for the Bay Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67, to analyze the potential environmental impacts of the project pursuant to the California Environmental Quality Act (CEQA).

RELEVANT STANDARDS

- Listen to and seriously consider community input on environmental concerns

- Meet CEQA standards
- Maintain collaborative and cooperative relationships with regulators, stakeholders, and neighboring communities

PROBLEM

To implement the Bay Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67, the Sanitation District is required to comply with CEQA.

PROPOSED SOLUTION

Adopt Resolution No. OC SAN 21-03 certifying the EIR so the project may proceed into design, construction, and eventual completion.

TIMING CONCERNS

The project is within the preliminary design phase and requires CEQA compliance before final design can begin.

RAMIFICATIONS OF NOT TAKING ACTION

The project cannot proceed into final design before complying with CEQA.

PRIOR COMMITTEE/BOARD ACTIONS

N/A

ADDITIONAL INFORMATION

The project is currently in the preliminary design phase and the Sanitation District plans to advertise for construction bids by March 2023. Construction is expected to be completed by September 2026.

CEQA

The Sanitation District, as lead agency, prepared an Initial Study analyzing the project's potential environmental impacts. Based on the Initial Study, the Sanitation District determined that an Environmental Impact Report was required for the project. The Sanitation District subsequently issued a Notice of Preparation (NOP) that was made available for a 30-day public review period from November 10, 2016 to December 9, 2016. The NOP was also submitted to the State Clearinghouse (State Clearinghouse No. 2016111031).

A Draft Environmental Impact Report (Draft EIR) was developed and distributed for a 45-day public review period from June 21, 2017 to August 4, 2017. A public hearing was held on July 17, 2017. Following negotiations with the owner of the land adjacent to the existing pump station, a Draft Recirculated Environmental Impact Report (REIR) was developed and distributed for a 45-day public review period from July 3, 2019 to August 16, 2019. A public hearing was held on July 29, 2019. Due to comments received, a Draft 2020 Recirculated EIR (REIR) was developed and distributed for

a 45-day public review period from August 7, 2020 to September 21, 2020. A public hearing was held on September 3, 2020.

The Final Environmental Impact Report (Final EIR) (State Clearinghouse No. 2016111031) found that the project's significant environmental impacts can be avoided or reduced to less than significant levels through the adoption of mitigation measures. These conclusions are supported by findings that the proposed mitigation measures are feasible and will avoid or substantially reduce any significant environmental effects of the project. These mitigation measures are described in the Mitigation Monitoring and Reporting Program prepared for this project which is included in the Final EIR. Because the project, as mitigated, poses no significant environmental impacts, CEQA does not require the Sanitation District to make additional findings regarding recommended project alternatives or adopt a statement of Overriding Considerations in relation to this project.

The Sanitation District received fourteen comments on the Draft 2020 REIR, which are included as Section 2.0 of the Final EIR. The comments were from the following agencies, organizations, and members of the public:

Agencies

State of California Governor's Office of Planning and Research
State of California Department of Transportation, District 12
South Coast Air Quality Management District
California Department of Fish and Wildlife
OC Public Works Service Area/OC Development Services
City of Newport Beach

Organizations

California Cultural Resource Preservation Alliance, Inc.
Linda Isle Community Association
Bayshores Community Association
Nossaman LLP
Irvine Company
Gabrieleno Band of Mission Indians - Kizh Nation

Two Newport Beach Residents

Most of the comments were generally in support of the project, though they also included several concerns. Many of those comments involved project design decisions or other policy matters that were unrelated to the environmental review for the project. The environmental concerns, however, generally included:

- Potential impacts associated with dredging required in the Bay Channel;
- Potential construction impacts including noise, Bay Channel soil-silting, and light and glare;
- The treatment of tribal cultural resources, if any are discovered;
- Potential view impacts;
- The selected alignment of the sewer force-main channel-crossing;
- The potential use of Castaways Park for construction staging; and
- Cooperation with various resource agencies through project implementation.

The Final EIR provides detailed written responses to each of these concerns, among many others. (CEQA Guidelines section 15088(c).) The Final EIR concludes that these concerns were already addressed in the EIR and/or will be addressed through the implementation of mitigation measures identified in the EIR.

The proposed Resolution making the required CEQA findings and certifying the Final EIR and adopting the Mitigation Monitoring and Reporting Program, is attached for the Board of Directors consideration and approval.

FINANCIAL CONSIDERATIONS

N/A

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Resolution No. OC SAN 21-03
- Final and Draft Environmental Impact Report - Exhibit "A" of Resolution No. OC SAN 21-03
- Presentation

RESOLUTION NO. OC SAN 21-03

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ORANGE COUNTY SANITATION DISTRICT CERTIFYING THE ENVIRONMENTAL IMPACT REPORT FOR THE BAY BRIDGE PUMP STATION AND FORCE MAINS REPLACEMENT PROJECT, PROJECT NO. 5-67; ADOPTING A MITIGATION MONITORING AND REPORTING PROGRAM; AND APPROVING THE BAY BRIDGE PUMP STATION AND FORCE MAINS REPLACEMENT PROJECT, PROJECT NO. 5-67

WHEREAS, the Orange County Sanitation District (the "District") is presently considering the approval of a project known as the Bay Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67 (the "Project");

WHEREAS, pursuant to the California Environmental Quality Act (Public Resources Code Sections 21000 et seq. ("CEQA")) and the CEQA Guidelines (California Code of Regulations, Title 14, Sections 15000 et seq.), the District, as lead agency, prepared a Draft 2020 Recirculated Environmental Impact Report ("2020 REIR") (State Clearinghouse Number 2016111031) that reflected the independent judgment of the District as to the potential environmental impacts of the Project. The 2020 REIR determined that the Project would not have significant impacts on the environment with the incorporation of feasible mitigation measures, and therefore the District has not prepared a Statement of Overriding Considerations for the Project;

WHEREAS, the District has consulted with other public agencies and the general public, and provided such agencies and the public with the opportunity to provide written comments on the Project and the Environmental Impact Report as required by CEQA, including, without limitation, a public review period of 45 days which commenced on August 7, 2020 and ended on September 21, 2020;

WHEREAS, on September 21, 2020, District staff held a public meeting to provide a further opportunity for public agencies and the general public to comment on the Draft 2020 REIR;

WHEREAS, the District has reviewed the comments received and has responded in the Final Environmental Impact Report to all significant environmental issues raised during the public comment period;

WHEREAS, the comments received on the Draft 2020 REIR, either in full or in summary, together with the District's responses, have been included in the Final Environmental Impact Report for the proposed Project; and

WHEREAS, the Final 2020 Environmental Impact Report, including the comments received by the District on the Draft 2020 REIR, has been presented to the District's Board of Directors (the "Board") for review and consideration prior to the approval of, and commitment to, the Project, and the certification of the Final 2020 Environmental Impact Report, and approval of the Mitigation Monitoring and Reporting Program is consistent with the provisions of CEQA.

NOW, THEREFORE, the Board of Directors of the Orange County Sanitation District DOES HEREBY RESOLVE, DETERMINE AND ORDER:

1. The Board of Directors certifies that the Final 2020 Environmental Impact Report, including comments and responses thereto, has been completed in compliance with CEQA;
2. The Board of Directors has independently reviewed and considered the Final Environmental Impact Report together with all comments received during the public review process;
3. The Final Environmental Impact Report reflects the independent judgment and analysis of the Board;
4. The Board of Directors adopts the Findings of Fact for the Project attached hereto as Exhibit A and incorporated herein by reference;
5. The Board of Directors finds on the basis of the whole record before it that there is no substantial evidence that the Project, as mitigated, will have a significant impact on the environment;
6. The Board of Directors adopts the Mitigation Monitoring and Reporting Program (the "MMRP"), included in the Final Environmental Impact Report, to ensure that all mitigation measures identified in the Mitigated Negative Declaration are implemented;
7. The Final Environmental Impact Report has been completed in compliance with the requirements of CEQA and is hereby Certified;
8. The Board of Directors approves the Bay Bridge Pump Station and Force Mains Rehabilitation Project;
9. The documents and other materials that constitute the record of proceedings on which the Board of Directors decision is based are located at the District

Administration Offices, 10844 Ellis Avenue, Fountain Valley, CA 92708 and the custodian for these documents is the Clerk of the Board; and

10. District staff is authorized and directed to file the Notice of Determination (NOD) and any other documents in accordance with the requirements of CEQA.

PASSED AND ADOPTED at a regular meeting of the Board of Directors of the Orange County Sanitation District held February 24, 2021.

David John Shawver
Board Chairman

ATTEST:

Kelly A. Lore, MMC
Clerk of the Board

APPROVED AS TO FORM:

Bradley R. Hogin
General Counsel

STATE OF CALIFORNIA)
) ss
COUNTY OF ORANGE)

I, Kelly A. Lore, Clerk of the Board of Directors of the Orange County Sanitation District, do hereby certify that the foregoing Resolution No. OC SAN 21-03 was passed and adopted at a regular meeting of said Board on the 24th day of February 2021, by the following vote, to wit:

AYES:
NOES:
ABSTENTIONS:
ABSENT:

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the official seal of Orange County Sanitation District this 24th day of February, 2021.

Kelly A. Lore, MMC
Clerk of the Board of Directors
Orange County Sanitation District

**FACTS AND FINDINGS
REGARDING THE
ENVIRONMENTAL EFFECTS FOR THE
BAY BRIDGE PUMP STATION AND
FORCE MAINS REPLACEMENT PROJECT**

SCH # 2016111031

Lead Agency:

ORANGE COUNTY SANITATION DISTRICT

10844 Ellis Avenue

Fountain Valley, California 92708

Contact: Mr. Kevin Hadden

714.962.2411

January 2021

This document is designed for double-sided printing to conserve natural resources.



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1.0 STATEMENT OF FACTS AND FINDINGS

1.1 INTRODUCTION

The following statement of facts and findings has been prepared in accordance with the California Environmental Quality Act (CEQA), including Public Resources Code Section 21081. In the Statement of Facts and Findings, the Lead Agency identifies a project's significant impacts, presents facts supporting the conclusions reached in the analysis, makes findings for each impact, and explains the reasoning behind the agency's findings.

CEQA Guidelines Section 15091 (a) provides that:

No public agency shall approve or carry out a project for which an EIR has been certified which identifies one or more significant environmental effects of the project unless the public agency makes one or more written findings for each of those significant effects, accompanied by a brief explanation of the rationale for each finding.

There are three possible findings pursuant to Section 15091 (a) of the *CEQA Guidelines*.

- (1) *Changes or alterations have been required in, or incorporated into, the project which avoid or substantially lessen the significant environmental effect as identified in the final EIR.*
- (2) *Such changes or alterations are within the responsibility and jurisdiction of another public agency and not the agency making the finding. Such changes have been adopted by such other agency or can and should be adopted by such other agency.*
- (3) *Specific economic, legal, social, technological, or other considerations, including provision of employment opportunities for highly trained workers, make infeasible the mitigation measures or project alternatives identified in the final EIR.*

Where a project will cause unavoidable significant impacts, the Lead Agency may still approve a project where its benefits outweigh the adverse impacts. As provided in the Statement of Overriding Considerations, the Lead Agency sets forth specific reasoning by which benefits are balanced against effects, and approves the project.

It is important to note that the *Bay Bridge Pump Station and Force Mains Replacement Project Public Review Draft 2020 Recirculated Environmental Impact Report* (2020 Recirculated EIR) and *Bay Bridge Pump Station and Force Mains Replacement Project Final Environmental Impact Report* (Final EIR) (together referenced herein as the EIR) prepared for the proposed Bay Bridge Pump Station and Force Mains Replacement Project determined that no significant, unavoidable impacts would occur as a result of Project implementation. Thus, while the preparation of a Statement of Facts and Findings is not mandatory under CEQA, it has been prepared by the Orange County Sanitation District (OCS D) as a means of further documenting impacts determined to be less than significant or less than significant upon incorporation of mitigation.

Based upon a review of the EIR, OCS D finds that the EIR: (a) has assessed the potentially significant environmental impacts of the Proposed Project in compliance with CEQA; (b) represents the independent judgment of OCS D; and (c) sets forth an adequate range of alternatives to this Project.



OCSA, the CEQA Lead Agency, finds and declares that the proposed Bay Bridge Pump Station and Force Mains Replacement Project EIR (State Clearinghouse [SCH] No. 201611103) has been completed in compliance with CEQA and the *CEQA Guidelines*.

The Final EIR is composed of the following elements:

- The Bay Bridge Pump Station and Force Mains Replacement Project Public Review Draft 2020 Recirculated Environmental Impact Report (August 2020);
- Responses to Comments;
- Errata; and
- Mitigation Monitoring and Reporting Program.

The remainder of this document is organized as follows:

- 1.2 Description of Project Proposed for Approval;
- 1.3 Effects Determined to be Less Than Significant in the Initial Study/Notice of Preparation;
- 1.4 Effects Determined to be Less Than Significant or Not Significant in the EIR;
- 1.5 Effects Determined to be Mitigated to Less Than Significant Levels;
- 1.6 Environmental Effects Which Remain Significant and Unavoidable After Mitigation and Findings; and
- 1.7 Alternatives to the Proposed Project.

1.2 DESCRIPTION OF PROPOSED PROJECT

The Project would replace the existing Bay Bridge Pump Station and associated force mains to bring the pump station facility and force mains to current design and reliability standards to ensure continuous service for the Newport Coast service area (“Proposed Project”)¹.

Development of the Proposed Project would involve expanding the existing pump station facility site approximately 100 feet to the west, constructing a new pump station building, and installing force main improvements across the Newport Bay Channel south of Bay Bridge; refer to 2020 Recirculated EIR Exhibit 3-4, *Proposed Conceptual Site Plan*. As shown on 2020 Recirculated EIR Exhibit 3-4, the total area of potential disturbance proposed for the Proposed Project (yellow Project boundary) is approximately 800,000 square feet (18 acres).

PUMP STATION

The Proposed Project would involve demolishing the existing pump station building and constructing new pump station facilities including a pump station, generator, and odor control facilities within and adjacent to the existing facility; refer to 2020 Recirculated EIR Exhibit 3-5, *Adjacent Pump Station Layout*. The new, expanded pump station facility would be approximately 14,500 square feet in site

¹ The Proposed Project is referred to as the “Adjacent Pump Station” in the EIR.



area, as opposed to approximately 4,800 square feet under existing conditions (an increase of approximately 9,700 square feet). OCSD would be required to negotiate and acquire the adjacent property for use and access from the property owner (Bayside Village Marina, LLC). It should be noted that OCSD has assumed a proposed square footage of 14,500 square feet in order to analyze a conservative scenario in this 2020 Recirculated EIR. This square footage is considered conceptual and may be subject to downward refinement during final design.

In addition, the new pump station would require the replacement of portions of the existing OCSD gravity sewer system, which would be constructed to convey wastewater to the new pump station wet well. These gravity sewer improvements include installing 50 linear feet (LF) of 36- or 42-inch sewer lines within East Coast Highway and OCSD property.

Primary access to the proposed pump station would be provided via a shared driveway from Bayside Drive through Bayside Village Marina, LLC property with secondary access via the existing driveway from East Coast Highway; refer to 2020 Recirculated EIR [Exhibit 3-5](#).

The existing pump station has three large and two smaller duty variable frequency drive (VFD) pumps. Currently, two of the large VFD pumps (sized at 250 horsepower [HP] each) convey full peak wet weather flows and one of the smaller duty VFD pumps (50 HP each) conveys low flows. OCSD recently added the third large standby pump to the existing pump station for additional redundancy during peak wet weather flow. Therefore, the new pump station would be sized to house all pumps and provide the desired contingency and redundancy to maintain uninterrupted service. All the facilities would be placed within the new pump station, including a new pump station building with an electrical room and a generator building with an odor control facility. The proposed pump station would include features, architecture, and screening consistent with the *Back Bay Landing Planned Community Development Plan* (PCDP) and associated design guidelines to ensure consistency with surrounding future development.

Pump Station Mechanical Room and Wet Well

The proposed pump station building would be constructed with a below-grade dry-pit mechanical room, which would house the pumps, motors, and other mechanical equipment, and an above grade building that would house the electrical equipment, instrumentation, control equipment, and restroom. An underground wet well would be constructed adjacent to the mechanical room in an orientation similar to the existing pump station. A total of five VFD pumps would be installed to meet existing peak flow of 18.2 million gallons per day (MGD) and provide required contingency/redundancy, similar to the existing pump station.

Pump Station Electrical Room

The electrical room associated with the proposed pump station would be located above the mechanical room referenced above. Ancillary equipment within the electrical room would include electrical breakers, lighting control panel, closed-circuit television equipment, work areas, and storage space.

Pump Station Generator Facility

A 760-square foot backup generator facility would be built adjacent to the proposed pump station building. A 750-kilowatt diesel backup generator would be provided to handle the power requirement



of the new pump station running at full capacity should Southern California Edison power go down. The backup generator would have a two-hour day tank and be paired with a fuel tank which would allow the pump station to run on backup power for approximately 24 hours of operational redundancy.

Pump Station Odor Control

A new 1,300-square foot odor control facility would be built adjacent to the new pump station within the same building as the generator facility. It would hold a multi-stage vapor-phase odor control scrubber system, which would remove odorous compounds from the incoming waste stream. Two 10-foot diameter tanks would accommodate liquid phase odor control. Anticipated chemicals to be utilized and/or stored at the odor control facility include bioxide, magnesium hydroxide, ferric chloride, and/or pure oxygen; however, it is acknowledged that the specific chemicals used for odor control purposes may change depending on the availability of technologies at a given time, such as other chemicals with potentially increased effectiveness, and compliance with Federal, State, and local laws and regulations for the handling/storage/use of such hazardous materials, such as restrictions on which chemicals may be transported on local or regional roadways.

FORCE MAIN IMPROVEMENTS

The Proposed Project would connect to the existing OCSD force main system to the west by installing 1,500 LF of dual force mains (up to 32 inches in diameter) across the Newport Bay Channel south of Bay Bridge. The Project would involve microtunneling or open trench cutting under East Coast Highway, to the southside of the bridge, where dredging would occur under Newport Bay Channel. Dredging involves placement of a dredge (boat) with a submersible pump to suction out sediments at the bottom of the Newport Bay Channel. Microtunneling is a remote-controlled, continuously supported pipe jacking method. Microtunneling operations are managed by an operator in an above ground control container alongside of the shaft. Soil excavation takes place by way of infusing the soil with slurry at the face of the bore and cuttings are forced into slurry inlet holes in the Microtunneling Bore Machines crushing cone for circulation to and from a separation plant through a closed system. Areas where the pipe is microtunneled may require a casing pipe as large as 72 inches in diameter, which has been evaluated throughout this EIR as a worst-case scenario.

Portions of the adjacent private property (currently a RV storage area) and Lower Castaways Park could be temporarily utilized for construction staging, if these areas are available during construction of the Proposed Project; refer to *Construction*, below.

ACCESS, EASEMENTS, AND PROPERTY ACQUISITION

Development of the Proposed Project would require approval of easements, permits, and property acquisitions potentially including, but not limited to:

City of Newport Beach

- Temporary easement for potential construction staging at Lower Castaways Park;

Caltrans



- Encroachment permit for construction activities occurring on Coast Highway;

Bayside Village Marina, LLC

- Fee acquisition for the new pump station site;
- Temporary and permanent easement for construction and operational access to the Project site;

The Irvine Company

- Temporary and permanent easement for construction and operational access to proposed force mains; and

Bay Shores Community Association

- Temporary and permanent easement for construction and operational access to proposed pipelines on the west side of the Newport Bay Channel.

CONSTRUCTION

Construction activities associated with the Proposed Project, including pump station improvements, gravity sewer improvements, and force main installation (via open trenching and/or microtunneling and dredging), would encompass work areas on both sides of the Newport Bay Channel as illustrated on 2020 Recirculated EIR Exhibit 3-6, *Adjacent Pump Station Work Areas*. Construction activities would occur during weekdays (between 7:00 a.m. and 6:30 p.m.) and Saturdays (between 8:00 a.m. and 6:00 p.m.), unless otherwise directed by the City of Newport Beach (pursuant to City Municipal Code Section 10.28.040(D)(2)). However, it is acknowledged that due to the nature of microtunneling installation, microtunneling is anticipated and assumed to occur 24 hours per day; As explained in the EIR, it would take approximately two months to microtunnel across East Coast Highway.

Pump Station

The Proposed Project improvements would require approximately 4,200 cubic yards of cut and 700 cubic yards of fill. As noted above, the existing pump station facility would remain in service until the new facilities have been constructed and commissioned. Once the new pump station is placed in service, the existing pump station would be taken out of service and demolished. Construction access would be provided via a driveway to the property along the west side of Bayside Drive. Any temporary construction access through private property would be negotiated between OCSD and the property owner.

In addition, modifications to the existing gravity sewer system would be required to route gravity sewage flows to the new pump station's wet well. These pipes would be installed via open trench excavation along East Coast Highway; refer to 2020 Recirculated EIR Exhibit 3-7, *Adjacent Pump Station Construction*.



Force Main Improvements

The Proposed Project's force main improvements across East Coast Highway would require either microtunneling beneath the roadway or open cut trenching approximately 150 linear feet across the roadway as shown on 2020 Recirculated EIR [Exhibit 3-7](#). The force mains would then be installed across the Newport Bay Channel via dredging, possibly with a coffer dam. This construction method would require trenching approximately 700 feet long by 15 feet wide by 18 feet deep across the Newport Bay Channel. Trenching would occur in two segments across the channel, a 400-foot segment and a 300-foot segment. Each segment would be drained then trenched. Shoring of the walls may be required to lay down the dual force mains. Dredging would require approximately 4,450 cubic yards of cut and 3,870 cubic yards of fill. These construction activities would take approximately six months.

Temporary Lane Closures

Construction of the Proposed Project would require the following temporary lane closures:

- *East Coast Highway*: Temporary closure of traffic lane(s) to allow for construction of the gravity sewer improvements and installation of force mains (if microtunneling is not used) for approximately 131 non-consecutive days over the Project's 36-month construction period. A minimum of one travel lane in each direction would remain open at all times.
- *West Coast Highway*: Temporary closure of one eastbound lane of traffic and bus turnout area to allow for connection of the two force mains to the existing system for approximately 33 consecutive days during the Project's 36-month construction period.

OCSD would be required to develop a Traffic Control Plan for review and approval by Caltrans and the City of Newport Beach, respectively, to ensure continuous access to surrounding routes and uses.

GOALS AND OBJECTIVES

Pursuant to Section 15124(b) of the *CEQA Guidelines*, the EIR project description must include “[a] statement of objectives sought by the Proposed Project. The statement of objectives should include the underlying purpose of the project.”

As noted above, the Bay Bridge Pump Station is critical to OCSD operations as it conveys approximately 50 to 60 percent of the total Newport Beach wastewater flow through the pump station and these force mains. Because the Bay Bridge Pump Station and associated force mains are critical elements to OCSD's Newport Coast collection backbone, it is imperative that the facility be upgraded to ensure continuous service to the community and avoid spills for the next design lifespan (an additional 50 years).

The Proposed Project's goals and objectives are as follows:

1. Increase reliability since the existing Bay Bridge Pump Station is over 50 years old, outdated, and no longer meets structural, electrical, or maintenance standards. In addition, since the existing force mains are located under the Newport Bay Channel, thorough inspection to predict the remaining life span is not possible. Thus, replacement of the force mains would



reduce the risk of failure and prevent possible releases of sewage into the Newport Bay Channel;

2. Increase safety for OCSD Operations & Maintenance personnel by selecting an entry to and exit from the site that can be accessed more easily and safely by maintenance crews and drivers. The existing pump station is accessed directly from East Coast Highway, where adjacent traffic creates safety hazards for OCSD vehicles. Maintenance trucks must currently back into oncoming traffic to exit the site; and
3. Improve odor control through a new odor control facility, which houses a vapor-phase odor control scrubber system that would remove odorous vapors from the incoming waste system as well as two 10-foot diameter tanks to accommodate liquid phase odor control.

PERMITS AND APPROVALS

The applicable agency approvals and related environmental review/consultation requirements associated with the Proposed Project may include the following, among others. It is not anticipated that any other agencies would require use of the EIR in their decision-making process.

- CEQA Clearance – OCSD;
- Site Development Review Permit – City of Newport Beach;
- Limited Term Permit – City of Newport Beach;
- Encroachment Permits – City of Newport Beach and Caltrans;
- Permanent/Temporary Easements – City of Newport Beach, Bayside Village Marina, LLC, The Irvine Company, and Bay Shores Community Association;
- Traffic Control Plan Approval – City of Newport Beach and Caltrans;
- Coastal Development Permit – California Coastal Commission and City of Newport Beach (as required under the California Coastal Act, Public Resources Code Division 20);
- California State Lands Commission – Consultation with the County of Orange regarding implementation of Newport Bay Channel force main crossing through tidelands and submerged lands;
- California Department of Fish and Wildlife – Consultation regarding implementation of Newport Bay Channel force main crossing;
- National Marine Fisheries Service – Dry dredging/shoring construction activities;
- Section 404 Permit – Army Corps of Engineers (required for dry dredging/shoring construction activities);
- Section 401 Permit – Santa Ana Regional Water Quality Control Board (required for dry dredging/shoring construction activities);
- Permit R8-2015-0004 – Santa Ana Regional Water Quality Control Board;
- General Construction Permit – Santa Ana Regional Water Quality Control Board (as required under National Pollutant Discharge Elimination System [NPDES] General Permit for Storm



Water Discharges Associated with Construction and Land Disturbance Activities (Order No. 2009-0009-DWQ [as amended by 2010-0014-DWQ and 2012-006-DWQ], NPDES Number CAS000002); and

- Permit to Construct (P/C) and Permit to Operate (P/O) – South Coast Air Quality Management District.

1.3 EFFECTS DETERMINED TO BE LESS THAN SIGNIFICANT IN THE INITIAL STUDY/NOTICE OF PREPARATION

OCSD prepared an Initial Study/Notice of Preparation for the Proposed Project to determine potentially significant effects of the Proposed Project. The Initial Study/Notice of Preparation was circulated for public review from November 10, 2016 through December 9, 2016. In the course of this evaluation, certain impacts of the Proposed Project were found to be less than significant due to the inability of a project of this scope to create such impacts or the absence of project characteristics producing effects of this type. The following effects were determined not to be significant, and were not analyzed in the 2020 Recirculated EIR; refer to Appendix 11.1, Initial Study/Notice of Preparation and Comment Letters of the 2020 Recirculated EIR. As such, the Project would not result in significant impacts involving the following:

AGRICULTURE AND FOREST RESOURCES

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.

Conflict with existing zoning for agricultural use, or a Williamson Act contract.

Conflict with existing zoning for, or cause rezoning of, forest land (as defined in Public Resources Code section 12220(g)), timberland (as defined by Public Resources Code section 4526), or timberland zoned Timberland Production (as defined by Government Code section 51104(g)).

Result in the loss of forest land or conversion of forest land to non-forest use.

Involve other changes in the existing environment which, due to their location or nature, could result in conversion of Farmland, to non-agricultural use or conversion of forest land to non-forest use.

BIOLOGICAL RESOURCES

Conflict with the provisions of an adopted Habitat Conservation Plan, Natural Community Conservation Plan, or other approved local, regional, or state habitat conservation plan.

CULTURAL RESOURCES

Disturb any human remains, including those interred outside of formal cemeteries.

GEOLOGY AND SOILS



Directly or indirectly cause potential substantial adverse effects, including the risk of loss, injury, or death involving 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.

Directly or indirectly cause potential substantial adverse effects, including the risk of loss, injury, or death involving landslides.

Have soils incapable of adequately supporting the use of septic tanks or alternative waste water disposal systems where sewers are not available for the disposal of waste water.

HAZARDS AND HAZARDOUS MATERIALS

Emit hazardous emissions or handle hazardous or acutely hazardous materials, substances, or waste within one-quarter mile of an existing or proposed school.

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.

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.

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.

HYDROLOGY AND WATER QUALITY

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).

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-site or off-site.

Otherwise substantially degrade water quality.

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.

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.

Inundation by seiche, tsunami, or mudflow.



LAND USE AND RELEVANT PLANNING

Physically divide an established community.

Conflict with any applicable habitat conservation plan or natural community conservation plan.

MINERAL RESOURCES

Result in the loss of availability of a known mineral resource that would be of value to the region and the residents of the state.

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.

NOISE

For a project located within the vicinity of a private airstrip or 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.

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.

POPULATION AND HOUSING

Induce substantial unplanned 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).

Displace substantial numbers of existing housing, necessitating the construction of replacement housing elsewhere.

Displace substantial numbers of people, necessitating the construction of replacement housing elsewhere.

PUBLIC SERVICES

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:

- *Fire protection.*
- *Police protection.*
- *Schools.*
- *Parks.*



- *Other public facilities.*

RECREATION

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.

Include recreational facilities or require the construction or expansion of recreational facilities which might have an adverse physical effect on the environment.

TRANSPORTATION/TRAFFIC

Conflict with an applicable congestion management program, including, but not limited to level of service standards and travel demand measures, or other standards established by the county congestion management agency for designated roads or highways.

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.

UTILITIES AND SERVICE SYSTEMS

Exceed wastewater treatment requirements of the applicable Regional Water Quality Control Board.

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.

Require or result in the construction of new storm water drainage facilities or expansion of existing facilities, the construction of which could cause significant environmental effects.

Have sufficient water supplies available to serve the project from existing entitlements and resources, or are new or expanded entitlements needed.

Be served by a landfill with sufficient permitted capacity to accommodate the project's solid waste disposal needs.

Comply with federal, state, and local statutes and regulations related to solid waste.

1.4 EFFECTS DETERMINED TO HAVE NO IMPACT OR BE LESS THAN SIGNIFICANT IN THE EIR

The 2020 Recirculated EIR found that the Proposed Project would result in no impacts or less than significant impacts on a number of environmental topic areas. A no impact or a less than significant environmental impact determination was made for each of the topical impact areas listed below.

It is acknowledged that after circulation of the Initial Study/Notice of Preparation (in 2016), the California Natural Resources Agency updated the CEQA Guidelines, which included changes to



Appendix G, *Environmental Checklist Form*. The 2020 Recirculated EIR utilized the amended Appendix G thresholds of significance.

NO IMPACT

Hazards and Hazardous Materials

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 or excessive noise for people residing or working in the project area.

Expose people or structures, either directly or indirectly, to a significant risk of loss, injury or death involving wildland fires.

Hydrology and Water Quality

Substantially decrease groundwater supplies or interfere substantially with groundwater recharge such that the project may impede sustainable groundwater management of the basin.

Substantially alter the existing drainage pattern of the site or area, including through the alteration of the course of a stream or river or through the addition of impervious surfaces, in a manner which would substantially increase the rate or amount of surface runoff in a manner which would result in flooding on-site or off-site.

Substantially alter the existing drainage pattern of the site or area, including through the alteration of the course of a stream or river or through the addition of impervious surfaces, in a manner which would impede or redirect flood flows.

In flood hazard, tsunami, or seiche zones, risk release of pollutants due to project inundation.

Conflict with or obstruct implementation of a water quality control plan or sustainable groundwater management plan.

Noise

For a project located within the vicinity of a private airstrip or 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.

Population and Housing

Induce substantial unplanned 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).

Displace substantial numbers of existing people or housing, necessitating the construction of replacement housing elsewhere.

Utilities and Service Systems



Require or result in the relocation or construction of new or expanded water, wastewater treatment or storm water drainage, electric power, natural gas, or telecommunications facilities, the construction or relocation of which could cause significant environmental effects.

Have sufficient water supplies available to serve the project and reasonably foreseeable future development during normal, dry and multiple dry years.

Comply with Federal, State, and local management and reduction statutes and regulations related to solid waste.

Wildfire

Substantially impair an adopted emergency response plan or emergency evacuation plan.

Due to slope, prevailing winds, and other factors, exacerbate wildfire risks, and thereby expose project occupants to, pollutant concentrations from a wildfire or the uncontrolled spread of a wildfire.

Require the installation or maintenance of associated infrastructure (such as roads, fuel breaks, emergency water sources, power lines, or other utilities) that may exacerbate fire risk or that may result in temporary ongoing impacts to the environment.

Expose people or structures to significant risks, including downslope or downstream flooding or landslides, as a result of runoff, post-fire slope instability, or drainage changes.

LESS THAN SIGNIFICANT

Aesthetics/Light and Glare

Scenic Views and Vistas. *Project implementation would not have a substantial adverse effect on a scenic view or vista.*

Cumulative Scenic Views and Vista: *The Proposed Project, combined with other related cumulative projects, would not have an adverse effect on a scenic vista.*

Air Quality

Short-Term (Construction) Air Emissions. *Short-term construction activities associated with the Proposed Project would not result in increased air pollutant emissions impacts.*

Long-Term (Operational) Impacts. *Implementation of the Proposed Project would not result in increased impacts pertaining to operational air emissions.*

Localized Emissions. *Implementation of the Proposed Project would not result in localized emissions that may expose sensitive receptors to substantial pollutant concentrations.*

Consistency with Regional Plans. *Implementation of the Proposed Project would not conflict with or obstruct implementation of the applicable air quality plan.*

Odor Impacts. *Construction and operation of the Proposed Project would not create objectionable odors affecting a substantial number of people.*



Short-Term (Construction) Cumulative Air Emissions. *Short-term construction activities associated with the Proposed Project and other cumulative projects would not result in increased air pollutant emission impacts.*

Long-Term (Operational) Cumulative Air Emissions. *Proposed Project and other related cumulative projects would not result in increased impacts pertaining to operational air emissions.*

Cumulative Localized Emissions. *Implementation of the Proposed Project would not result in cumulative localized emissions that would expose sensitive receptors to substantial pollutant concentrations.*

Cumulative Consistency with Applicable Air Quality Plans. *Development associated with the Proposed Project and other cumulative projects would not conflict with or obstruct implementation of the applicable air quality plan.*

Cumulative Odor Impacts. *Development associated with the Proposed Project and related cumulative projects would not result in increased impacts pertaining to odors.*

Cultural Resources

Historical Resources. *Development associated with implementation of the Proposed Project would not result in significant impacts to historical resources within the project site.*

Cumulative Historical Resources. *The Proposed Project, combined with other related cumulative projects, would not result in significant cumulative impacts to historical resources.*

Energy

Energy Consumption. *The project would not result in wasteful, inefficient, or unnecessary consumption of energy resources.*

Conflict With Applicable Energy Plans. *The project would not conflict with or obstruct a State or local plan for renewable energy or energy efficiency.*

Energy Consumption (Cumulative). *The Proposed Project, combined with other related cumulative projects, would not result in wasteful, inefficient, or unnecessary consumption of energy resources.*

Conflict With Applicable Energy Plans (Cumulative). *The Proposed Project, combined with other related cumulative projects, would not conflict with or obstruct a State or local plan for renewable energy or energy efficiency.*

Geology and Soils

Strong Seismic Ground Shaking. *The project would not be subject to potential substantial adverse effects involving strong seismic ground shaking.*

Seismic-Related Ground Failure. *The project would not expose people or structures to potential substantial adverse effects involving seismic-related ground failure.*



Soil Erosion. *The project would not result in substantial soil erosion or the loss of topsoil.*

Expansive Soils. *The proposed development would not be located on expansive soil, creating substantial risks to life or property.*

Greenhouse Gas Emissions

Greenhouse Gas Emissions. *Greenhouse gas emissions generated by the project would not have a significant impact on global climate change.*

Consistency With Applicable Greenhouse Gas Plans, Policies or Regulations. *Implementation of the Proposed Project would not conflict with an applicable greenhouse gas reduction plan, policy, or regulation.*

Cumulative Impacts. *Greenhouse gas emissions generated by the Proposed Project and other related cumulative projects would not have a significant impact on global climate change.*

Hydrology and Water Quality

Long-Term Operational Impacts. *Long-term operation of the Proposed Project would not result in increased runoff amounts and degraded water quality.*

Land Use and Planning

Southern California Association of Governments (SCAG). *The Proposed Project would not conflict with SCAG's regional planning efforts adopted for the purpose of avoiding or mitigating an environmental effect.*

City of Newport Beach General Plan. *The Proposed Project would not conflict with policies provided in the City of Newport Beach General Plan.*

Back Bay Landing Planned Community Development Plan. *The Proposed Project would not conflict with the Back Bay Landing Planned Community Development Plan development standards and design guidelines.*

Noise

Vibration Impacts. *Project implementation would not result in significant vibration impacts to nearby sensitive receptors.*

Long-Term (Mobile) Noise Impacts. *Traffic generated by the Proposed Project would not significantly contribute to existing traffic noise in the area or exceed the City's established standards.*

Long-Term (Stationary) Noise Impacts. *The Proposed Project would not result in a significant increase in long-term stationary ambient noise levels.*

Cumulative Vibration Impacts. *Project implementation along with other related cumulative projects would not result in significant vibration impacts to nearby sensitive receptors.*



Cumulative Long-Term (Mobile) Noise Impacts. Development associated with the Proposed Project and other related cumulative projects would not significantly contribute to existing traffic noise in the area or exceed the City's established standards.

Cumulative Long-Term (Stationary) Noise Impacts. Development associated with the Proposed Project and other related cumulative projects would not result in a significant increase in long-term stationary ambient noise levels.

Transportation

Vehicle Miles Traveled. Project development would not conflict or be inconsistent with CEQA guidelines Section 15064.3 Subdivision (B).

Cumulative Vehicle Miles Traveled. Project development in conjunction with other related cumulative projects would not conflict or be inconsistent with CEQA guidelines Section 15064.3 Subdivision (B).

1.5 EFFECTS DETERMINED TO BE MITIGATED TO LESS THAN SIGNIFICANT LEVELS

OCS&D, having reviewed and considered the information contained in the Final EIR, the Technical Appendices, and the administrative record, finds, pursuant to California Public Resources Code 21081 (a)(1) and CEQA Guidelines 15091 (a)(1) that changes or alterations have been required in, or incorporated into, the Proposed Project, which would avoid or substantially lessen to below a level of significance the following potentially significant environmental effects in the following categories:

- Aesthetics/Light and Glare (short-term and long-term visual impacts, visual character/quality, light and glare, and cumulative impacts);
- Biological Resources (special status plant and wildlife species, sensitive natural communities, wetlands, migratory wildlife species, policies protecting biological resources, and cumulative impacts);
- Cultural Resources (archaeological resources and cumulative impacts);
- Geology and Soils (paleontological resources and cumulative impacts);
- Hazards and Hazardous Materials (accidental release and/or routine handling of hazardous materials, interference with an adopted emergency response or evacuation plan, and cumulative impacts);
- Hydrology and Water Quality (short-term water quality impacts and cumulative short-term and long-term operational impacts);
- Land Use and Relevant Planning (California Coastal Act and Local Coastal Program and Coastal Land Use Plan consistency and cumulative impacts),
- Noise (short-term construction noise and short-term cumulative impacts);
- Transportation (roadway, transit, bicycle, and pedestrian facilities; hazardous design features (operations); emergency access, and cumulative impacts); and
- Tribal Cultural Resources (tribal cultural resources and cumulative impacts).

The potentially significant adverse environmental impacts for which mitigation was identified are listed below. OCS&D finds that these potentially significant adverse impacts can be mitigated to a level that



is considered less than significant with implementation of the mitigation measures identified in the Final EIR. These findings are supported by the EIR and substantial evidence in the record of proceedings. (CEQA 15091(b).)

AESTHETICS/LIGHT AND GLARE

The Project's potential aesthetics/light and glare impacts that can be mitigated or are otherwise less than significant are discussed in Section 5.1, *Aesthetics/Light and Glare*, of the 2020 Recirculated EIR. These include short-term and long-term degradation of visual character/quality, light and glare, and cumulative impacts.

Short-Term Visual Impacts. With incorporation of Mitigation Measure AES-1, Project construction would not result in significant impacts related to the temporary degradation of the visual character/quality of the site and its surroundings.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts to the short-term visual character/quality of the Project area have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

AES-1 Prior to issuance of any grading and/or demolition permits, whichever occurs first, engineering drawings and specifications shall be prepared by the Project Engineer, or their designee, and submitted for review and approval by the Orange County Sanitation District Director of Engineering. These documents shall, at a minimum, indicate the equipment and vehicle staging areas, stockpiling of materials, screening/fencing (i.e., temporary fencing with opaque material), and haul route(s). Staging areas shall be sited away from public views, to the extent feasible and reasonable, and/or screened utilizing temporary fencing with opaque materials. Construction haul routes shall minimize impacts to sensitive uses in the project area by avoiding local residential streets.

Long-Term Visual Character/Quality. With implementation of mitigation, project implementation would not conflict with applicable zoning and other regulations governing scenic quality.

Findings



1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *The effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts to the Project area's long-term visual character/quality have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

- AES-2 Prior to construction of the new pump station facility, Orange County Sanitation District (OCSD) shall comply with the applicable requirements of the City of Newport Beach to ensure consistency with the surrounding development and Back Bay Landing PCDD design guidelines.

Light and Glare. With implementation of mitigation, project implementation would not generate additional light and glare beyond existing conditions.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts regarding light and glare have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measure:

- AES-3 Prior to any nighttime construction activities, a construction safety lighting plan shall be prepared by the Project Engineer, or their designee, and submitted to the Orange County Sanitation District Director of Engineering for review and approval. The plan shall include, but not be limited to, the following:
- Identify all required construction lighting fixtures, anticipated locations and heights, and maximum wattage required;
 - Ensure all construction-related lighting fixtures (including portable fixtures) are shielded and oriented downward and away from adjacent sensitive areas (including residential and biologically sensitive areas);



- Provide the minimal wattage necessary to provide adequate nighttime visibility and safety at the construction site; and
- Demonstrate that nighttime construction lighting does not spillover onto adjacent residential properties.

AES-4 Prior to construction of the proposed pump station, an operational lighting plan shall be prepared by the Project Engineer, or their designee, and provided to the Orange County Sanitation District (OCSD) Director of Engineering for review and approval. OCSD shall provide the lighting plan to the City of Newport Beach for review and comment, pertaining to the general consistency with the *Back Bay Landing Planned Community Development Plan* regulations for lighting. All outdoor lighting fixtures shall be designed, shielded, aimed, located, and maintained to minimize impacts to adjacent sites and to not produce glare onto adjacent sites or roadways. Final approval of the lighting plan shall be made by OCSD prior to start of Project construction. OCSD, or designee, shall verify that the approved plans incorporate the reasonably suggested revisions and comments received from the City of Newport Beach.

Cumulative Short-Term Visual Character/Quality. With implementation of mitigation, project construction activities, combined with construction activities for other relative cumulative Projects, would not temporarily degrade the visual character/quality of the development sites and their surroundings.

Findings

1. *Changes or alterations have been required in, or incorporated into, the Project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts to the Project area's short-term visual character/quality have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

AES-1 Prior to issuance of any grading and/or demolition permits, whichever occurs first, engineering drawings and specifications shall be prepared by the Project Engineer, or their designee, and submitted for review and approval by the Orange County Sanitation District Director of Engineering. These documents shall, at a minimum, indicate the equipment and vehicle staging areas, stockpiling of materials, screening/fencing (i.e., temporary fencing with opaque material), and haul route(s). Staging areas shall be sited away from public views, to the extent feasible and reasonable, and/or screened utilizing temporary fencing with opaque materials. Construction haul routes shall minimize impacts to sensitive uses in the project area by avoiding local residential streets.



Cumulative Long-Term Visual Character/Quality. With implementation of mitigation, Project implementation, combined with other related cumulative projects, would not conflict with applicable zoning and other regulations governing scenic quality.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts to the Project area's long-term visual character/quality have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

- AES-2 Prior to construction of the new pump station facility, Orange County Sanitation District (OCSD) shall comply with the applicable requirements of the City of Newport Beach to ensure consistency with the surrounding development and Back Bay Landing PCDD design guidelines.

Cumulative Light and Glare. With implementation of mitigation, Project implementation, combined with other related cumulative projects, would not cumulatively contribute to significant light/glare impacts.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts regarding light and glare have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measure:

- AES-3 Prior to any nighttime construction activities, a construction safety lighting plan shall be prepared by the Project Engineer, or their designee, and submitted to the Orange County Sanitation District Director of Engineering for review and approval. The plan shall include, but not be limited to, the following:



- Identify all required construction lighting fixtures, anticipated locations and heights, and maximum wattage required;
- Ensure all construction-related lighting fixtures (including portable fixtures) are shielded and oriented downward and away from adjacent sensitive areas (including residential and biologically sensitive areas);
- Provide the minimal wattage necessary to provide adequate nighttime visibility and safety at the construction site; and
- Demonstrate that nighttime construction lighting does not spillover onto adjacent residential properties.

AES-4 Prior to construction of the proposed pump station, an operational lighting plan shall be prepared by the Project Engineer, or their designee, and provided to the Orange County Sanitation District (OCSD) Director of Engineering for review and approval. OCSD shall provide the lighting plan to the City of Newport Beach for review and comment, pertaining to the general consistency with the *Back Bay Landing Planned Community Development Plan* regulations for lighting. All outdoor lighting fixtures shall be designed, shielded, aimed, located, and maintained to minimize impacts to adjacent sites and to not produce glare onto adjacent sites or roadways. Final approval of the lighting plan shall be made by OCSD prior to start of project construction. OCSD, or designee, shall verify that the approved plans incorporate the reasonably suggested revisions and comments received from the City of Newport Beach.

BIOLOGICAL RESOURCES

The Project's potential biological resources impacts that can be mitigated or are otherwise less than significant are discussed in Section 5.3, *Biological Resources*, of the 2020 Recirculated EIR. These include impacts to special status plant and wildlife species, sensitive natural communities, migratory wildlife species, wetlands, in addition to a potential conflict with policies protecting biological resources, and cumulative impacts.

Special Status Plant and Wildlife Species. With implementation of mitigation, Project implementation would not have adverse effects, either directly or through habitat modifications, on special status plant or wildlife species.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings



The potential impacts to special status plant and wildlife species have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measures:

HWQ-4 In compliance with the Federal Clean Water Act, the proposed project shall conform to the requirements of the Department of the Army permit(s) (to be applied for by the Orange County Sanitation District, or designee, for prior to site disturbance) from the U.S. Army Corps of Engineers Los Angeles District.

BIO-1 Prior to dredging operations, if conducted, Orange County Sanitation District, or designee, shall retain a qualified marine mammal biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, animal behavior, or a closely related area and demonstrated field experience, to conduct contractor awareness training for all personnel working in the marine environment. The purpose of the training is to educate contractor personnel on the identification of marine wildlife in the project area and to provide an overview of the wildlife mitigation that will be implemented during the project. Specifically, the training seminar shall include, but not be limited to, the following:

- Identification of most common types of marine wildlife likely to be encountered in the project area;
- Activities that have the most potential for affecting wildlife in the project area;
- Overview of the Marine Mammal Protection Act (MMPA), the designated Environmental Study Area (ESA), agencies responsible for enforcement of the MMPA and ESA, and penalties associated with violations of the acts;
- Procedures to be followed during mobilization/demobilization, and transiting of project vessels, anchoring and throughout waterside construction activities (e.g., decreasing vessel speeds/engine power when at a determined distance from the shoreline, limiting vessel engine idling to five minutes or less, and utilizing minimum required engine power); and
- Reporting requirements in the event of an inadvertent collision and/or injury to marine wildlife.

BIO-2 Should construction activities occur within the nesting season, all suitable habitat surrounding the project site shall be thoroughly surveyed for the presence of nesting birds by a qualified biologist, defined as an individual with a bachelor's degree or above in a biological science field and demonstrated field experience, within three days prior to commencement of site disturbance activities.

If an active avian nest is discovered in proximity to the project site during the nesting bird survey, construction activities (those activities that could result in direct or indirect impacts to active nests either through noise, light, or physical contact) shall stay outside



of a 300-foot buffer around the active nest. For raptor species, this buffer shall be expanded to 500 feet. The qualified biologist shall be present to delineate the boundaries of the buffer area and to monitor the active nest in order to ensure that nesting behavior is not adversely affected by construction activities. If the qualified biologist determines that nesting behavior is adversely affected by construction activities, the qualified biologist shall halt construction activities that result in the adverse effect and file a written report to OCSD and the construction contractor stating the recommended course of action. The buffer area and limitations on construction may be reduced upon approval by the California Department of Fish and Wildlife, and only if the nesting behaviors are not disrupted by construction activities, as determined by the qualified biologist. Once the young have fledged, normal construction activities shall be allowed to occur.

Sensitive Natural Communities. With implementation of mitigation, Project implementation would not have an adverse effect on riparian habitat or other sensitive natural community.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts to sensitive natural communities have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measures:

- BIO-3 The Orange County Sanitation District (OCSD), or designee, shall retain a qualified marine biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, or a closely related area and demonstrated field experience, to conduct a comprehensive pre-construction survey for the presence of eelgrass and kelp species within the project survey area, as delineated by the qualified marine biologist, prior to the commencement of in-water construction operations. The pre-construction eelgrass and kelp surveys shall be consistent with current National Marine Fisheries Service (NMFS) California Eelgrass Mitigation Policy (CEMP) survey guidelines. If pre-construction survey results indicate eelgrass or kelp presence within the project survey area, the qualified marine biologist shall recommend, and OCSD, or designee, shall incorporate, appropriate avoidance measures, protection measures, and/or replacement mitigation (e.g., shifting dredging areas, relocating eelgrass, releasing buoy-deployed seed bags, and reseeded for no net loss) to be implemented during construction activities to avoid or reduce impacts to eelgrass or kelp species to the maximum extent practicable. The qualified marine biologist shall coordinate with the appropriate regulatory agencies including the NMFS, U.S. Army Corps of Engineers (Corps), U.S. Fish and Wildlife Service (USFWS), California Coastal



Commission (CCC), the California Department of Fish and Wildlife (CDFW), and other resource and regulatory agencies, as necessary, and OCSD, or designee, shall implement compensatory mitigation, as required by the appropriate regulatory agencies, should the project result in the loss of eelgrass and kelp habitat.

Wetlands. With implementation of mitigation, Project implementation would not have an adverse effect on State or Federally protected wetlands.

Findings

- 1. Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
- 2. With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts to wetlands have been eliminated or substantially lessened to a level of less than significant of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measures:

- HWQ-4 In compliance with the Federal Clean Water Act, the Proposed Project shall conform to the requirements of the Department of the Army permit(s) (to be applied for by the Orange County Sanitation District, or designee, for prior to site disturbance) from the U.S. Army Corps of Engineers Los Angeles District.
- BIO-1 Prior to dredging operations, if conducted, Orange County Sanitation District, or designee, shall retain a qualified marine mammal biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, animal behavior, or a closely related area and demonstrated field experience, to conduct contractor awareness training for all personnel working in the marine environment. The purpose of the training is to educate contractor personnel on the identification of marine wildlife in the project area and to provide an overview of the wildlife mitigation that will be implemented during the project. Specifically, the training seminar shall include, but not be limited to, the following:
- Identification of most common types of marine wildlife likely to be encountered in the project area;
 - Activities that have the most potential for affecting wildlife in the project area;
 - Overview of the Marine Mammal Protection Act (MMPA), the designated Environmental Study Area (ESA), agencies responsible for enforcement of the MMPA and ESA, and penalties associated with violations of the acts;
 - Procedures to be followed during mobilization/demobilization, and transiting of project vessels, anchoring and throughout waterside construction activities



(e.g., decreasing vessel speeds/engine power when at a determined distance from the shoreline, limiting vessel engine idling to five minutes or less, and utilizing minimum required engine power); and

- Reporting requirements in the event of an inadvertent collision and/or injury to marine wildlife.

BIO-2 Should construction activities occur within the nesting season, all suitable habitat surrounding the project site shall be thoroughly surveyed for the presence of nesting birds by a qualified biologist, defined as an individual with a bachelor's degree or above in a biological science field and demonstrated field experience, within three days prior to commencement of site disturbance activities.

If an active avian nest is discovered in proximity to the project site during the nesting bird survey, construction activities (those activities that could result in direct or indirect impacts to active nests either through noise, light, or physical contact) shall stay outside of a 300-foot buffer around the active nest. For raptor species, this buffer shall be expanded to 500 feet. The qualified biologist shall be present to delineate the boundaries of the buffer area and to monitor the active nest in order to ensure that nesting behavior is not adversely affected by construction activities. If the qualified biologist determines that nesting behavior is adversely affected by construction activities, the qualified biologist shall halt construction activities that result in the adverse effect and file a written report to OCSD and the construction contractor stating the recommended course of action. The buffer area and limitations on construction may be reduced upon approval by the California Department of Fish and Wildlife, and only if the nesting behaviors are not disrupted by construction activities, as determined by the qualified biologist. Once the young have fledged, normal construction activities shall be allowed to occur.

BIO-3 The Orange County Sanitation District (OCSD), or designee, shall retain a qualified marine biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, or a closely related area and demonstrated field experience, to conduct a comprehensive pre-construction survey for the presence of eelgrass and kelp species within the project survey area, as delineated by the qualified marine biologist, prior to the commencement of in-water construction operations. The pre-construction eelgrass and kelp surveys shall be consistent with current National Marine Fisheries Service (NMFS) California Eelgrass Mitigation Policy (CEMP) survey guidelines. If pre-construction survey results indicate eelgrass or kelp presence within the project survey area, the qualified marine biologist shall recommend, and OCSD, or designee, shall incorporate, appropriate avoidance measures, protection measures, and/or replacement mitigation (e.g., shifting dredging areas, relocating eelgrass, releasing buoy-deployed seed bags, and reseeded for no net loss) to be implemented during construction activities to avoid or reduce impacts to eelgrass or kelp species to the maximum extent practicable. The qualified marine biologist shall coordinate with the appropriate regulatory agencies including the NMFS, U.S. Army Corps of Engineers (Corps), U.S. Fish and Wildlife Service (USFWS), California Coastal Commission (CCC), the California Department of Fish and Wildlife (CDFW), and other resource and regulatory agencies, as necessary, and OCSD, or designee, shall



implement compensatory mitigation, as required by the appropriate regulatory agencies, should the project result in the loss of eelgrass and kelp habitat.

Migratory Wildlife Species. With implementation of mitigation, Project implementation would not interfere with the movement of a native resident or migratory wildlife species.

Findings

- 1. Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
- 2. With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts to wildlife movement have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measures:

- HWQ-4 In compliance with the Federal Clean Water Act, the proposed project shall conform to the requirements of the Department of the Army permit(s) (to be applied for by the Orange County Sanitation District, or designee, for prior to site disturbance) from the U.S. Army Corps of Engineers Los Angeles District.
- BIO-1 Prior to dredging operations, if conducted, Orange County Sanitation District, or designee, shall retain a qualified marine mammal biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, animal behavior, or a closely related area and demonstrated field experience, to conduct contractor awareness training for all personnel working in the marine environment. The purpose of the training is to educate contractor personnel on the identification of marine wildlife in the project area and to provide an overview of the wildlife mitigation that will be implemented during the project. Specifically, the training seminar shall include, but not be limited to, the following:
- Identification of most common types of marine wildlife likely to be encountered in the project area;
 - Activities that have the most potential for affecting wildlife in the project area;
 - Overview of the Marine Mammal Protection Act (MMPA), the designated Environmental Study Area (ESA), agencies responsible for enforcement of the MMPA and ESA, and penalties associated with violations of the acts;
 - Procedures to be followed during mobilization/demobilization, and transiting of project vessels, anchoring and throughout waterside construction activities (e.g., decreasing vessel speeds/engine power when at a determined distance



from the shoreline, limiting vessel engine idling to five minutes or less, and utilizing minimum required engine power); and

- Reporting requirements in the event of an inadvertent collision and/or injury to marine wildlife.

BIO-2 Should construction activities occur within the nesting season, all suitable habitat surrounding the project site shall be thoroughly surveyed for the presence of nesting birds by a qualified biologist, defined as an individual with a bachelor's degree or above in a biological science field and demonstrated field experience, within three days prior to commencement of site disturbance activities.

If an active avian nest is discovered in proximity to the project site during the nesting bird survey, construction activities (those activities that could result in direct or indirect impacts to active nests either through noise, light, or physical contact) shall stay outside of a 300-foot buffer around the active nest. For raptor species, this buffer shall be expanded to 500 feet. The qualified biologist shall be present to delineate the boundaries of the buffer area and to monitor the active nest in order to ensure that nesting behavior is not adversely affected by construction activities. If the qualified biologist determines that nesting behavior is adversely affected by construction activities, the qualified biologist shall halt construction activities that result in the adverse effect and file a written report to OCSD and the construction contractor stating the recommended course of action. The buffer area and limitations on construction may be reduced upon approval by the California Department of Fish and Wildlife, and only if the nesting behaviors are not disrupted by construction activities, as determined by the qualified biologist. Once the young have fledged, normal construction activities shall be allowed to occur.

BIO-3 The Orange County Sanitation District (OCSD), or designee, shall retain a qualified marine biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, or a closely related area and demonstrated field experience, to conduct a comprehensive pre-construction survey for the presence of eelgrass and kelp species within the project survey area, as delineated by the qualified marine biologist, prior to the commencement of in-water construction operations. The pre-construction eelgrass and kelp surveys shall be consistent with current National Marine Fisheries Service (NMFS) California Eelgrass Mitigation Policy (CEMP) survey guidelines. If pre-construction survey results indicate eelgrass or kelp presence within the project survey area, the qualified marine biologist shall recommend, and OCSD, or designee, shall incorporate, appropriate avoidance measures, protection measures, and/or replacement mitigation (e.g., shifting dredging areas, relocating eelgrass, releasing buoy-deployed seed bags, and reseeded for no net loss) to be implemented during construction activities to avoid or reduce impacts to eelgrass or kelp species to the maximum extent practicable. The qualified marine biologist shall coordinate with the appropriate regulatory agencies including the NMFS, U.S. Army Corps of Engineers (Corps), U.S. Fish and Wildlife Service (USFWS), California Coastal Commission (CCC), the California Department of Fish and Wildlife (CDFW), and other resource and regulatory agencies, as necessary, and OCSD, or designee, shall



implement compensatory mitigation, as required by the appropriate regulatory agencies, should the project result in the loss of eelgrass and kelp habitat.

Policies Protecting Biological Resources. With implementation of mitigation, Project implementation would not conflict with a City policy protecting biological resources.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts pertaining to conflicts with policies protecting biological resources have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measures:

BIO-1 Prior to dredging operations, if conducted, Orange County Sanitation District, or designee, shall retain a qualified marine mammal biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, animal behavior, or a closely related area and demonstrated field experience, to conduct contractor awareness training for all personnel working in the marine environment. The purpose of the training is to educate contractor personnel on the identification of marine wildlife in the project area and to provide an overview of the wildlife mitigation that will be implemented during the project. Specifically, the training seminar shall include, but not be limited to, the following:

- Identification of most common types of marine wildlife likely to be encountered in the project area;
- Activities that have the most potential for affecting wildlife in the project area;
- Overview of the Marine Mammal Protection Act (MMPA), the designated Environmental Study Area (ESA), agencies responsible for enforcement of the MMPA and ESA, and penalties associated with violations of the acts;
- Procedures to be followed during mobilization/demobilization, and transiting of project vessels, anchoring and throughout waterside construction activities (e.g., decreasing vessel speeds/engine power when at a determined distance from the shoreline, limiting vessel engine idling to five minutes or less, and utilizing minimum required engine power); and
- Reporting requirements in the event of an inadvertent collision and/or injury to marine wildlife.



BIO-2 Should construction activities occur within the nesting season, all suitable habitat surrounding the project site shall be thoroughly surveyed for the presence of nesting birds by a qualified biologist, defined as an individual with a bachelor's degree or above in a biological science field and demonstrated field experience, within three days prior to commencement of site disturbance activities.

If an active avian nest is discovered in proximity to the project site during the nesting bird survey, construction activities (those activities that could result in direct or indirect impacts to active nests either through noise, light, or physical contact) shall stay outside of a 300-foot buffer around the active nest. For raptor species, this buffer shall be expanded to 500 feet. The qualified biologist shall be present to delineate the boundaries of the buffer area and to monitor the active nest in order to ensure that nesting behavior is not adversely affected by construction activities. If the qualified biologist determines that nesting behavior is adversely affected by construction activities, the qualified biologist shall halt construction activities that result in the adverse effect and file a written report to OCSD and the construction contractor stating the recommended course of action. The buffer area and limitations on construction may be reduced upon approval by the California Department of Fish and Wildlife, and only if the nesting behaviors are not disrupted by construction activities, as determined by the qualified biologist. Once the young have fledged, normal construction activities shall be allowed to occur.

BIO-3 The Orange County Sanitation District (OCSD), or designee, shall retain a qualified marine biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, or a closely related area and demonstrated field experience, to conduct a comprehensive pre-construction survey for the presence of eelgrass and kelp species within the project survey area, as delineated by the qualified marine biologist, prior to the commencement of in-water construction operations. The pre-construction eelgrass and kelp surveys shall be consistent with current National Marine Fisheries Service (NMFS) California Eelgrass Mitigation Policy (CEMP) survey guidelines. If pre-construction survey results indicate eelgrass or kelp presence within the project survey area, the qualified marine biologist shall recommend, and OCSD, or designee, shall incorporate, appropriate avoidance measures, protection measures, and/or replacement mitigation (e.g., shifting dredging areas, relocating eelgrass, releasing buoy-deployed seed bags, and reseeded for no net loss) to be implemented during construction activities to avoid or reduce impacts to eelgrass or kelp species to the maximum extent practicable. The qualified marine biologist shall coordinate with the appropriate regulatory agencies including the NMFS, U.S. Army Corps of Engineers (Corps), U.S. Fish and Wildlife Service (USFWS), California Coastal Commission (CCC), the California Department of Fish and Wildlife (CDFW), and other resource and regulatory agencies, as necessary, and OCSD, or designee, shall implement compensatory mitigation, as required by the appropriate regulatory agencies, should the project result in the loss of eelgrass and kelp habitat.



Cumulative Special Status Plant and Wildlife Species. With implementation of mitigation, Project implementation combined with cumulative development would not have adverse effects, either directly or through habitat modifications, on special status plant or wildlife species.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts to special status plant and wildlife species have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measures:

- HWQ-4 In compliance with the Federal Clean Water Act, the proposed project shall conform to the requirements of the Department of the Army permit(s) (to be applied for by the Orange County Sanitation District, or designee, for prior to site disturbance) from the U.S. Army Corps of Engineers Los Angeles District.
- BIO-1 Prior to dredging operations, if conducted, Orange County Sanitation District, or designee, shall retain a qualified marine mammal biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, animal behavior, or a closely related area and demonstrated field experience, to conduct contractor awareness training for all personnel working in the marine environment. The purpose of the training is to educate contractor personnel on the identification of marine wildlife in the project area and to provide an overview of the wildlife mitigation that will be implemented during the project. Specifically, the training seminar shall include, but not be limited to, the following:
- Identification of most common types of marine wildlife likely to be encountered in the project area;
 - Activities that have the most potential for affecting wildlife in the project area;
 - Overview of the Marine Mammal Protection Act (MMPA), the designated Environmental Study Area (ESA), agencies responsible for enforcement of the MMPA and ESA, and penalties associated with violations of the acts;
 - Procedures to be followed during mobilization/demobilization, and transiting of project vessels, anchoring and throughout waterside construction activities (e.g., decreasing vessel speeds/engine power when at a determined distance from the shoreline, limiting vessel engine idling to five minutes or less, and utilizing minimum required engine power); and



- Reporting requirements in the event of an inadvertent collision and/or injury to marine wildlife.

BIO-2 Should construction activities occur within the nesting season, all suitable habitat surrounding the project site shall be thoroughly surveyed for the presence of nesting birds by a qualified biologist, defined as an individual with a bachelor's degree or above in a biological science field and demonstrated field experience, within three days prior to commencement of site disturbance activities.

If an active avian nest is discovered in proximity to the project site during the nesting bird survey, construction activities (those activities that could result in direct or indirect impacts to active nests either through noise, light, or physical contact) shall stay outside of a 300-foot buffer around the active nest. For raptor species, this buffer shall be expanded to 500 feet. The qualified biologist shall be present to delineate the boundaries of the buffer area and to monitor the active nest in order to ensure that nesting behavior is not adversely affected by construction activities. If the qualified biologist determines that nesting behavior is adversely affected by construction activities, the qualified biologist shall halt construction activities that result in the adverse effect and file a written report to OCSD and the construction contractor stating the recommended course of action. The buffer area and limitations on construction may be reduced upon approval by the California Department of Fish and Wildlife, and only if the nesting behaviors are not disrupted by construction activities, as determined by the qualified biologist. Once the young have fledged, normal construction activities shall be allowed to occur.

Cumulative Sensitive Natural Communities. With implementation of mitigation, Project implementation combined with cumulative developments would not have adverse effect on riparian habitat or other sensitive natural community.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts to sensitive natural communities have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measures:

BIO-3 The Orange County Sanitation District (OCSD), or designee, shall retain a qualified marine biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, or a closely related area and demonstrated field experience, to



conduct a comprehensive pre-construction survey for the presence of eelgrass and kelp species within the project survey area, as delineated by the qualified marine biologist, prior to the commencement of in-water construction operations. The pre-construction eelgrass and kelp surveys shall be consistent with current National Marine Fisheries Service (NMFS) California Eelgrass Mitigation Policy (CEMP) survey guidelines. If pre-construction survey results indicate eelgrass or kelp presence within the project survey area, the qualified marine biologist shall recommend, and OCSD, or designee, shall incorporate, appropriate avoidance measures, protection measures, and/or replacement mitigation (e.g., shifting dredging areas, relocating eelgrass, releasing buoy-deployed seed bags, and reseeded for no net loss) to be implemented during construction activities to avoid or reduce impacts to eelgrass or kelp species to the maximum extent practicable. The qualified marine biologist shall coordinate with the appropriate regulatory agencies including the NMFS, U.S. Army Corps of Engineers (Corps), U.S. Fish and Wildlife Service (USFWS), California Coastal Commission (CCC), the California Department of Fish and Wildlife (CDFW), and other resource and regulatory agencies, as necessary, and OCSD, or designee, shall implement compensatory mitigation, as required by the appropriate regulatory agencies, should the project result in the loss of eelgrass and kelp habitat.

Cumulative Wetlands. With implementation of mitigation, Project implementation combined with cumulative development would not have an adverse effect on State or Federally protected wetlands.

Findings

- 1. Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
- 2. With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts to wetlands have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measures:

- HWQ-4 In compliance with the Federal Clean Water Act, the proposed project shall conform to the requirements of the Department of the Army permit(s) (to be applied for by the Orange County Sanitation District, or designee, for prior to site disturbance) from the U.S. Army Corps of Engineers Los Angeles District.
- BIO-1 Prior to dredging operations, if conducted, Orange County Sanitation District, or designee, shall retain a qualified marine mammal biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, animal behavior, or a closely related area and demonstrated field experience, to conduct contractor awareness training for all personnel working in the marine environment. The purpose of the training is to educate contractor personnel on the identification of marine



wildlife in the project area and to provide an overview of the wildlife mitigation that will be implemented during the project. Specifically, the training seminar shall include, but not be limited to, the following:

- Identification of most common types of marine wildlife likely to be encountered in the project area;
- Activities that have the most potential for affecting wildlife in the project area;
- Overview of the Marine Mammal Protection Act (MMPA), the designated Environmental Study Area (ESA), agencies responsible for enforcement of the MMPA and ESA, and penalties associated with violations of the acts;
- Procedures to be followed during mobilization/demobilization, and transiting of project vessels, anchoring and throughout waterside construction activities (e.g., decreasing vessel speeds/engine power when at a determined distance from the shoreline, limiting vessel engine idling to five minutes or less, and utilizing minimum required engine power); and
- Reporting requirements in the event of an inadvertent collision and/or injury to marine wildlife.

BIO-2 Should construction activities occur within the nesting season, all suitable habitat surrounding the project site shall be thoroughly surveyed for the presence of nesting birds by a qualified biologist, defined as an individual with a bachelor's degree or above in a biological science field and demonstrated field experience, within three days prior to commencement of site disturbance activities.

If an active avian nest is discovered in proximity to the project site during the nesting bird survey, construction activities (those activities that could result in direct or indirect impacts to active nests either through noise, light, or physical contact) shall stay outside of a 300-foot buffer around the active nest. For raptor species, this buffer shall be expanded to 500 feet. The qualified biologist shall be present to delineate the boundaries of the buffer area and to monitor the active nest in order to ensure that nesting behavior is not adversely affected by construction activities. If the qualified biologist determines that nesting behavior is adversely affected by construction activities, the qualified biologist shall halt construction activities that result in the adverse effect and file a written report to OCSD and the construction contractor stating the recommended course of action. The buffer area and limitations on construction may be reduced upon approval by the California Department of Fish and Wildlife, and only if the nesting behaviors are not disrupted by construction activities, as determined by the qualified biologist. Once the young have fledged, normal construction activities shall be allowed to occur.

BIO-3 The Orange County Sanitation District (OCSD), or designee, shall retain a qualified marine biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, or a closely related area and demonstrated field experience, to conduct a comprehensive pre-construction survey for the presence of eelgrass and



kelp species within the project survey area, as delineated by the qualified marine biologist, prior to the commencement of in-water construction operations. The pre-construction eelgrass and kelp surveys shall be consistent with current National Marine Fisheries Service (NMFS) California Eelgrass Mitigation Policy (CEMP) survey guidelines. If pre-construction survey results indicate eelgrass or kelp presence within the project survey area, the qualified marine biologist shall recommend, and OCSD, or designee, shall incorporate, appropriate avoidance measures, protection measures, and/or replacement mitigation (e.g., shifting dredging areas, relocating eelgrass, releasing buoy-deployed seed bags, and reseeded for no net loss) to be implemented during construction activities to avoid or reduce impacts to eelgrass or kelp species to the maximum extent practicable. The qualified marine biologist shall coordinate with the appropriate regulatory agencies including the NMFS, U.S. Army Corps of Engineers (Corps), U.S. Fish and Wildlife Service (USFWS), California Coastal Commission (CCC), the California Department of Fish and Wildlife (CDFW), and other resource and regulatory agencies, as necessary, and OCSD, or designee, shall implement compensatory mitigation, as required by the appropriate regulatory agencies, should the project result in the loss of eelgrass and kelp habitat.

Cumulative Migratory Wildlife Species. With implementation of mitigation, Project implementation combined with cumulative development would not interfere with the movement of migratory wildlife species.

Findings

- 1. Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
- 2. With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts to migratory wildlife species have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measures:

- HWQ-4 In compliance with the Federal Clean Water Act, the proposed project shall conform to the requirements of the Department of the Army permit(s) (to be applied for by the Orange County Sanitation District, or designee, for prior to site disturbance) from the U.S. Army Corps of Engineers Los Angeles District.
- BIO-1 Prior to dredging operations, if conducted, Orange County Sanitation District, or designee, shall retain a qualified marine mammal biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, animal behavior, or a closely related area and demonstrated field experience, to conduct contractor awareness training for all personnel working in the marine environment. The purpose of the training is to educate contractor personnel on the identification of marine



wildlife in the project area and to provide an overview of the wildlife mitigation that will be implemented during the project. Specifically, the training seminar shall include, but not be limited to, the following:

- Identification of most common types of marine wildlife likely to be encountered in the project area;
- Activities that have the most potential for affecting wildlife in the project area;
- Overview of the Marine Mammal Protection Act (MMPA), the designated Environmental Study Area (ESA), agencies responsible for enforcement of the MMPA and ESA, and penalties associated with violations of the acts;
- Procedures to be followed during mobilization/demobilization, and transiting of project vessels, anchoring and throughout waterside construction activities (e.g., decreasing vessel speeds/engine power when at a determined distance from the shoreline, limiting vessel engine idling to five minutes or less, and utilizing minimum required engine power); and
- Reporting requirements in the event of an inadvertent collision and/or injury to marine wildlife.

BIO-2 Should construction activities occur within the nesting season, all suitable habitat surrounding the project site shall be thoroughly surveyed for the presence of nesting birds by a qualified biologist, defined as an individual with a bachelor's degree or above in a biological science field and demonstrated field experience, within three days prior to commencement of site disturbance activities.

If an active avian nest is discovered in proximity to the project site during the nesting bird survey, construction activities (those activities that could result in direct or indirect impacts to active nests either through noise, light, or physical contact) shall stay outside of a 300-foot buffer around the active nest. For raptor species, this buffer shall be expanded to 500 feet. The qualified biologist shall be present to delineate the boundaries of the buffer area and to monitor the active nest in order to ensure that nesting behavior is not adversely affected by construction activities. If the qualified biologist determines that nesting behavior is adversely affected by construction activities, the qualified biologist shall halt construction activities that result in the adverse effect and file a written report to OCSD and the construction contractor stating the recommended course of action. The buffer area and limitations on construction may be reduced upon approval by the California Department of Fish and Wildlife, and only if the nesting behaviors are not disrupted by construction activities, as determined by the qualified biologist. Once the young have fledged, normal construction activities shall be allowed to occur.

BIO-3 The Orange County Sanitation District (OCSD), or designee, shall retain a qualified marine biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, or a closely related area and demonstrated field experience, to conduct a comprehensive pre-construction survey for the presence of eelgrass and



kelp species within the project survey area, as delineated by the qualified marine biologist, prior to the commencement of in-water construction operations. The pre-construction eelgrass and kelp surveys shall be consistent with current National Marine Fisheries Service (NMFS) California Eelgrass Mitigation Policy (CEMP) survey guidelines. If pre-construction survey results indicate eelgrass or kelp presence within the project survey area, the qualified marine biologist shall recommend, and OCSD, or designee, shall incorporate, appropriate avoidance measures, protection measures, and/or replacement mitigation (e.g., shifting dredging areas, relocating eelgrass, releasing buoy-deployed seed bags, and reseeded for no net loss) to be implemented during construction activities to avoid or reduce impacts to eelgrass or kelp species to the maximum extent practicable. The qualified marine biologist shall coordinate with the appropriate regulatory agencies including the NMFS, U.S. Army Corps of Engineers (Corps), U.S. Fish and Wildlife Service (USFWS), California Coastal Commission (CCC), the California Department of Fish and Wildlife (CDFW), and other resource and regulatory agencies, as necessary, and OCSD, or designee, shall implement compensatory mitigation, as required by the appropriate regulatory agencies, should the project result in the loss of eelgrass and kelp habitat.

Cumulative Policies Protecting Biological Resources. With implementation of mitigation, Project implementation combined with cumulative development would not conflict with a City policy protecting biological resources.

Findings

- 1. Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
- 2. With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts to policies protecting biological resources have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measures:

- HWQ-4 In compliance with the Federal Clean Water Act, the proposed project shall conform to the requirements of the Department of the Army permit(s) (to be applied for by the Orange County Sanitation District, or designee, for prior to site disturbance) from the U.S. Army Corps of Engineers Los Angeles District.
- BIO-1 Prior to dredging operations, if conducted, Orange County Sanitation District, or designee, shall retain a qualified marine mammal biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, animal behavior, or a closely related area and demonstrated field experience, to conduct contractor awareness training for all personnel working in the marine environment. The purpose of the training is to educate contractor personnel on the identification of marine



wildlife in the project area and to provide an overview of the wildlife mitigation that will be implemented during the project. Specifically, the training seminar shall include, but not be limited to, the following:

- Identification of most common types of marine wildlife likely to be encountered in the project area;
- Activities that have the most potential for affecting wildlife in the project area;
- Overview of the Marine Mammal Protection Act (MMPA), the designated Environmental Study Area (ESA), agencies responsible for enforcement of the MMPA and ESA, and penalties associated with violations of the acts;
- Procedures to be followed during mobilization/demobilization, and transiting of project vessels, anchoring and throughout waterside construction activities (e.g., decreasing vessel speeds/engine power when at a determined distance from the shoreline, limiting vessel engine idling to five minutes or less, and utilizing minimum required engine power); and
- Reporting requirements in the event of an inadvertent collision and/or injury to marine wildlife.

BIO-2 Should construction activities occur within the nesting season, all suitable habitat surrounding the project site shall be thoroughly surveyed for the presence of nesting birds by a qualified biologist, defined as an individual with a bachelor's degree or above in a biological science field and demonstrated field experience, within three days prior to commencement of site disturbance activities.

If an active avian nest is discovered in proximity to the project site during the nesting bird survey, construction activities (those activities that could result in direct or indirect impacts to active nests either through noise, light, or physical contact) shall stay outside of a 300-foot buffer around the active nest. For raptor species, this buffer shall be expanded to 500 feet. The qualified biologist shall be present to delineate the boundaries of the buffer area and to monitor the active nest in order to ensure that nesting behavior is not adversely affected by construction activities. If the qualified biologist determines that nesting behavior is adversely affected by construction activities, the qualified biologist shall halt construction activities that result in the adverse effect and file a written report to OCSD and the construction contractor stating the recommended course of action. The buffer area and limitations on construction may be reduced upon approval by the California Department of Fish and Wildlife, and only if the nesting behaviors are not disrupted by construction activities, as determined by the qualified biologist. Once the young have fledged, normal construction activities shall be allowed to occur.

BIO-3 The Orange County Sanitation District (OCSD), or designee, shall retain a qualified marine biologist, defined as an individual with a bachelor's degree or above in marine biology, zoology, or a closely related area and demonstrated field experience, to conduct a comprehensive pre-construction survey for the presence of eelgrass and kelp species within the project survey area, as delineated by the qualified marine



biologist, prior to the commencement of in-water construction operations. The pre-construction eelgrass and kelp surveys shall be consistent with current National Marine Fisheries Service (NMFS) California Eelgrass Mitigation Policy (CEMP) survey guidelines. If pre-construction survey results indicate eelgrass or kelp presence within the project survey area, the qualified marine biologist shall recommend, and OCSD, or designee, shall incorporate, appropriate avoidance measures, protection measures, and/or replacement mitigation (e.g., shifting dredging areas, relocating eelgrass, releasing buoy-deployed seed bags, and reseeded for no net loss) to be implemented during construction activities to avoid or reduce impacts to eelgrass or kelp species to the maximum extent practicable. The qualified marine biologist shall coordinate with the appropriate regulatory agencies including the NMFS, U.S. Army Corps of Engineers (Corps), U.S. Fish and Wildlife Service (USFWS), California Coastal Commission (CCC), the California Department of Fish and Wildlife (CDFW), and other resource and regulatory agencies, as necessary, and OCSD, or designee, shall implement compensatory mitigation, as required by the appropriate regulatory agencies, should the project result in the loss of eelgrass and kelp habitat.

CULTURAL RESOURCES

The Project's potential cultural resources impacts that can be mitigated or are otherwise less than significant are discussed in [Section 5.4, *Cultural Resources*](#), of the 2020 Recirculated EIR. These include impacts to archaeological resources and cumulative impacts.

Archaeological Resources. With implementation of mitigation, development associated with implementation of the Project would not impact archaeological resources within the Project site.

Findings

- Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
- With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts to archaeological resources have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measures:

- CUL-1 Prior to ground-disturbing activities, Orange County Sanitation District (OCSD), or its designee, shall retain a qualified archaeologist who meets the requirements of the Secretary of the Interior's Standards to prepare an Archaeological Monitoring Protocol Plan for the project that is consistent with all applicable requirements of the City of Newport Beach Local Coastal Program (CLUP) and Coastal Development Permit (CDP) as determined by the City of Newport Beach. The Archaeological Monitoring Protocol Plan shall include, but is not limited to, the following:



- Identification of the project's area of potential effect;
- Training procedures regarding the Archaeological Monitoring Protocol Plan and the identification of potential archaeological resources. The training shall be open to Native American tribal representative(s), to assist the contractor's representative in identifying potential tribal cultural resources.
- Procedures to follow in the event that potential archaeological resources are discovered during construction activities, including, without limitation, halting work in the area of the find and contacting the qualified archaeologist to evaluate the find.
- Procedures for proceeding with construction work after a significant find is inventoried, documented, and/or recovered.

OCSD, or designee, shall implement all recommended and required measures identified in the Archaeological Monitoring Protocol Plan approved by the City of Newport Beach.

If evidence of potential subsurface archaeological resources is found during ground disturbance/excavation activities, these activities shall cease within 50 feet of that area and the construction contractor shall contact OCSD. Construction activities shall be allowed to continue in other areas of the site. OCSD, or designee, shall then retain a qualified archaeologist to evaluate the discovery prior to resuming grading/construction activities in the immediate vicinity of the find. If warranted based on the archaeologist's evaluation of the find, the archaeologist shall collect the resource, and prepare a test-level report describing the results of the investigation. The test-level report shall evaluate the site including discussion of the significance (depth, nature, condition, and extent of the resource), identify final mitigation measures that OCSD or its designee shall incorporate into future construction plans, and provide cost estimates.

If the qualified archaeologist determines that the find is prehistoric or includes Native American materials, affiliated Native American groups shall be invited to contribute to the assessment and recovery of the resource, as applicable. The qualified archaeologist and any applicable Native American contacts shall collect the resource and prepare a test-level report describing the results of the investigation. The test-level report shall evaluate the site including discussion of significance (depth, nature, condition, and extent of the resources), final mitigation recommendations, and cost estimates.

Salvage operation requirements pursuant to Section 15064.5 of the CEQA Guidelines shall be followed. Work within the area of discovery shall resume only after the resource has been appropriately inventoried, documented, and/or recovered, as detailed in the test-level report(s).



Cumulative Archaeological Resources. With implementation of mitigation, the Proposed Project, combined with other related cumulative development, would not result in significant cumulative impacts to archaeological resources.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts to archaeological resources have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measures:

CUL-1 Prior to ground-disturbing activities, Orange County Sanitation District (OCSD), or its designee, shall retain a qualified archaeologist who meets the requirements of the Secretary of the Interior's Standards to prepare an Archaeological Monitoring Protocol Plan for the project that is consistent with all applicable requirements of the City of Newport Beach Local Coastal Program (CLUP) and Coastal Development Permit (CDP) as determined by the City of Newport Beach. The Archaeological Monitoring Protocol Plan shall include, but is not limited to, the following:

- Identification of the project's area of potential effect;
- Training procedures regarding the Archaeological Monitoring Protocol Plan and the identification of potential archaeological resources. The training shall be open to Native American tribal representative(s), to assist the contractor's representative in identifying potential tribal cultural resources.
- Procedures to follow in the event that potential archaeological resources are discovered during construction activities, including, without limitation, halting work in the area of the find and contacting the qualified archaeologist to evaluate the find.
- Procedures for proceeding with construction work after a significant find is inventoried, documented, and/or recovered.

OCSD, or designee, shall implement all recommended and required measures identified in the Archaeological Monitoring Protocol Plan approved by the City of Newport Beach.

If evidence of potential subsurface archaeological resources is found during ground disturbance/excavation activities, these activities shall cease within 50 feet of that area



and the construction contractor shall contact OCSD. Construction activities shall be allowed to continue in other areas of the site. OCSD, or designee, shall then retain a qualified archaeologist to evaluate the discovery prior to resuming grading/construction activities in the immediate vicinity of the find. If warranted based on the archaeologist's evaluation of the find, the archaeologist shall collect the resource, and prepare a test-level report describing the results of the investigation. The test-level report shall evaluate the site including discussion of the significance (depth, nature, condition, and extent of the resource), identify final mitigation measures that OCSD or its designee shall incorporate into future construction plans, and provide cost estimates.

If the qualified archaeologist determines that the find is prehistoric or includes Native American materials, affiliated Native American groups shall be invited to contribute to the assessment and recovery of the resource, as applicable. The qualified archaeologist and any applicable Native American contacts shall collect the resource and prepare a test-level report describing the results of the investigation. The test-level report shall evaluate the site including discussion of significance (depth, nature, condition, and extent of the resources), final mitigation recommendations, and cost estimates.

Salvage operation requirements pursuant to Section 15064.5 of the CEQA Guidelines shall be followed. Work within the area of discovery shall resume only after the resource has been appropriately inventoried, documented, and/or recovered, as detailed in the test-level report(s).

GEOLOGY AND SOILS

The Project's potential geology and soils impacts that can be mitigated or are otherwise less than significant are discussed in [Section 5.5, *Geology and Soils*](#), of the 2020 Recirculated EIR. These impacts include paleontological resources and cumulative impacts.

Paleontological Resources. With implementation of mitigation, development associated with implementation of the Project would not impact paleontological resources within the Project site.

Findings

- 1. Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
- 2. With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts to paleontological resources have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.



Mitigation Measures:

GEO-1 Prior to ground-disturbing activities, a qualified paleontologist shall provide a Monitoring Protocol Plan for the project. The plan shall identify procedures to be used in the event that potential recoverable fossils are discovered by the construction contractor. The qualified paleontologist shall have a B.S. or B.A. in geology and/or paleontology with demonstrated competence in research, fieldwork, reporting, and curation. The qualified paleontologist shall provide training to the contractor's representative regarding the Monitoring Protocol Plan and the identification of paleontological resources. The Monitoring Protocol Plan shall state that in the event a fossil or suspected fossil is encountered during ground disturbing activities, the following steps shall be taken to ensure paleontological resource(s), if present, are properly preserved or salvaged in accordance with the recommendation of the qualified paleontologist and existing Federal, State, and local laws and regulations:

- The fossil site shall not be touched, moved, or disturbed in any way.
- Work shall stop in the immediate area, and a minimum 50-foot buffer shall be marked with brightly colored flagging. No further disturbance in the flagged area shall occur until the contractor has cleared the area.
- The contractor's representative, construction foreman or supervisor, and a qualified paleontologist shall be immediately notified.
- The qualified paleontologist shall quickly examine the find and make a determination of significance. If the find is not significant, the foreman shall be informed when it is acceptable to resume work in the area.
- Should the qualified paleontologist determine the find is significant, the qualified paleontologist shall develop a plan of mitigation which would likely include salvage excavation and removal of the find, removal of sediment from around the specimen, research to identify and categorize the find, curation of the find in a local qualified repository, and preparation of a report summarizing the find.

Cumulative Geology and Soils. With implementation of mitigation, the Proposed Project, combined with other related cumulative projects, would not result in adverse effects involving paleontological resources.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings



The potential cumulative impacts to paleontological resources have been eliminated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measures:

GEO-1 Prior to ground-disturbing activities, a qualified paleontologist shall provide a Monitoring Protocol Plan for the project. The plan shall identify procedures to be used in the event that potential recoverable fossils are discovered by the construction contractor. The qualified paleontologist shall have a B.S. or B.A. in geology and/or paleontology with demonstrated competence in research, fieldwork, reporting, and curation. The qualified paleontologist shall provide training to the contractor's representative regarding the Monitoring Protocol Plan and the identification of paleontological resources. The Monitoring Protocol Plan shall state that in the event a fossil or suspected fossil is encountered during ground disturbing activities, the following steps shall be taken to ensure paleontological resource(s), if present, are properly preserved or salvaged in accordance with the recommendation of the qualified paleontologist and existing Federal, State, and local laws and regulations:

- The fossil site shall not be touched, moved, or disturbed in any way.
- Work shall stop in the immediate area, and a minimum 50-foot buffer shall be marked with brightly colored flagging. No further disturbance in the flagged area shall occur until the contractor has cleared the area.
- The contractor's representative, construction foreman or supervisor, and a qualified paleontologist shall be immediately notified.
- The qualified paleontologist shall quickly examine the find and make a determination of significance. If the find is not significant, the foreman shall be informed when it is acceptable to resume work in the area.
- Should the qualified paleontologist determine the find is significant, the qualified paleontologist shall develop a plan of mitigation which would likely include salvage excavation and removal of the find, removal of sediment from around the specimen, research to identify and categorize the find, curation of the find in a local qualified repository, and preparation of a report summarizing the find.

HAZARDS AND HAZARDOUS MATERIALS

The Project's potential hazards and hazardous materials impacts that can be mitigated or are otherwise less than significant are discussed in Section 5.7, *Hazards and Hazardous Materials*, of the 2020 Recirculated EIR. These include accidental release and/or routine handling of hazardous materials, interference with an adopted emergency response or evacuation plan, and cumulative impacts.

Accidental Release and/or Routine Handling of Hazardous Materials. With implementation of mitigation, the Proposed Project would not create a significant hazard to the public or environment



through the routine transport, use, or disposal of hazardous materials, or accident conditions involving the release of hazardous materials.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts from accidental release and/or routine handling or hazardous materials have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measure:

- HAZ-1 Prior to demolition activities, an asbestos survey shall be conducted by an Asbestos Hazard Emergency Response Act (AHERA) and California Division of Occupational Safety and Health (Cal/OSHA) certified building inspector to determine the presence or absence of asbestos containing-materials (ACMs). If ACMs are determined to be present, abatement of asbestos shall be completed prior to any activities that would disturb ACMs or create an airborne asbestos hazard. Asbestos removal shall be performed by a State certified asbestos containment contractor in accordance with the South Coast Air Quality Management District (SCAQMD) Rule 1403. Asbestos wastes shall be handled and disposed of in accordance with the federal Toxic Substances Control Act (TSCA), 40 Code of Federal Regulations (CFR) 763, the Clean Air Act (NESHAP), and California Code of Regulations, Title 22, Division 4.5. Contractors performing ACM removal shall provide documentation of abatement activities to the Orange County Sanitation District.
- HAZ-2 If paint is separated from building materials (chemically or physically) during demolition of the structures, the paint waste shall be evaluated independently from the building material by an EPA certified Lead Inspector. If lead-based paint is found, abatement shall be completed by an EPA qualified Lead Abatement Specialist prior to any activities that would create lead dust or a fume hazard. Lead-based paint removal and disposal shall be performed in accordance with California Code of Regulation Title 8, Section 1532.1, which specifies exposure limits, exposure monitoring and respiratory protection, and mandates good worker practices by workers exposed to lead. Contractors performing lead-based paint removal shall provide documentation of abatement activities to the Orange County Sanitation District.
- HAZ-3 Prior to construction, a Soil Management Plan (SMP) shall be prepared and signed and stamped by a Professional Geologist or Engineer licensed in the State of California. The SMP shall be incorporated into project plans and specifications to be used by the contractor and the Orange County Sanitation District during construction activities. The SMP shall include guidelines for safety measures and soil management in the event



that contaminated soils are to be disturbed, and for handling contaminated soil during any planned earthwork activities. Soil management practices could include the use of proper protective gear, waste profiling, landfill selection, and setting designated stockpiling location, among others. Additionally, the SMP shall include verification sampling for spoils/dredged material, soil import and export, as well as backfill to confirm that no hazardous materials are present. If hazardous materials are detected, the materials shall be properly disposed of in accordance with Federal and State requirements, such as the Resources Conservation and Recovery Act (RCRA) and Hazardous Materials Transportation Act (HMTA), among others. The SMP shall also include a decision framework and specific risk management measures for managing soil in a manner protective of human health and consistent with applicable regulatory requirements.

HAZ-4 If unknown wastes are discovered during construction that are believed to involve hazardous waste or materials, the contractor shall comply with the following:

- Immediately cease work in the vicinity of the suspected contaminant, and remove workers and the public from the area;
- Notify the Orange County Sanitation District;
- Secure the area as directed by the Orange County Sanitation District; and
- Notify the Orange County Health Care Agency's Hazardous Materials Division's Hazardous Waste/ Materials Coordinator (or other appropriate agency specified by the Director of Engineering). The Hazardous Waste/Materials Coordinator shall advise the responsible party of further actions that shall be taken, if required. Any and all further actions shall be taken in compliance with the directions of the Hazardous Waste / Materials Coordinator and Federal and State law.

Interference with an Adopted Emergency Response or Evacuation Plan. With implementation of mitigation, construction and operations of the Project would not create a significant hazard to the public or environment through interference with an adopted emergency response or evacuation plan.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts from interference with an adopted emergency response or evacuation plan have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.



Mitigation Measure:

TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:

- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.
- Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
- At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.
- Identify construction vehicle haul routes for the delivery of construction materials (i.e., lumber, tiles, piping, windows, etc.) to the site; necessary traffic controls and detours; and a construction phasing plan for the project to reduce impacts to local streets and plan for traffic control signage and detours along identified haul routes to minimize impacts to existing traffic flow.
- Identify any and all construction staging or material storage sites located outside of the project site.
- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited, to gravel and dirt resulting from project construction. The Contractor shall clean adjacent streets, as directed by the Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.
- Hauling of oversize loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be



allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.

- Use of local streets shall be prohibited, except when required to provide direct access to the project site and in compliance with the approved project haul routes.
- Haul trucks entering or exiting public streets shall yield to public traffic at all times.
- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible for repairs. The repairs shall restore the damaged property to its original condition.
- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.
- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.
- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).

Cumulative Accidental Release and/or Routine Handling of Hazardous Materials. With implementation of mitigation, the Proposed Project and other related cumulative projects would not create a significant hazard to the public or environment through the routine transport, use, or disposal of hazardous materials, or accident conditions involving the release of hazardous materials.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings



The potential cumulative impacts from accidental release and/or routine handling or hazardous materials have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measure:

- HAZ-1 Prior to demolition activities, an asbestos survey shall be conducted by an Asbestos Hazard Emergency Response Act (AHERA) and California Division of Occupational Safety and Health (Cal/OSHA) certified building inspector to determine the presence or absence of asbestos containing-materials (ACMs). If ACMs are determined to be present, abatement of asbestos shall be completed prior to any activities that would disturb ACMs or create an airborne asbestos hazard. Asbestos removal shall be performed by a State certified asbestos containment contractor in accordance with the South Coast Air Quality Management District (SCAQMD) Rule 1403. Asbestos wastes shall be handled and disposed of in accordance with the federal Toxic Substances Control Act (TSCA), 40 Code of Federal Regulations (CFR) 763, the Clean Air Act (NESHAP), and California Code of Regulations, Title 22, Division 4.5. Contractors performing ACM removal shall provide documentation of abatement activities to the Orange County Sanitation District.
- HAZ-2 If paint is separated from building materials (chemically or physically) during demolition of the structures, the paint waste shall be evaluated independently from the building material by an EPA certified Lead Inspector. If lead-based paint is found, abatement shall be completed by an EPA qualified Lead Abatement Specialist prior to any activities that would create lead dust or a fume hazard. Lead-based paint removal and disposal shall be performed in accordance with California Code of Regulation Title 8, Section 1532.1, which specifies exposure limits, exposure monitoring and respiratory protection, and mandates good worker practices by workers exposed to lead. Contractors performing lead-based paint removal shall provide documentation of abatement activities to the Orange County Sanitation District.
- HAZ-3 Prior to construction, a Soil Management Plan (SMP) shall be prepared and signed and stamped by a Professional Geologist or Engineer licensed in the State of California. The SMP shall be incorporated into project plans and specifications to be used by the contractor and the Orange County Sanitation District during construction activities. The SMP shall include guidelines for safety measures and soil management in the event that contaminated soils are to be disturbed, and for handling contaminated soil during any planned earthwork activities. Soil management practices could include the use of proper protective gear, waste profiling, landfill selection, and setting designated stockpiling location, among others. Additionally, the SMP shall include verification sampling for spoils/dredged material, soil import and export, as well as backfill to confirm that no hazardous materials are present. If hazardous materials are detected, the materials shall be properly disposed of in accordance with Federal and State requirements, such as the Resources Conservation and Recovery Act (RCRA) and Hazardous Materials Transportation Act (HMTA), among others. The SMP shall also include a decision framework and specific risk management measures for managing soil in a manner protective of human health and consistent with applicable regulatory requirements.



HAZ-4 If unknown wastes are discovered during construction that are believed to involve hazardous waste or materials, the contractor shall comply with the following:

- Immediately cease work in the vicinity of the suspected contaminant, and remove workers and the public from the area;
- Notify the Orange County Sanitation District;
- Secure the area as directed by the Orange County Sanitation District; and
- Notify the Orange County Health Care Agency's Hazardous Materials Division's Hazardous Waste/ Materials Coordinator (or other appropriate agency specified by the Director of Engineering). The Hazardous Waste/Materials Coordinator shall advise the responsible party of further actions that shall be taken, if required. Any and all further actions shall be taken in compliance with the directions of the Hazardous Waste / Materials Coordinator and Federal and State law.

TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:

- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.
- Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
- At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.
- Identify construction vehicle haul routes for the delivery of construction materials (i.e., lumber, tiles, piping, windows, etc.) to the site; necessary traffic controls and detours; and a construction phasing plan for the project to reduce



impacts to local streets and plan for traffic control signage and detours along identified haul routes to minimize impacts to existing traffic flow.

- Identify any and all construction staging or material storage sites located outside of the project site.
- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited, to gravel and dirt resulting from project construction. The Contractor shall clean adjacent streets, as directed by the Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.
- Hauling of oversize loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.
- Use of local streets shall be prohibited, except when required to provide direct access to the project site and in compliance with the approved project haul routes.
- Haul trucks entering or exiting public streets shall yield to public traffic at all times.
- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible for repairs. The repairs shall restore the damaged property to its original condition.
- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.
- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.



- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).

Cumulative Interference with an Adopted Emergency Response or Evacuation Plan. With implementation of mitigation, construction and operations of the Proposed Project and other related cumulative projects would not create a significant hazard to the public or environment through interference with an adopted emergency response or evacuation plan.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts from interference with an adopted emergency response or evacuation plan have been mitigated or substantially lessened to a level of less than significant by virtue of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measure:

TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:

- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.
- Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
- At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency



access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.

- Identify construction vehicle haul routes for the delivery of construction materials (i.e., lumber, tiles, piping, windows, etc.) to the site; necessary traffic controls and detours; and a construction phasing plan for the project to reduce impacts to local streets and plan for traffic control signage and detours along identified haul routes to minimize impacts to existing traffic flow.
- Identify any and all construction staging or material storage sites located outside of the project site.
- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited, to gravel and dirt resulting from project construction. The Contractor shall clean adjacent streets, as directed by the Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.
- Hauling of oversized loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.
- Use of local streets shall be prohibited, except when required to provide direct access to the project site and in compliance with the approved project haul routes.
- Haul trucks entering or exiting public streets shall yield to public traffic at all times.
- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible for repairs. The repairs shall restore the damaged property to its original condition.
- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.



- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.
- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).

HYDROLOGY AND WATER QUALITY

The Project's potential hydrology and water quality impacts that can be mitigated or are otherwise less than significant are discussed in Section 5.8, *Hydrology and Water Quality*, of the 2020 Recirculated EIR. These include short-term impacts to water quality and cumulative impacts.

Water Quality – Short-Term Impacts. With implementation of mitigation, grading, excavation, and construction activities associated with the Proposed Project would not impact water quality.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential short-term impacts to water quality have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measure:

- HWQ-1 Prior to site disturbance activities and as part of the project's compliance with the National Pollutant Discharge Elimination System requirements, a Notice of Intent shall be prepared by the Orange County Sanitation District, or designee, and submitted to the State Water Resources Control Board and the Santa Ana Regional Water Quality Control Board, providing notification and intent to comply with the State of California Construction General Permit and the General Waste Discharge Requirements For Insignificant Threat Discharges to Surface Waters.
- HWQ-2 The proposed project shall conform to the requirements of an approved Storm Water Pollution Prevention Plan (to be applied for by the Orange County Sanitation District, or designee, prior to site disturbance) and the National Pollutant Discharge Elimination System Permit for General Construction Activities No. CAS000002, Order No. 2009-0009-DWQ (as amended by 2010-014-DWQ and 2012-006-DWQ), including implementation of all recommended best management practices (e.g., straw



bale barriers, sediment traps, wind erosion/dust control, silt fences, and filter berms), as approved by the State Water Resources Control Board.

- HWQ-3 Upon completion of project construction, the Orange County Sanitation District, or designee, shall submit a Notice of Termination to the State Water Resources Control Board to indicate that construction is completed.
- HWQ-4 In compliance with the Federal Clean Water Act, the proposed project shall conform to the requirements of the Department of the Army permit(s) (to be applied for by the Orange County Sanitation District, or designee, for prior to site disturbance) from the U.S. Army Corps of Engineers Los Angeles District.

Cumulative Water Quality Impacts. With implementation of mitigation, grading, excavation, and construction activities associated with the Proposed Project and other related cumulative projects would not impact water quality.

Findings

- 1. Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
- 2. With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative short-term construction and cumulative long-term operational impacts to water quality have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

- HWQ-1 Prior to site disturbance activities and as part of the project's compliance with the National Pollutant Discharge Elimination System requirements, a Notice of Intent shall be prepared by the Orange County Sanitation District, or designee, and submitted to the State Water Resources Control Board and the Santa Ana Regional Water Quality Control Board, providing notification and intent to comply with the State of California Construction General Permit and the General Waste Discharge Requirements For Insignificant Threat Discharges to Surface Waters.
- HWQ-2 The proposed project shall conform to the requirements of an approved Storm Water Pollution Prevention Plan (to be applied for by the Orange County Sanitation District, or designee, prior to site disturbance) and the National Pollutant Discharge Elimination System Permit for General Construction Activities No. CAS000002, Order No. 2009-0009-DWQ (as amended by 2010-014-DWQ and 2012-006-DWQ), including implementation of all recommended best management practices (e.g., straw bale barriers, sediment traps, wind erosion/dust control, silt fences, and filter berms), as approved by the State Water Resources Control Board.



- HWQ-3 Upon completion of project construction, the Orange County Sanitation District, or designee, shall submit a Notice of Termination to the State Water Resources Control Board to indicate that construction is completed.
- HWQ-4 In compliance with the Federal Clean Water Act, the proposed project shall conform to the requirements of the Department of the Army permit(s) (to be applied for by the Orange County Sanitation District, or designee, for prior to site disturbance) from the U.S. Army Corps of Engineers Los Angeles District.

LAND USE AND RELEVANT PLANNING

The Project's potential land use and relevant planning impacts that can be mitigated or are otherwise less than significant are discussed in Section 5.09, *Land Use*, of the 2020 Recirculated EIR. These include the California Coastal Act, local coastal programs, and coastal land use plan.

California Coastal Act. With implementation of mitigation, the Proposed Project would not conflict with the Coastal Act's planning and management policies.

Findings

- Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
- With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts from conflicting with the California Coastal Act have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

- TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:
- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.



- Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
- At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.
- Identify construction vehicle haul routes for the delivery of construction materials (i.e., lumber, tiles, piping, windows, etc.) to the site; necessary traffic controls and detours; and a construction phasing plan for the project to reduce impacts to local streets and plan for traffic control signage and detours along identified haul routes to minimize impacts to existing traffic flow.
- Identify any and all construction staging or material storage sites located outside of the project site.
- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited to gravel and dirt resulting from project construction. The Contractor shall clean adjacent streets, as directed by the Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.
- Hauling of oversize loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.
- Use of local streets shall be prohibited, except when required to provide direct access to the project site and in compliance with the approved project haul routes.
- Haul trucks entering or exiting public streets shall yield to public traffic at all times.
- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible for repairs. The repairs shall restore the damaged property to its original condition.



- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.
- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.
- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).

Local Coastal Program and Coastal Land Use Plan. With implementation of mitigation, the Proposed Project would not conflict with the policies provided in the City's Local Coastal Program and Coastal Land Use Plan.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts from conflict with the local Coastal Program and Coastal Land Use Plan have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:

- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent



feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.

- Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
- At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.
- Identify construction vehicle haul routes for the delivery of construction materials (i.e., lumber, tiles, piping, windows, etc.) to the site; necessary traffic controls and detours; and a construction phasing plan for the project to reduce impacts to local streets and plan for traffic control signage and detours along identified haul routes to minimize impacts to existing traffic flow.
- Identify any and all construction staging or material storage sites located outside of the project site.
- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited, to gravel and dirt resulting from project construction. The Contractor shall clean adjacent streets, as directed by the Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.
- Hauling of oversize loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.
- Use of local streets shall be prohibited, except when required to provide direct access to the project site and in compliance with the approved project haul routes.
- Haul trucks entering or exiting public streets shall yield to public traffic at all times.
- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible



for repairs. The repairs shall restore the damaged property to its original condition.

- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.
- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.
- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).

Cumulative Land Use and Relevant Planning Impact. With implementation of mitigation, the Proposed Project along with other nearby cumulative projects would not conflict with policies within applicable land use plan, policy or regulations adopted for the purpose of avoiding or mitigating an environmental effect.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts from the applicable land use plans have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

- TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:



- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.
- Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
- At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.
- Identify construction vehicle haul routes for the delivery of construction materials (i.e., lumber, tiles, piping, windows, etc.) to the site; necessary traffic controls and detours; and a construction phasing plan for the project to reduce impacts to local streets and plan for traffic control signage and detours along identified haul routes to minimize impacts to existing traffic flow.
- Identify any and all construction staging or material storage sites located outside of the project site.
- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited, to gravel and dirt resulting from project construction. The Contractor shall clean adjacent streets, as directed by the Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.
- Hauling of oversize loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.
- Use of local streets shall be prohibited, except when required to provide direct access to the project site and in compliance with the approved project haul routes.
- Haul trucks entering or exiting public streets shall yield to public traffic at all times.



- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible for repairs. The repairs shall restore the damaged property to its original condition.
- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.
- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.
- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).

NOISE

The Project's potential noise impacts that can be mitigated or are otherwise less than significant are discussed in Section 5.10, *Noise*, of the 2020 Recirculated EIR. These include short-term construction noise and cumulative impacts.

Short-Term Construction Noise Impacts. With implementation of mitigation, grading and construction within the area would not result in significant temporary noise impacts to nearby noise sensitive receivers.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts from short-term construction noise have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measure:



NOI-1 Prior to the initiation of construction, the Orange County Sanitation District shall confirm that the Grading Plan, Building Plans, and specifications stipulate that:

- All construction equipment, fixed or mobile, shall be equipped with properly operating and maintained mufflers and other State required noise attenuation devices.
- The Orange County Sanitation District shall provide a “Noise Disturbance Coordinator.” The Disturbance Coordinator shall be responsible for responding to any local complaints about construction noise. When a complaint is received, the Disturbance Coordinator shall determine the cause of the noise complaint (e.g., starting too early, bad muffler, etc.) and shall implement measures to resolve the complaint and comply with the City Noise Ordinance. The construction hotline telephone number shall be clearly posted on-site.
- Construction haul routes shall be designed to avoid noise sensitive uses (e.g., residences, schools, hospitals, etc.) to the greatest extent possible.
- During construction, stationary construction equipment shall be placed such that emitted noise is directed away from sensitive noise receivers.
- Construction activities that produce noise shall not take place outside of the allowable hours specified by the City of Newport Beach Municipal Code, with the exception of the 24 hour per day operation of microtunneling (pursuant to Mitigation Measure NOI-2). Alternative work hours may be designated by the City to reduce other impacts, such as traffic.

NOI-2 Prior to issuance of Demolition or Building Permits, the Orange County Sanitation District, or designee, shall retain a qualified Acoustical Engineer, defined as an individual with a bachelor’s degree or above in acoustics, physics, or another closely related engineering discipline and demonstrated field experience, to prepare a Construction Noise Control Plan. The Construction Noise Control Plan shall identify the types, location, and duration of equipment to be used during project construction. Construction noise levels shall be quantified and estimated at the nearest sensitive uses (i.e., residences, schools, churches, recreation/park facilities, hospitals, libraries, etc.) within 1,000 feet of the project construction area. Based on proposed construction hours and equipment to be used, the Construction Noise Control Plan shall identify noise reduction measures to minimize construction noise levels at off-site sensitive uses, demonstrating compliance with the Newport Beach Municipal Code Chapter 10.26 and 10.28. Noise reduction measures may include the use of sound blankets, sound walls/barriers, noise shrouds, and/or limiting the use of heavy noise-emitting equipment to non-sensitive hours (during daytime work hours and not after 5:00 p.m., etc.). The noise reduction measures shall be included in the project engineering drawings and specifications, and/or contractor shop drawings for review by the City of Newport Beach Planning Division. All noise reduction measures identified in the



Construction Noise Control Plan approved by the City of Newport Beach shall be included in all project designs and construction plans for the project.

Cumulative Short-Term Construction Noise Impacts. With implementation of mitigation, grading and construction within the area would not result in cumulatively considerable short-term noise impacts to nearby noise sensitive receivers, following implementation of mitigation measures.

Findings

- 1. Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
- 2. With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts from short-term construction noise have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measures identified in the 2020 Recirculated EIR.

Mitigation Measure:

NOI-1 Prior to the initiation of construction, the Orange County Sanitation District shall confirm that the Grading Plan, Building Plans, and specifications stipulate that:

- All construction equipment, fixed or mobile, shall be equipped with properly operating and maintained mufflers and other State required noise attenuation devices.
- The Orange County Sanitation District shall provide a “Noise Disturbance Coordinator.” The Disturbance Coordinator shall be responsible for responding to any local complaints about construction noise. When a complaint is received, the Disturbance Coordinator shall determine the cause of the noise complaint (e.g., starting too early, bad muffler, etc.) and shall implement measures to resolve the complaint and comply with the City Noise Ordinance. The construction hotline telephone number shall be clearly posted on-site.
- Construction haul routes shall be designed to avoid noise sensitive uses (e.g., residences, schools, hospitals, etc.) to the greatest extent possible.
- During construction, stationary construction equipment shall be placed such that emitted noise is directed away from sensitive noise receivers.
- Construction activities that produce noise shall not take place outside of the allowable hours specified by the City of Newport Beach Municipal Code, with the exception of the 24 hour per day operation of microtunneling (pursuant to



Mitigation Measure NOI-2). Alternative work hours may be designated by the City to reduce other impacts, such as traffic.

NOI-2 Prior to issuance of Demolition or Building Permits, the Orange County Sanitation District, or designee, shall retain a qualified Acoustical Engineer, defined as an individual with a bachelor's degree or above in acoustics, physics, or another closely related engineering discipline and demonstrated field experience, to prepare a Construction Noise Control Plan. The Construction Noise Control Plan shall identify the types, location, and duration of equipment to be used during project construction. Construction noise levels shall be quantified and estimated at the nearest sensitive uses (i.e., residences, schools, churches, recreation/park facilities, hospitals, libraries, etc.) within 1,000 feet of the project construction area. Based on proposed construction hours and equipment to be used, the Construction Noise Control Plan shall identify noise reduction measures to minimize construction noise levels at off-site sensitive uses, demonstrating compliance with the Newport Beach Municipal Code Chapter 10.26 and 10.28. Noise reduction measures may include the use of sound blankets, sound walls/barriers, noise shrouds, and/or limiting the use of heavy noise-emitting equipment to non-sensitive hours (during daytime work hours and not after 5:00 p.m., etc.). The noise reduction measures shall be included in the project engineering drawings and specifications, and/or contractor shop drawings for review by the City of Newport Beach Planning Division. All noise reduction measures identified in the Construction Noise Control Plan approved by the City of Newport Beach shall be included in all project designs and construction plans for the project.

TRANSPORTATION

The Project's potential transportation impacts that can be mitigated or are otherwise less than significant are discussed in Section 5.11, *Transportation/Traffic*, of the 2020 Recirculated EIR. These include impacts to public transit, bicycle, and pedestrian facilities; hazardous design features; emergency access; and cumulative impacts.

Roadway, Transit, Bicycle, and Pedestrian Facilities. With implementation of mitigation, Project construction would not adversely impact plans related to roadway, transit, bicycle, and pedestrian facilities.

Findings

- 1. Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
- 2. With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts from roadway, transit, bicycle, and pedestrian facilities have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.



Mitigation Measure:

TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:

- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.
- Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
- At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.
- Identify construction vehicle haul routes for the delivery of construction materials (i.e., lumber, tiles, piping, windows, etc.) to the site; necessary traffic controls and detours; and a construction phasing plan for the project to reduce impacts to local streets and plan for traffic control signage and detours along identified haul routes to minimize impacts to existing traffic flow.
- Identify any and all construction staging or material storage sites located outside of the project site.
- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited, to gravel and dirt resulting from project construction. The Contractor shall clean adjacent streets, as directed by the Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.



- Hauling of oversize loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.
- Use of local streets shall be prohibited, except when required to provide direct access to the project site and in compliance with the approved project haul routes.
- Haul trucks entering or exiting public streets shall yield to public traffic at all times.
- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible for repairs. The repairs shall restore the damaged property to its original condition.
- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.
- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.
- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).

Hazardous Design Features. The Project would not substantially increase hazards due to short-term construction activities within surrounding roadways.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*



Facts in Support of Findings

The potential impacts from hazardous design features have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:

- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.
- Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
- At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.
- Identify construction vehicle haul routes for the delivery of construction materials (i.e., lumber, tiles, piping, windows, etc.) to the site; necessary traffic controls and detours; and a construction phasing plan for the project to reduce impacts to local streets and plan for traffic control signage and detours along identified haul routes to minimize impacts to existing traffic flow.
- Identify any and all construction staging or material storage sites located outside of the project site.
- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited, to gravel and dirt resulting from project construction. The Contractor shall clean adjacent streets, as directed by the



Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.

- Hauling of oversized loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.
- Use of local streets shall be prohibited, except when required to provide direct access to the project site and in compliance with the approved project haul routes.
- Haul trucks entering or exiting public streets shall yield to public traffic at all times.
- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible for repairs. The repairs shall restore the damaged property to its original condition.
- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.
- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.
- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).

Emergency Access. With implementation of mitigation, implementation of the Project would not result in inadequate emergency access.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*



Facts in Support of Findings

The potential impacts to emergency access have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:

- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.
- Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
- At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.
- Identify construction vehicle haul routes for the delivery of construction materials (i.e., lumber, tiles, piping, windows, etc.) to the site; necessary traffic controls and detours; and a construction phasing plan for the project to reduce impacts to local streets and plan for traffic control signage and detours along identified haul routes to minimize impacts to existing traffic flow.
- Identify any and all construction staging or material storage sites located outside of the project site.
- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited, to gravel and dirt resulting from project



construction. The Contractor shall clean adjacent streets, as directed by the Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.

- Hauling of oversized loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.
- Use of local streets shall be prohibited, except when required to provide direct access to the project site and in compliance with the approved project haul routes.
- Haul trucks entering or exiting public streets shall yield to public traffic at all times.
- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible for repairs. The repairs shall restore the damaged property to its original condition.
- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.
- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.
- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).

Cumulative Roadway, Transit, Bicycle, and Pedestrian Facilities. With implementation of mitigation, implementation of the Proposed Project and other related cumulative projects would not conflict with adopted policies, plans, or programs regarding roadway, public transit, bicycle, and pedestrian facilities.

Findings



1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts from roadway, transit, bicycle, and pedestrian facilities have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:

- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.
- Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
- At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.
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- Identify any and all construction staging or material storage sites located outside of the project site.



- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited to gravel and dirt resulting from project construction. The Contractor shall clean adjacent streets, as directed by the Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.
- Hauling of oversize loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.
- Use of local streets shall be prohibited, except when required to provide direct access to the project site and in compliance with the approved project haul routes.
- Haul trucks entering or exiting public streets shall yield to public traffic at all times.
- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible for repairs. The repairs shall restore the damaged property to its original condition.
- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.
- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.
- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).



Cumulative Hazardous Design Features. With implementation of mitigation, implementation of the Proposed Project and other related cumulative projects would not substantially increase hazards due to a proposed design feature.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts from hazardous design features have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:

- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.
- Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
- At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.
- Identify construction vehicle haul routes for the delivery of construction materials (i.e., lumber, tiles, piping, windows, etc.) to the site; necessary traffic controls and detours; and a construction phasing plan for the project to reduce



impacts to local streets and plan for traffic control signage and detours along identified haul routes to minimize impacts to existing traffic flow.

- Identify any and all construction staging or material storage sites located outside of the project site.
- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited, to gravel and dirt resulting from project construction. The Contractor shall clean adjacent streets, as directed by the Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.
- Hauling of oversize loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.
- Use of local streets shall be prohibited, except when required to provide direct access to the project site and in compliance with the approved project haul routes.
- Haul trucks entering or exiting public streets shall yield to public traffic at all times.
- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible for repairs. The repairs shall restore the damaged property to its original condition.
- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.
- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.



- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).

Cumulative Emergency Access. With implementation of mitigation, implementation of the Proposed Project and other related cumulative projects would not result in inadequate emergency access.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential cumulative impacts to emergency access have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

- TRA-1 Prior to initiation of construction activities, engineering drawings and specifications, and/or contractor shop drawings shall be prepared by the Project Engineer, or designee, and submitted for review and approval by the Orange County Sanitation District, California Department of Transportation (Caltrans), and the City of Newport Beach Public Works Department. These documents shall, at a minimum, address the following:
- Traffic control protocols shall be specified for any lane closure, detour, or other disruption to traffic circulation, including bicycle and pedestrian trails. Disruption to traffic circulation shall be minimized to the greatest extent feasible. Bicycle and pedestrian trails shall remain open, to the greatest extent feasible, during construction or shall be re-routed to ensure continued connectivity.
 - Bus stop access impacts shall be coordinated with, and approved by, the Orange County Transportation Authority.
 - At least one week before any construction activities that would affect travel on nearby roadways, the construction contractor shall notify the City of Newport Beach Public Works Department and Caltrans, as applicable, of construction activities that could impede movement (such as lane closures) along roadways, to allow for planning temporary detours or identifying alternative emergency access routes where appropriate. Surrounding property owners shall also be notified of project activities through advanced mailings.



- Identify construction vehicle haul routes for the delivery of construction materials (i.e., lumber, tiles, piping, windows, etc.) to the site; necessary traffic controls and detours; and a construction phasing plan for the project to reduce impacts to local streets and plan for traffic control signage and detours along identified haul routes to minimize impacts to existing traffic flow.
- Identify any and all construction staging or material storage sites located outside of the project site.
- Specify the hours during which hauling activities can occur and methods to mitigate construction-related impacts to adjacent streets such as traffic control barricades, cones, flaggers, and warning signs.
- Require the contractor to keep all haul routes clean and free of debris, including but not limited, to gravel and dirt resulting from project construction. The Contractor shall clean adjacent streets, as directed by the Orange County Sanitation District, of any project material which may have been spilled, tracked, or blown onto adjacent City of Newport Beach and Caltrans streets or areas.
- Hauling of oversize loads shall be allowed between the hours of 9:00 a.m. and 3:00 p.m. only, Monday through Friday. No hauling or transport shall be allowed during nighttime hours, weekends, or Federal holidays. Any oversized loads utilizing Coast Highway shall obtain a Caltrans permit for such activities.
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- Haul trucks entering or exiting public streets shall yield to public traffic at all times.
- If hauling operations cause any damage to existing pavement, streets, curbs, and/or gutters along the haul route, the contractor shall be fully responsible for repairs. The repairs shall restore the damaged property to its original condition.
- All construction-related staging of vehicles shall be kept out of the adjacent public roadways and shall occur on the project site or within additional off-street staging areas previously identified and arranged. Construction staging areas shall maintain public access to recreational activities.
- Construction-related lane closures would only occur between the hours of 8:30 a.m. and 3:30 p.m., Monday through Friday. More or less restrictive closure hours may be prescribed by the City.
- Use of a construction flagperson (as deemed appropriate by the Orange County Sanitation District) to assist in maintaining efficient vehicle travel in both directions (particularly during peak travel hours) and use of construction



signage and safe detour routes for pedestrians and bicyclists when travel lanes and sidewalks along Coast Highway are affected.

- The engineering drawings and specifications shall meet standards established in the current California Manual on Uniform Traffic Control Device (MUTCD).

TRIBAL CULTURAL RESOURCES

The Project's potential tribal cultural resources impacts that can be mitigated or are otherwise less than significant are discussed in Section 5.12, *Tribal Cultural Resources*, of the 2020 Recirculated EIR. These include impacts to tribal cultural resources and cumulative impacts.

Tribal Cultural Resources. With implementation of mitigation, the Proposed Project would not cause a significant impact to a tribal cultural resource.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*

Facts in Support of Findings

The potential impacts related to tribal cultural resources have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

CUL-1 Prior to ground-disturbing activities, Orange County Sanitation District (OCSD), or its designee, shall retain a qualified archaeologist who meets the requirements of the Secretary of the Interior's Standards to prepare an Archaeological Monitoring Protocol Plan for the project that is consistent with all applicable requirements of the City of Newport Beach Local Coastal Program (CLUP) and Coastal Development Permit (CDP) as determined by the City of Newport Beach. The Archaeological Monitoring Protocol Plan shall include, but is not limited to, the following:

- Identification of the project's area of potential effect;
- Training procedures regarding the Archaeological Monitoring Protocol Plan and the identification of potential archaeological resources. The training shall be open to Native American tribal representative(s), to assist the contractor's representative in identifying potential tribal cultural resources.
- Procedures to follow in the event that potential archaeological resources are discovered during construction activities, including, without limitation, halting



work in the area of the find and contacting the qualified archaeologist to evaluate the find.

- Procedures for proceeding with construction work after a significant find is inventoried, documented, and/or recovered.

OCSD, or designee, shall implement all recommended and required measures identified in the Archaeological Monitoring Protocol Plan approved by the City of Newport Beach.

If evidence of potential subsurface archaeological resources is found during ground disturbance/excavation activities, these activities shall cease within 50 feet of that area and the construction contractor shall contact OCSD. Construction activities shall be allowed to continue in other areas of the site. OCSD, or designee, shall then retain a qualified archaeologist to evaluate the discovery prior to resuming grading/construction activities in the immediate vicinity of the find. If warranted based on the archaeologist's evaluation of the find, the archaeologist shall collect the resource, and prepare a test-level report describing the results of the investigation. The test-level report shall evaluate the site including discussion of the significance (depth, nature, condition, and extent of the resource), identify final mitigation measures that OCSD or its designee shall incorporate into future construction plans, and provide cost estimates.

If the qualified archaeologist determines that the find is prehistoric or includes Native American materials, affiliated Native American groups shall be invited to contribute to the assessment and recovery of the resource, as applicable. The qualified archaeologist and any applicable Native American contacts shall collect the resource and prepare a test-level report describing the results of the investigation. The test-level report shall evaluate the site including discussion of significance (depth, nature, condition, and extent of the resources), final mitigation recommendations, and cost estimates.

Salvage operation requirements pursuant to Section 15064.5 of the CEQA Guidelines shall be followed. Work within the area of discovery shall resume only after the resource has been appropriately inventoried, documented, and/or recovered, as detailed in the test-level report(s).

Cumulative Tribal Cultural Resource Impacts. With implementation of mitigation, the Proposed Project, combined with other related cumulative projects, would not cause a significant impact to a tribal cultural resource.

Findings

1. *Changes or alterations have been required in, or incorporated into, the project, which avoid or substantially lessen the significant environmental effect as identified in the EIR.*
2. *With the incorporation of mitigation, the effects identified in the EIR have been determined not to be significant.*



Facts in Support of Findings

The potential cumulative impacts related to tribal cultural resources have been mitigated or substantially lessened to a level of less than significant with incorporation of the mitigation measure identified in the 2020 Recirculated EIR.

Mitigation Measure:

CUL-1 Prior to ground-disturbing activities, Orange County Sanitation District (OCSD), or its designee, shall retain a qualified archaeologist who meets the requirements of the Secretary of the Interior's Standards to prepare an Archaeological Monitoring Protocol Plan for the project that is consistent with all applicable requirements of the City of Newport Beach Local Coastal Program (CLUP) and Coastal Development Permit (CDP) as determined by the City of Newport Beach. The Archaeological Monitoring Protocol Plan shall include, but is not limited to, the following:

- Identification of the project's area of potential effect;
- Training procedures regarding the Archaeological Monitoring Protocol Plan and the identification of potential archaeological resources. The training shall be open to Native American tribal representative(s), to assist the contractor's representative in identifying potential tribal cultural resources.
- Procedures to follow in the event that potential archaeological resources are discovered during construction activities, including, without limitation, halting work in the area of the find and contacting the qualified archaeologist to evaluate the find.
- Procedures for proceeding with construction work after a significant find is inventoried, documented, and/or recovered.

OCSD, or designee, shall implement all recommended and required measures identified in the Archaeological Monitoring Protocol Plan approved by the City of Newport Beach.

If evidence of potential subsurface archaeological resources is found during ground disturbance/excavation activities, these activities shall cease within 50 feet of that area and the construction contractor shall contact OCSD. Construction activities shall be allowed to continue in other areas of the site. OCSD, or designee, shall then retain a qualified archaeologist to evaluate the discovery prior to resuming grading/construction activities in the immediate vicinity of the find. If warranted based on the archaeologist's evaluation of the find, the archaeologist shall collect the resource, and prepare a test-level report describing the results of the investigation. The test-level report shall evaluate the site including discussion of the significance (depth, nature, condition, and extent of the resource), identify final mitigation measures that OCSD or its designee shall incorporate into future construction plans, and provide cost estimates.



If the qualified archaeologist determines that the find is prehistoric or includes Native American materials, affiliated Native American groups shall be invited to contribute to the assessment and recovery of the resource, as applicable. The qualified archaeologist and any applicable Native American contacts shall collect the resource and prepare a test-level report describing the results of the investigation. The test-level report shall evaluate the site including discussion of significance (depth, nature, condition, and extent of the resources), final mitigation recommendations, and cost estimates.

Salvage operation requirements pursuant to Section 15064.5 of the CEQA Guidelines shall be followed. Work within the area of discovery shall resume only after the resource has been appropriately inventoried, documented, and/or recovered, as detailed in the test-level report(s).

1.6 ENVIRONMENTAL EFFECTS WHICH REMAIN SIGNIFICANT AND UNAVOIDABLE AFTER MITIGATION AND FINDINGS

OCS&D, having reviewed and considered the information contained in the Final EIR, Technical Appendices, and the administrative record, finds that mitigation measures identified in the Final EIR would avoid or substantially lessen potential Project impacts and, therefore, Project implementation would not cause a significant unavoidable impact.

2.0 CERTIFICATION OF THE FINAL EIR

OCS&D declares that no new significant information as defined by the State *CEQA Guidelines*, Section 15088.5, has been received by OCS&D after circulation of the 2020 Recirculated EIR that would require recirculation.

OCS&D certifies the EIR based on the following findings and conclusions:

2.1 FINDINGS

The Proposed Project would not have the potential for creating significant adverse environmental impacts. It was determined that applicable mitigation measures would avoid or substantially lessen potential Project impacts, and that no significant unavoidable impacts would occur.

2.2 CONCLUSIONS

- All significant environmental impacts from the implementation of the Proposed Project have been identified in the EIR and, with implementation of the mitigation measures identified, would be mitigated to a level of insignificance.

Bay Bridge Pump Station Replacement, Project No. 5-67

Presented by:
Kathy Millea
Director of
Engineering
Operations
Committee
February 3, 2021

Adoption of CEQA

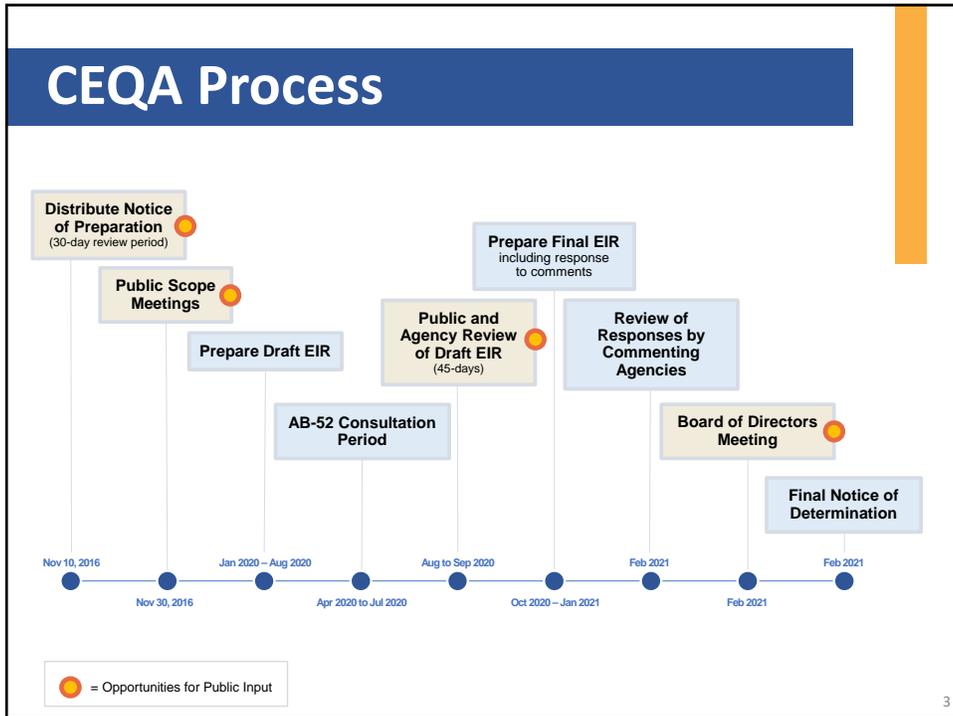


1

Project Evaluated in EIR – City of Newport Beach



2



3

Summary of Draft EIR Public Comments

Agencies (6 total)

Organizations (6 total)

Individuals (2 total)

- Newport Beach Residents

4

Resources Analyzed in EIR

 AESTHETICS	 GEOLOGY AND SOILS	
 AIR QUALITY	 GREENHOUSE GAS EMISSIONS	 NOISE
 BIOLOGICAL RESOURCES	 HAZARDS AND HAZARDOUS MATERIALS	 TRANSPORTATION
 CULTURAL RESOURCES	 HYDROLOGY AND WATER QUALITY	 TRIBAL CULTURAL RESOURCES
 ENERGY	 LAND USE AND PLANNING	

5

5

Impacts Requiring Mitigation

 AESTHETICS	 GEOLOGY AND SOILS	
 AIR QUALITY	 GREENHOUSE GAS EMISSIONS	 NOISE
 BIOLOGICAL RESOURCES	 HAZARDS AND HAZARDOUS MATERIALS	 TRANSPORTATION
 CULTURAL RESOURCES	 HYDROLOGY AND WATER QUALITY	 TRIBAL CULTURAL RESOURCES
 ENERGY	 LAND USE AND PLANNING	

6

6

No Significant and Unavoidable Impacts

A grid of environmental impact categories is shown, with a large red prohibition sign (a circle with a diagonal slash) overlaid on the center. The categories include:

- AESTHETICS
- AIR QUALITY
- BIOLOGICAL RESOURCES
- CULTURAL RESOURCES
- ENERGY
- GREENHOUSE GAS EMISSIONS
- HAZARDOUS AND HAZARDOUS MATERIALS
- HYDROLOGY AND WATER QUALITY
- NOISE
- TRANSPORTATION
- TRIBAL CULTURAL RESOURCES
- LAND USE AND PLANNING

7

7

- Complete Preliminary Design
- Negotiations for Property
- Final Design and Construction

Project Next Steps

8

8

Recommended Action

- A. Consider, receive, and certify the Environmental Impact Report for the Bay Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67, dated January 2021; and
- B. Adopt Resolution No. OC San 21-___, entitled: "A Resolution of the Board of Directors of the Orange County Sanitation District Certifying the Environmental Impact Report for the Bay Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67; Adopting a Mitigation Monitoring and Reporting Program; and Approving the Bay Bridge Pump Station and Force Mains Replacement Project, Project No. 5-67."

9

9

Questions



10

10



OPERATIONS COMMITTEE

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1484

Agenda Date: 2/24/2021

Agenda Item No: 9.

FROM: James D. Herberg, General Manager
Originator: Kathy Millea, Director of Engineering

SUBJECT:

ENGINEERING PROGRAM CONTRACT PERFORMANCE REPORT

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

Receive and file the Engineering Program Contract Performance Report for the period ending December 31, 2020.

BACKGROUND

The Engineering Program involves awarding and managing many construction and consulting contracts. In 2008, the Orange County Sanitation District Board of Directors began awarding contingencies along with construction and consulting contracts and amendments for consulting contracts up to the amount of the approved contingency. This practice reduces administrative costs, expedites resolution of project issues that arise, helps avoid contractor delay claims, and facilitates efficient management of many contracts.

The Engineering Program Contract Performance Report summarizes construction and consulting contract performance and activities for the quarter ending December 31, 2020. This report is updated quarterly.

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Engineering Program Contract Performance Report for the period ending December 31, 2020

JM:dm

DATE: January 19, 2021

TO: Orange County Sanitation District
Board of Directors

FROM: James D. Herberg, General Manager
Through: Kathy Millea, Director of Engineering

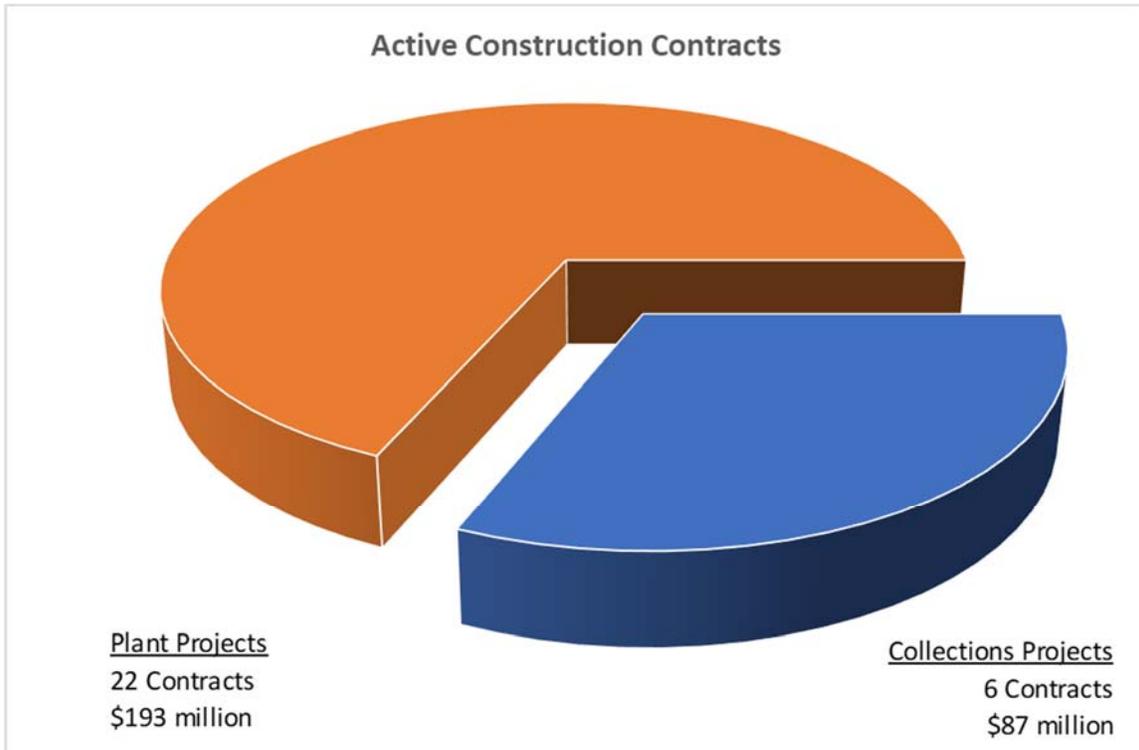
This report summarizes the status, activities, and performance of public works construction contracts and consultant agreements. This report also identifies the names and status of projects being performed under master budgets for planning studies, research, small construction projects, O&M capital projects, and information technology projects.

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PART 1 - CONSTRUCTION CONTRACTS

Table 1 lists the Board-awarded construction contracts active as of December 31, 2020. Table 2 lists active construction projects awarded by the General Manager, either because the contract value is within his signature authority, or because the work is being done under a task order with a \$300,000 limit. The graph below shows the number and total value of projects broken down plant and collections.



Three construction contracts were closed in this quarter, as listed in Table 3.

**Engineering Program Contract Performance Report
for Quarter Ending 12/31/2020**

Table 1 - Active Board-Awarded Construction Contracts as of 12/31/2020

Project / Contract	Contractor	Award Date	Board Award Amount	Change Orders	Current Contract Amount	Original Contingency	Current Contingency	Contingency Used	Contingency Remaining
2-72 Newhope-Placentia Trunk Replacement									
2-72B Newhope-Placentia Trunk Replacement, Segment B	OHL USA, INC.	06/15/2018	\$58,242,000	\$2,577,220	\$60,819,220	6.5%	6.5%	4.4%	2.1%
3-62 Westminster Blvd Force Main Replacement									
3-62 Westminster Blvd Force Main Replacement	Teichert Energy & Utilities Group, Inc.	12/18/2019	\$27,743,000	\$188,603	\$27,931,603	10.0%	10.0%	0.7%	9.3%
J-117 Ocean Outfall System Rehabilitation									
J-117B Outfall Low Flow Pump Station	Shimmick Construction Co., Inc.	12/19/2018	\$90,200,000	\$268,064	\$90,468,064	8.0%	8.0%	0.3%	7.7%
J-126 Safety Improvements Program									
J-126C NFPA 820 HVAC and Electrical Improvements	MMC, Inc.	03/05/2019	\$469,000	\$0	\$469,000	10.0%	10.0%	0.0%	10.0%
J-126JK Stairs, Hatches, Walkway Hazards, Ladders, Guardrails, Roof Fall Protection	Olsson Construction, Inc.	10/24/2018	\$3,637,601	\$264,529	\$3,902,130	10.0%	10.0%	7.3%	2.7%
J-127 Natural Gas Pipelines Replacement at Plant Nos. 1 and 2									
J-127 Natural Gas Pipelines Replacement at Plant Nos. 1 and 2	Innovative Construction Solutions	07/22/2020	\$745,500	\$0	\$745,500	10.0%	10.0%	0.0%	10.0%
P2-92 Sludge Dewatering and Odor Control at Plant 2									
P2-92 Sludge Dewatering and Odor Control at Plant 2	Shimmick Construction Co., Inc.	01/12/2015	\$49,850,000	\$2,539,236	\$52,389,236	5.0%	6.0%	5.1%	0.9%
P2-98 Primary Treatment Rehabilitation at Plant No. 2									
P2-98B B/C-Side Primary Clarifiers Interim Repair at Plant 2	Myers & Sons Construction, LLC	01/23/2019	\$8,665,000	\$402,202	\$9,067,202	10.0%	10.0%	4.6%	5.4%
P1-128 Headquarters Complex									
P1-128C Headquarters Complex Site Preparation	Resource Environmental, Inc.	07/01/2020	\$1,555,000	\$0	\$1,555,000	10.0%	10.0%	0.0%	10.0%
P1-129 Return Activated Sludge Piping Replacement at Activated Sludge Plant No. 1									
P1-129 Return Activated Sludge Piping Replacement at Activated Sludge Plant No. 1	Abhe & Svoboda, Inc.	07/24/2019	\$6,863,092	\$68,360	\$6,931,452	10.0%	10.0%	1.0%	9.0%
P2-122 Headworks Modifications at Plant No. 2 for GWRS Final Expansion									
P2-122 Headworks Modifications at Plant No. 2 for GWRS Final Expansion	Shimmick Construction Co., Inc.	01/22/2020	\$14,487,735	\$37,844	\$14,525,579	10.0%	10.0%	0.3%	9.7%
P2-123 Return Activated Sludge Piping Replacement at Plant 2									
P2-123 Return Activated Sludge Piping Replacement at Plant 2	Shimmick Construction Co., Inc.	09/25/2019	\$6,042,110	\$62,446	\$6,104,556	10.0%	10.0%	1.0%	9.0%
M-FE Small Construction Projects Program									
FE18-11 Headworks Explosive Gas Monitoring Systems at Plant No. 1 and No. 2	Baker Electric	01/22/2020	\$223,984	\$0	\$223,984	10.0%	10.0%	0.0%	10.0%
FE18-14 Plant Water Pipeline Replacement in Kinnison, Lindstrom, and Scott Tunnels at Plant No. 2	MMC, Inc.	12/16/2020	\$1,134,000	\$0	\$1,134,000	15.0%	15.0%	0.0%	15.0%
FE18-19 12KV Distribution B and East RAS Pump Station Roofing Replacement	O'Connell Engineering & Construction, Inc.	05/27/2020	\$674,800	\$0	\$674,800	10.0%	10.0%	0.0%	10.0%
M-SM-CAP Operations & Maintenance Capital Program									
SC17-03 CenGen Oil Filter Platform	Metro Builders & Engineers Group, Ltd.	12/04/2019	\$134,479	\$10,968	\$145,447	10.0%	10.0%	8.2%	1.8%
SC18-05 P1 Laboratory HVAC Boiler Burner Replacement At Plant No.1	ODC Engineering & Technology	11/20/2019	\$283,000	\$4,932	\$287,932	10.0%	10.0%	1.7%	8.3%
SC19-03 Return Activated Sludge Pump Station Elevator Rehabilitation at Plant No. 2	OTIS	12/16/2020	\$432,400	\$0	\$432,400	20.0%	20.0%	0.0%	20.0%

**Engineering Program Contract Performance Report
for Quarter Ending 12/31/2020**

Table 1 - Active Board-Awarded Construction Contracts as of 12/31/2020

Project / Contract	Contractor	Award Date	Board Award Amount	Change Orders	Current Contract Amount	Original Contingency	Current Contingency	Contingency Used	Contingency Remaining
Operationally Funded Projects									
FE17-06 Tustin Ave Manhole and Pipe Repair	Nuline Technologies, LLC	10/24/2019	\$350,000	\$0	\$350,000	10.0%	30.0%	0.0%	30.0%
FRC-0004 Seal Beach Pump Station Isolation Valve Replacement	J.R. Filanc Construction Company, Inc.	12/16/2020	\$466,830	\$0	\$466,830	20.0%	20.0%	0.0%	20.0%
MP-105 P2 CENGEN Steam Turbine Rehabilitation	Dresser-Rand	03/25/2018	**\$484,220	\$0	\$484,220	20.0%	2.5%	0.0%	2.5%
MP-276 Central Generation Engine Overhauls at Plant No. 1 and Plant No. 2 (see MP-276 as part of SC)	UPS Midstream Services, Inc.	10/23/2019	\$5,636,335	\$16,400	\$5,652,735	20.0%	20.0%	0.3%	19.7%
MP-305 Cengen Supply Air Fan Support Replacement at Plant No. 2	J.R. Filanc Construction Company, Inc.	12/16/2020	\$297,000	\$0	\$297,000	15.0%	15.0%	0.0%	15.0%
MP-638 Activated Sludge Plant Clarifier Inlet Gate Replacement at Plant No. 2	Innovative Construction Solutions	12/18/2019	\$658,300	\$0	\$658,300	10.0%	10.0%	0.0%	10.0%
Total			\$279,275,386	\$6,440,804	\$285,716,190				

** Original Award was \$245,424, and later amended to \$484,220 with a contingency reduction by Board Action on 4/22/20

**Engineering Program Contract Performance Report
for Quarter Ending 12/31/2020**

Table 2 - Active GM-Awarded Construction Contracts as of 12/31/2020

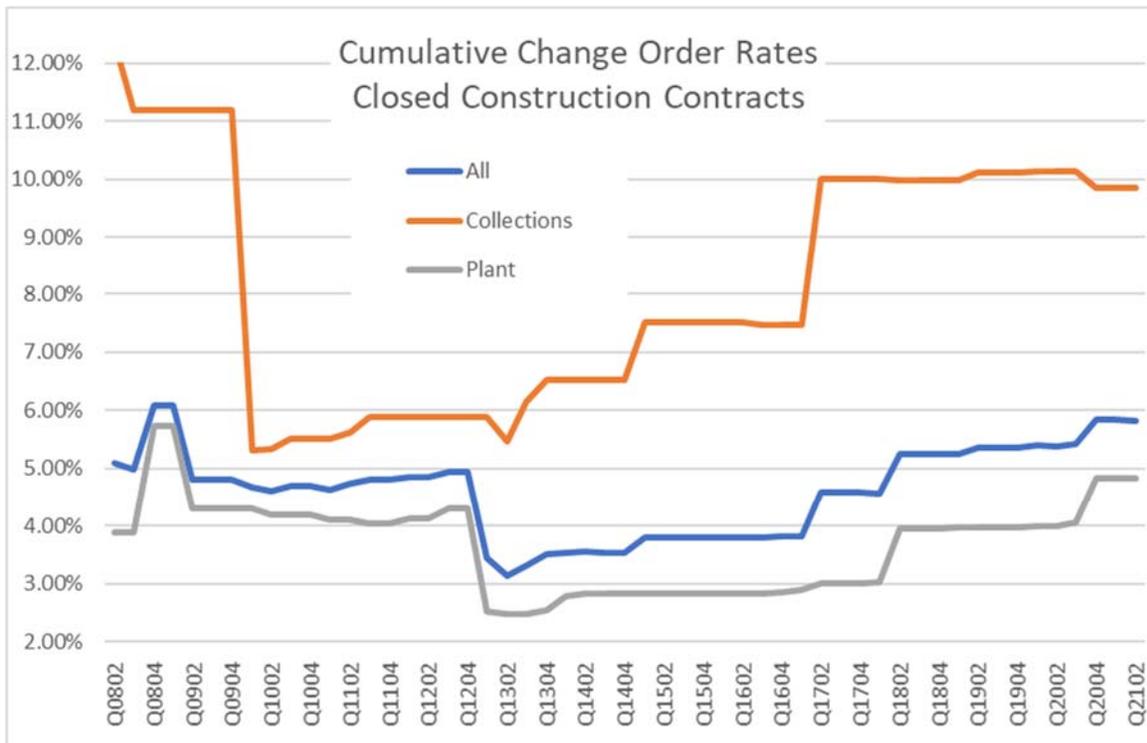
Project / Contract	Contractor	Award Date	Original Award Amount	Change Orders	Current Contract Amount	Change Order Rate
M-FE Small Construction Projects Program						
FE19-09 Newhope - Placentia Trunk Grade Separation Replacement Repairs	Charles King Company, Inc.	09/21/2020	\$298,850	\$0	\$298,850	0.0%
Operationally Funded Projects						
FR1-0009 Laboratory Building HVAC Repair at Plant No 1	Aquis Solutions	10/22/2020	\$89,000	\$0	\$89,000	0.0%
FR2-0019 Digester O Repairs at Plant No. 2	Jamison Engineering	08/28/2020	\$131,000	\$0	\$131,000	0.0%
FRC-0006 480V Feeder Replacement at the Rocky Point Pump Station	Charles King Company, Inc.	06/24/2020	\$90,700	\$0	\$90,700	0.0%
Total			\$609,550	\$0	\$609,550	

**Engineering Program Contract Performance Report
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Table 3 - Construction Contracts Closed in Last Quarter

Project / Contract	Contractor	Date Closed	Award Date	Board Award Amount	Change Orders	Final Contract Amount	Original Contingency	Current Contingency	Contingency Used	Unused Contingency
M-FE Small Construction Projects Program										
FE18-17 Trunkline Sampler Power Feed at Plant No 2	M. Brey Electric, Inc.	12/4/2020	03/25/2020	\$101,050	\$0	\$101,050	20.0%	20.0%	0.0%	20.0%
M-FR-880 Master Operationally Funded										
MP-248 P2 Secondary Clarifier Repairs (AS Plant)	W. M. Lyles Company	12/4/2020	06/26/2019	\$3,048,000	\$52,189	\$3,100,189	10.0%	10.0%	1.7%	8.3%
MP-509 P2 Headworks Low Voltage Cable Assessment	Mass Electric Construction Co.	12/4/2020	12/18/2019	\$434,327	\$59,484	\$493,811	20.0%	20.0%	13.7%	6.3%
Total				\$3,583,377	\$111,673	\$3,695,050				

When the Orange County Sanitation District (OC San) Board awards a construction contract, they also approve a contingency which allows the General Manager to approve contract change orders up to the amount of the contingency. One purpose of this report is to document how much of the contingency is utilized. A contract's change order rate is only meaningful when the work is completed. As such, the change order performance charts in this report are based only on contracts closed since the Board began approving contingencies in 2008. The following chart shows how cumulative change order rates have changed for plant, collections, and all contracts since the contingency system was implemented.



PART 2 – ENGINEERING SERVICES AGREEMENTS

OC San engages engineering consultants through Professional Service Agreements (PSAs), Professional Design Services Agreements (PDSAs), Professional Construction Services Agreements (PCSAs), and Master Professional Services Agreements (Master Agreements). PDSAs are used to obtain design engineering services, and PCSAs are a subsequent agreement with the design consultant to provide support services during construction. PSAs are used for planning studies and other consultant assignments.

Master Agreements are issued to a pool of pre-qualified consultants for smaller projects. On those smaller projects, OC San solicits task order proposals from three or four of the firms and awards a task order to the most qualified consultant. There are currently six sets of Master Agreements.

- 2012 Master Design Agreements (expired)
- 2015 Master Design Agreements (expired)
- 2017 Master Agreements for Wastewater Treatment Planning Studies
- 2018 Master Design Agreements
- 2020 Master Agreements for On-Call Planning Studies

The two Master Design Agreements from 2012 and 2015 and the 2017 Master Agreements for Wastewater Planning Studies have expired, meaning no new task orders can be issued under them, but previously-issued task orders remain active until completed. Task Orders are limited by OC San Ordinance No. OCSD-52 to \$300,000 per task order. The 2020 Master Agreements for Planning Studies were awarded in September to replace the 2017 Master Agreements for Collection and Wastewater Planning Studies that expired in October 2020.

A status table for all Active Engineering Services Agreements (PDSAs and PCSAs) is attached under Table 4, and a status table for all Active Task Orders by Master Agreement is attached under Table 5 (Master Agreements).

**Engineering Program Contract Performance Report
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Table 4 - Active Engineering Services Agreements as of 12/31/2020

Project / Contract	Type	Consultant	Award Date	Board Award Amount	Amendments	Current Contract Amount	Original Contingency	Current Contingency	Contingency Used	Contingency Remaining
2-72 Newhope-Placentia Trunk Replacement										
2-72 Newhope-Placentia Trunk Replacement	PCSA	Lee & Ro	03/23/2016	\$3,253,946	\$0	\$3,253,946	10.0%	10.0%	0.0%	10.0%
3-62 Westminster Blvd Force Main Replacement										
3-62 Westminster Blvd Force Main Replacement	PCSA	Stantec Consulting Services, Inc.	12/18/2019	\$1,183,000	\$0	\$1,183,000	10.0%	10.0%	0.0%	10.0%
3-64 Rehabilitation of Western Regional Sewers										
3-64 Rehabilitation of Western Regional Sewers	PDSA	AECOM Technical Services, Inc.	01/27/2016	\$17,639,250	\$1,088,654	\$18,727,904	10.0%	10.0%	6.2%	3.8%
3-67 Seal Beach Pump Station Replacement										
3-67 Seal Beach Pump Station Replacement	PDSA	Lee & Ro	11/20/2019	\$5,947,850	\$0	\$5,947,850	10.0%	10.0%	0.0%	10.0%
5-67 Bay Bridge Pump Station Replacement										
5-67 Bay Bridge Pump Station Replacement	PDSA	Arcadis US Inc.	10/25/2017	\$7,137,000	\$1,750,315	\$8,887,315	10.0%	35.0%	24.5%	10.5%
5-68 Newport Beach Pump Station Pressurization Improvements										
5-68 Newport Beach Pump Station Pressurization Improvements	PDSA	Dudek	05/06/2020	\$542,988	\$0	\$542,988	10.0%	10.0%	0.0%	10.0%
7-65 Gisler - Red Hill Interceptor Rehabilitation										
7-65 Gisler - Red Hill Interceptor Rehabilitation	PDSA	CDM Smith Inc.	09/23/2020	\$1,754,000	\$0	\$1,754,000	10.0%	10.0%	0.0%	10.0%
7-66 Sunflower and Red Hill Interceptor Repairs										
7-66 Sunflower and Red Hill Interceptor Repairs	PDSA	GHD	09/25/2019	\$308,712	\$14,548	\$323,260	10.0%	10.0%	4.7%	5.3%
J-117 Ocean Outfall System Rehabilitation										
J-117B Outfall Low Flow Pump Station	PCSA	Brown and Caldwell	12/19/2018	\$8,563,913	\$346,857	\$8,910,770	10.0%	10.0%	4.1%	5.9%
J-124 Digester Gas Facilities Replacement										
J-124 Digester Gas Facilities Replacement	PDSA	Brown and Caldwell	11/15/2017	\$11,770,000	-\$36,411	\$11,733,589	10.0%	10.0%	0.0%	10.0%
J-126 Safety Improvements Program										
J-126 Safety Improvements Program	PDSA	Arcadis	08/29/2016	**\$3,040,000	\$0	\$3,040,000	10.0%	10.0%	0.0%	10.0%
J-98 Electrical Power Distribution System Improvements										
J-98 Electrical Power Distribution System Improvements	PDSA	Brown and Caldwell	01/29/2020	\$2,240,000	\$0	\$2,240,000	10.0%	10.0%	0.0%	10.0%
J-98 Electrical Power Distribution System Improvements	PSA	SEL Engineering Services, Inc.	02/26/2020	\$1,296,878	\$0	\$1,296,878	10.0%	10.0%	0.0%	10.0%
M-RESEARCH - Research Program										
RE17-02 Biogas Scrubber Evaluation	PSA	Carollo Engineers, Inc.	04/21/2017	\$656,783	\$63,097	\$719,880	15.0%	15.0%	9.6%	5.4%
M-STUDIES Planning Studies Program										
PS15-02 Edinger Pump Station Rehabilitation Study	PSA	Lockwood, Andrews & Newman, Inc.	11/09/2017	\$505,042	\$0	\$505,042	10.0%	10.0%	0.0%	10.0%
PS15-08 Collections Capacity Evaluation Study	PSA	RMC Water & Environment	08/24/2016	\$2,802,675	\$19,372	\$2,822,047	10.0%	10.0%	0.7%	9.3%
PS17-03 Active Fault Location Study at Plant No. 2	PSA	Lettis Consultants International, Inc.	03/06/2019	\$868,286	\$0	\$868,286	10.0%	10.0%	0.0%	10.0%
PS17-08 CEQA - Facilities Master Plan	PSA	Dudek	02/27/2019	\$812,709	\$0	\$812,709	10.0%	10.0%	0.0%	10.0%
PS18-09 Ocean Outfall Condition Assessment and Scoping Study	PSA	Carollo Engineers, Inc.	03/25/2020	\$2,744,000	\$0	\$2,744,000	10.0%	10.0%	0.0%	10.0%
P1-101 Sludge Dewatering and Odor Control at Plant 1										
P1-101 Sludge Dewatering and Odor Control at Plant 1	PCSA	HDR Engineering, Inc.	06/28/2012	\$7,140,000	\$2,453,653	\$9,593,653	8.0%	35.0%	34.4%	0.6%
P1-105 Headworks Rehabilitation at Plant 1										
P1-105 Headworks Rehabilitation at Plant 1	PDSA	Carollo Engineers, Inc.	05/27/2015	\$17,528,957	\$7,902,304	\$25,431,261	10.0%	51.0%	45.1%	5.9%
P1-115 Title 24 Access Compliance and Building Rehabilitation Project										
P1-115 Title 24 Access Compliance and Building Rehabilitation Project	PCSA	Austin Building & Design Inc.	01/02/2014	\$606,622	\$0	\$606,622	10.0%	10.0%	0.0%	10.0%
P1-128 Headquarters Complex										
P1-128 Headquarters Complex	PDSA	HDR Engineering, Inc.	06/22/2016	\$11,785,709	\$1,114,053	\$12,899,762	10.0%	10.0%	9.5%	0.5%
P1-128 Headquarters Complex	PSA	LSA Associates, Inc.	08/11/2016	\$420,927	\$0	\$420,927	10.0%	10.0%	0.0%	10.0%
P1-128C Headquarters Complex Site Preparation	PCSA	HDR Engineering, Inc.	07/01/2020	\$178,000	\$0	\$178,000	10.0%	10.0%	0.0%	10.0%
P1-129 Return Activated Sludge Piping Replacement at Activated Sludge Plant No. 1										
P1-129 Return Activated Sludge Piping Replacement at Activated Sludge Plant No. 1	PCSA	AECOM Technical Services, Inc.	07/24/2019	\$140,000	\$0	\$140,000	10.0%	10.0%	0.0%	10.0%
P1-132 Uninterruptable Power Supply Improvements at Plant 1										
P1-132 Uninterruptable Power Supply Improvements at Plant 1	PDSA	Tetra Tech, Inc.	10/23/2019	\$784,680	\$0	\$784,680	10.0%	10.0%	0.0%	10.0%

**Engineering Program Contract Performance Report
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Table 4 - Active Engineering Services Agreements as of 12/31/2020

Project / Contract	Type	Consultant	Award Date	Board Award Amount	Amendments	Current Contract Amount	Original Contingency	Current Contingency	Contingency Used	Contingency Remaining
P1-133 Primary Sedimentation Basins No. 6-31 Reliability Improvements at Plant No. 1										
P1-133 Primary Sedimentation Basins No. 6-31 Reliability Improvements at Plant No. 1	PDSA	Carollo Engineers, Inc.	09/25/2019	\$1,219,667	\$0	\$1,219,667	10.0%	10.0%	0.0%	10.0%
P2-92 Sludge Dewatering and Odor Control at Plant 2										
P2-92 Sludge Dewatering and Odor Control at Plant 2	PCSA	Brown and Caldwell	12/17/2014	\$4,798,328	\$0	\$4,798,328	10.0%	10.0%	0.0%	10.0%
P2-98 Primary Treatment Rehabilitation at Plant No. 2										
P2-98 Primary Treatment Rehabilitation at Plant No. 2	PDSA	Black & Veatch	07/27/2016	\$18,141,423	\$1,514,540	\$19,655,963	10.0%	10.0%	8.3%	1.7%
P2-98B B/C-Side Primary Clarifiers Interim Repair at Plant 2	PCSA	Black & Veatch	01/23/2019	\$549,534	\$0	\$549,534	10.0%	10.0%	0.0%	10.0%
P2-110 Consolidated Demolition and Utility Improvements at Plant 2										
P2-110 Consolidated Demolition and Utility Improvements at Plant 2	PCSA	Stantec Consulting Services, Inc.	01/25/2017	\$1,499,839	\$0	\$1,499,839	10.0%	10.0%	0.0%	10.0%
P2-122 Headworks Modifications at Plant No. 2 for GWRS Final Expansion										
P2-122 Headworks Modifications at Plant No. 2 for GWRS Final Expansion	PCSA	CDM Smith Inc.	01/15/2020	\$2,200,000	\$0	\$2,200,000	10.0%	10.0%	0.0%	10.0%
P2-123 Return Activated Sludge Piping Replacement at Plant 2										
P2-123 Return Activated Sludge Piping Replacement at Plant 2	PCSA	SPEC Services, Inc.	09/25/2019	\$252,329	\$0	\$252,329	10.0%	10.0%	0.0%	10.0%
P2-124 Interim Food Waste Receiving Facility										
P2-124 Interim Food Waste Receiving Facility	PDSA	Kennedy/Jenks Consultants	09/05/2018	\$695,000	\$31,168	\$726,168	10.0%	10.0%	4.5%	5.5%
P2-126 Warehouse, Electrical Substation and 12kV Service Center Replacement at Plant No. 2										
P2-126 Warehouse, Electrical Substation and 12kV Service Center Replacement at Plant No. 2	PDSA	Stantec Consulting Services, Inc.	11/18/2020	\$4,876,455	\$0	\$4,876,455	10.0%	10.0%	0.0%	10.0%
P2-128 TPAD Digester Facility at Plant 2										
P2-128 TPAD Digester Facility at Plant 2	PDSA	Brown and Caldwell	06/23/2020	\$39,300,000	\$0	\$39,300,000	10.0%	10.0%	0.0%	10.0%
SP-152 Climate Resiliency Study										
SP-152 Climate Resiliency Study	PSA	Hazen and Sawyer	11/28/2018	\$697,952	\$64,199	\$762,151	10.0%	10.0%	9.2%	0.8%
SP-196 Process Control Systems Upgrades Study										
SP-196 Process Control Systems Upgrades Study	PSA	Stantec Consulting Services, Inc.	03/01/2018	\$1,389,866	\$108,966	\$1,498,832	10.0%	10.0%	7.8%	2.2%
Operationally Funded Projects										
FR1-0007 Control Center Offices and Day Training Room Remodeling at Plant No. 1 (GM Awarded)	PSA	AECOM Technical Services, Inc.	01/15/2020	\$81,351	\$0	\$81,351	0.0%	0.0%	0.0%	0.0%
Total				\$187,353,671	\$16,435,315	\$203,788,986				

** Original Award was \$1,540,000, and later amended to \$3,040,000 by Board Action

**Engineering Program Contract Performance Report
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Table 5 - Active Task Orders by Master Agreement as of 12/31/2020

Master Agreement / Project	Consultant	Award Date	Original Task Order Value	Amendments	Current Task Order Value	
2012 Master Professional Design Service Agreements (Expired)						
FE10-21 Area 02 Craig Regional Park Manhole Improvements	GHD	10/8/2012	\$58,440	\$41,560	\$100,000	
2015 Master Professional Design Service Agreements (Expired)						
FE14-05 Plant No. 1 Fleet Services UST Leak Remediation	Dudek	9/1/2015	\$86,116	\$73,137	\$159,253	
2017 Master Agreements for Wastewater Treatment Planning Studies						
PS18-11 ETAP Model Updates for Plant Nos 1 and 2	Brown and Caldwell	3/17/2020	\$227,412	\$0	\$227,412	
PS19-03 Laboratory Rehabilitation Feasibility Study	HDR Engineering, Inc.	10/20/2020	\$274,888	\$0	\$274,888	
2018 Master Professional Design Service Agreements						
FR2-0013 Trickle Filter Sludge Pump Room Exhaust Fan Relocation at Plant No. 2	AECOM	11/6/2019	\$75,120	\$0	\$75,120	
FE19-02 Cengen Plant Water Pipe Replacement at Plant No. 1	AECOM	04/30/2020	\$156,498	\$0	\$156,498	
FE19-11 Primary Clarifiers Nos. 6-31 Lighting and Alarm Improvements at Plant No. 1	AECOM	9/15/2020	\$226,685	\$0	\$226,685	
J-127 Natural Gas Pipelines Replacement at Plant Nos. 1 and 2	Black & Veatch	1/21/2019	\$271,964	\$15,162	\$287,126	
FE19-03 Trickle Filter Sludge and Scum Pumps Replacement at Plant No. 1	Black & Veatch	9/1/2020	\$244,728	\$0	\$244,728	
FE18-14 Plant Water Pipeline Replacement in Kinnison, Lindstrom, and Scott Tunnels at Plant No. 2	Dudek	11/6/2019	\$108,308	\$0	\$108,308	
P1-135 Digester Ferric Chloride Piping Replacement at Plant No. 1	Dudek	2/19/2020	\$127,174	\$0	\$127,174	
FE18-16 Truck Loading Basement Drain Modifications at Plant No. 1	GHD, Inc.	12/4/2019	\$70,130	\$18,365	\$88,495	
FE18-13 Redhill Relief Sewer Relocation at State Route 55	GHD, Inc.	3/27/2020	\$168,612	\$54,883	\$223,495	
FE18-19 12KV Distribution Center B and East RAS Pump Station Roof Replacement	HDR Engineering, Inc.	09/16/2019	\$74,771	\$8,672	\$83,443	
FE18-20 Blower Building No. 1 Air Compressors at Plant No. 1	HDR Engineering, Inc.	8/18/2020	\$243,954	\$0	\$243,954	
FE18-15 Plant Boiler System Relief at Plant No. 2	IDS Group, Inc.	10/22/2019	\$23,299	\$0	\$23,299	
FE18-06 CenGen Instrument Air Compressors Replacement at Plant No. 1 and No. 2	IDS Group, Inc.	04/28/2020	\$89,876	\$0	\$89,876	
FE19-06 EPSA Motor Cooling Improvements at Plant No. 2	IDS Group, Inc.	05/05/2020	\$88,206	\$0	\$88,206	
2020 Master Agreements for On-Call Planning Studies						
No Task Orders Issued to Date	--	--	--	--	--	
			Total	\$2,616,181	\$211,779	\$2,827,960

PART 3 – MASTER BUDGET PROJECTS

The Board-adopted budget for Fiscal Years 2018-19 and 2019-20 includes master program budgets that allow staff to more quickly initiate, execute, and manage smaller projects that fit within the scope of a particular program. The projects chartered under these program budgets are referred to as sub-projects and are managed to the same standards as projects specifically listed in the adopted budget. A status table for each of these programs listing the sub-projects is attached.

Master Program Title	Status Table
Planning Studies Program	Table 6
Research Program	Table 7
Small Construction Projects Program	Table 8
Information Technology Capital Program	Table 9
Operations & Maintenance Capital Program	Table 10

**Engineering Program Contract Performance Report
for Quarter Ending 12/31/2020
Table 6 - Planning Studies Status Report**

Project Number	Project Name	Status	Allocated Budget
PS15-02	Edinger Pump Station Rehabilitation Study	Active	\$ 971,000
PS15-06	Seismic Evaluation of Structures at Plant Nos. 1 and 2	Closed	\$ 2,899,178
PS15-08	Collections Capacity Evaluation Study	Active	\$ 3,682,000
PS15-10	2017 Facilities Master Plan	Closed	\$ 3,820,824
PS16-01	Stormwater Master Plan	Closed	\$ 1,046,276
PS16-02	SCE Feed Reliability Improvements Study	Active	\$ 293,000
PS17-03	Active Fault Location Study at Plant No. 2	Active	\$ 1,300,000
PS17-08	CEQA - Facilities Master Plan	Active	\$ 1,247,000
PS17-10	Emergency Overflow Weirs, Wing Wall Structural and Geotechnical Investigations	Closed	\$ 382,598
PS18-01	Asset Management Plan Development	Closed	\$ 331,035
PS18-05	Plant No. 2 Future Site Plan Development	Closed	\$ 149,648
PS18-06	Go/No-Go Lights and Signage	Active	\$ 495,000
PS18-09	Ocean Outfall Condition Assessment and Scoping Study	Active	\$ 3,340,000
PS18-11	ETAP Model Updates for Plant Nos 1 and 2	Active	\$ 553,000
PS19-01	Digester 6 Pipe Stress Analysis at Plant No. 1	Closed	\$ 13,762
PS19-02	Circular Primary Clarifier Replacement Phasing Study at Plant No 1	Closed	\$ 43,269
PS19-03	Laboratory Rehabilitation Feasibility Study	Active	\$ 450,000
PS19-04	Chemical Evaluation Study at Plant No 1 and 2	Closed	\$ 977
PS20-01	O&M Complex and Collections Yard Relocation at Plant No. 2	Active	\$ 375,000
PS20-02	Collection System Flow Level Monitoring Study	Active	\$ 575,000
PS20-03	Truck Loading Bay Odor Control Improvements Study at Plant No. 2	Active	\$ 200,000
Grand Total			\$ 22,168,567
Number of Chartered Projects			21
Board Approved Program Budget			\$ 28,652,000
Remaining Unallocated Budget			\$ 6,483,433

**Engineering Program Contract Performance Report
for Quarter Ending 12/31/2020
Table 7 - Research Program Status Report**

Project Number	Project Name	Status	Allocated Budget
RE17-01	Operational Research Technical Support FY18-19	Closed	\$ 656,506
RE17-02	Biogas Scrubber Evaluation	Active	\$ 865,000
RE17-03	Reliant Wet Well Wizard Test	Closed	\$ 45,013
RE17-04	AquaNereda Aerobic Granular Sludge Process	Closed	\$ 19,628
RE17-05	Organica FCR Process	Closed	\$ 15,564
RE17-06	TWAS Pump Reliability Improvement Trials at Plant No. 2	Closed	\$ 10,159
RE17-07	Super Oxygenation System Research at Seal Beach Pump Station	Closed	\$ 80,000
RE18-01	Trickling Filter Bleach Test at Plant No. 1	Closed	\$ 109,068
RE18-02	Protein Matrix Demonstration Study at Plant No 1	Closed	\$ 346,843
RE19-01	Primary Scum Equipment Evaluation at Plant No. 1	Active	\$ 31,000
RE20-01	Co-Thickened Sludge Density Meter Trial at Plant No. 1	Active	\$ 121,000
RE20-04	Holding Digester 6 Solids Shredder Study at Plant No. 1	Active	\$ 95,000
RE20-05	UCI PFAS Study	Active	\$ 50,000
Grand Total			\$ 2,444,781
Number of Chartered Projects			15
Board Approved Program Budget			\$ 8,500,000
Remaining Unallocated Budget			\$ 6,055,219

**Engineering Program Contract Performance Report
for Quarter Ending 12/31/2020**

Table 8 - Small Construction Projects Program Status Report

Project Number	Project Name	Status	Allocated Budget
FE10-21	Area 02 Craig Regional Park Manhole Improvements	Active	\$ 1,359,000
FE14-05	Plant No. 1 Fleet Services UST Leak Remediation	Active	\$ 1,487,311
FE15-07	Secondary Treatment and Plant Water VFD Replacement at Plant 1	Active	\$ 3,319,600
FE15-10	East Lido Force Main Rehabilitation	Active	\$ 2,228,000
FE16-06	Fuel Cell Facilities Demolition	Closed	\$ 977,972
FE16-10	East Basin Distribution Box Repair	Closed	\$ 1,013,850
FE16-11	Lane Channel Crossing	Closed	\$ 328,023
FE16-14	Slater Pump Station Valve Replacements	Closed	\$ 946,940
FE17-01	Carbon Canyon Pipeline Sag Repairs	Active	\$ 873,000
FE17-03	Battery Storage System at Plant No. 1	Active	\$ 612,000
FE17-05	Plant 1 ICS Network Extension	Active	\$ 950,000
FE18-06	CenGen Instrument Air Compressors Replacement at Plant No. 1	Active	\$ 1,450,000
FE18-08	West Trunk Bypass Sewer Realignment	Active	\$ 158,000
FE18-11	Headworks Explosive Gas Monitoring Systems at Plant No. 1 and No. 2	Active	\$ 470,000
FE18-12	Erosion Control at Santa Ana River and Hamilton Ave	Active	\$ 245,000
FE18-13	Redhill Relief Sewer Relocation at State Route 55	Active	\$ 2,840,000
FE18-14	Plant Water Pipeline Replacement in Kinnison, Lindstrom, and Scott Tunnels at Plant No. 2	Active	\$ 1,895,000
FE18-15	Plant Boiler System Relief at Plant No. 2	Active	\$ 310,000
FE18-16	Truck Loading Basement Drain Modifications at Plant No. 1	Active	\$ 440,000
FE18-17	Trunkline Sampler Power Feed at Plant No 2	Active	\$ 215,000
FE18-18	Portable Generator Connector at Lido Pump Station	Closed	\$ 116,166
FE18-19	12KV Distribution B and East RAS Pump Station Roofing Replacement	Active	\$ 1,188,000
FE18-20	Blower Building No. 1 Air Compressors at Plant No. 1	Active	\$ 1,200,000
FE19-01	Pump Station Portable Generator Connectors	Active	\$ 1,990,000
FE19-02	Cengen Plant Water Pipe Replacement at Plant No. 1	Active	\$ 2,250,000
FE19-03	Trickling Filter Sludge and Scum Pumps Replacement at Plant No. 1	Active	\$ 1,100,000
FE19-04	Sunflower Pump Replacement at Plant No. 1	Active	\$ 6,300,000
FE19-05	Engineering Trailer B Car Chargers at Plant No. 1	Active	\$ 12,000
FE19-06	EPSA Motor Cooling Improvements at Plant No. 2	Active	\$ 550,000
FE19-08	Secondary Treatment VFD Replacements at Plant No. 2	Active	\$ 3,337,000
FE19-09	Newhope - Placentia Trunk Grade Separation Replacement Repairs	Active	\$ 500,000
FE19-10	Digesters C, D, F, G and I Gas Balance Lines Replacement at Plant No. 2	Active	\$ 200,000
FE19-11	Primary Clarifiers Nos. 6-31 Lighting and Alarm Improvements at Plant No. 1	Active	\$ 1,250,000
FE19-12	Rebuild Shop Fume Extractor Installation at Plant No 1	Active	\$ 325,000
FE19-13	VFD Replacements at Seal Beach Pump Station	Active	\$ 690,000
FE20-01	Wastehauler Station Safety and Security Improvements	Active	\$ 830,000
FE20-02	Digester C, D, F, and G Mechanical Rehabilitation at Plant No. 2	Active	\$ 2,800,000
FE20-03	Return Activated Sludge Discharge Piping Replacement at Activated Sludge Plant No. 1	Active	\$ 4,250,000
FE20-04	Cengen Cooling Water Pipe Replacement at Plant No. 2	Active	\$ 3,500,000
FE20-05	Plant Water Piping Replacement at Secondary Clarifiers 1-26 at Plant No. 1	Active	\$ 1,545,000
FE20-06	Thickening and Dewatering Building Pipe Support Improvements at Plant No. 1	Active	\$ 621,000
FE20-07	Santa Ana Trunk Rehabilitation at Plant No. 1	Active	\$ 1,240,000
Grand Total			\$ 57,912,862
Number of Chartered Projects			42
Board Approved Program Budget		\$	65,000,000
Remaining Unallocated Budget		\$	7,087,138

**Engineering Program Contract Performance Report
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Table 9 - Information Technology Capital Program Status Report

Project Number	Project Name	Status	Allocated Budget
IT16-09	iPACS Enhancements	Active	\$ 85,000
IT16-10	LIMS Compliance Improv Project	Closed	\$ 754,800
IT16-11	Business Continuity Plan	Active	\$ 140,000
IT17-06	Printer Obsolescence	Active	\$ 350,000
IT17-07	Safety Management Suite	Active	\$ 106,000
IT17-10	Electronic Operator Round Form	Active	\$ 45,000
IT17-12	Sever/Network Power Improvements	Active	\$ 90,000
IT17-14	Specialized Application Programing & Support	Active	\$ 600,000
IT18-03	Timecard Systems Upgrade	Active	\$ 150,000
IT18-04	Conference Rooms Audio System Replacement	Closed	\$ 90,000
IT18-05	Trusted System Document Management	Active	\$ 100,000
IT18-06	Server Replacement and Obsolescence FY18/19-19/20	Closed	\$ 900,000
IT18-07	Network Equipment FY18/19-19/20	Closed	\$ 850,000
IT18-09	Records Management Information System	Active	\$ 150,000
IT18-10	Board Services Management System	Active	\$ 60,000
IT18-11	IT Security Budget 2018-2019	Closed	\$ 150,000
IT19-01	IT Safety VPP Systems (IT19-01)	Active	\$ 210,000
IT19-02	IT Enterprise Replication (IT19-02)	Active	\$ 90,000
IT19-03	IT HP Plotter (IT19-03)	Closed	\$ 8,200
IT19-04	IT HCI for ICS and ICS-DMZ (IT19-04)	Active	\$ 200,000
IT19-05	IT P1 & P2 Data Refresh (IT19-05)	Active	\$ 500,000
IT20-01	IT Server Replacement and Obsolescence FY20- 6520001	Active	\$ 700,000
IT20-02	IT Network Equipment FY20- 6520002	Active	\$ 500,000
IT20-03	IT Security Budget FY20- 6520003	Active	\$ 150,000
IT20-04	Cyber Security Program (IT20-04) 6520004	Active	\$ 150,000
Grand Total			\$ 7,129,000
Number of Chartered Projects			25
Board Approved Program Budget			\$ 10,000,000
Remaining Unallocated Budget			\$ 2,871,000

**Engineering Program Contract Performance Report
for Quarter Ending 12/31/2020
Table 10 - Operations & Maintenance Capital Program Status Report**

Project Number	Project Name	Status	Allocated Budget
MP-276-1	Central Generation Engine Overhauls at Plant No. 1 and Plant No. 2	Active	\$ 5,900,000
SC16-01	Maint. Storage Area Tool Cage	Closed	\$ -
SC17-01	CENGEN #1 Elevator Rehab	Active	\$ 110,000
SC17-02	P1 CenGen Plant Water Piping Rehabilitation	Closed	\$ 12,656
SC17-03	CenGen Oil Filter Platform	Closed	\$ 260,000
SC17-04	P1 CenGen 12KV Circuit Breaker Replacement	Closed	\$ 220,000
SC17-05	Hidrostal Pump - TEFC Close Coupled Motor #2 (Pump for SALS)	Closed	\$ 261,260
SC17-06	P1 Lab UPS System Replacement	Closed	\$ 290,294
SC18-01	P1 Primary Clarifier Fall Protection Improvements	Active	\$ 50,000
SC18-02	Joint Cen Gen Oil Centrifuge Heater & Controls Rehabilitation (MP-18)	Closed	\$ 120,000
SC18-03	P1 SALS Main Duty Pump & Motor and Installation - Remaining 2 (MP-524)	Closed	\$ 500,000
SC18-04	Edinger UPS Replacement (MP-444)	Closed	\$ 15,000
SC18-05	P1 Laboratory HVAC Boiler Burner Replacement At Plant No.1	Active	\$ 400,461
SC18-06	Pump Station Bypass Parts - Procurement (MP-426)	Closed	\$ 493,953
SC18-08	MacArthur Pump Station - FM Valve Replacement	Active	\$ 55,000
SC18-09	Admin Bldg UPS System Replacement	Active	\$ 81,332
SC19-01	Main Air Compressor Building Electrical Improvements at Plant No. 2	Closed	\$ 359,176
SC19-02	Truck Loading-Conveyors 3&6 (SC19-02)	Active	\$ 205,300
SC19-05	as the Lido PS UPS Replacement	Active	\$ 55,000
SC19-06	EPSA Standby Power Generator Control Upgrades at Plant No. 2	Active	\$ 1,251,500
SC19-07	Sunflower Pump Station Gearbox Swing Unit Purchase	Active	\$ 199,000
Grand Total			\$ 11,729,932
Number of Chartered Projects			23
Board Approved Program Budget			\$ 15,622,000
Remaining Unallocated Budget			\$ 3,892,068

PART 4 – SUPPLEMENTAL ENGINEERING SERVICES CONTRACT

In May 2016, OC San Board of Directors approved a \$41 million professional services agreement with Jacobs Project Management Co. to provide supplemental engineering and support staff services for a four-year term with the option of three one-year renewals. The benefits of using a supplemental engineering services contract, as opposed to hiring full-time staff or limited-term employees, include rapid mobilization of highly skilled/technical staff, flexibility to change the mix of staff positions on an immediate and as-needed basis, the ability to reduce staff as workloads decrease, access to technical experts to support special tasks, and access to staff with wastewater project experience.

A status table for the supplemental engineering services contract summary is attached under Table 11, and the supplemental engineering services labor summary can be found under Table 12.

Table 11 – Supplemental Engineering Services Contract Status

	Total Fees	Time
Contract	\$41,000,000	86 months ⁽¹⁾
Actuals to Date	\$23,637,085 58%	56 months 65%
Remaining	\$17,362,915 42%	30 months 35%

⁽¹⁾ Assuming three 1-year extensions

Table 12 - Supplemental Engineering Services Labor Summary

	This Quarter	Inception to Date
Labor Hours	7,736	176,481
Full Time Equivalent	17.2	21.0
Labor Costs (no expenses)	\$1,080,450	\$23,159,311
Average Hourly Rate	\$140	\$131



ADMINISTRATION COMMITTEE

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1488

Agenda Date: 2/24/2021

Agenda Item No: 10.

FROM: James D. Herberg, General Manager
Originator: Lorenzo Tyner, Assistant General Manager

SUBJECT:

GENERAL MANAGER APPROVED PURCHASES AND ADDITIONS TO THE PRE-APPROVED OEM SOLE SOURCE LIST

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

- A. Receive and file Orange County Sanitation District purchases made under the General Manager's authority for the period of October 1, 2020 to December 31, 2020; and
- B. Approve the following additions to the pre-approved OEM Sole Source List for the period of October 1, 2020 to December 31, 2020:
 - FONTAINE-AQUANOX - Replacement Parts, Equipment and Service
 - GOOCH THERMAL SYSTEMS, INC - Spiral Heat Exchangers
 - HIDROSTAL, LLC - Pumps and Replacement Parts
 - RODNEY HUNT, INC. - Diversion Gates and Actuators
 - SMARTCOVER SYSTEMS - Sewer Level Monitors

BACKGROUND

Staff provides the Administration Committee and the Board of Directors quarterly reports of General Manager approved and executed purchases between \$50,000 and \$100,000; maintenance and repair Services Task Orders between \$50,000 and \$300,000; and additions to the pre-approved OEM Sole Source List.

The list of additions to the pre-approved OEM Sole Source List displays the original equipment manufacturers (OEM) added this quarter that require sole source procurement to maintain, service, or replace equipment currently in operation at Orange County Sanitation District facilities because the parts and/or service(s) can only be provided by the OEM or their designated representative.

RELEVANT STANDARDS

- Quarterly financial reporting
- Ensure the public's money is wisely spent

PRIOR COMMITTEE/BOARD ACTIONS

December 2016 - Minute Order 12(b) authorized the General Manager to ratify additions or deletions to the OEM Sole Source list on the General Manager's quarterly approved purchases agenda report.

ADDITIONAL INFORMATION

In accordance with Board purchasing policies, Ordinance No. OCSD-52 <<https://www.ocsd.com/Home/ShowDocument?id=24914>>, the General Manager has authority to approve and execute purchases between \$50,000 and \$100,000. Below is a summary of General Manager approved purchases, in amounts exceeding \$50,000, for the second quarter of fiscal year 2020-21:

Vendor Name	Amount	Department	Description/Discussion
AQUIS	\$89,000.00	Operations & Maintenance	Project No. FR1-0009-Laboratory Building HVAC Repair at Plant 1 Sole Source Justification 2325 Reason: Unique Product/Service
ARC	\$90,000.00	Administrative Services	Copy Center Services 1/1/21 - 12/31/21 with 4 Optional Renewal Periods Specification No. S-2020-1177BD
CORTECH ENGINEERING	\$79,265.11	Administrative Services	Stock Item Purchase of SEEPEX Rotor and Stator Board Approved OEM Sole Source List M.O. 12/14/16, Item 12
CORTECH ENGINEERING	\$86,400.00	Administrative Services	Stock Item Purchase of Flowserve Pump Board Approved OEM Sole Source List M.O. 5/27/20, Item 14
EMERSON PROCESS MANAGEMENT LLLP -REMIT TO	\$63,030.00	Administrative Services	Three-year Guardian Support of CSI 2130 Machinery Health Analyzer 2/1/2021 - 1/31/24 Sole Source Justification 2317 Reason: Unique Product/Service
GEA MECHANICAL EQUIPMENT US, INC.	\$95,000.00	Operations & Maintenance	On-call Maintenance Service Contract for P1 -101 GEA Westfalia Thickening and Dewatering Centrifuges Sole Source Justification 2334 Reason: OEM Parts/Materials Available from Only One Source
HACH C/O PONTON INDUSTRIES	\$53,825.00	Operations & Maintenance	Purchase of All Weather Refrigerated Samplers Board Approved OEM Sole Source List M.O. 12/14/16, Item 12
MISCO WATER	\$51,432.00	Operations & Maintenance	Purchase of Eight (8) Watson-Marlow Pump Assembly Sole Source Justification 2342 Reason: OEM Parts/Materials Available from Only One Source
OVIVO USA, LLC	\$54,318.59	Administrative Services	Stock Item Purchase of EIMCO Water Technologies Motorized Rotary Distributor (Trickling Filter) Parts Board Approved OEM Sole Source List M.O. 2/28/18, ITEM 13

PUMPACTION CORP - SHG USA	\$59,617.28	Operations & Maintenance	Purchase of Four (4) Putzmeister Wear Parts Kits for Sludge Transfer Pumps Board Approved OEM Sole Source List M.O. 12/14/16, Item 12
ROCKWELL ENGINEERING & EQUIPMENT CO	\$59,920.00	Operations & Maintenance	Purchase of Two (2) Vaughan's Portable Skid Pumps Board Approved OEM Sole Source List M.O. 12/14/16, Item 12
SMARTCOVER SYSTEMS	\$80,892.18	Operations & Maintenance	Purchase and Installation of Seventeen (17) SmartCover Systems Sewer Level Monitors and Components Sole Source Justification 2354 Reason: Unique Product/Service
THE DAVID ROUND COMPANY	\$51,014.00	Operations & Maintenance	Purchase of One (1) Ruger Mobile Floor Crane Sole Source Justification 2333 Reason: Unique Product/Service
TRANE COMPANY - EQUIPMENT	\$77,492.38	Operations & Maintenance	HVAC Replacements at Plant Water PS and 12KV Service Center at P1 OMNIA Partners Contract # 15-JLP-023, in Accordance with Ordinance OCSD-52 Section 2.03 (B) Cooperative Purchases
WESTERN EPG PRODUCTS, INC.*	\$71,664.00	Administrative Services	Stock Purchase of Multiple Johnson Matthey Selective Catalytic Reduction (SCR) and Oxidation Catalyst Units for Plant 2 Board Approved OEM Sole Source List M.O. 5/23/18, Item 12
WESTERN EPG PRODUCTS, INC.*	\$72,647.65	Administrative Services	Stock Purchase of Multiple Johnson Matthey Selective Catalytic Reduction (SCR) and Oxidation Catalyst Units for Plant 1 Board Approved OEM Sole Source List M.O. 5/23/18, Item 12
XPERT SOLUTIONS, INC.	\$90,787.20	Administrative Services	Blanket PO to Provide Palo Alto Network Items and Services 10/13/2020 - 10/12/2021 Specification No. E-2020-1197BD

*Two purchase orders were processed as stock items were purchased for separate Plants.

Additionally, in accordance with Board purchasing policies, Ordinance No. OCSD-52, the General Manager has authority to approve and execute maintenance and repair Services Task Orders between \$50,000 and \$300,000. Below is a summary of General Manager approved maintenance and repair Services Task Orders, in amounts exceeding \$50,000, for the second quarter of fiscal year 2020-21:

Vendor Name	Amount	Department	Description/Discussion
CHARLES KING CO INC.	\$184,900.00	Operations & Maintenance	Headworks 1 Wet Weather Bypass at Plant No.1 Specification No. TOB-2020-1200 of Master Service Contract S-2018-942BD-2
W.A. RASIC CONSTRUCTION CO., INC.	\$62,495.00	Operations & Maintenance	Grating Replacement at Plant No. 1 Specification No. TOB-2020-1206 of Master Service Contract S-2018-942BD-7

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

N/A



ADMINISTRATION COMMITTEE

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1489

Agenda Date: 2/24/2021

Agenda Item No: 11.

FROM: James D. Herberg, General Manager
Originator: Lorenzo Tyner, Assistant General Manager

SUBJECT:

MID-YEAR CONSOLIDATED FINANCIAL REPORT FOR THE PERIOD ENDED DECEMBER 31, 2020

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

Receive and file the Orange County Sanitation District Mid-Year Financial Report for the period ended December 31, 2020.

BACKGROUND

Included in this consolidated report are the following mid-year financial reports for the period ended December 31, 2020:

- **Mid-Year Budget Review**
The Budget Review Summary provides the Directors, staff, and general public with a comprehensive overview of the mid-year financial results of the Orange County Sanitation District (Sanitation District) for the period ended December 31, 2020.
- **Mid-Year Treasurer's Report**
This section reports on financial portfolio performance with respect to the Sanitation District's funds. Both Long-Term and Liquid Operating Monies Portfolios are summarized. A performance summary table can be found on page 2 of this agenda report. The report also contains information on the U.S. and global economic outlook from the Sanitation District's investment manager, Chandler Asset Management.
- **Mid-Year Certificates of Participation (COP) Report**
The report includes a summary of each outstanding debt issuance and a comparative chart illustrating the COP rate history.

RELEVANT STANDARDS

- Quarterly financial reporting

ADDITIONAL INFORMATION

The mid-year treasurer’s report contained within the Consolidated Financial Reports for the period ended December 31, 2020 is being submitted in accordance with the Sanitation District’s investment policy that requires the report be submitted to the governing body following the end of each quarter and includes the following information:

- Performance results in comparison with the ICE BAML 3-month treasury bill index for the liquid operating portfolio; and the ICE BAML Corp./Govt. 1-5 Year Bond index for the long-term portfolio as identified in the investment policy; and the time-weighted total rate of return for the portfolio for the prior three months, six months, nine months, twelve months, and since inception compared to the Benchmark returns for the same periods:

**Portfolio Performance Summary
As of December 31, 2020**

	Liquid Operating Monies (%)		Long-Term Operating Monies (%)	
	Total Rate of Return	Benchmark	Total Rate of Return	Benchmark
3 Months	0.03	0.03	0.21	0.15
6 Months	0.07	0.07	0.50	0.39
9 Months	0.14	0.09	1.83	1.43
12 Months	0.87	0.67	4.39	4.43
Annualized Since Inception 30 Nov 2014	1.12	0.99	2.26	2.22

- A listing of individual securities held at the end of each reporting period (see the detailed listings of each security contained within the report).

- Cost and market values of the portfolios:

	<u>Liquid Operating</u>	<u>Long-Term</u>
Cost	\$225.5 M	\$633.0 M
Market Value	\$225.7 M	\$657.6 M

- Modified duration of the portfolio compared to the Benchmark:

	<u>Liquid Operating</u>	<u>Long-Term</u>
District Policy	< 0.50	< 5.00
Benchmark	0.15	2.59
Portfolio	0.33	2.44

- Dollar change in value of the portfolio for a one percent (1%) change in interest rates:

Liquid Operating - \$736,951
 Long- Term - \$16,020,589

- None of the portfolios are currently invested in reverse repurchase agreements.

- The percent of the Liquid Operating Monies portfolio maturing within 90 days: 45.6%
- Average portfolio credit quality:
Liquid Operating - AAA/Aaa
Long- Term - AA+/Aa1
- Percent of portfolio with credit ratings below "A" by any rating agency and a description of such securities:
Liquid Operating - no exceptions
Long- Term - Percent of portfolio - 0.9%

	Cost	Maturity Date	Moody	S&P	Fitch
SLMA 2008-9 A	\$10,772.14	4/25/2023	Baa3	B	B
AMRESKO Residential Securities 1999-1 A	\$89,377.81	6/25/2029	NR	A+	BBB
Morgan Stanley Note	\$3,200,848.00	7/28/2021	A2	BBB+	A
Wells Fargo & Company Note	\$2,954,520.00	7/22/2022	A2	BBB+	A+

- All investments are in compliance with this policy and the California Government Code, except for the following Lehman Brother holdings that the Sanitation District is pursuing collection through the bankruptcy court:
Lehman Brothers Note-Defaulted \$ 600,000 par value purchased 9/19/2008
Lehman Brothers Note-Defaulted \$2,000,000 par value purchased 9/18/2008
- Sufficient funds are available for the Sanitation District to meet its operating expenditure requirements for the next six months.

CEQA

N/A

FINANCIAL CONSIDERATIONS

N/A

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Mid-Year Consolidated Financial Report for the period ended December 31, 2020



ORANGE COUNTY SANITATION DISTRICT

Mid-Year Financial Report

for the period ended December 31, 2020



ORANGE COUNTY SANITATION DISTRICT
Orange County, California

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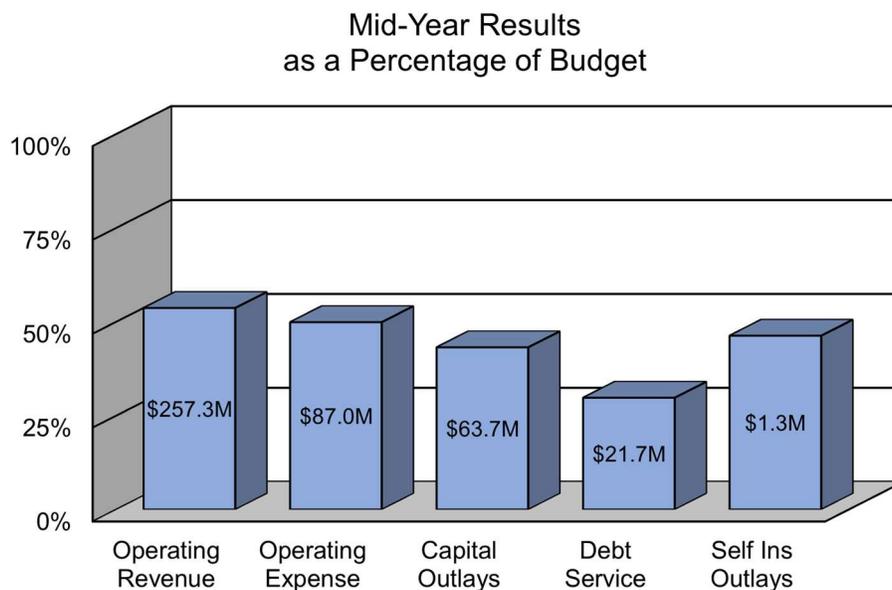
Consolidated Financial Reports For the Mid-Year Ended December 31, 2020

Included in this consolidated report are the following quarterly financial reports for the period ended December 31, 2020:

- **Mid-Year Budget Review:**

The Consolidated Financial Reports Section provides the Directors, staff, and the general public with a comprehensive overview of the financial results of the Sanitation District through the mid-year ended December 31, 2020.

Contained within the Consolidated Financial Reports is the budget-to-actual status of the Collections, Treatment and Disposal Operations, the Capital Improvement Program, Debt Service Outlays, and the Self-Insurance Program. Also included is a Capital Assets Schedule as of December 31, 2020. The chart below provides for a summary of these activities.



Various detail information can be found in this report. Below is a descriptive summary of these activities through December 31, 2020:

- a) Most major expense categories are anticipated to be at or below budget.
- b) Total revenues are at 53.7 percent of the \$479.2 million budget. Except for Intra District Sewer Use-IRWD, Capital Assessments-IRWD, Capital Facilities Capacity Charges, Interest Earnings, CIP Reimbursements, CNG Sales, Other Revenues, and Other Sales, most major revenue sources are currently tracking close to or exceeding revenue estimates. Overall, total revenues are projected to approximate budget at year-end. More detailed information on revenues is provided within Section 1 – Pages 4 through 6.

FY 2020-21 Mid-Year Financial Report

- c) **Collection, Treatment and Disposal Costs:**
As indicated within the Consolidated Financial Reports Section of this report, the net operating requirements through the mid-year of \$87.0 million is currently tracking at 49.9 percent of the \$174.3 million budget. In addition, net operating expenses have increased \$6.5 million or 8.1 percent in comparison with the same period last year. Overall, staff expects the total operating costs to remain at or slightly below budget throughout the remainder of the year. More detailed information on operating expenses is provided within Section 1 – Pages 1 through 4.

The total cost per million gallons is \$2,569 based on flows of 184 million gallons per day. This is \$29 per million gallons, or 1.1 percent higher than the budgeted cost per million gallons per day. A further description of these costs and benchmarking with other agencies is contained within Section 1 – Pages 7 through 9.

- d) The total projected capital outlay cash flow of the Capital Improvement Program (CIP) for FY 2020-21 has been revised to \$145.7 million, or 98.7 percent of the board approved cash outlay of \$147.6 million. The actual cash outlay spending through the mid-year is \$63.7 million, or 43.2 percent of the total budgeted outlay. More detailed information on the CIP budget review can be found in Section 1 – Page 10 and Section 3.

- **Mid-Year Treasurer’s Report**

This section reports on financial portfolio performance with respect to the Sanitation District’s funds. Both Long-Term and Liquid Operating Monies Portfolios are summarized. A performance summary table can be found on page 2 of this section. The report also contains information on the national economic outlook from the Sanitation District’s money manager, Chandler Asset Management (Chandler).

Chandler notes the Long-Term Portfolio quarterly return of 21 basis points outperformed the ICE BAML 1-5 Year US Corp/Govt Rated AAA-A Index return of 15 basis points, while the Liquid Operating Monies Portfolio quarterly return of 3 basis points matched the ICE BAML 3-Month US Treasury Bill Index return.

Chandler further notes that while they remain optimistic about the longer-term outlook, recent economic data suggests that the economy has lost momentum as virus cases have risen. They believe the near-term will remain challenging as the labor market remains under pressure and many regions have renewed business restrictions due to the virus. However, the passage of a new \$900 billion COVID-19 fiscal relief bill should help cushion the economy over the next few months, and they believe the incoming Presidential administration will have a keen focus on accelerating vaccine distribution and getting the economy back on track. While the vaccine rollout has gotten off to a slow start, they expect more widespread distribution of vaccines in the second and third quarter of 2021. They also expect

Executive Summary

the Fed's highly accommodative monetary policy framework will continue to provide support for the financial markets.

The Federal Open Market Committee (FOMC) kept monetary policy unchanged at their December meeting as expected, with the fed funds target rate in a range of 0.0% to 0.25%. The Fed intends to remain highly accommodative until their goals of maximum employment and higher inflation are achieved. The Fed's summary of economic projections continues to signal that the target fed funds rate will remain unchanged until at least 2023, as policymakers do not expect inflation to exceed 2.0% during that timeframe. Until the Fed has made substantial progress toward achieving their dual mandate of maximum employment and price stability, they have set a floor for monthly asset purchases of at least \$80 billion per month of Treasuries and \$40 billion per month of agency mortgage-backed securities. Notably, the Fed's outlook for GDP over the next few years was revised higher and the outlook for unemployment was revised lower compared with their previous forecasts in September, which suggests increased optimism. Nevertheless, the outlook remains uncertain and Fed Chair Powell indicated that the Fed would increase policy accommodation further if progress toward their dual mandate slows.

The Treasury yield curve steepened in December, due at least in part by favorable developments on the vaccine front and anticipation of improving economic activity in 2021. The yield on 2-year Treasuries was down slightly to 0.12% while the yield on 10-year Treasuries was up nearly eight basis point to 0.92%.

In 2020, Treasury yields declined but the curve steepened as short-term rates declined more than long-term rates. The 3-month T-bill yield was down 149 basis points, the 2-year Treasury yield was down 145 basis points, and the 10-Year Treasury yield was down 100 basis points, year-over-year.

The Consumer Price Index (CPI) was up 1.2% year-over-year in November, unchanged from October. Core CPI (CPI less food and energy) was up 1.6% year-over-year in November, also unchanged from October. The Personal Consumption Expenditures (PCE) index was up 1.1% year-over-year in November, versus up 1.2% year-over-year in October. Core PCE, which is the Fed's primary inflation gauge, was up 1.4% year-over-year in November, unchanged from October. Inflation remains below the Fed's target.

Economic Outlook

Increasing coronavirus case counts and the subsequent decrease in consumer mobility was poised to adversely impact the market and economic outlook in the fourth quarter of 2020. However, in early November markets received unambiguous positive news with the results of the clinical trial for the Pfizer BioNTech Vaccine being released and exhibiting a very high efficacy rate for the COVID-19 coronavirus. The timeline for a viable vaccine was consistent with market expectations however the high efficacy rate was viewed as "new news"

FY 2020-21 Mid-Year Financial Report

which changed sentiment and propelled risk assets higher. Markets began to aggressively position for the “reopening trade” as both investment grade and high yield credit spreads moved tighter, and equity market breadth improved materially with the small cap sector outperforming the large cap sector. Consistent with the improved global outlook correlated with the vaccine developments, the US dollar moved lower and Treasury yields moved moderately higher, with longer maturity yields moving higher at a faster pace as the Treasury curve began to steepen.

Political rhetoric related to the election and additional fiscal stimulus dominated the headlines throughout the quarter. Despite the almost daily back and forth between Congressional leadership, late in the quarter additional fiscal stimulus was finally passed, which should help to stabilize the economy as the vaccination process quickens in Q1 and Q2 of 2021. The incoming Biden administration is also expected to seek further fiscal support to enhance economic growth in 2021. Additionally, the Federal Reserve continues to provide strong support to the economic recovery despite the sunset of several liquidity tools implemented at the height of the crisis in March and April of 2020. The Chandler team does not have any immediate concerns about the expiration of the Fed backstops. In the event the market becomes dislocated again due to another exogenous shock to the economy they have a high level of confidence the US Treasury and Federal Reserve would work closely together to reimplement the tools to stabilize markets. The Federal Reserve also updated their Summary of Economic Projections in mid-December. The Fed continues to emphasize a willingness to keep policy highly stimulative until their dual mandate of full employment and stable prices is achieved. Notably, the Fed is looking for inflation to average 2% over the cycle and is expressing a willingness to tolerate inflation above the target for a period of time to make up for the shortfalls below the target over the past decade. Market based measure of inflation continue to price in a higher probability of the Fed meeting their inflation objective as the Ten Year TIP breakeven spread – a market based measure of longer term inflation expectations – increased to 1.99% as of December 31 compared to 1.63% at the end of September. The Chandler team expects the Fed Funds rate to remain at the zero lower bound for all of 2021 and is closely monitoring market based measures of inflation; the Ten Year TIP breakeven spread needs to trade in a consistent range of 2.30% to 2.60% for a period of time before Fed officials would consider altering their stance on the zero lower bound in Chandler’s view.

Economic data continues to recover from the shock to the system in March and April of 2020. However, many metrics will not fully recover until a large portion of the domestic population has achieved immunity from the coronavirus. Nonfarm payrolls were robust through the summer, but the rate of improvement slowed late in the year. The three month moving average on nonfarm payroll growth moved down to 283k in December compared to 1,321k as of September. The U3 unemployment rate is currently at 6.7%, after having topped out at 14.8% in April 2020 while the U6 Underemployment rate remains elevated at 11.7% compared to 22.9% in April. The manufacturing indices have been a bright spot, with the ISM

Executive Summary

Manufacturing Index reaching a YTD high in December at 60.7 with the ISM Non-Manufacturing Index most recent reading at 57.2. The consumer facing portion of the economy continues to face strong headwinds, however the Chandler team is confident substantial pent-up demand has the potential to propel the economy forward in the 2nd half of 2021. The current fiscal and monetary policy settings should continue to provide a constructive backdrop for asset prices in 2021 despite the secular changes to the economy due to the pandemic.

- **Mid-Year Certificates of Participation (COP) Report**

The report includes a summary of each outstanding debt issuance and a comparative chart illustrating the COP rate history.

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Consolidated Financial Reports

Mid-Year Financial Report December 31, 2020

Financial Management is pleased to present the FY 2020-21 mid-year financial report. This report provides a comprehensive overview of the financial activities of the Sanitation District and reports on the status of all capital projects in progress. A summary of the sections contained within this report is provided below.

Operating Budget Review: This section reports on collection, treatment, and disposal net operating requirements.

At December 31, 2020, 49.9 percent, or \$87.0 million of the FY 2020-21 net operating budget of \$174.3 million has been expended. Net operating expenses increased from the same period last year by \$6.5 million, or 8.1 percent, mainly due to an increase of \$3.1 million in Repairs and Maintenance, \$2.5 million in Salaries and Benefits, \$1.0 million in Other Operating Supplies, \$802,000 in Operating Materials and Supplies, and \$609,000 in Utilities, partially offset by a decrease of \$640,000 in Contractual Services, \$294,000 in Professional Services, \$128,000 in Training and Meetings, and an increase of \$341,000 in indirect costs allocated out to capital projects. These and other variances that factor into this net increase in expenses are discussed in more detail below. **Overall, staff expects the total operating costs to remain at or slightly below budget throughout the remainder of the year.**

At December 31, 2020, 53.7 percent, or \$257.3 million of the FY 2020-21 budgeted total revenues of \$479.2 million has been recognized. Revenues increased from the same period last year by \$9.3 million, or 3.8 percent, mainly due to an increase of \$10.7 million in property taxes, \$4.9 million in Sludge Disposal-IRWD, \$1.5 million in Service Fees, \$1.4 million in CIP Reimbursements, \$404,000 in Intra District Sewer Use-IRWD, and \$361,000 in Other Revenues, offset primarily by a decrease of \$6.1 million in Interest Earnings, \$3.3 million in Capital Facilities Capacity Charges, \$266,000 in Capital Assessments-IRWD, \$121,000 in Wastehauler fees, \$102,000 in Other Sales, and \$100,000 in Permit Fees. These and other variances that factor into this net increase in revenues are discussed in more detail below. **Overall, staff expects the total revenues to be at or slightly below budget at the end of the fiscal year.**

Significant operating results as of December 31, 2020 include the following:

- **Salaries, Wages and Benefits – Personnel costs of \$51.9 million are on target at 50.9 percent of the budget through the mid-year of FY 2020-21.** The budget is based on a 5 percent vacancy factor, and staffing is 18 full-time equivalents (FTEs), or 2.8 percent below the total 639 FTEs approved in the FY 2020-21 budget. Salary and benefit costs are \$2.5 million or 5.1 percent higher than the \$49.4 million incurred in the same period last year, mainly due to an increase of \$1.7 million in salaries and wages resulting from cost of living adjustments included in the current Memorandums of Understanding for all employee bargaining units, and an increase

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of \$514,000 in group insurance costs. **Net operating personnel costs are expected to approximate budget throughout the remainder of the year.**

- Administrative Expenses – **Administrative Expenses totaled \$1.0 million, or 51.2 percent of the \$2.0 million budget through December 31.** These costs are \$57,000, or 5.2 percent lower at December 31 in comparison with the prior year, mainly due to decreases of \$59,000 in purchases of small computer items including HP Elitebooks, \$33,000 in books and publications such as various engineering design standards and manuals of practice, and \$20,000 in Office Supplies, partially offset by an increase of \$40,000 in Minor Furniture & Fixtures for installation of additional cubicles and a warehouse shelving system. **It is anticipated that administrative costs will approximate budget at year-end.**
- Printing and Publication Expenses – **Printing and Publication Expenses totaled \$112,000, or 27.0 percent of the \$415,000 budget through December 31.** These costs are \$35,000, or 23.9 percent lower at December 31 in comparison with the prior year, due to the increased incorporation of paperless processes and reports in response to the COVID-19 pandemic. **Printing and publication costs are expected to be below budget at year-end.**
- Training and Meetings – **Training and meetings of \$184,000 are below target at 17.1 percent of the \$1.1 million budget through December 31.** This account is lower than the proportionate budget due to the timing and need for training throughout the year, and the limiting or canceling of in-person training and meetings in response to the COVID-19 pandemic. These costs have decreased over the same period last year by \$128,000, or 41.1 percent. **Total training and meeting costs are anticipated to be below budget at year-end.**
- Operating Materials and Supplies – **Operating materials and supplies of \$10.5 million is on target at 49.1 percent of the \$21.3 million budget through December 31.** Operating Materials and Supplies are higher than the prior year by \$802,000, or 8.3 percent, primarily due to an increase in Tools of \$294,000 for large purchases including portable samplers and smart sensor sewer covers, Odor Control of \$250,000 mostly due to the increase in unit price and usage of calcium nitrate, and Disinfection of \$145,000 for purchase of sodium hypochlorite (bleach). **Based on current processes, operating materials and supplies are anticipated to approximate budget at year-end.**
- Contractual Services – **Contractual services is below target at \$8.4 million, or 43.6 percent of the \$19.2 million budget through December 31.** Solids Removal costs, budgeted at \$12.4 million, comprise the majority of this expense category at \$5.8 million, or 47.0 percent of its budget at December 31. Contractual Services is lower by \$640,000, or 7.1 percent over the same period last year, due to the decrease of \$731,000 in Other Contractual Services as the result of a reduction in manhole rehabilitation, industrial cleaning, and digester assessment services, as well as costs reclassified to repairs and maintenance, and \$235,000 in Solids Removal costs due to reduced biosolids production attributable to the new

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dewatering centrifuges. These decreases are partially offset by increases of \$166,000 in Janitorial costs attributable to additional cleaning services for COVID-19, \$66,000 in Oxygen for liquid oxygen and associated vaporization system maintenance, \$63,000 in Temporary Services as a result of position vacancies in the current period, and \$59,000 in Other Waste Disposal for hazardous waste packing, transportation, and disposal. County Service Fees totaled only \$11,000, or 2.2 percent of the \$489,000 budget through the mid-year as the preponderance of these fees are billed by the County in the fourth quarter. **Total contractual services costs are anticipated to approximate budget at year-end.**

- **Professional Services – Professional services costs totaled \$1.5 million, or 26.8 percent of the \$5.7 million budget through December 31.** Professional service costs, such as Legal, Audit & Accounting, Environmental Scientific Consulting, Industrial Hygiene Services, Labor Negotiation Services, and Other Professional Services, are proportionately low through December 31 due to a variety of factors such as timing of services and re-evaluation of need for services. These costs are \$294,000, or 16.1 percent lower at December 31 in comparison with the prior year, mainly due to a decrease of \$346,000 in Legal Services and \$60,000 in Software Program Consulting, offset by an increase of \$170,000 in Engineering Services. **It is anticipated that the costs for this category will be below budget at year-end.**
- **Research and Monitoring – Research and monitoring costs totaled \$842,000, or 64.5 percent of the \$1.3 million budget through December 31.** These costs are \$56,000, or 7.1 percent higher at December 31 in comparison with the prior year, due to increases of \$57,000 in Environmental Monitoring costs for ocean water quality analysis and \$25,000 in Research costs reflecting the higher annual contribution to Southern California Coastal Water Research Project, offset by a decrease of \$26,000 in Air Quality Monitoring costs for emissions testing. **Total research and monitoring costs are anticipated to approximate budget at year-end.**
- **Repairs and Maintenance – Repair and maintenance costs totaled \$15.5 million, or 54.7 percent of the \$28.4 million budget through December 31.** These costs are \$3.1 million, or 24.7 percent higher at December 31 in comparison with the prior year, mainly due to an increase in repair and maintenance services such as digester cleaning, mechanical rehabilitation of primary clarifier tanks, and information technology software maintenance. **It is anticipated that the costs for this category will approximate budget at year-end.**
- **Utilities – Utilities costs totaled \$5.1 million, or 60.5 percent of the \$8.4 million budget through December 31.** These costs are \$609,000, or 13.7 percent higher at December 31 in comparison with the prior year, primarily due to an increase of \$322,000 for Power, \$205,000 for Natural Gas, and \$106,000 for Water because of greater demand on these resources by the new biosolids dewatering centrifuges. In addition, utility costs for the mid-year are typically more than the proportionate budget due to increased summer electricity rates administered by Southern

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California Edison in the first three months of the fiscal year. **It is anticipated that the costs will approximate or be slightly above budget at year-end.**

- Other Operating Supplies – **Other operating supplies costs totaled \$2.3 million, or 61.4 percent of the \$3.7 million budget through December 31.** Property and General Liability Insurance, budgeted at \$2.2 million, comprise the majority of this expense category at \$1.1 million. These costs are \$242,000, or 28.2 percent higher at December 31 in comparison with the prior year, primarily due to an increase in budgeted in-lieu premium charges to maintain recommended reserve balances. In addition, Regulatory Operating Fees is \$795,000 higher due to timing of payments for emission, equipment permit, and facility fees. **It is anticipated that other operating supplies costs will approximate budget at year-end.**
- Revenues – Service Fees and Property Taxes – **Through December 31, revenues from service fees are at \$168.4 million, or 56.5 percent of the \$298.1 million budget and property taxes are at \$58.3 million, or 58.4 percent of the \$99.9 million budget.** These items comprise the majority of the Sanitation District's revenues and are mostly collected by the County through the property tax roll and distributed to the Sanitation District throughout the year based on a set distribution schedule that begins in November of each year. The increase of \$1.5 million, or 0.9 percent in service fee revenue over the prior year is primarily due to the timing of receipts. The property tax revenue increase of \$10.7 million, or 22.6 percent over the prior year is a result of the timing of tax receipts, primarily related to redevelopment agencies, as well as growth in assessed property values. **These revenues are expected to approximate budget at year-end.**
- Revenues – Permit Fees – **Permit Fees are at \$6.2 million, or 48.6 percent of the \$12.8 million budget.** The revenues through the mid-year are lower than the same period last year by \$87,000, or 1.4 percent, largely in part to the impact COVID-19 had on these users' flow. Additionally, the number of permittees fluctuates from year to year as businesses establish or cease their operations. **Permit fees revenues are expected to approximate or below budget at year-end.**
- Revenues – Inter District Sewer Use – SAWPA and SBSB – **Inter District Sewer revenues-SAWPA and SBSB are at \$1.4 million, or 51.8 percent of the \$2.6 million budget.** This revenue is derived from charges to the Santa Ana Watershed Protection Agency (SAWPA) and Sunset Beach Sanitary District (SBSB) for treatment of flows. The revenues through the mid-year are higher than the same period last year by \$15,000, or 1.1 percent due to an increase in operation and maintenance charges based on flows received from these agencies. **These revenues are expected to approximate budget at year-end.**
- Revenues – Intra District Sewer Use – IRWD – **Intra District Sewer revenues-IRWD are at \$988,000, or 21.2 percent of the \$4.7 million budget.** This revenue is derived from charges to the Irvine Ranch Water District (IRWD) for treatment of flows. The revenues through the mid-year are higher than the same period last year by \$404,000, or 69.1 percent, mainly due to an increase of \$611,000 in operating

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and maintenance charges to IRWD, resulting from a prior year adjustment. This increase in revenue is offset by an increase in allocated interest income of \$110,000 based on higher cash reserves held on behalf of this agency, and an increase of \$97,000 in property tax income allocated to IRWD. **These revenues are expected to be below budget at year-end.**

- Revenues – Sludge Disposal – IRWD – **Sludge Disposal-IRWD fees are at \$9.4 million, or 154.1 percent of the \$6.1 million budget.** This revenue is for the handling, treatment, and disposal of solids derived from flows discharged by IRWD to the Sanitation District. The revenues through the mid-year are higher than the same period last year by \$4.9 million, or 109.4 percent, mainly due to increased quarterly estimated billings for solids received from IRWD through the mid-year, and the timing of prior fiscal year estimates adjusted to actual. The budget reflects the anticipated completion of IRWD solids processing facilities that would cease solids to the Sanitation District's line by the end of the second quarter. **It is anticipated that IRWD sludge disposal revenues will exceed budget at year-end.**
- Revenues – Capital Assessments – IRWD – **Capital Assessments-IRWD are at \$1.3 million, or 24.5 percent of the \$5.2 million budget.** The revenues through the mid-year are lower than the same period last year by \$266,000, or 17.3 percent, mainly due to a decrease in joint capital costs allocable to IRWD. **It is estimated that IRWD capital assessments revenues will be below budget at year-end.**
- Revenues – Capital Facilities Capacity Charges (CFCC) – **CFCC are at \$4.4 million, or 21.8 percent of the \$20.1 million budget.** The revenues through the mid-year are lower than the same period last year by \$3.3 million, or 42.6 percent, due to decreases in connection fees collected from cities and supplemental capital facilities capacity charges assessed to industrial dischargers, largely due to impacts from COVID-19. **These revenues are expected to be below budget at year-end.**
- Revenues – Interest Earnings – **Interest Earnings are at \$3.1 million, or 23.5 percent of the \$13.2 million budget.** The revenues through the mid-year are lower than the same period last year by \$6.1 million, or 66.2 percent due to lower yields earned on securities held in investment portfolios. **It is estimated that interest earnings will be below budget at year-end.**
- Revenues – CIP Reimbursements – **CIP Reimbursements are at \$2.1 million, or 17.9 percent of the \$11.6 million budget.** This revenue is \$1.4 million, or 215.3 percent higher than the same period last year and is due to timing of reimbursements for construction projects, such as the budgeted \$5.4 million from Orange County Water District (OCWD) for P2-122 Headworks Modifications at Plant 2 for GWRS Final Expansion and \$3.4 million from OCWD for J-117B Outfall Low Flow Pump Station. **These revenues are expected to approximate or be below budget at year-end.**
- Revenues – Wastehauler – **Wastehauler revenues are at \$381,000, or 50.8 percent of the \$750,000 budget.** This revenue is derived from fees charged to

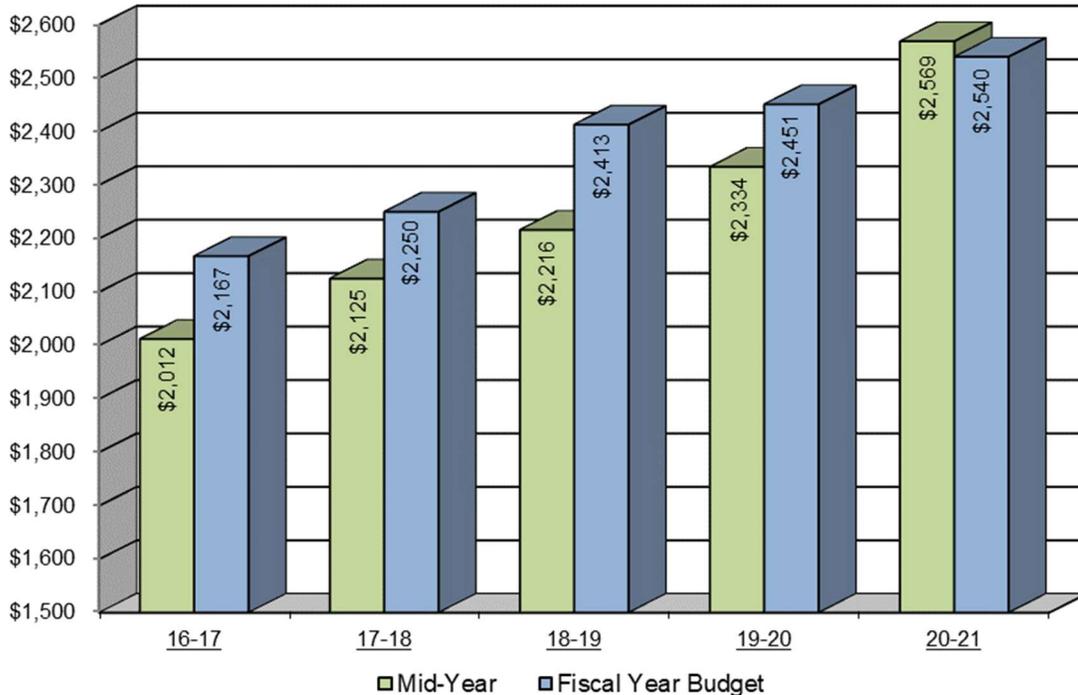
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wastehaulers, allowing them to dump waste into the Sanitation District's system. The revenues through the mid-year are lower than the same period last year by \$121,000, or 24.2 percent due to a decrease in waste dumping. **These revenues are expected to approximate budget at year-end.**

- Revenues – CNG Sales – **CNG Sales revenues are at \$107,000, or 26.9 percent of the \$400,000 budget.** This revenue is derived from public sales at the Sanitation District's Compressed Natural Gas (CNG) fueling station. The revenues through the mid-year are lower than the same period last year by \$26,000, or 19.6 percent, presumably attributed to the decrease in commuting brought about by COVID-19. **These revenues are expected to be below budget at year-end.**
- Revenues – Rents & Leases – **Rents & Leases revenues are at \$352,000, or 58.7 percent of the \$600,000 budget.** The revenues through the mid-year are lower than the same period last year by \$22,000, or 5.8 percent due to less rent received as tenants have moved out of the properties acquired for construction of the new headquarters building. **These revenues are expected to approximate budget at year-end.**
- Revenues – Other – **Other revenues are at \$827,000, or 33.3 percent of the \$2.5 million budget.** These revenues are \$361,000, or 77.6 percent higher than the same period last year, primarily due to timing of receipts for non-operating revenues such as civil penalties and interest, procurement card rebates and settlements, and investigative cost reimbursements. **These revenues are expected to approximate or be below budget at year-end.**

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Comparison of Mid-Year Cost per Million Gallon Results with Budget Last Five Years



As demonstrated in the preceding graph for the current and each of the last four fiscal years, the cost per million gallons at the end of the mid-year has been between 1.1 percent higher and 8.2 percent lower than the annual budget. The FY 2020-21 mid-year cost per million gallons of \$2,569 is 1.1 percent higher when compared with this year's budget. The increase in cost per million gallons of \$236 from the previous year is primarily due to an increase in operating expenses, which are 8.1 percent higher than the same period last year, and a decrease in flows, which are 1.8 percent lower than the same period last year. Staff believes that overall operating costs will be at or slightly below budget at year-end.

The total cost per million gallons at December 31 is \$2,569 based on flows of 184 million gallons per day. This is \$29 per million gallons, or 1.1 percent higher than the budgeted cost per million gallons of \$2,540. There is an inverse relationship between the amount of flows and the cost per unit of collection, treatment, and disposal. Consequently, the higher cost per million gallons is due to flows of 184 million gallons per day being 2.1 percent less than the budgeted flow of 188 million gallons per day, partially offset by net expenses being 0.2 percent lower than the proportionate budget through December 31.

More detailed information on operating revenues, costs, and related information is provided within Section 2.

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Following are data tables showing the last five years of Single Family Residential User Fees (SFR) and the cost per million gallons (MG) to collect, treat, and dispose of wastewater for the Orange County Sanitation District (OC San) and similar agencies. The agencies used in the tables were determined to be those that most closely resembled OC San in terms of services provided and treatment levels. The summaries demonstrate that OC San's SFR and cost per MG are each one of the lowest in their respective groups.

Benchmark Study Five-Year Single Family Residential Rate

Agency	Rates as of July					Notes
	2016 SFR	2017 SFR	2018 SFR	2019 SFR	2020 SFR	
San Francisco	\$ 842	\$ 937	\$ 988	\$ 1,076	\$ 1,169	
Vallejo Sanitation/Flood Control District	\$ 520	\$ 520	\$ 585	\$ 656	\$ 715	
City of Los Angeles	\$ 495	\$ 527	\$ 561	\$ 597	\$ 636	Note 1
Central Contra Costa Sanitary District	\$ 503	\$ 530	\$ 567	\$ 598	\$ 598	
City of San Diego	\$ 573	\$ 573	\$ 573	\$ 573	\$ 573	Note 4
Dublin San Ramon Services District	\$ 382	\$ 397	\$ 423	\$ 447	\$ 469	
Sacramento County	\$ 420	\$ 432	\$ 444	\$ 444	\$ 444	
East Bay MUD	\$ 373	\$ 391	\$ 410	\$ 423	\$ 439	
Union Sanitary District	\$ 380	\$ 393	\$ 407	\$ 421	\$ 455	
City of Hayward	\$ 358	\$ 375	\$ 394	\$ 412	\$ 430	
Orange County Sanitation District	\$ 327	\$ 331	\$ 335	\$ 339	\$ 339	
Irvine Ranch Water District	\$ 309	\$ 309	\$ 309	\$ 313	\$ 313	Note 2
City of Fresno	\$ 309	\$ 309	\$ 309	\$ 309	\$ 309	Note 3
Oro Loma Sanitary District	\$ 221	\$ 238	\$ 256	\$ 275	\$ 296	
Los Angeles County	\$ 182	\$ 186	\$ 191	\$ 196	\$ 213	Note 5

Notes:

- (1) - Data is for the typical SFR customer rate.
- (2) - Data represents the usage of 10 hundred cubic feet per unit.
- (3) - Data represents the minimum SFR rate not including flow.
- (4) - Data represents the base sewer fee plus the average usage of 9 hundred cubic feet per month.
- (5) - Data represents the Average Service Charge Rates for the prior fiscal year.

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Benchmark Study Five-Year Cost per MG

Agency	Svc.	Trt.	FY 15-16 Cost/MG	FY 16-17 Cost/MG	FY 17-18 Cost/MG	FY 18-19 Cost/MG	FY 19-20 Cost/MG	Notes
Vallejo Sanitation/Flood Control District	B	3	\$ 5,396	\$ 4,745	\$ 5,393	\$ 6,137	\$ 8,682	Note 5
San Francisco	B	3	\$ 5,268	\$ 4,916	\$ 5,295	\$ 5,995	N/A	
Union Sanitary District	B	3	\$ 3,957	\$ 4,039	\$ 4,757	\$ 4,838	\$ 5,655	
Central Contra Costa Sanitary District	B	4	\$ 6,454	\$ 6,081	\$ 5,588	\$ 3,980	\$ 5,284	Note 4
City of San Diego	B	4	\$ 3,606	\$ 3,834	\$ 4,147	\$ 4,180	\$ 3,977	
Dublin San Ramon Services District	B	4	\$ 2,896	\$ 2,961	\$ 3,422	\$ 3,692	\$ 3,441	
Sacramento County	T	4	\$ 2,571	\$ 2,752	\$ 2,831	\$ 2,812	\$ 3,407	
East Bay MUD	T	3	\$ 2,599	\$ 2,353	\$ 3,137	\$ 2,710	\$ 3,122	Note 3
City of Los Angeles	B	4	\$ 2,452	\$ 2,487	\$ 2,329	\$ 3,046	\$ 3,021	Note 2
Orange County Sanitation District	B	3	\$ 2,110	\$ 2,055	\$ 2,069	\$ 2,275	\$ 2,422	
Los Angeles County	B	4	\$ 1,371	\$ 1,965	\$ 2,077	\$ 2,264	\$ 2,343	Note 1
City of Fresno	B	4	\$ 1,678	\$ 1,796	\$ 1,813	\$ 1,945	\$ 1,993	

Legend for Service Provided and Treatment Level:

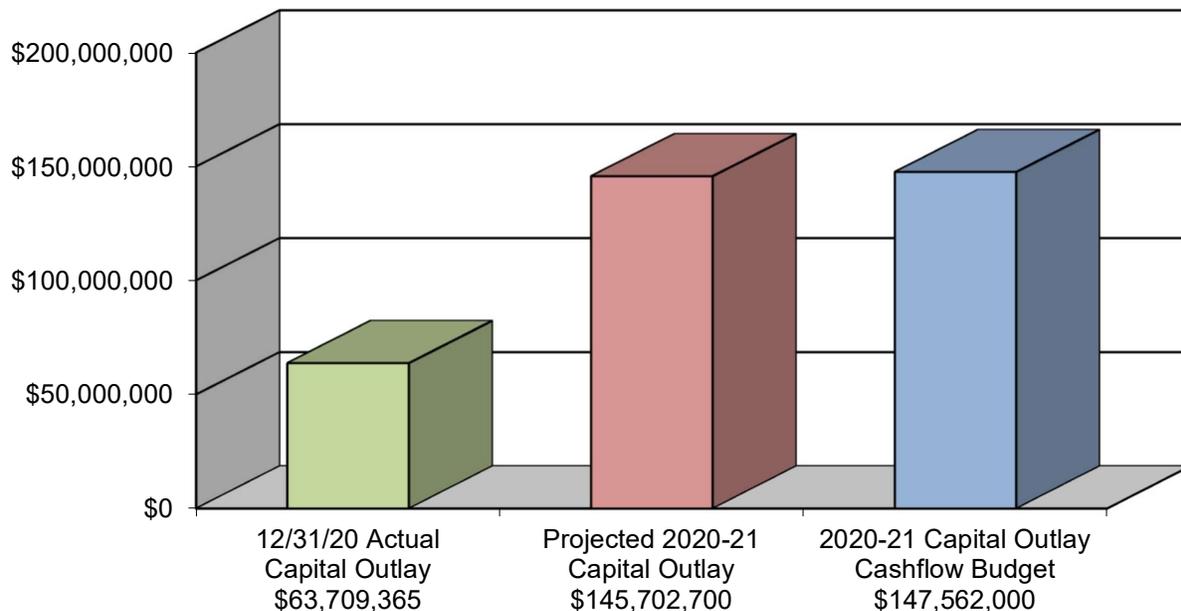
- B - Agency operates both collection and treatment facilities
- T - Agency provides treatment services but not collection
- 2 - Advanced primary or primary with some secondary treatment
- 3 - Secondary treatment
- 4 - Advanced secondary or secondary with some tertiary treatment

Notes:

- (1) - In FY19-20, agency updated data for FY16-17 and after to include administrative costs.
 - (2) - FY17-18 influent flow has not been reduced by the amount of sludge discharged to the sewers from DCTWRP and LAGWRP.
 - (3) - FY18-19 operating expense decreased \$1.1 million.
 - (4) - FY18-19 operating expense decreased \$36.4 million; \$30.4 million due to an adjustment to the agency's Other Post Employment Benefit Plan (OPEB) - Transition to CalPers Health Insurance.
 - (5) - In FY19-20, agency updated FY18-19 CAFR treatment cost.
- N/A - Not currently available.

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Capital Outlay Review:



As depicted by the preceding chart, Capital Outlays totaled \$63.7 million, or 43.2 percent of the capital outlay cash flow budget for FY 2020-21 as of December 31, 2020. Costs are slightly lower than the proportionate budget through the mid-year as some projects are still in the design phase or have experienced various delays or deferrals. Examples as of December 31 are Headworks Rehabilitation at Plant 1, which has a budget of \$9.4 million but actual costs of \$618,000, Rehabilitation of Western Regional Sewers, which has a budget of \$5.7 million but actual costs of \$215,000, and Ocean Outfall System Rehabilitation, which has a budget of \$26.1 million but actual costs of \$9.6 million. **Overall, the capital outlay costs of the capital improvement program are expected to approximate \$145.7 million, or 98.7 percent of the capital outlay cash flow budget at year-end.**

More detailed information on the capital improvement program is provided within Section 3.

Capital Assets Schedule and Debt Service Budget Review: Section 4 is the Capital Assets Schedule and Debt Service Section. This section shows the cost value of the Sanitation District's capital facilities at December 31, 2020, as well as the debt service costs resulting from the need to provide funding for the construction of capital facilities.

The majority of principal payments on debt issues are due in February during the third quarter of each fiscal year. As of December 31, 2020, no principal payments have been made through the end of the mid-year. Total principal payments are expected to approximate budget at year-end. Interest costs are expensed ratably throughout the fiscal year. Interest expense is anticipated to approximate budget at year-end.

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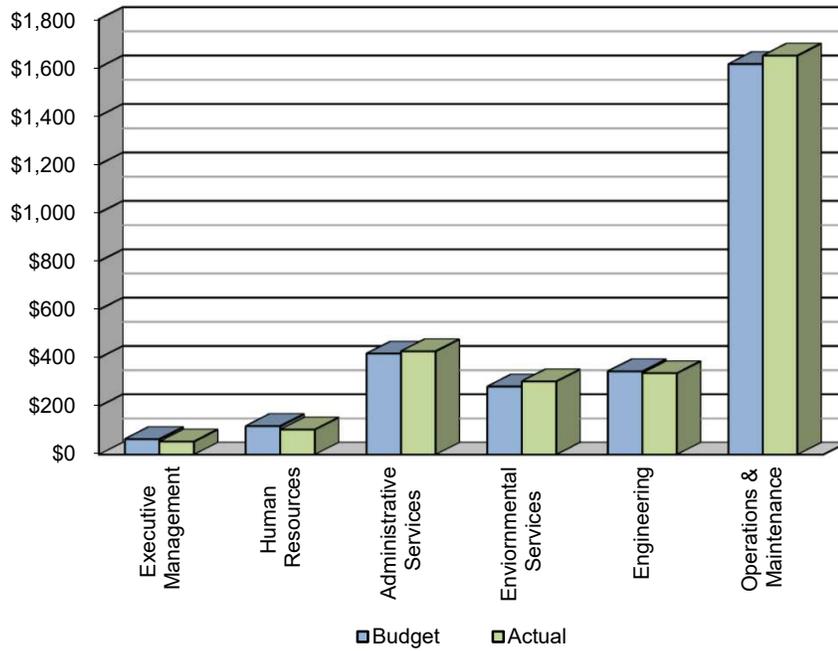
Self-Insurance Budget Reviews: Section 5 is the Self-Insurance Section. Through December 31, the Self-Insurance Fund revenues totaled \$1.4 million, or 67.2 percent of the budget, while expenses are \$1.3 million, or 46.3 percent of the budget.

Separate fund accounting is used for recording the revenue and expenses incurred in managing these liability claims. The revenues to these funds represent charges to operating divisions. Expenses to these funds include actual claims paid, claims administration, and excess loss policies.

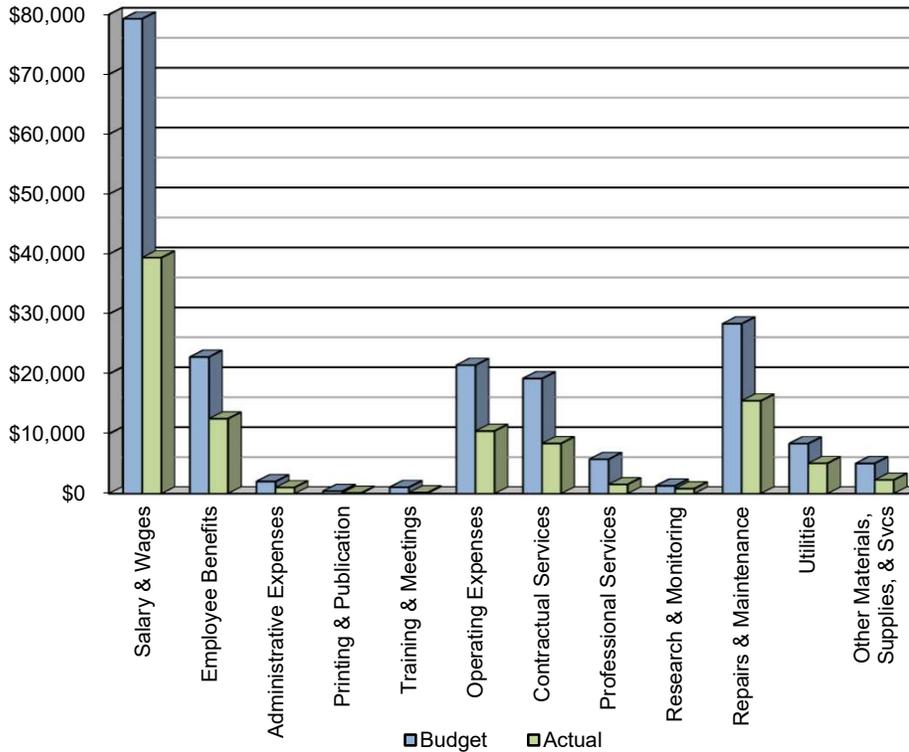
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Operating Budget Review

**Cost per Million Gallons by Department
Budget and Actual
December 31, 2020**



**Collection, Treatment, & Disposal Expenses by Major Category
Budget and Actual (in thousands)
December 31, 2020**



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Divisional Contributions to Cost Per Million Gallons For the Six Months Ended December 31, 2020

	12/31/18 Actual	12/31/19 Actual	2020-21 Annual Budget	12/31/20 Actual
Flow in Million Gallons	34,032.65	34,481.22	68,620.00	33,859.20
Flow in Million Gallons per Day	184.96	187.40	188.00	184.02
Executive Management Department				
General Management Administration	\$ 28.16	\$ 32.42	\$ 27.85	\$ 24.78
Board Services	11.18	9.24	17.43	13.00
Public Affairs	14.62	16.70	18.95	16.43
Subtotal	53.96	58.36	64.23	54.21
Human Resources Department				
Human Resources	59.44	61.43	60.77	52.23
Risk Management / Safety / Security	71.06	79.97	57.23	51.61
Subtotal	130.50	141.40	118.00	103.84
Administrative Services Department				
Administrative Services	6.92	9.03	3.72	7.66
Consolidated Services	-	-	110.49	89.59
Financial Management	36.45	40.85	60.44	64.42
Contracts, Purchasing, & Materials Mgmt.	94.04	61.12	67.31	68.61
Information Technology	179.28	204.08	176.24	197.32
Subtotal	316.69	315.08	418.20	427.60
Environmental Services Department				
Environmental Services Administration	13.10	19.61	13.34	21.17
Resource Protection	88.03	81.27	89.34	86.62
Laboratory, Monitoring and Compliance	174.85	167.18	179.10	195.29
Subtotal	275.98	268.06	281.78	303.08
Engineering Department				
Engineering Administration	8.35	15.27	18.63	19.57
Planning	53.25	52.69	60.05	50.94
Project Management Office	44.65	69.03	61.17	66.97
Design	128.17	108.70	108.07	97.97
Construction Management	78.35	94.69	96.73	101.58
Subtotal	312.77	340.38	344.65	337.03
Operations & Maintenance Department				
Operations & Maintenance Administration	8.69	3.97	10.34	2.00
Collections Facilities O & M	185.53	162.97	224.94	207.83
Fleet Services	29.99	27.31	29.73	27.19
Plant No. 1 Operations	392.67	448.06	442.03	490.11
Plant No. 2 Operations	304.12	259.52	272.38	266.15
Plant No. 1 Maintenance	193.49	314.30	340.07	355.83
Maintenance Reliability and Planning	93.02	-	-	-
Plant No. 2 Maintenance	216.89	285.03	295.26	300.51
Subtotal	1,424.40	1,501.16	1,614.75	1,649.62
Total Operating Expenses	2,514.30	2,624.44	2,841.61	2,875.38
Cost Allocation	(298.74)	(290.83)	(301.61)	(306.26)
Net Operating Requirements	\$ 2,215.56	\$ 2,333.61	\$ 2,540.00	\$ 2,569.12

Operating Budget Review

Comparison of Expenses by Department For the Six Months Ended December 31, 2020

Department and Division	12/31/18 Actual	12/31/19 Actual	2020-21		
			Budget	Year to Date 12/31/20	Budget % Realized
Executive Management Department					
General Management Administration	\$ 958,205	\$ 1,117,989	\$ 1,910,830	\$ 838,923	43.90%
Board Services	380,550	318,659	1,195,850	440,176	36.81%
Public Affairs	497,665	575,927	1,300,290	556,430	42.79%
Subtotal	1,836,420	2,012,575	4,406,970	1,835,529	41.65%
Human Resources Department					
Human Resources	2,022,731	2,118,082	4,169,885	1,768,493	42.41%
Risk Management / Safety / Security	2,418,359	2,757,525	3,927,283	1,747,465	44.50%
Subtotal	4,441,090	4,875,607	8,097,168	3,515,958	43.42%
Administrative Services Department					
Administrative Services	235,612	311,306	255,180	259,313	101.62%
Consolidated Services	-	-	7,582,154	3,033,609	40.01%
Financial Management	1,240,322	1,408,491	4,147,493	2,181,071	52.59%
Contracts, Purchasing, & Materials Mgmt.	3,200,484	2,107,389	4,619,006	2,322,923	50.29%
Information Technology	6,101,429	7,037,087	12,093,310	6,681,141	55.25%
Subtotal	10,777,847	10,864,273	28,697,143	14,478,057	50.45%
Environmental Services Department					
Environmental Services Administration	445,932	676,272	915,720	716,753	78.27%
Resource Protection	2,995,873	2,802,305	6,130,250	2,932,772	47.84%
Laboratory, Monitoring and Compliance	5,950,505	5,764,716	12,289,727	6,612,361	53.80%
Subtotal	9,392,310	9,243,293	19,335,697	10,261,886	53.07%
Engineering Department					
Engineering Administration	284,155	526,555	1,278,080	662,593	51.84%
Planning	1,812,174	1,816,775	4,120,560	1,724,783	41.86%
Project Management Office	1,519,557	2,380,242	4,197,645	2,267,587	54.02%
Design	4,361,898	3,747,941	7,416,060	3,317,329	44.73%
Construction Management	2,666,322	3,264,991	6,637,750	3,439,486	51.82%
Subtotal	10,644,106	11,736,504	23,650,095	11,411,778	48.25%
Operations & Maintenance Department					
Operations & Maintenance Administration	295,795	136,893	709,620	67,707	9.54%
Collections Facilities O & M	6,313,957	5,619,439	15,435,673	7,036,860	45.59%
Fleet Services	1,020,570	941,739	2,040,071	920,572	45.12%
Plant No. 1 Operations	13,363,543	15,449,718	30,331,900	16,594,660	54.71%
Plant No. 2 Operations	10,350,051	8,948,614	18,690,716	9,011,578	48.21%
Plant No. 1 Maintenance	6,584,980	10,837,403	23,335,730	12,048,246	51.63%
Maintenance Reliability and Planning	3,165,726	-	-	-	0.00%
Plant No. 2 Maintenance	7,381,359	9,828,144	20,260,443	10,175,189	50.22%
Subtotal	48,475,981	51,761,950	110,804,153	55,854,812	50.41%
Total Operating Expenses	85,567,754	90,494,202	194,991,226	97,358,020	49.93%
Cost Allocation	(10,166,490)	(10,028,374)	(20,825,710)	(10,369,765)	49.79%
Net Operating Requirements	\$ 75,401,264	\$ 80,465,828	\$ 174,165,516	\$ 86,988,255	49.95%

FY 2020-21 Mid-Year Financial Report

Summary of Collection, Treatment, & Disposal Expenses by Major Category For the Six Months Ended December 31, 2020

Description	Budget 2020-21	Expense Through 12/31/20	Expense Through 12/31/19	Increase (Decrease) \$	Increase (Decrease) %	Percent Budget Realized	Remaining Budget
Salary & Wages	\$ 79,271,100	39,409,659	37,684,874	\$ 1,724,785	4.58%	49.72%	\$ 39,861,441
Employee Benefits	22,810,700	12,520,566	11,716,372	804,194	6.86%	54.89%	10,290,134
Administrative Expenses	2,034,004	1,040,425	1,097,299	(56,874)	-5.18%	51.15%	993,579
Printing & Publication	415,375	111,972	147,174	(35,202)	-23.92%	26.96%	303,403
Training & Meetings	1,076,761	184,172	312,555	(128,383)	-41.08%	17.10%	892,589
Operating Materials & Supplies	21,460,704	10,456,717	9,654,809	801,908	8.31%	48.72%	11,003,987
Contractual Services	19,235,353	8,382,263	9,022,335	(640,072)	-7.09%	43.58%	10,853,090
Professional Services	5,746,479	1,538,407	1,832,795	(294,388)	-16.06%	26.77%	4,208,072
Research & Monitoring	1,304,700	841,816	786,047	55,769	7.09%	64.52%	462,884
Repairs & Maintenance	28,372,645	15,508,124	12,434,595	3,073,529	24.72%	54.66%	12,864,521
Utilities	8,364,954	5,062,823	4,453,822	609,001	13.67%	60.52%	3,302,131
Other Materials, Supplies, and Services	5,048,451	2,301,076	1,351,525	949,551	70.26%	45.58%	2,747,375
Net Cost Allocation	<u>(20,825,710)</u>	<u>(10,369,765)</u>	<u>(10,028,374)</u>	<u>(341,391)</u>	<u>3.40%</u>	<u>49.79%</u>	<u>(10,455,945)</u>
Net Operating Requirements	174,315,516	86,988,255	80,465,828	6,522,427	8.11%	49.90%	87,327,261
Gallonge Flow (MG)	<u>68,620.00</u>	<u>33,859.20</u>	<u>34,481.22</u>	<u>(622.02)</u>	<u>-1.80%</u>		
Gallonge Flow (MGD)	<u>188.00</u>	<u>184.02</u>	<u>187.40</u>	<u>(3.38)</u>	<u>-1.80%</u>		
Gallonge Flow (\$'s /MG)	<u>\$2,540.00</u>	<u>\$2,569.12</u>	<u>\$2,333.61</u>	<u>\$235.51</u>	<u>10.09%</u>		

Operating Budget Review

Summary of Revenues For the Six Months Ended December 31, 2020

Description	Budget 2020-21	Revenue Through 12/31/20	Percent Budget Realized	Remaining Budget	Revenue Through 12/31/19	Increase (Decrease) \$	Increase (Decrease) %
Service Fees	\$ 298,144,470	\$ 168,422,191	56.49%	\$ 129,722,279	\$ 166,912,638	\$ 1,509,553	0.90%
Permit Fees	12,845,756	6,242,567	48.60%	6,603,189	6,329,653	(87,086)	-1.38%
Inter District Sewer Use-SAWPA & SBSB	2,639,000	1,365,831	51.76%	1,273,169	1,351,132	14,699	1.09%
Intra District Sewer Use-IRWD	4,655,516	988,239	21.23%	3,667,277	584,513	403,726	69.07%
Sludge Disposal-IRWD	6,100,000	9,397,106	154.05%	(3,297,106)	4,488,298	4,908,808	109.37%
Capital Assessments-IRWD	5,194,000	1,274,266	24.53%	3,919,734	1,540,161	(265,895)	-17.26%
Capital Facilities Capacity Charges	20,125,170	4,379,324	21.76%	15,745,846	7,634,042	(3,254,718)	-42.63%
Property Taxes	99,935,520	58,311,944	58.35%	41,623,576	47,582,816	10,729,128	22.55%
Interest Earnings	13,177,000	3,098,447	23.51%	10,078,553	9,162,650	(6,064,203)	-66.18%
CIP Reimbursements	11,643,517	2,086,932	17.92%	9,556,585	661,814	1,425,118	215.34%
Wastehauler	750,000	380,905	50.79%	369,095	502,155	(121,250)	-24.15%
Grant Revenue	464,000	-	0.00%	464,000	50,651	(50,651)	-100.00%
CNG Sales	400,000	107,457	26.86%	292,543	133,607	(26,150)	-19.57%
Rents & Leases	600,000	352,138	58.69%	247,862	373,785	(21,647)	-5.79%
Other Revenues	2,485,671	826,657	33.26%	1,659,014	465,378	361,279	77.63%
Power Sales	25,000	18,812	75.25%	6,188	46,869	(28,057)	-59.86%
Other Sales	50,000	4,233	8.47%	45,767	106,216	(101,983)	-96.01%
Total Revenues	\$ 479,234,620	\$ 257,257,049	53.68%	\$ 221,977,571	\$ 247,926,378	\$ 9,330,671	3.76%

FY 2020-21 Mid-Year Financial Report

Summary of Collection, Treatment, & Disposal Expenses by Line Item For the Six Months Ended December 31, 2020

Description	Budget 2020-21	Expense Through 12/31/20	Percent Budget Expended	Remaining Budget	Expense Through 12/31/19	Increase (Decrease) \$	Increase (Decrease) %
Salaries, Wages & Benefits							
Salaries & Wages	\$ 79,271,100	\$ 39,409,659	49.72%	\$ 39,861,441	\$ 37,684,874	\$ 1,724,785	4.58%
Employee Benefits							
Retirement	11,685,000	6,157,450	52.70%	5,527,550	5,858,404	299,046	5.10%
Group Insurances	9,705,500	5,538,617	57.07%	4,166,883	5,024,730	513,887	10.23%
Tuition & Certification Reimb	138,400	39,506	28.54%	98,894	40,172	(666)	-1.66%
Edu. degrees, Cert. & Lic.	542,600	335,521	61.84%	207,079	297,322	38,199	12.85%
Uniform Rental	107,600	56,703	52.70%	50,897	53,849	2,854	5.30%
Workers' Compensation	518,900	259,400	49.99%	259,500	390,002	(130,602)	-33.49%
Unemployment Insurance	2,300	75,677	3290.30%	(73,377)	1,125	74,552	6626.84%
EMT Supplemental Benefits	110,400	57,692	52.26%	52,708	50,768	6,924	13.64%
Total Benefits	22,810,700	12,520,566	54.89%	10,290,134	11,716,372	804,194	6.86%
Salaries, Wages & Benefits	102,081,800	51,930,225	50.87%	50,151,575	49,401,246	2,528,979	5.12%
Matl, Supply, & Services							
Administrative Expenses							
Memberships	598,217	397,735	66.49%	200,482	392,624	5,111	1.30%
Office Exp - Supplies	64,655	16,755	25.91%	47,900	36,305	(19,550)	-53.85%
Postage	32,700	23,510	71.90%	9,190	14,654	8,856	60.43%
Books & Publications	44,352	12,276	27.68%	32,076	45,228	(32,952)	-72.86%
Forms	580	-	0.00%	580	-	-	N/A
Small Computer Items	925,500	446,534	48.25%	478,966	505,034	(58,500)	-11.58%
Minor Furniture & Fixtures	368,000	143,615	39.03%	224,385	103,454	40,161	38.82%
Subtotal	2,034,004	1,040,425	51.15%	993,579	1,097,299	(56,874)	-5.18%
Printing & Publication							
Repro-In-House	230,375	84,051	36.48%	146,324	112,344	(28,293)	-25.18%
Printing-Outside	47,950	14,152	29.51%	33,798	16,557	(2,405)	-14.53%
Notices & Ads	137,000	13,769	10.05%	123,231	18,231	(4,462)	-24.47%
Photo Processing	50	-	0.00%	50	42	(42)	-100.00%
Subtotal	415,375	111,972	26.96%	303,403	147,174	(35,202)	-23.92%
Training & Meetings							
Meetings	167,796	4,131	2.46%	163,665	53,454	(49,323)	-92.27%
Training	908,965	180,041	19.81%	728,924	259,101	(79,060)	-30.51%
Subtotal	1,076,761	184,172	17.10%	892,589	312,555	(128,383)	-41.08%
Operating Mat'ls & Supplies							
Chemical Coagulants	10,550,546	5,299,290	50.23%	5,251,256	5,268,168	31,122	0.59%
Odor Control	6,907,776	3,085,214	44.66%	3,822,562	2,834,913	250,301	8.83%
Disinfection	218,000	231,254	106.08%	(13,254)	86,014	145,240	168.86%
Chemicals - Misc & Cogen	418,000	198,228	47.42%	219,772	173,041	25,187	14.56%
Gasoline, Diesel & Oil	554,633	279,991	50.48%	274,642	251,180	28,811	11.47%
Tools	923,230	539,092	58.39%	384,138	245,492	293,600	119.60%
Safety equipment/tools	731,637	351,426	48.03%	380,211	306,576	44,850	14.63%
Solv, Paints & Jan. Supplies	111,053	51,149	46.06%	59,904	57,792	(6,643)	-11.49%
Lab Chemicals & Supplies	652,969	306,361	46.92%	346,608	331,073	(24,712)	-7.46%
Misc. Operating Supplies	166,360	101,565	61.05%	64,795	62,360	39,205	62.87%
Property Tax Fees	76,500	13,147	17.19%	63,353	38,200	(25,053)	-65.58%
Subtotal	21,310,704	10,456,717	49.07%	10,853,987	9,654,809	801,908	8.31%
Contractual Services							
Solids Removal	12,380,000	5,823,992	47.04%	6,556,008	6,058,861	(234,869)	-3.88%
Other Waste Disposal	899,500	452,805	50.34%	446,695	394,020	58,785	14.92%
Groundskeeping	200,000	89,745	44.87%	110,255	93,768	(4,023)	-4.29%
Janitorial	495,000	405,168	81.85%	89,832	239,052	166,116	69.49%
Outside Lab Services	286,750	69,915	24.38%	216,835	100,998	(31,083)	-30.78%
Oxygen	335,000	266,402	79.52%	68,598	200,689	65,713	32.74%
County Service Fee	489,003	10,566	2.16%	478,437	14,580	(4,014)	-27.53%
Temporary Services	481,360	214,503	44.56%	266,857	151,407	63,096	41.67%
Security Services	1,600,000	815,589	50.97%	784,411	803,965	11,624	1.45%
Other	2,068,740	233,578	11.29%	1,835,162	964,995	(731,417)	-75.79%
Subtotal	19,235,353	8,382,263	43.58%	10,853,090	9,022,335	(640,072)	-7.09%

(Continued)

Operating Budget Review

Summary of Collection, Treatment, & Disposal Expenses by Line Item For the Six Months Ended December 31, 2020

Description	Budget 2020-21	Expense Through 12/31/20	Percent Budget Expended	Remaining Budget	Expense Through 12/31/19	Increase (Decrease) \$	Increase (Decrease) %
Continued:							
Professional Services							
Legal	1,620,290	332,243	20.51%	1,288,047	677,813	(345,570)	-50.98%
Audit & Accounting	225,400	67,010	29.73%	158,390	75,165	(8,155)	-10.85%
Engineering	980,000	538,099	54.91%	441,901	368,296	169,803	46.11%
Enviro Scientific Consulting	265,000	35,398	13.36%	229,602	30,990	4,408	14.22%
Software Prgm Consulting	305,000	135,499	44.43%	169,501	195,419	(59,920)	-30.66%
Advocacy Efforts	187,685	83,900	44.70%	103,785	57,800	26,100	45.16%
Industrial Hygiene Services	50,000	11,618	23.24%	38,382	26,102	(14,484)	-55.49%
Labor Negotiation Services	30,000	-	0.00%	30,000	30,080	(30,080)	-100.00%
Other	2,083,104	334,640	16.06%	1,748,464	371,130	(36,490)	-9.83%
Subtotal	<u>5,746,479</u>	<u>1,538,407</u>	<u>26.77%</u>	<u>4,208,072</u>	<u>1,832,795</u>	<u>(294,388)</u>	<u>-16.06%</u>
Research & Monitoring							
Environmental Monitoring	654,700	292,540	44.68%	362,160	235,559	56,981	24.19%
Air Quality Monitoring	150,000	49,276	32.85%	100,724	75,488	(26,212)	-34.72%
Research	500,000	500,000	100.00%	-	475,000	25,000	5.26%
Subtotal	<u>1,304,700</u>	<u>841,816</u>	<u>64.52%</u>	<u>462,884</u>	<u>786,047</u>	<u>55,769</u>	<u>7.09%</u>
Repairs & Maintenance							
Materials & Services	23,891,620	12,431,790	52.03%	11,459,830	9,612,456	2,819,334	29.33%
Svc. Mtc. Agreements	4,481,025	3,076,334	68.65%	1,404,691	2,822,139	254,195	9.01%
Subtotal	<u>28,372,645</u>	<u>15,508,124</u>	<u>54.66%</u>	<u>12,864,521</u>	<u>12,434,595</u>	<u>3,073,529</u>	<u>24.72%</u>
Utilities							
Telephone	505,971	247,897	48.99%	258,074	268,534	(20,637)	-7.69%
Diesel For Generators	42,500	6,818	16.04%	35,682	10,144	(3,326)	-32.79%
Natural Gas	710,801	578,308	81.36%	132,493	372,939	205,369	55.07%
Power	6,064,165	3,582,043	59.07%	2,482,122	3,260,260	321,783	9.87%
Water	1,041,517	647,757	62.19%	393,760	541,945	105,812	19.52%
Subtotal	<u>8,364,954</u>	<u>5,062,823</u>	<u>60.52%</u>	<u>3,302,131</u>	<u>4,453,822</u>	<u>609,001</u>	<u>13.67%</u>
Other Operating Supplies							
Outside Equip Rental	100,000	18,197	18.20%	81,803	42,801	(24,604)	-57.48%
Insurance Premiums	30,000	31,451	104.84%	(1,451)	28,501	2,950	10.35%
Prop & Gen Liab Insurance	2,205,000	1,102,494	50.00%	1,102,506	859,998	242,496	28.20%
Freight	100,000	83,062	83.06%	16,938	53,782	29,280	54.44%
Misc. Operating Expense	304,457	108,067	35.49%	196,390	132,570	(24,503)	-18.48%
Regulatory Operating Fees	976,600	938,849	96.13%	37,751	143,666	795,183	553.49%
Subtotal	<u>3,716,057</u>	<u>2,282,120</u>	<u>61.41%</u>	<u>1,433,937</u>	<u>1,261,318</u>	<u>1,020,802</u>	<u>80.93%</u>
General Mgr Contingency & Reappropriations							
	1,195,574	-	0.00%	1,195,574	-	-	N/A
Other Non-Oper Expense							
	136,820	18,956	13.85%	117,864	90,207	(71,251)	-78.99%
Total Materials, Supplies & Services							
	<u>92,909,426</u>	<u>45,427,795</u>	<u>48.89%</u>	<u>47,481,631</u>	<u>41,092,956</u>	<u>4,334,839</u>	<u>10.55%</u>
Total Expenditures							
	194,991,226	97,358,020	49.93%	97,633,206	90,494,202	6,863,818	7.58%
Cost Allocation							
	<u>(20,825,710)</u>	<u>(10,369,765)</u>	<u>49.79%</u>	<u>(10,455,945)</u>	<u>(10,028,374)</u>	<u>(341,391)</u>	<u>3.40%</u>
Net Operating Requirements							
	<u>\$ 174,165,516</u>	<u>\$ 86,988,255</u>	<u>49.95%</u>	<u>\$ 87,177,261</u>	<u>\$ 80,465,828</u>	<u>\$ 6,522,427</u>	<u>8.11%</u>

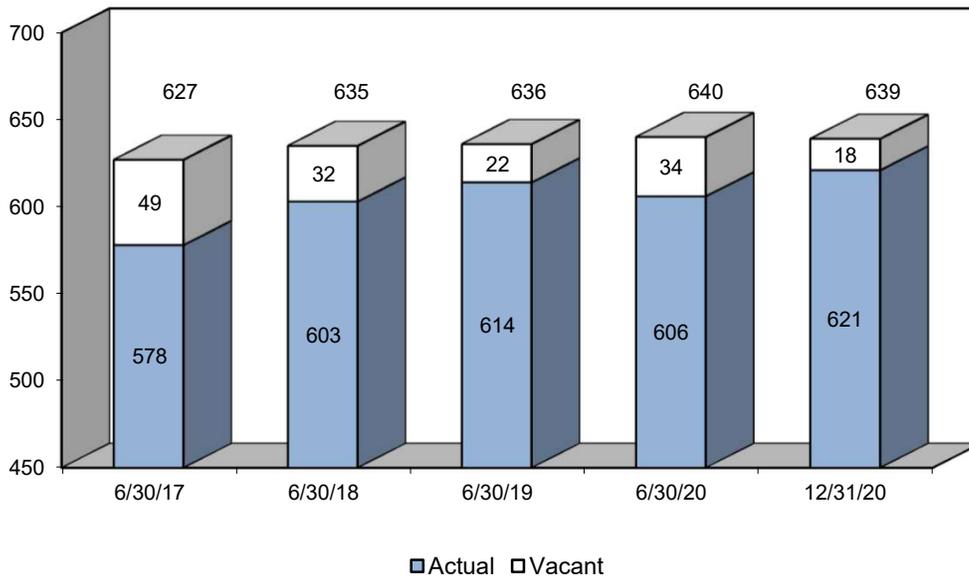
FY 2020-21 Mid-Year Financial Report

Summary of Collection, Treatment, & Disposal Expenses by Process For the Six Months Ended December 31, 2020

Process:	Actual 12/31/20	Actual 12/31/19	Increase (Decrease) \$	Increase (Decrease) %
Preliminary Treatment	\$ 5,480,790	\$ 3,387,645	\$ 2,093,145	61.79%
Primary Treatment	9,375,267	10,676,160	(1,300,893)	-12.19%
Secondary Treatment	5,852,570	6,024,345	(171,775)	-2.85%
Cryogenic Plant (Plant 2)	616,806	444,696	172,110	38.70%
Effluent Disposal	923,804	674,408	249,396	36.98%
Solids Handling	23,607,348	23,835,292	(227,944)	-0.96%
Cogeneration	9,906,589	9,057,895	848,694	9.37%
Utilities	2,442,024	1,993,360	448,664	22.51%
Electrical Distribution	1,563,468	949,665	613,803	64.63%
Miscellaneous Buildings	5,663,386	5,074,797	588,589	11.60%
External Location	253,469	147,050	106,419	72.37%
Nerissa Vessel	145,773	122,668	23,105	18.84%
Laboratory	10,219,449	8,617,374	1,602,075	18.59%
Collections	10,937,512	9,460,473	1,477,039	15.61%
Net Operating Requirements	\$ 86,988,255	\$ 80,465,828	\$ 6,522,427	8.11%

Operating Budget Review

Staffing Trends Full Time Equivalents December 31, 2020

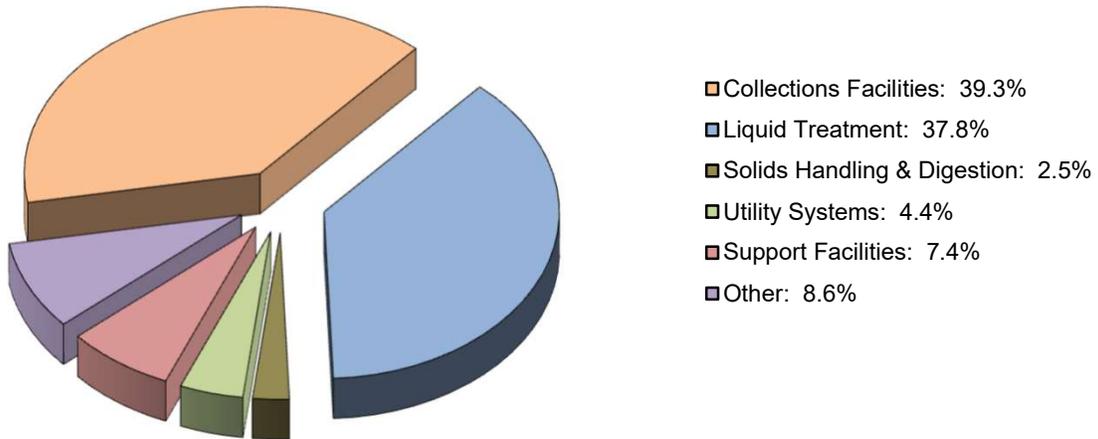


At December 31, 2020, the total head count was 631 employees, or a full time equivalency of 621.

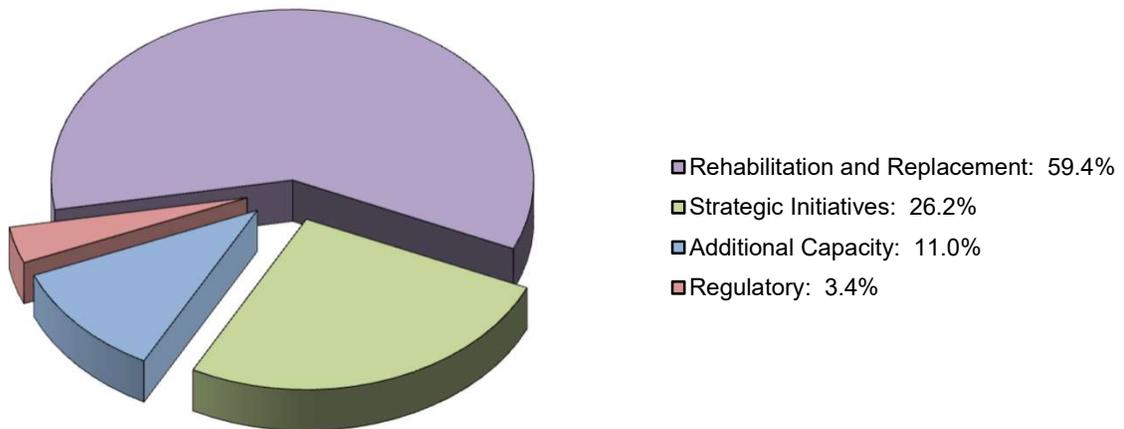
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Capital Improvement Program Budget Review

Capital Improvement Program
By Process Area and Project Driver
For the Six Months Ended December 31, 2020



Total Capital Improvement Outlays - \$63,709,365



Total Capital Improvement Outlays - \$63,709,365

FY 2020-21 Mid-Year Financial Report

Summary of Capital Improvement Construction Requirements - Current Year For the Six Months Ended December 31, 2020

	2020-21 Cashflow Budget	2020-21 Actual at 12/31/2020	2020-21 Projected Outlay
<u>Collection System Improvement Projects</u>			
Collections Facilities			
Taft Branch Capacity Improvements	314,739	63,469	103,600
Newhope - Placentia Trunk Grade Separation Replacement	92,123	-	-
Newhope-Placentia Trunk Replacement	18,441,383	12,259,166	17,147,300
Westminster Blvd Force Main Replacement	11,561,567	10,365,991	14,659,600
Rehabilitation of Western Regional Sewers	5,711,536	214,713	1,574,900
Interstate 405 Widening Project Impacts on OC San Sewers	35,032	14,703	24,600
Seal Beach Pump Station Replacement	3,427,428	423,469	2,589,700
Bay Bridge Pump Station Replacement	5,684,572	409,861	4,350,000
Newport Beach Pump Station Pressurization Improvements	378,513	114,118	203,100
District 6 Trunk Sewer Relief	30,036	3,111	6,000
Gisler Red-Hill Interceptor & Baker Force Main Rehabilitation	823,405	71,450	1,084,600
MacArthur Force Main Improvement	45,631	24,382	30,000
Edinger Pump Station Replacement	102,369	-	-
Small Construction Projects Program - Collections	1,614,473	733,013	1,043,300
Operations & Maintenance Capital Program - Collections	-	90,044	144,800
Planning Studies Program - Collections	-	39,358	381,700
SARI Rock Stabilizers Removal	45,869	20,148	20,300
Sunflower and Red Hill Interceptor Repairs	359,017	194,715	288,600
Total Collection System Improvement Projects	48,667,693	25,041,711	43,652,100

(Continued)

Capital Improvement Program Budget Review

Summary of Capital Improvement Construction Requirements - Current Year For the Six Months Ended December 31, 2020

	2020-21 Cashflow Budget	2020-21 Actual at 12/31/2020	2020-21 Projected Outlay
<u>Treatment & Disposal Projects</u>			
Headworks			
Headworks Rehabilitation at Plant 1	9,418,986	618,397	2,959,200
Headworks Modifications at P2 for GWRS Final Expansion	5,413,951	3,084,482	7,630,600
Subtotal - Headworks	14,832,937	3,702,879	10,589,800
Primary Treatment			
Primary Sedimentation Basins 3-5 Replacement at Plant 1	61,054	329	400
Primary Sedimentation Basins 6-31 Reliability Improv at P1	1,291,277	545,928	837,500
Primary Treatment Rehabilitation at Plant 2	8,087,122	3,421,321	6,241,100
Subtotal - Primary Treatment	9,439,453	3,967,578	7,079,000
Secondary Treatment			
Return Activated Sludge Piping Replacement at Plant 1	5,566,916	5,051,833	5,113,200
Return Activated Sludge Piping Replacement at Plant 2	6,075,061	1,762,519	3,898,000
Subtotal - Secondary Treatment	11,641,977	6,814,352	9,011,200
Solids Handling & Digestion			
Sludge Dewatering and Odor Control at Plant 1	896,419	288,281	454,700
Digester Ferric Chloride Piping Replacement at Plant 1	170,893	102,916	230,500
Sludge Dewatering and Odor Control at Plant 2	5,216,415	424,351	1,427,900
Interim Food Waste Receiving Facility	1,058,172	23,540	133,200
TPAD Digester Facility at Plant 2	1,787,669	758,562	7,859,600
Digesters Rehabilitation at Plant No. 2	589,432	-	-
Subtotal - Solids Handling & Digestion	9,719,000	1,597,650	10,105,900
Ocean Outfall Systems			
Ocean Outfall System Rehabilitation	26,108,350	9,621,964	21,507,500
Sodium Bisulfite Station Rehabilitation at Plant 2	101,848	-	101,900
Subtotal - Ocean Outfall Systems	26,210,198	9,621,964	21,609,400
Utility Systems			
Electrical Power Distribution System Improvements	1,823,293	408,276	1,369,500
Digester Gas Facilities Rehabilitation	4,282,106	1,847,926	4,784,400
Natural Gas Pipelines Replacement at Plants 1 and 2	1,038,492	225,985	1,126,400
Central Generation Engine Overhauls at Plants 1 and 2	291,727	4,942	75,100
Uninterruptable Power Supply Improvements at Plant 1	928,600	156,624	912,400
Consolidated Demolition and Utility Improvements at P2	914,715	32,932	73,000
Warehouse, Electrical, & 12kV Serv Center Replace at P2	717,257	97,585	950,600
Subtotal - Utility Systems	9,996,190	2,774,270	9,291,400

(Continued)

FY 2020-21 Mid-Year Financial Report

Summary of Capital Improvement Construction Requirements - Current Year For the Six Months Ended December 31, 2020

	2020-21 Cashflow Budget	2020-21 Actual at 12/31/2020	2020-21 Projected Outlay
Process Related Special Projects			
Safety Improvements Program	1,326,635	954,564	1,145,800
Subtotal - Process Related Special Projects	1,326,635	954,564	1,145,800
Information Management Systems			
Process Control Systems Upgrades	10,000	-	-
Project Management Information System	306,250	29,952	168,000
Information Technology Capital Program	3,061,700	483,415	1,395,100
Geographic Information System	59,707	175,790	190,000
EAM Software and Process Implementation	-	625,351	1,125,400
Process Control Systems Upgrades Study	1,355,751	418,332	1,115,100
Subtotal - Information Management Systems	4,793,408	1,732,840	3,993,600
Strategic & Master Planning			
Planning Studies Program	5,818,770	1,674,874	5,079,500
Subtotal - Strategic & Master Planning	5,818,770	1,674,874	5,079,500
Water Management Projects			
GWRS Final Expansion Coordination	243,477	148,948	295,900
Subtotal - Water Management Projects	243,477	148,948	295,900
Research			
Research Program	931,220	52,111	878,900
Subtotal - Research	931,220	52,111	878,900
Support Facilities			
Small Construction Projects Program	6,825,605	1,404,550	4,361,700
Operations & Maintenance Capital Program	1,442,561	987,604	3,528,500
Fleet Services UST Leak Remediation at Plant 1	-	112	284,900
Title 24 Access Compliance and Building Rehab Project	575,678	163,403	201,900
Headquarters Complex	6,339,527	1,942,431	8,867,900
South Perimeter Security & Utility Improvements at Plant 1	680,311	200,476	543,000
Support Buildings Seismic Improvements at Plant 1	259,739	-	14,200
Subtotal - Support Facilities	16,123,421	4,698,576	17,802,100

(Continued)

Capital Improvement Program Budget Review

Summary of Capital Improvement Construction Requirements - Current Year For the Six Months Ended December 31, 2020

	<u>2020-21 Cashflow Budget</u>	<u>2020-21 Actual at 12/31/2020</u>	<u>2020-21 Projected Outlay</u>
Others			
Capital Improvement Program Management Services	26,901	7,736	53,200
Subtotal - Others	<u>26,901</u>	<u>7,736</u>	<u>53,200</u>
Total Treatment and Disposal Projects	<u>111,103,587</u>	<u>37,763,884</u>	<u>96,988,800</u>
Capital Equipment Purchases	<u>5,061,800</u>	<u>903,770</u>	<u>5,061,800</u>
Total Collection, Treatment and Disposal Projects and Capital Equipment Purchases	164,833,080	63,709,365	145,702,700
Less: Savings and Deferrals	<u>(17,271,000)</u>	<u>-</u>	<u>-</u>
Net Collection, Treatment and Disposal Projects and Capital Equipment Purchases	<u>\$147,562,080</u>	<u>\$ 63,709,365</u>	<u>\$145,702,700</u>

FY 2020-21 Mid-Year Financial Report

Summary of Capital Improvement Construction Requirements - Project Life For the Six Months Ended December 31, 2020

	Approved Project Budget	June 30, 2020 Accumulated Cost	Current Year Projected Cost	Total Projected Cost at June 30, 2021	Remaining Future Budget
Collection System Improvement Projects					
Collections Facilities					
Santa Ana Trunk Sewer Rehabilitation	54,620,000	-	-	-	54,620,000
Greenville-Sullivan Trunk Improvements	48,600,000	-	-	-	48,600,000
Taft Branch Capacity Improvements	14,000,000	56,207	103,600	159,807	13,840,193
Newhope - Placentia Trunk Grade Separation Replacement	4,300,000	4,201,046	-	4,201,046	98,954
Newhope-Placentia Trunk Replacement	112,000,000	84,639,453	17,147,300	101,786,753	10,213,247
Yorba Linda Dosing Station Installation	14,080,000	-	-	-	14,080,000
Beach Relief / Knott / Miller Holder Trunk Rehabilitation	35,132,000	-	-	-	35,132,000
Westminster Blvd Force Main Replacement	44,000,000	11,848,266	14,659,600	26,507,866	17,492,134
Rehabilitation of Western Regional Sewers	70,000,000	18,006,959	1,574,900	19,581,859	50,418,141
Interstate 405 Widening Project Impacts on OC San Sewers	250,000	120,181	24,600	144,781	105,219
Seal Beach Pump Station Replacement	78,900,000	1,227,409	2,589,700	3,817,109	75,082,891
Los Alamitos Sub-Trunk Extension	84,124,000	-	-	-	84,124,000
Crystal Cove Pump Station Rehabilitation	13,200,000	-	-	-	13,200,000
Bay Bridge Pump Station Replacement	74,000,000	1,105,544	4,350,000	5,455,544	68,544,456
Newport Beach Pump Station Pressurization Improvements	4,300,000	118,338	203,100	321,438	3,978,562
District 6 Trunk Sewer Relief	7,250,000	7,154,952	6,000	7,160,952	89,048
MacArthur Pump Station Rehabilitation	9,800,000	-	-	-	9,800,000
Main Street Pump Station Rehabilitation	39,450,000	-	-	-	39,450,000
Gisler Red-Hill Interceptor & Baker Force Main Rehabilitation	21,000,000	75,383	1,084,600	1,159,983	19,840,017
MacArthur Force Main Improvement	2,468,000	-	30,000	30,000	2,438,000
North Trunk Improvements	9,200,000	-	-	-	9,200,000
Edinger Pump Station Replacement	10,153,000	-	-	-	10,153,000
Slater Pump Station Rehabilitation	26,622,000	-	-	-	26,622,000
Small Construction Projects Program - Collections	10,103,000	4,753,104	1,043,300	5,796,404	4,306,596
Operations & Maintenance Capital Program - Collections	623,000	153,952	144,800	298,752	324,248
Planning Studies Program - Collections	4,259,000	3,480,009	381,700	3,861,709	397,291
Research Program - Collections	154,000	46,250	-	46,250	107,750
SARI Rock Stabilizers Removal	4,860,000	3,699,556	20,300	3,719,856	1,140,144
Sunflower and Red Hill Interceptor Repairs	4,700,000	218,182	288,600	506,782	4,193,218
Total Collection System Improvement Projects	802,148,000	140,904,791	43,652,100	184,556,891	617,591,109

(Continued)

Capital Improvement Program Budget Review

Summary of Capital Improvement Construction Requirements - Project Life For the Six Months Ended December 31, 2020

	Approved Project Budget	June 30, 2020 Accumulated Cost	Current Year Projected Cost	Total Projected Cost at June 30, 2021	Remaining Future Budget
<u>Treatment & Disposal Projects</u>					
Headworks					
Headworks Rehabilitation at Plant 1	406,000,000	29,367,809	2,959,200	32,327,009	373,672,991
Headworks Modifications at P2 for GWRS Final Expansion	32,000,000	8,077,454	7,630,600	15,708,054	16,291,946
Subtotal - Headworks	438,000,000	37,445,263	10,589,800	48,035,063	389,964,937
Primary Treatment					
Primary Sedimentation Basins 3-5 Replacement at Plant 1	117,700,000	523,034	400	523,434	117,176,566
Primary Sedimentation Basins 6-31 Reliability Improv at P1	10,100,000	945,035	837,500	1,782,535	8,317,465
Primary Treatment Rehabilitation at Plant 2	237,000,000	28,788,870	6,241,100	35,029,970	201,970,030
B/C-Side Primary Clarifiers Rehabilitation at Plant 2	279,842,000	-	-	-	279,842,000
Subtotal - Primary Treatment	644,642,000	30,256,939	7,079,000	37,335,939	607,306,061
Secondary Treatment					
Return Activated Sludge Piping Replacement at Plant 1	10,300,000	4,038,731	5,113,200	9,151,931	1,148,069
Return Activated Sludge Piping Replacement at Plant 2	10,800,000	2,029,755	3,898,000	5,927,755	4,872,245
Activated Sludge Aeration Basin Rehabilitation at Plant 2	65,600,000	-	-	-	65,600,000
Subtotal - Secondary Treatment	86,700,000	6,068,486	9,011,200	15,079,686	71,620,314
Solids Handling & Digestion					
Sludge Dewatering and Odor Control at Plant 1	197,000,000	195,780,280	454,700	196,234,980	765,020
Digester Ferric Chloride Piping Replacement at Plant 1	1,360,000	124,687	230,500	355,187	1,004,813
Sludge Dewatering and Odor Control at Plant 2	90,477,000	85,102,044	1,427,900	86,529,944	3,947,056
Interim Food Waste Receiving Facility	6,300,000	1,289,539	133,200	1,422,739	4,877,261
TPAD Digester Facility at Plant 2	455,000,000	503,810	7,859,600	8,363,410	446,636,590
Digester P, Q, R, and S Replacement	165,900,000	-	-	-	165,900,000
Digesters Rehabilitation at Plant No. 2	40,632,000	-	-	-	40,632,000
Subtotal - Solids Handling & Digestion	956,669,000	282,800,360	10,105,900	292,906,260	663,762,740
Ocean Outfall Systems					
Ocean Outfall System Rehabilitation	166,000,000	58,201,457	21,507,500	79,708,957	86,291,043
Sodium Bisulfite Station Rehabilitation at Plant 2	3,834,000	-	101,900	101,900	3,732,100
Subtotal - Ocean Outfall Systems	169,834,000	58,201,457	21,609,400	79,810,857	90,023,143
Utility Systems					
Electrical Power Distribution System Improvements	26,500,000	388,036	1,369,500	1,757,536	24,742,464
Digester Gas Facilities Rehabilitation	173,000,000	8,304,560	4,784,400	13,088,960	159,911,040
Natural Gas Pipelines Replacement at Plants 1 and 2	1,610,000	471,007	1,126,400	1,597,407	12,593
Central Generation Engine Overhauls at Plants 1 and 2	26,000,000	-	75,100	75,100	25,924,900
Power Building Structural Seismic Improv at Plants 1 & 2	7,080,000	-	-	-	7,080,000

(Continued)

FY 2020-21 Mid-Year Financial Report

Summary of Capital Improvement Construction Requirements - Project Life For the Six Months Ended December 31, 2020

	Approved Project Budget	June 30, 2020 Accumulated Cost	Current Year Projected Cost	Total Projected Cost at June 30, 2021	Remaining Future Budget
Utility Systems (continued)					
Central Generation Rehabilitation at Plant 1	68,452,000	-	-	-	68,452,000
Uninterruptable Power Supply Improvements at Plant 1	7,000,000	444,334	912,400	1,356,734	5,643,266
12.47 kV Switchgear Replacement at CenGen at Plant 1	14,800,000	-	-	-	14,800,000
Network and Server Relocation at Plant 1	3,027,000	-	-	-	3,027,000
Consolidated Demolition and Utility Improvements at P2	30,000,000	29,343,019	73,000	29,416,019	583,981
Central Generation Rehabilitation at Plant 2	108,000,000	-	-	-	108,000,000
Warehouse, Electrical, & 12kV Serv Center Replace at P2	65,000,000	-	950,600	950,600	64,049,400
Subtotal - Utility Systems	530,469,000	38,950,956	9,291,400	48,242,356	482,226,644
Process Related Special Projects					
Safety Improvements Program	16,000,000	14,598,193	1,145,800	15,743,993	256,007
Subtotal - Process Related Special Projects	16,000,000	14,598,193	1,145,800	15,743,993	256,007
Information Management Systems					
Process Control Systems Upgrades	33,000,000	-	-	-	33,000,000
Project Management Information System	2,280,000	1,311,043	168,000	1,479,043	800,957
Information Technology Capital Program	10,000,000	1,265,752	1,395,100	2,660,852	7,339,148
Geographic Information System	4,700,000	3,370,462	190,000	3,560,462	1,139,538
EAM Software and Process Implementation	7,500,000	5,592,229	1,125,400	6,717,629	782,371
Process Control Systems Upgrades Study	3,400,000	1,810,226	1,115,100	2,925,326	474,674
Subtotal - Information Management Systems	60,880,000	13,349,712	3,993,600	17,343,312	43,536,688
Strategic & Master Planning					
Planning Studies Program	24,393,000	10,548,748	5,079,500	15,628,248	8,764,752
Subtotal - Strategic & Master Planning	24,393,000	10,548,748	5,079,500	15,628,248	8,764,752
Water Management Projects					
GWRS Final Expansion Coordination	1,132,000	409,905	295,900	705,805	426,195
Subtotal - Water Management Projects	1,132,000	409,905	295,900	705,805	426,195
Research					
Research Program	8,346,000	898,471	878,900	1,777,371	6,568,629
Subtotal - Research	8,346,000	898,471	878,900	1,777,371	6,568,629

(Continued)

Capital Improvement Program Budget Review

Summary of Capital Improvement Construction Requirements - Project Life For the Six Months Ended December 31, 2020

	Approved Project Budget	June 30, 2020 Accumulated Cost	Current Year Projected Cost	Total Projected Cost at June 30, 2021	Remaining Future Budget
Support Facilities					
Small Construction Projects Program	39,945,000	14,794,320	4,361,700	19,156,020	20,788,980
Operations & Maintenance Capital Program	14,999,000	2,232,839	3,528,500	5,761,339	9,237,661
Fleet Services UST Leak Remediation at Plant 1	14,952,000	1,202,456	284,900	1,487,356	13,464,644
Laboratory Rehabilitation at Plant 1	44,200,000	-	-	-	44,200,000
Title 24 Access Compliance and Building Rehab Project	18,400,000	17,648,352	201,900	17,850,252	549,748
Headquarters Complex	167,500,000	30,390,098	8,867,900	39,257,998	128,242,002
South Perimeter Security & Utility Improvements at Plant 1	10,000,000	1,171,563	543,000	1,714,563	8,285,437
Support Buildings Seismic Improvements at Plant 1	23,730,000	-	14,200	14,200	23,715,800
Collections Yard Relocation	1,840,000	-	-	-	1,840,000
Operations and Maintenance Complex at Plant 2	95,000,000	-	-	-	95,000,000
Subtotal - Support Facilities	430,566,000	67,439,628	17,802,100	85,241,728	345,324,272
Others					
Capital Improvement Program Management Services	700,000	302,928	53,200	356,128	343,872
Subtotal - Others	700,000	302,928	53,200	356,128	343,872
Additional Charges to CIP Completed at 6/30/20	-	-	53,100	53,100	(53,100)
Total Treatment and Disposal Projects	3,368,331,000	561,271,046	96,988,800	658,259,846	2,710,071,154
Capital Equipment Purchases	9,062,800	-	5,061,800	5,061,800	4,001,000
Total Collection, Treatment and Disposal Projects and Capital Equipment Purchases	\$ 4,179,541,800	\$702,175,837	\$145,702,700	\$847,878,537	\$3,331,663,263

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Capital Assets Schedule & Debt Service Budget Review

Capital Assets Schedule For the Three Months Ended December 31, 2020

Capital Facilities Budget Review

	<u>Balance 07/01/20</u>	<u>Year-to-Date Activity</u>	<u>Balance 12/31/20</u>
CONSTRUCTION IN PROGRESS:			
Treatment Plant	\$ 98,764,377	\$ 38,667,654	\$ 137,432,031
Collection System	265,166,458	25,041,711	290,208,169
Subtotal	<u>363,930,835</u>	<u>63,709,365</u>	<u>427,640,200</u>
PROPERTY, PLANT & EQUIPMENT (at cost):			
Land and Property Rights	41,967,355	-	41,967,355
Collection Lines and Pump Stations	892,975,053	-	892,975,053
Treatment Facilities	2,746,327,817	-	2,746,327,817
Effluent disposal facilities	96,972,016	-	96,972,016
Solids disposal facilities	3,463,236	-	3,463,236
General and administrative facilities	259,148,327	-	259,148,327
Excess purchase price over book value on acquired assets	19,979,000	-	19,979,000
Subtotal	<u>4,060,832,804</u>	<u>-</u>	<u>4,060,832,804</u>
Total Property, Plant & Equipment & CIP	<u>\$ 4,424,763,639</u>	<u>\$ 63,709,365</u>	<u>\$ 4,488,473,004</u>

Debt Service Budget Review

	<u>2020-21 Budget</u>	<u>Year-to-Date Payments</u>	<u>% of Budget</u>	<u>Remaining Budget</u>
Principal Payments by Debt Issue:				
2010A BABs	-	-	0.00%	-
2010C BABs	-	-	0.00%	-
2011A COP	-	-	0.00%	-
2012A COP	-	-	0.00%	-
2012B COP	17,390,000	-	0.00%	17,390,000
2014A COP	7,850,000	-	0.00%	7,850,000
2015A COP	-	-	0.00%	-
2016A COP	4,635,000	-	0.00%	4,635,000
2017A COP	555,000	-	0.00%	555,000
2018A CANs	-	-	0.00%	-
Subtotal Principal Payments	<u>30,430,000</u>	<u>-</u>	<u>0.00%</u>	<u>30,430,000</u>
Interest Expense by Debt Issue:				
2010A BABs	2,897,639	2,106,597	72.70%	791,042
2010C BABs	6,523,780	3,086,530	47.31%	3,437,250
2011A COP	3,348,350	1,674,175	50.00%	1,674,175
2012A COP	3,735,900	1,867,950	50.00%	1,867,950
2012B COP	1,145,650	572,825	50.00%	572,825
2014A COP	3,196,500	1,598,250	50.00%	1,598,250
2015A COP	6,375,500	3,187,750	50.00%	3,187,750
2016A COP	6,756,550	3,378,275	50.00%	3,378,275
2017A COP	3,318,500	1,659,250	50.00%	1,659,250
2018A CANs	5,110,000	2,555,000	50.00%	2,555,000
Subtotal Interest Expense	<u>42,408,369</u>	<u>21,686,602</u>	<u>51.14%</u>	<u>20,721,767</u>
Total Debt Service	<u>\$ 72,838,369</u>	<u>\$ 21,686,602</u>	<u>29.77%</u>	<u>\$ 51,151,767</u>

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Self Insurance Budget Review

General Liability and Property Fund Budget Review For the Six Months Ended December 31, 2020

	2020-21 Budget	Actual Through 12/31/20	Percent of Budget Through 12/31/20	Remaining 2020-21 Budget	Actual Through 12/31/19	Increase (Decrease)
Revenues:						
In-Lieu Premiums	\$ 1,471,000	\$ 1,102,494	74.95%	\$ 368,506	\$ 859,998	\$ 242,496
Service Department Allocations	-	3,552	N/A	(3,552)	(1,548)	5,100
Total Revenues	<u>1,471,000</u>	<u>1,106,046</u>	<u>75.19%</u>	<u>364,954</u>	<u>858,450</u>	<u>247,596</u>
Expenses:						
Benefits/Claims	40,000	-	0.00%	40,000	53,188	(53,188)
Legal Services	40,000	-	0.00%	40,000	-	-
Professional Services	20,000	-	0.00%	20,000	-	-
Subtotal	100,000	-	0.00%	100,000	53,188	(53,188)
Policy Premium Expense	1,980,000	970,096	48.99%	1,009,904	708,883	261,213
Total Expenses	<u>2,080,000</u>	<u>970,096</u>	<u>46.64%</u>	<u>1,109,904</u>	<u>762,071</u>	<u>208,025</u>
Excess Revenue (Expense)	(609,000)	135,950		<u>\$ (744,950)</u>	96,379	39,571
Beginning Reserves	98,609,000 ⁽¹⁾	98,648,623 ⁽¹⁾			55,389,842	43,258,781
Ending Reserves	<u>\$ 98,000,000</u>	<u>\$ 98,784,573</u>			<u>\$ 55,486,221</u>	<u>\$ 43,298,352</u>

⁽¹⁾ Beginning reserves were increased by \$43 million to align with approved catastrophic loss, or self-insurance criterion for non-reimbursed costs.

FY 2020-21 Mid-Year Financial Report

Workers' Compensation Fund Budget Review For the Six Months Ended December 31, 2020

	<u>2020-21 Budget</u>	<u>Actual Through 12/31/20</u>	<u>Percent of Budget Through 12/31/20</u>	<u>Remaining 2020-21 Budget</u>	<u>Actual Through 12/31/19</u>	<u>Increase (Decrease)</u>
Revenues:						
In-Lieu Premiums	\$ 518,800	\$ 259,400	50.00%	\$ 259,400	\$ 390,000	\$ (130,600)
Service Department Allocations	110,000	44,850	40.77%	65,150	54,348	(9,498)
Total Revenues	<u>628,800</u>	<u>304,250</u>	<u>48.39%</u>	<u>324,550</u>	<u>444,348</u>	<u>(140,098)</u>
Expenses:						
Benefits/Claims	420,000	193,539	46.08%	226,461	232,300	(38,761)
Legal Services	90,000	25,084	27.87%	64,916	58,078	(32,994)
Professional Services	50,000	34,313	68.63%	15,687	19,028	15,285
Subtotal	<u>560,000</u>	<u>252,936</u>	<u>45.17%</u>	<u>307,064</u>	<u>309,406</u>	<u>(56,470)</u>
Policy Premium Expense	220,000	102,385	46.54%	117,615	108,881	(6,496)
Total Expenses	<u>780,000</u>	<u>355,321</u>	<u>45.55%</u>	<u>424,679</u>	<u>418,287</u>	<u>(62,966)</u>
Excess Revenue (Expense)	<u>(151,200)</u>	<u>(51,071)</u>		<u>\$ (100,129)</u>	26,061	(77,132)
Beginning Reserves	<u>2,151,200</u>	<u>2,235,687</u>			<u>2,036,708</u>	<u>198,979</u>
Ending Reserves	<u>\$ 2,000,000</u>	<u>\$ 2,184,616</u>			<u>\$ 2,062,769</u>	<u>\$ 121,847</u>

January 31, 2021

STAFF REPORT

Mid-Year Treasurer's Report
For the Period Ended December 31, 2020

SUMMARY

Section 17.0 of the Orange County Sanitation District's (Sanitation District) Investment Policy includes quarterly reporting requirements for the Sanitation District's two investment portfolios. These two funds, the "Liquid Operating Monies," and the "Long-Term Operating Monies" are managed by Chandler Asset Management, the Sanitation District's external money manager.

The ongoing monitoring of the Sanitation District's investment program by staff and Callan Associates, the Sanitation District's independent investment advisor, indicates that the Sanitation District's investments are in compliance with the Sanitation District's adopted Investment Policy and the California Government Code, and that overall performance has tracked with benchmark indices. In addition, sufficient liquidity and anticipated revenues are available for the Sanitation District to meet budgeted expenditures for the next six months. The Sanitation District portfolios do not include any reverse repurchase agreements or derivative securities.

ADDITIONAL INFORMATION

Performance Reports

The Quarterly Strategy Review, prepared by Chandler Asset Management, and the Investment Measurement Service Quarterly Review, prepared by Callan Associates, is attached for reference. Also attached are Long-Term and Liquid Operating Monies Summary of Performance Data and Portfolio Statistics charts that depict the performance results, estimated yield and duration, credit quality, and sector diversification of the Sanitation District portfolios, as of December 31, 2020. The Liquid Operating Monies portfolio, with an average maturity of 120 days, consists entirely of high quality fixed income investments consistent with the Sanitation District's investment policy.

Portfolio Performance Summary

The following table presents a performance summary of the Sanitation District portfolios as compared to their benchmarks as of December 31, 2020.

Quarterly Treasurer's Report
For the Period Ended December 31, 2020
Page 2 of 4

Portfolio Performance Summary As of December 31, 2020				
	Liquid Operating Monies (%)		Long-Term Operating Monies (%)	
	Total Rate of Return	Benchmark ⁽¹⁾	Total Rate of Return	Benchmark ⁽¹⁾
3 Months	0.03	0.03	0.21	0.15
6 Months	0.07	0.07	0.50	0.39
9 Months	0.14	0.09	1.83	1.43
12 Months	0.87	0.67	4.39	4.43
Annualized Since inception 30 Nov 2014	1.12	0.99	2.26	2.22
Market Value	\$225.7 M		\$657.6 M	
Average Quality	"AAA"/"Aaa"		"AA"/"Aa1"	
Current Yield (%)	0.9		1.8	
Estimated Yield to Maturity (%)	0.1		0.2	
Quarterly Deposits (Withdrawals)	\$97.0 M		\$31.0 M	
Estimated Annual Income	\$0.3 M		\$11.7 M	

(1) Benchmarks:

- Liquid Operating Portfolio: ICE BAML 3-Month Treasury Bill Index
- Long-Term Operating Portfolio: ICE BAML Corp/Govt. 1-5 Year Bond Index

Portfolio Market Values

Comparative marked-to-market quarter-end portfolio values are shown in the following table, and in the attached bar chart.

Quarter Ending	Liquid Operating Monies (\$M)	Long-Term Operating Monies (\$M)
31 Mar 20	113.5	590.3
30 Jun 20	178.6	623.3
30 Sep 20	128.7	625.2
31 Dec 20	225.7	657.6

Orange County Sanitation District Investment Account Balances as of December 31, 2020

Investment Accounts	Book Balances December 31, 2020	Estimated Yield (%)
State of California LAIF	\$74,534,691	0.54
Banc of California – General	3,000,000	0.55
Banc of California – Sweep	339,879	0.11
Banc of California – Workers' Compensation	82,428	0.55
Banc of California – Property, Liability Claim, Exp	50,000	0.55
Union Bank – Mount Langley	261,213	0.70
Union Bank – Bandilier	549,348	0.70
Chandler/U.S. Bank – Short-Term Portfolio	225,711,282	0.14
Chandler/U.S. Bank – Long-Term Portfolio	657,618,803	0.22
Petty Cash	6,500	0.00
BNY Mellon OCIP Reserve	500,619	0.00
TOTAL	<u>\$962,654,763</u>	0.23
Debt Service Reserves w/Trustees	\$129	0.01

Orange County Sanitation District Cost of Funds on Debt Issues as of December 31, 2020

Cost of Funds Issue Description	Outstanding COP Balance	Annual Interest Rate (%)
2010A Fixed	80,000,000	3.68
2010C Fixed	157,000,000	4.11
2011A Fixed	75,370,000	2.61
2012A Fixed	100,645,000	3.54
2012B Fixed	25,560,000	1.50
2014A Fixed	63,930,000	2.34
2015A Fixed	127,510,000	3.30
2016A Fixed	141,465,000	3.02
2017A Fixed	66,370,000	2.55
2018A Fixed	<u>102,200,000</u>	2.02
TOTAL	<u>\$940,050,000</u>	
Weighted Avg. Cost of Funds		3.09

ATTACHMENTS

1. Chandler Quarterly Report
2. Summary of Performance Data and Portfolio Statistics – Liquid Operating Monies
3. Summary of Performance Data and Portfolio Statistics – Long Term Operating Monies
4. Investment Transactions and Balances in LAIF
5. Asset Summary by Asset Type – Liquid Operating Portfolio
6. Asset Summary by Asset Type – Long Term Portfolio
7. Asset Summary by Asset Type – Owner Controlled Insurance Program Escrow Account
8. Investment Listing (Yield Analysis Report)
9. Asset Detail – Consolidated
10. Custody Transaction History – Consolidated
11. Callan Quarterly Review
12. Chandler Quarterly Review
13. Rating Agency Comparisons

December 31, 2020

Mr. Lorenzo Tyner
Assistant General Manager
Director of Finance and Administrative Services
Orange County Sanitation District
10844 Ellis Avenue
Fountain Valley CA 92708-7018

Dear Lorenzo,

Bond Market Recap

While we remain optimistic about the longer-term outlook, recent economic data suggests that the economy has lost momentum as virus cases have risen. We believe the near-term will remain challenging as the labor market remains under pressure and many regions have renewed business restrictions due to the virus. However, the passage of a new \$900 billion COVID-19 fiscal relief bill should help cushion the economy over the next few months, and we believe the incoming Presidential administration will have a keen focus on accelerating vaccine distribution and getting the economy back on track. While the vaccine rollout has gotten off to a slow start, we expect more widespread distribution of vaccines in the second and third quarter of 2021. We also expect the Fed's highly accommodative monetary policy framework will continue to provide support for the financial markets.

The Federal Open Market Committee (FOMC) kept monetary policy unchanged at their December meeting as expected, with the fed funds target rate in a range of 0.0% to 0.25%. The Fed intends to remain highly accommodative until their goals of maximum employment and higher inflation are achieved. The Fed's summary of economic projections continues to signal that the target fed funds rate will remain unchanged until at least 2023, as policymakers do not expect inflation to exceed 2.0% during that timeframe. Until the Fed has made substantial progress toward achieving their dual mandate of maximum employment and price stability, they have set a floor for monthly asset purchases of at least \$80 billion per month of Treasuries and \$40 billion per month of agency mortgage-backed securities. Notably, the Fed's outlook for GDP over the next few years was revised higher and the outlook for unemployment was revised lower compared with their previous forecasts in September, which suggests increased optimism. Nevertheless, the outlook remains uncertain and Fed Chair Powell indicated that the Fed would increase policy accommodation further if progress toward their dual mandate slows.

The Treasury yield curve steepened in December, due at least in part by favorable developments on the vaccine front and anticipation of improving economic activity in 2021. The yield on 2-year Treasuries was down slightly to 0.12% while the yield on 10-year Treasuries was up nearly eight basis point to 0.92%.

In 2020, Treasury yields declined but the curve steepened as short-term rates declined more than long-term rates. The 3-month T-bill yield was down 149 basis points, the 2-year Treasury yield was down 145 basis points, and the 10-Year Treasury yield was down 100 basis points, year-over-year.

Consumer Prices

The Consumer Price Index (CPI) was up 1.2% year-over-year in November, unchanged from October. Core CPI (CPI less food and energy) was up 1.6% year-over-year in November, also unchanged from October. The Personal Consumption Expenditures (PCE) index was up 1.1% year-over-year in November, versus up 1.2% year-over-year in October. Core PCE, which is the Fed's primary inflation gauge, was up 1.4% year-over-year in November, unchanged from October. Inflation remains below the Fed's target.

Retail Sales

Consumer spending trends softened in November. On a year-over-year basis, retail sales were up 4.1% in November versus 5.5% in October. On a month-over-month basis, retail sales declined 1.1% in November, with broad-based declines in many categories on a seasonally adjusted basis. Excluding vehicles and gas, retail sales fell 0.8% in November, following a 0.1% decline in October. Notably, retail sales make up roughly one third of the personal consumption expenditures component of US gross domestic product (GDP), while services revenue comprises roughly two thirds. Spending on services has been hit particularly hard by the pandemic and lagged the pick-up in overall third quarter GDP. While retail sales remain higher on a year-over-year basis, we believe this has been partially boosted by the contraction in spending on services.

Labor Market

U.S. nonfarm payrolls declined by 140,000 in December. It was the first monthly decline in nonfarm payrolls since April of last year and came in well below expectations for a 50,000 gain. The monthly decline was led by the leisure and hospitality sector which experienced a 498,000 net decline in payrolls in December, along with modest declines in government jobs and education and health services. The unemployment rate was unchanged in December at 6.7% and has improved significantly from the peak of 14.8% last April. Nevertheless, more than 10.7 million people remain unemployed. Workers who classified themselves as employed but absent from work in December continued to understate the unemployment rate by about 0.6%. The U-6 underemployment rate, which includes those who are marginally attached to the labor force and employed part time for economic reasons, remained high but declined to 11.7% in December from 12.0% in November. The labor participation rate was unchanged at 61.5% in December and remains well below pre-pandemic levels.

Housing Starts

Total housing starts increased 1.2% in November to an annual pace of 1,547,000. Single family starts inched up 0.4% to a very strong annualized rate of 1,186,000, while multi-family starts increased 4.0% to an annualized rate of 361,000. On a year-over-year basis, total housing starts were up 12.8% in November, driven by growth in single-family starts. Meanwhile, permits were up 6.2% on a month-over-month basis in November, to an annualized rate of 1,639,000 (the strongest rate since 2006).

TREASURY YIELDS	12/31/2020	9/30/2020	CHANGE
3 Month	0.07	0.09	(0.02)
2 Year	0.2	0.13	0.07
3 Year	0.17	0.16	0.01
5 Year	0.36	0.28	0.08
7 Year	0.65	0.47	0.18
10 Year	0.92	0.68	0.24
30 Year	1.65	1.46	0.19

Economic Data has Softened with a Resurgence of the Virus

ECONOMIC INDICATOR	Current Release	Prior Release	One Year Ago
Trade Balance	(68.14) \$Bln NOV 20	(63.11) \$Bln OCT 20	(41.05) \$Bln NOV 19
Gross Domestic Product	33.40% SEP 20	(31.40%) JUN 20	2.60% SEP 19
Unemployment Rate	6.70% DEC 20	6.70% NOV 20	3.60% DEC 19
Prime Rate	3.25% DEC 20	3.25% NOV 20	4.75% DEC 19
Commodity Research Bureau Index	167.80 DEC 20	160.06 NOV 20	185.79 DEC 19
Oil (West Texas Int.)	\$48.52 DEC 20	\$45.34 NOV 20	\$61.06 DEC 19
Consumer Price Index (y/o/y)	1.20% NOV 20	1.20% OCT 20	2.10% NOV 19
Producer Price Index (y/o/y)	(1.30%) NOV 20	(1.10%) OCT 20	(1.00%) NOV 19
Dollar/Euro	1.22 DEC 20	1.19 NOV 20	1.12 DEC 19

Source: Bloomberg

Performance Attribution

Long-Term Portfolio

The portfolio generated a positive absolute and relative return during the quarter of 0.21% compared to the 0.15% return of the ICE Bank of America Merrill Lynch 1-5 Year US Corporate and Government AAA-A Index. The overweight to the Agency sector compared to the benchmark aided the performance of the portfolio. The out of benchmark exposure to the Asset Backed sector was also beneficial as spreads in the Agency, Asset Backed and Corporate sectors all rallied during the quarter. The Corporate allocation was a modest detractor from performance per the attribution model due to the underlying mix of securities. The OC San portfolio has an up in quality bias within the underlying Corporate holdings in the portfolio and the lower quality portions of the benchmark experienced greater spread compression during the quarter. The Chandler team will continue to optimize the structure of the portfolio and underlying mix of securities to deliver consistent, stable investment returns over the coming quarters.

Multiple securities were purchased across the Treasury, Agency, Supranational, Certificate of Deposit and Corporate sectors of the allocation. The purchased securities ranged in maturity from February 2021 to December 2025. Two securities were sold, several matured, and \$31 million was contributed into the portfolio to facilitate the new holdings. The sector allocation was relatively stable. The Supranational exposure increased due to the Chandler team participating in a new issue deal in the sector while the ABS allocation contracted due to the pay down of principal and interest during the quarter. The duration of the portfolio contracted to 2.44 compared to 2.52 at the end of the prior quarter. The large cash contribution late in the year contributed to the shortening of the duration of the portfolio. The Chandler team will be working to keep the duration close to the benchmark duration in coming quarters.

Liquid Portfolio

Many securities were purchase across the Treasury, Agency, and Certificate of Deposit sectors to keep the portfolio positioned consistent with the strategy and to spend down the \$97 million contribution late in December. The purchased securities ranged in maturity between January 2021 to July 2021. Multiple securities also matured during the quarter. The sector allocation was relatively stable. The Treasury allocation increased to 81.2% of the portfolio due to the large contribution late in the year when liquidity in other investment vehicles was lacking. The duration of the portfolio was stable ending the quarter at 0.33 compared to 0.32 at the end of September.

Economic Outlook

Increasing coronavirus case counts and the subsequent decrease in consumer mobility was poised to adversely impact the market and economic outlook in the fourth quarter of 2020. However, in early November markets received unambiguous positive news with the results of the clinical trial for the Pfizer BioNTech Vaccine being released and exhibiting a very high efficacy rate for the COVID-19 coronavirus. The timeline for a viable vaccine was consistent with market expectations however the high efficacy rate was viewed as “new news” which changed sentiment and propelled risk assets higher. Markets began to aggressively position for the “reopening trade” as both investment grade and high yield credit spreads moved tighter, and equity market breadth improved materially with the small cap sector outperforming the large cap sector. Consistent with the improved global outlook correlated with the vaccine developments, the US dollar moved lower and Treasury yields moved moderately higher, with longer maturity yields moving higher at a faster pace as the Treasury curve began to steepen.

Political rhetoric related to the election and additional fiscal stimulus dominated the headlines throughout the quarter. Despite the almost daily back and forth between Congressional leadership, late in the quarter additional fiscal stimulus was finally passed, which should help to stabilize the economy as the vaccination process quickens in Q1 and Q2 of 2021. The incoming Biden administration is also expected to seek further fiscal support to enhance economic growth in 2021. Additionally, the Federal Reserve continues to provide strong support to the economic recovery despite the sunset of several liquidity tools implemented at the height of the crisis in March and April of 2020. The Chandler team does not have any immediate concerns about the expiration of the Fed backstops. In the event the market becomes dislocated again due to another exogenous shock to the economy we have a high level of confidence the US Treasury and Federal Reserve would work closely together to reimplement the tools to stabilize markets. The Federal Reserve also updated their Summary of Economic Projections in mid-December. The Fed continues to emphasize a willingness to keep policy highly stimulative until their dual mandate of full employment and stable prices is achieved. Notably, the Fed is looking for inflation to average 2% over the cycle and is expressing a willingness to tolerate inflation above the target for a period of time to make up for the shortfalls below the target over the past decade. Market based measure of inflation continue to price in a higher probability of the Fed meeting their inflation objective as the Ten Year TIP breakeven spread – a market based measure of longer term inflation expectations – increased to 1.99% as of December 31 compared to 1.63% at the end of September. The Chandler team expects the Fed Funds rate to remain at the zero lower bound for all of 2021 and is closely monitoring market based measures of inflation; the Ten Year TIP breakeven spread needs to trade in a consistent range of 2.30% to 2.60% for a period of time before Fed officials would consider altering their stance on the zero lower bound in Chandler’s view.

Economic data continues to recover from the shock to the system in March and April of 2020. However, many metrics will not fully recover until a large portion of the domestic population has achieved immunity from the coronavirus. Nonfarm payrolls were robust through the summer, but the rate of improvement slowed late in the year. The three month moving average on nonfarm payroll growth moved down to 283k in December compared to 1,321k as of September. The U3 unemployment rate is currently at 6.7%, after having topped out at 14.8% in April 2020 while the U6 Underemployment rate remains elevated at 11.7% compared to 22.9% in April. The manufacturing indices have been a bright spot, with the ISM Manufacturing Index reaching a YTD high in December at 60.7 with the ISM Non-Manufacturing Index most recent reading at 57.2. The consumer facing portion of the economy continues to face strong headwinds, however the Chandler team is confident substantial pent-up demand has the potential to propel the economy forward in the 2nd half of 2021. The current fiscal and monetary policy settings should continue to provide a constructive backdrop for asset prices in 2021 despite the secular changes to the economy due to the pandemic.

Strategy

Strategy highlights for the Long-Term Portfolio in coming months:

- Focus on positioning the portfolio with a term structure and asset allocation that will benefit the performance as the domestic economy gradually reopens through the course of 2021 with the distribution of vaccines to combat the COVID-19 coronavirus.
 - Utilize the new issue market in the Corporate and ABS sector to increase exposure.
 - Remain opportunistic and patient in adding risk exposure to the portfolio as valuations at year-end were full.
 - Selectively increase exposure to the Supranational sector while it is trading at a relative value discount to the Agency sector.
- Monetary policy is poised to remain at the zero lower bound for all of 2021. The Chandler team anticipates keeping the duration of the portfolio consistent with the benchmark during the coming quarters.

Strategy highlights for the Liquidity Portfolio in coming months:

- Continue to ladder the Treasury and Agency exposure to coincide with forecasted liquidity needs.
- Opportunistically add Corporate, Negotiable CD and Commercial Paper exposure to the portfolio where the additional spread compensation versus like maturity Treasury notes is attractive.
- Maintain a dedicated exposure to the Treasury sector on an ongoing basis to ensure ample liquidity in the portfolio for unexpected cash flow needs.

Compliance Issues

Orange County Sanitation District Long Term

Assets managed by Chandler Asset Management are in full compliance with state law and with the investment policy

Category	Standard	Comment
Treasury Issues	10% minimum; 5 years max maturity	Complies*
U.S. Agencies	20% max per agency of the U.S. Government, which does not provide the full faith and credit of the U.S. government; 5 years max maturity	Complies
Supranational Obligations	"AA" rated or better by a NRSRO; 30% maximum; 5 years max maturity; U.S. dollar denominated senior unsecured unsubordinated obligations issued or unconditionally guaranteed by the International Bank for Reconstruction and Development ("IBRD"), the International Finance Corporation ("IFC") or the Inter-American Development Bank ("IADB")	Complies
Corporate Medium Term Notes	"A" rated or better long term debt by a NRSRO; 30% maximum; 5% max issuer; 5 years max maturity; Issued by corporations organized and operating within the U.S. or issued by depository institutions licensed by the U.S. or any state and operating within the U.S.	Complies
Municipal Securities	"A" rated or higher by a NRSRO; Taxable or tax-exempt municipal bonds issued by any of the 50 states; 10% maximum; 5% max issuer; 5 years max maturity	Complies
Mortgage-Backed Securities/ Collateralized Mortgage Obligations/ Asset-Backed Securities	"AA" rated or better by a NRSRO; 20% maximum (combined MBS/CMO/ABS); 5% max issuer (except U.S. government or its agencies); 5 years max maturity	Complies*
Negotiable Certificates of Deposit (NCD)	"A" rated or better long term debt by a NRSRO; or "A-1"/ highest short term rating by a NRSRO; 30% maximum; 5% max issuer; 5 years max maturity	Complies
Certificates of Deposit	5% max issuer; 5 years max maturity; Secured/ collateralized	Complies
Banker's Acceptances	A-1 rated or highest short term rating by a NRSRO; 40% maximum; 5% max issuer; 180 days max maturity	Complies
Commercial Paper	A-1 rated or better by a NRSRO; "A" rated or better long term debt issuer by a NRSRO; Issuer is a corporation organized and operating in the U.S. with assets > \$500 million; 25% maximum; 5% max issuer; 10% max of the outstanding commercial paper of any single issuer; 270 days max maturity	Complies
Mutual Fund & Money Market Mutual Fund	Highest rating or "AAA" rated by two NRSROs; SEC registered adviser with AUM >\$500 million and experience > than 5 years; 20% maximum in Mutual Funds; 10% per one Mutual Fund; 20% max per issuer on Money Market Mutual Funds; 20% max of OCSD's surplus money	Complies
Repurchase Agreements	102% collateralization	Complies
Reverse Repurchase Agreements	5% maximum, 90 days max maturity	Complies
Local Agency Investment Fund (LAIF)	No more than the lesser of 15% of the portfolio or the statutory maximum invested in LAIF; Not used by investment adviser; Investment of OCSD funds in LAIF shall be subject to investigation and due diligence prior to investing	Complies
OCCIP	15% maximum; Not used by investment adviser; Orange County Treasurer's Money Market Commingled Investment Pool; Investment of OCSD funds in OCCIP shall be subject to investigation and due diligence prior to investing	Complies
Prohibited	Mortgage Derivatives, which include interest-only payments (IOs) and principal-only payments (POs); Inverse floaters, and RE-REMICS (Real Estate Mortgage Investment Conduits)	Complies
Avg Duration	Not to exceed 60 months - (80% to 120% of the benchmark)	Complies
Max Per Holding	5% max of the total debt outstanding of any issuer per individual holding	Complies
Max Per Issuer	5% max per issuer (except Supranationals, U.S. Government, Agencies, Mutual Fund)	Complies
Maximum Maturity	5 years maximum maturity	Complies*

*The portfolio has twenty (20) securities with maturities greater than 5 years including four (4) CMOs and sixteen (16) MBS. All securities were inherited from the previous manager and complied at time of purchase.

Orange County Sanitation District Liquid

Assets managed by Chandler Asset Management are in full compliance with state law and with the investment policy

Category	Standard	Comment
Treasury Issues	10% minimum; 1 year max maturity	Complies
U.S. Agencies	20% max per agency of the U.S. Government, which does not provide the full faith and credit of the U.S. government; 1 year max maturity	Complies
Supranational Obligations	"AA" rated or better by a NRSRO; 30% maximum; 1 year max maturity; U.S. dollar denominated senior unsecured unsubordinated obligations issued or unconditionally guaranteed by the International Bank for Reconstruction and Development ("IBRD"), the International Finance Corporation ("IFC") or the Inter-American Development Bank ("IADB")	Complies
Corporate Medium Term Notes	"A" rated or better long term debt by a NRSRO; 30% maximum; 5% max issuer; 1 year max maturity; Issued by corporations organized and operating within the U.S. or issued by depository institutions licensed by the U.S. or any state and operating within the U.S.	Complies
Municipal Securities	"A" rated or higher by a NRSRO; Taxable or tax-exempt municipal bonds issued by any of the 50 states; 10% maximum; 5% max issuer; 1 year max maturity	Complies
Mortgage-Backed Securities/ Collateralized Mortgage Obligations/ Asset-Backed Securities	"AA" rated or better by a NRSRO; 20% maximum (combined MBS/CMO/ABS); 5% max issuer (except U.S. government or its agencies); 1 year max maturity	Complies
Negotiable Certificates of Deposit (NCD)	"A" rated or better long term debt by a NRSRO; or "A-1"/ highest short term rating by a NRSRO; 30% maximum; 5% max issuer; 1 year max maturity	Complies
Certificates of Deposit	5% max issuer; 1 year max maturity; Secured/collateralized	Complies
Banker's Acceptances	A-1 rated or highest short term rating by a NRSRO; 40% maximum; 5% max issuer; 180 days max maturity	Complies
Commercial Paper	A-1 rated or better by a NRSRO; "A" rated or better long term debt issuer by a NRSRO; Issuer is a corporation organized and operating in the U.S. with assets > \$500 million; 25% maximum; 5% max issuer; 10% max of the outstanding commercial paper of any single issuer; 270 days max maturity	Complies
Mutual Fund & Money Market Mutual Fund	Highest rating or "AAA" rated by two NRSROs; SEC registered adviser with AUM >\$500 million and experience > than 5 years; 20% maximum in Mutual Funds; 10% per one Mutual Fund; 20% max per issuer on Money Market Mutual Funds; 20% max of OCSD's surplus money	Complies
Repurchase Agreements	102% collateralization	Complies
Reverse Repurchase Agreements	5% maximum, 90 days max maturity	Complies
Local Agency Investment Fund (LAIF)	No more than the lesser of 15% of the portfolio or the statutory maximum invested in LAIF; Not used by investment adviser; Investment of OCSD funds in LAIF shall be subject to investigation and due diligence prior to investing	Complies
OCCIP	15% maximum; Not used by investment adviser; Orange County Treasurer's Money Market Commingled Investment Pool; Investment of OCSD funds in OCCIP shall be subject to investigation and due diligence prior to investing	Complies
Prohibited	Mortgage Derivatives, which include interest-only payments (IOs) and principal-only payments (POs); Inverse floaters, and RE-REMICS (Real Estate Mortgage Investment Conduits)	Complies
Avg Duration	Not to exceed 180 days	Complies
Max Per Holding	5% max of the total debt outstanding of any issuer per individual holding	Complies
Max Per Issuer	5% max per issuer (except Supranationals, U.S. Government, Agencies, Mutual Fund)	Complies
Maximum Maturity	1 year maximum maturity	Complies

OC SAN Lehman Exposure
Assets managed by Chandler Asset Management are in full compliance with state law and with the investment policy

Category	Standard	Comment
Treasury Issues	5 years maximum maturity	Complies
Supranational	"AA" or better by 1 of 3 NRSROs; 30% maximum; 5% max; 5 years maturity; Includes only: IADB, IBRD, and IFC per CGC	Complies
U.S. Agencies	20% max issuer; 5 years maximum maturity	Complies
U.S. Corporate (MTNs)	"A" or better long term rating by 1 of 3 NRSROs; 30% maximum; 5% max issuer; 5 years max maturity	Complies*
Municipal Securities	"A" or higher by 1 of 3 NRSROs; 10% maximum; 5% max issuer; 5 years maximum maturity	Complies
Asset Backed/ CMOs/ Mortgage-backed	"AA" or better by 1 of 3 NRSROs; "A" or higher issuer rating by 1 of 3 NRSROs; 20% maximum; 5% max issuer (excluding MBS/govt agency); 5 years max maturity	Complies
Negotiable CDs	"A" or better on its long term debt by 1 of 3 NRSROs ; "A1/P1" or highest short term ratings by 1 of 3 NRSROs; 30% maximum; 5% max issuer; 5 years max maturity	Complies
CDs/ TDS	5% max issuer; 5 years max maturity	Complies
Banker's Acceptances	A-1, or equivalent highest short term rating by 1 of 3 NRSROs; 40% maximum; 5% max issuer; 180 days max maturity	Complies
Commercial Paper	A-1, or equivalent by 1 of 3 NRSROs; "A" or better by 1 of 3 NRSROs, if long term debt issued; 25% maximum; 5% max issuer; 270 days max maturity	Complies
Money Market Fund	Highest rating by 2 of 3 NRSROs; 20% maximum; 10% max issuer	Complies
Repurchase Agreements	102% collateralization	Complies
Reverse Repurchase Agreements	5% maximum, 90 days max maturity	Complies
LAIF	Not used by investment adviser	Complies
Avg Duration	Not to exceed 60 months - (80% to 120% of the benchmark)	Complies
Maximum Maturity	5 years maximum maturity	Complies

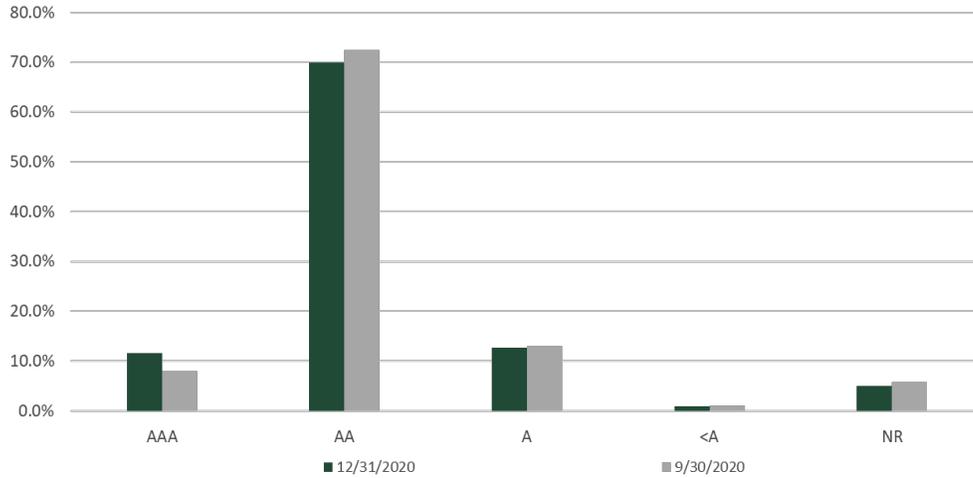
* Account holds \$2 million face value (cusip 525ESCOY6) and \$600,000 face value (cusip 525ESC1B7) of defaulted Lehman Bros Holdings that were purchased by the previous manager. Complied at time of purchase.

Defaulted Bonds
OC SAN Lehman Exposure - Account #10284

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
Common Stock									
SLHOPNTA4	Lehman Brothers, Inc Open Position Long Exposure 0.000% Due 12/31/2020	60,641.49	11/21/2014 0.00%	57,842.64 57,842.64	0.42 0.00%	25,621.03 0.00	46.80% (32,221.61)	NR / NR NR	0.00 0.00
TOTAL Common Stock		60,641.49	0.00%	57,842.64	0.00%	25,621.03 0.00	46.80% (32,221.61)	NR / NR NR	0.00 0.00
Corporate									
525ESCIB7	Lehman Brothers Note-Defaulted 0.000% Due 01/24/2021	600,000.00	09/19/2008 0.00%	318,131.38 318,131.38	1.12 0.00%	6,720.00 0.00	12.28% (311,411.38)	NR / NR NR	0.07 0.00
525ESCOY6	Lehman Brothers Note-Defaulted 0.000% Due 10/22/2049	2,000,000.00	09/18/2008 0.00%	1,025,037.05 1,025,037.05	1.12 0.00%	22,400.00 0.00	40.92% (1,002,637.05)	NR / NR NR	28.83 0.00
TOTAL Corporate		2,600,000.00	0.00%	1,343,168.43	0.00%	29,120.00 0.00	53.20% (1,314,048.43)	NR / NR NR	22.19 0.00
TOTAL PORTFOLIO		2,660,641.49	0.00%	1,401,011.07	0.00%	54,741.03 0.00	100.00% (1,346,270.04)	NR / NR NR	11.80 0.00
TOTAL MARKET VALUE PLUS ACCRUALS						54,741.03			

Ratings

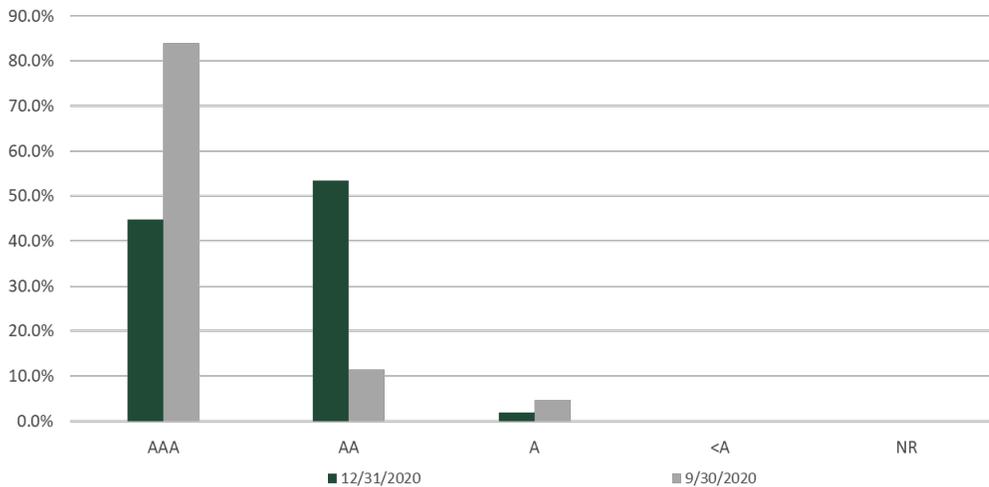
Orange County Sanitation District Long Term
December 31, 2020 vs. September 30, 2020



	AAA	AA	A	<A	NR
12/31/20	11.5%	69.9%	12.7%	0.9%	5.0%
09/30/20	7.9%	72.5%	13.0%	1.0%	5.7%

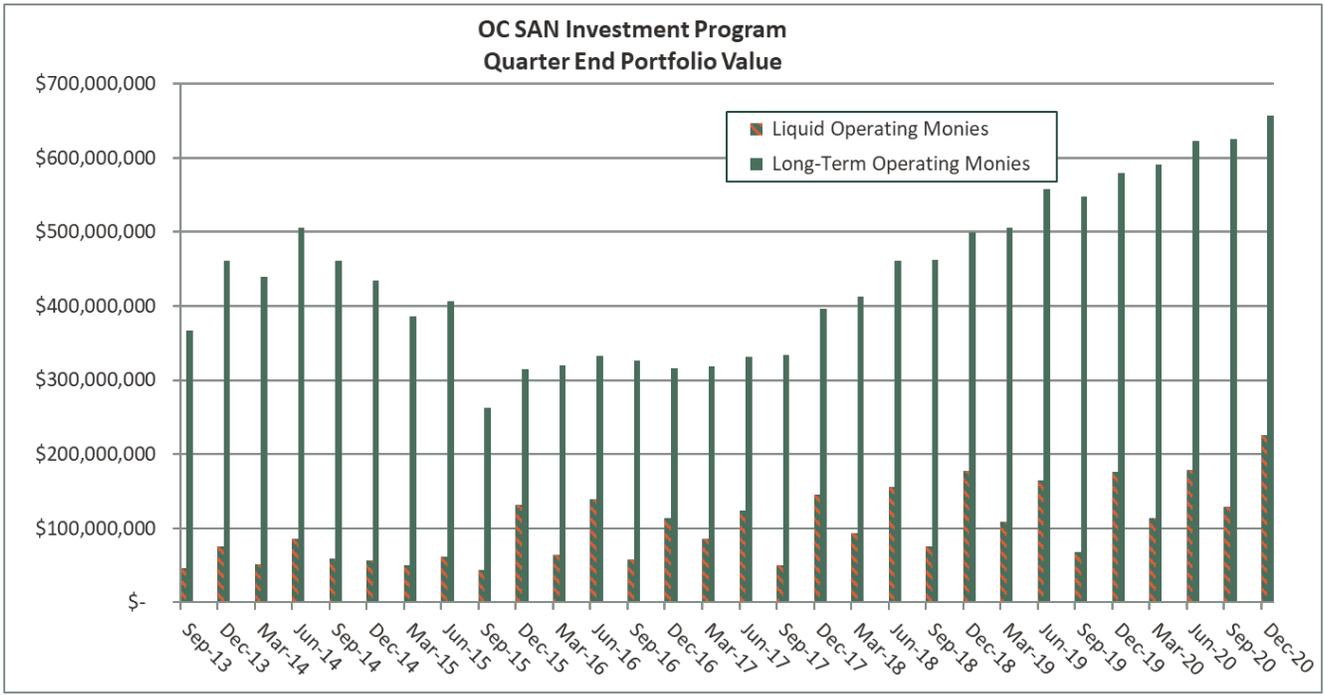
Source: S&P Ratings

Orange County Sanitation District Liquid
December 31, 2020 vs. September 30, 2020

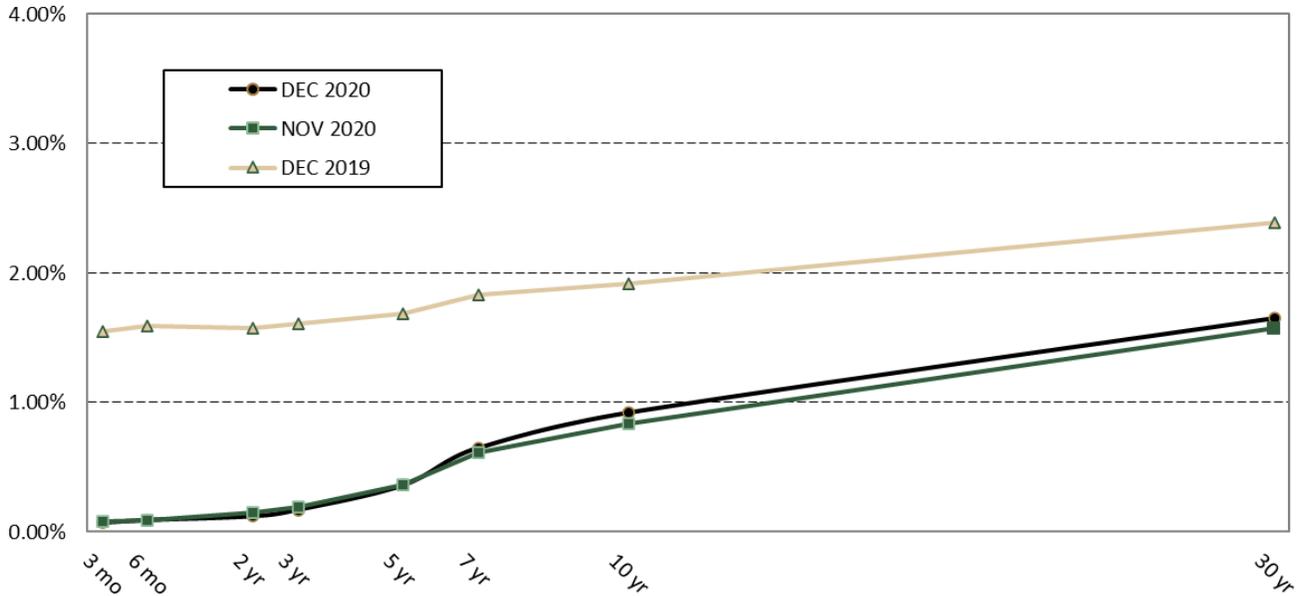


	AAA	AA	A	<A	NR
12/31/20	44.7%	53.4%	1.9%	0.0%	0.0%
09/30/20	83.9%	11.4%	4.7%	0.0%	0.0%

Source: S&P Ratings



HISTORICAL YIELD CURVE





PORTFOLIO CHARACTERISTICS

Average Modified Duration	0.33
Average Coupon	0.87%
Average Purchase YTM	0.13%
Average Market YTM	0.14%
Average S&P/Moody Rating	AAA/Aaa
Average Final Maturity	0.33 yrs
Average Life	0.29 yrs

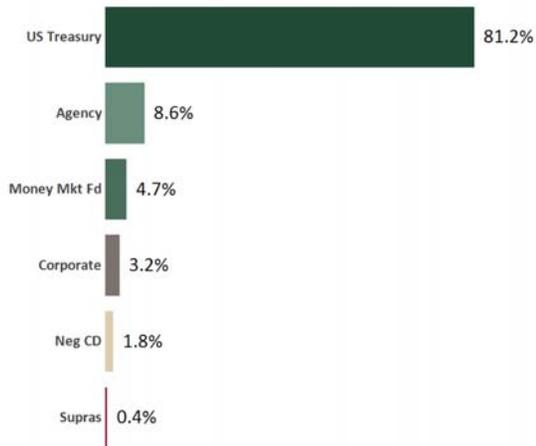
ACCOUNT SUMMARY

	Beg. Values as of 11/30/20	End Values as of 12/31/20
Market Value	128,388,322	225,317,647
Accrued Interest	326,239	387,715
Total Market Value	128,714,561	225,705,362
Income Earned	17,537	17,754
Cont/WD		97,000,001
Par	127,918,335	224,489,076
Book Value	128,371,585	225,327,863
Cost Value	128,476,063	225,504,962

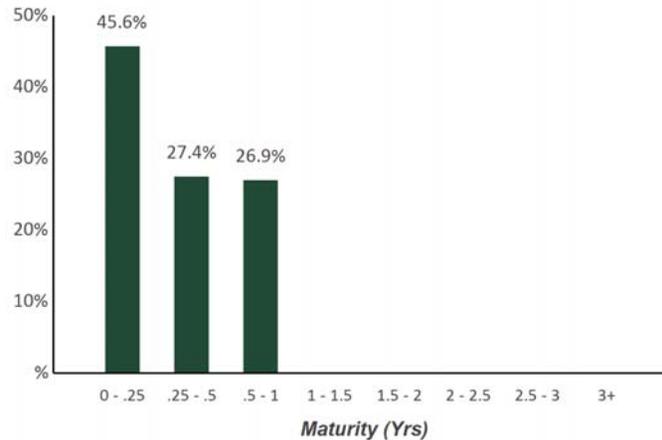
TOP ISSUERS

Government of United States	81.2%
Federal Home Loan Bank	8.6%
First American Govt Obligation	4.7%
MUFG Bank Ltd/NY	1.1%
Toronto Dominion Holdings	0.8%
Toyota Motor Corp	0.7%
Royal Bank of Canada	0.7%
Charles Schwab Corp/The	0.6%
Total	98.4%

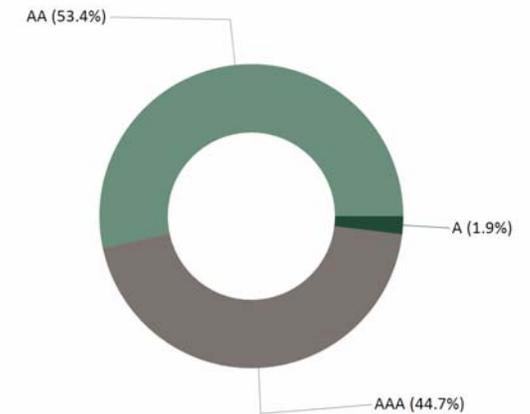
SECTOR ALLOCATION



MATURITY DISTRIBUTION



CREDIT QUALITY (S&P)



PERFORMANCE REVIEW

TOTAL RATE OF RETURN	Annualized								
	1M	3M	YTD	1YR	2YRS	3YRS	5YRS	10YRS	11/30/2014
Orange County Sanitation District Liquid	0.00%	0.03%	0.87%	0.87%	1.64%	1.73%	1.31%	N/A	1.12%
ICE BAML 3-Month US Treasury Bill Index	0.01%	0.03%	0.67%	0.67%	1.47%	1.60%	1.20%	N/A	0.99%



PORTFOLIO CHARACTERISTICS

Average Modified Duration	2.44
Average Coupon	1.80%
Average Purchase YTM	1.78%
Average Market YTM	0.22%
Average S&P/Moody Rating	AA+/Aa1
Average Final Maturity	2.62 yrs
Average Life	2.49 yrs

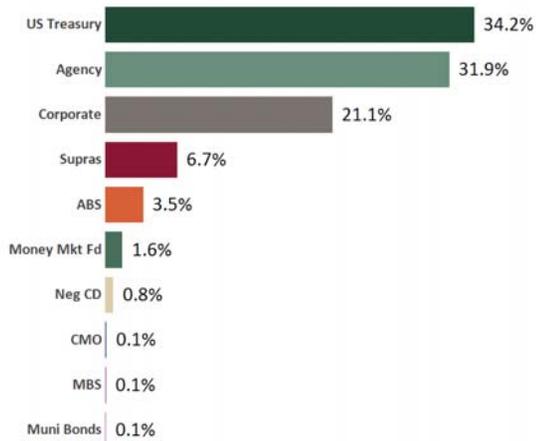
ACCOUNT SUMMARY

	Beg. Values as of 11/30/20	End Values as of 12/31/20
Market Value	622,779,259	655,005,456
Accrued Interest	2,878,963	2,623,087
Total Market Value	625,658,221	657,628,543
Income Earned	948,221	945,314
Cont/WD		31,005,209
Par	600,127,383	632,352,584
Book Value	601,146,261	633,352,660
Cost Value	600,773,284	632,986,847

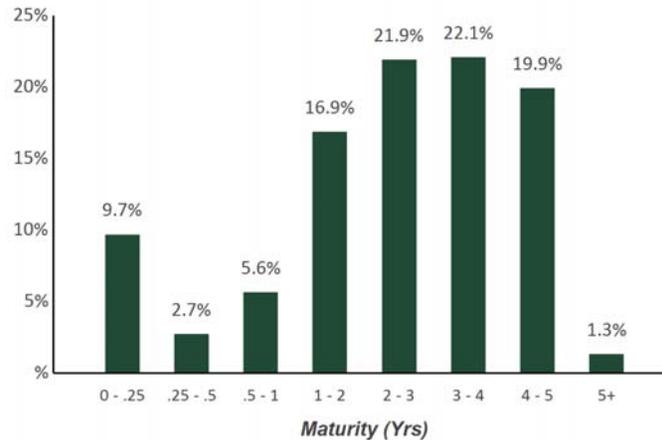
TOP ISSUERS

Government of United States	34.2%
Federal National Mortgage Assoc	14.5%
Federal Home Loan Bank	8.7%
Federal Home Loan Mortgage Corp	6.8%
Intl Bank Recon and Development	3.6%
Inter-American Dev Bank	2.3%
Federal Farm Credit Bank	2.2%
First American Govt Obligation	1.6%
Total	73.7%

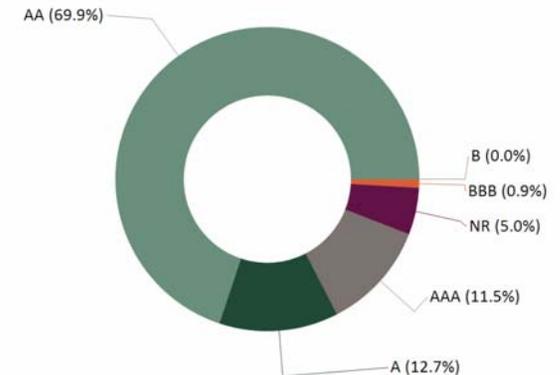
SECTOR ALLOCATION



MATURITY DISTRIBUTION



CREDIT QUALITY (S&P)



PERFORMANCE REVIEW

TOTAL RATE OF RETURN	Annualized								
	1M	3M	YTD	1YR	2YRS	3YRS	5YRS	10YRS	11/30/2014
Orange County Sanitation District Long Term	0.15%	0.21%	4.39%	4.39%	4.52%	3.51%	2.62%	N/A	2.26%
ICE BAML 1-5 Yr US Corp/Govt Rated AAA-A Index	0.11%	0.15%	4.43%	4.43%	4.52%	3.50%	2.56%	N/A	2.22%
ICE BAML US 1-5 Yr US Corp/Govt Rated AAA-BBB Indx	0.17%	0.37%	4.65%	4.65%	4.86%	3.69%	2.79%	N/A	2.40%

**Orange County Sanitation District
Investment Transactions and Balances in the
State of California Local Agency Investment Fund
December 31, 2020**

	<u>Par Value</u>	<u>Book Value</u>	<u>Market Value</u>	<u>Rate</u>	<u>Yield</u>
Balance					
December 1, 2020	\$74,734,691	\$74,734,691	\$74,734,691	0.54	0.54
Deposits:					
12/23/2020	7,000,000	7,000,000	7,000,000	0.54	0.54
12/31/2020	6,400,000	6,400,000	6,400,000	0.54	0.54
Total Deposits	13,400,000	13,400,000	13,400,000	0.54	0.54
Quarterly Interest Distribution	-	-	-	0.54	0.54
Withdrawals:					
12/1/2020	(2,000,000)	(2,000,000)	(2,000,000)	0.54	0.54
12/3/2020	(2,900,000)	(2,900,000)	(2,900,000)	0.54	0.54
12/9/2020	(2,100,000)	(2,100,000)	(2,100,000)	0.54	0.54
12/15/2020	(2,700,000)	(2,700,000)	(2,700,000)	0.54	0.54
12/17/2020	(900,000)	(900,000)	(900,000)	0.54	0.54
12/29/2020	(3,000,000)	(3,000,000)	(3,000,000)	0.54	0.54
Total Withdrawals	(13,600,000)	(13,600,000)	(13,600,000)	0.54	0.54
Balance					
December 31, 2020	\$74,534,691	\$74,534,691	\$74,534,691	0.54	0.54

U.S. Bank
Asset Summary - Liquid
As of 12/31/2020

Industry Name	Shares/Units	Cost Basis	Market Value	Percent of Total	Unrealized Gain/Loss
Cash Equivalents					
FIRST AMERICAN SHORT TERM FDS	10,599,075.5200	10,599,075.52	10,599,075.52	4.70	-
U. S. GOVERNMENT	68,250,000.0000	68,184,741.81	68,246,670.00	30.29	61,928.19
Cash Equivalents Total	78,849,075.5200	78,783,817.33	78,845,745.52	34.99	61,928.19
Fixed Income					
CONSUMER DISCRETIONARY	1,500,000.0000	1,523,295.00	1,513,560.00	0.67	(9,735.00)
CONSUMER STAPLES	750,000.0000	768,877.50	754,005.00	0.33	(14,872.50)
FINANCE	1,385,000.0000	1,419,472.65	1,397,395.75	0.62	(22,076.90)
FOREIGN FIXED INCOME	1,750,000.0000	1,774,762.50	1,752,082.50	0.78	(22,680.00)
INDUSTRIAL	600,000.0000	607,086.00	602,052.00	0.27	(5,034.00)
INFORMATION TECHNOLOGY	1,155,000.0000	1,182,327.30	1,164,390.15	0.52	(17,937.15)
SHORT TERM FUNDS	4,000,000.0000	4,000,000.00	4,001,790.00	1.78	1,790.00
SUPRANATIONAL	1,000,000.0000	1,010,570.00	1,004,490.00	0.45	(6,080.00)
U. S. GOVERNMENT	114,000,000.0000	114,937,656.30	114,788,460.00	50.94	(149,196.30)
US AGY - LONG TERM ISSUES	19,500,000.0000	19,497,097.50	19,499,100.00	8.65	2,002.50
Fixed Income Total	145,640,000.0000	146,721,144.75	146,477,325.40	65.01	(243,819.35)
Grand Total	224,489,075.5200	225,504,962.08	225,323,070.92	100.00	(181,891.16)

U.S. Bank
Asset Summary - Long-Term
As of 12/31/2020

Industry Name	Shares/Units	Cost Basis	Market Value	Percent of Total	Unrealized Gain/Loss
Cash Equivalents					
FIRST AMERICAN SHORT TERM FDS	10,413,934.7200	10,413,934.72	10,413,934.72	1.59	-
U. S. GOVERNMENT	15,000,000.0000	14,998,725.00	14,999,250.00	2.29	525.00
Cash Equivalents Total	25,413,934.7200	25,412,659.72	25,413,184.72	3.88	525.00
Fixed Income					
CONSUMER DISCRETIONARY	9,064,000.0000	9,174,701.78	9,561,362.15	1.46	386,660.37
CONSUMER STAPLES	3,880,000.0000	3,878,991.40	4,166,887.20	0.64	287,895.80
ENERGY	9,000,000.0000	8,942,542.40	9,240,375.00	1.41	297,832.60
FINANCE	66,764,000.0000	66,159,243.30	67,611,374.13	10.32	1,452,130.83
FOREIGN FIXED INCOME	14,500,000.0000	14,676,215.00	15,576,235.00	2.38	900,020.00
HEALTH CARE	2,000,000.0000	1,948,640.00	2,120,960.00	0.32	172,320.00
INDUSTRIAL	4,410,000.0000	4,388,275.50	4,555,080.80	0.70	166,805.30
INFORMATION TECHNOLOGY	23,715,000.0000	23,631,389.55	24,735,663.00	3.78	1,104,273.45
INVESTMENT GRADE-MUNI REVENUE	400,000.0000	400,000.00	406,632.00	0.06	6,632.00
MTG RELATED SECURITY	24,306,131.0300	24,379,719.87	24,686,961.77	3.77	307,241.90
SHORT TERM FUNDS	5,000,000.0000	5,000,000.00	4,999,800.00	0.76	(200.00)
SUPRANATIONAL	43,135,000.0000	42,847,805.45	43,663,899.00	6.67	816,093.55
U. S. GOVERNMENT	190,004,774.0500	188,686,150.52	197,004,506.73	30.08	8,318,356.21
U.S. GOVERNMENT TIPS	11,404,744.0000	11,260,024.09	12,210,831.31	1.86	950,807.22
US AGY - LONG TERM ISSUES	201,955,000.0000	203,517,559.15	209,045,625.75	31.92	5,528,066.60
Fixed Income Total	609,538,649.0800	608,891,258.01	629,586,193.84	96.12	20,694,935.83
Grand Total	634,952,583.8000	634,303,917.73	654,999,378.56	100.00	20,695,460.83



BNY MELLON

Statement Period 12/01/2020 Through 12/31/2020
 Account 300282 Base Currency = USD
 OCSD LIBERTY MUTUAL

Statement of Assets Held by Asset Classification

Shares/Par Value	Asset Description	Market Price	Market Value	Cost	Average Cost	Accrued Income	Estimated Income	Market Yield
CASH AND SHORT TERM								
499,000.000	UNITED STATES TREASURY BILL CUSIP: 9127962F5 MATURITY DATE: 03/25/2021 RATE: 0.000%	99.98300	498,915.17	498,369.32	99.87361	0.00	0.00	0.00%
	CASH BALANCE		1,703.59	1,703.59	0.00000	0.00	0.00	0.00%
Total CASH AND SHORT TERM			500,618.76	500,072.91		0.00	0.00	0.00%
ACCOUNT TOTALS			500,618.76	500,072.91		0.00	0.00	0.00%

Total Market Value Plus Total Accrued Income 500,618.76

Statement of Transactions by Transaction Date

Transaction Date	Transaction Description	Income	Principal	Cost	Realized Gains/Losses
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No Transactions This Period

Cumulative realized capital gain and loss position from 12/31/2019 for securities held in principal of account:

Short Term: 80,464.87 * Long Term: 0.00 *

* The above gain and loss position does not include transactions where tax cost information is incomplete or unavailable.

The Bank of New York Mellon may utilize subsidiaries and affiliates to provide services and certain products to the Account. Subsidiaries and affiliates may be compensated for their services and products.

The value of securities set forth on this Account Statement are determined by The Bank of New York Mellon for Corporate Trust on the basis of market prices and information obtained by The Bank of New York Mellon from unaffiliated third parties (including independent pricing vendors) ("third party pricing services"). The Bank of New York Mellon has not verified such market values or information and makes no assurances as to the accuracy or correctness of such market values or information or that the market values set forth on this Account Statement reflect the value of the securities that can be realized upon the sale of such securities. In addition, the market values for securities set forth in this Account Statement may differ from the market prices and information for the same securities used by other business units of The Bank of New York Mellon or its subsidiaries or affiliates based upon market prices and information received from other third party pricing services utilized by such other business units. Corporate Trust does not compare its market values with those used by, or reconcile different market values used by, other business units of The Bank of New York Mellon or its subsidiaries or its affiliates. The Bank of New York Mellon shall not be liable for any loss, damage or expense incurred as a result of or arising from or related to the market values or information provided by third party pricing services or the differences in market prices or information provided by other third party pricing services.

**U.S. Bank
Investment Listing - Yield
As of 12/31/2020**

Asset Category	CUSIP	Asset Short Name	Yield	Shares/Units	Moody's	S&P Rating	Price	Cost Basis	Market Value
Cash Equivalents	31846V567	FIRST AM GOVT OB FD CL Z	0.0260%	10,599,075.5200			1.00	10,599,075.52	10,599,075.52
Cash Equivalents	31846V567	FIRST AM GOVT OB FD CL Z	0.0260%	10,413,934.7200			1.00	10,413,934.72	10,413,934.72
Cash Equivalents	9127963W7	U S TREASURY BILL 2/04/21	0.0563%	15,000,000.0000	N/A	N/A	100.00	14,998,725.00	14,999,250.00
Cash Equivalents	912796UC1	U S TREASURY BILL 1/28/21	0.0500%	58,250,000.0000	N/A	N/A	100.00	58,193,363.48	58,247,670.00
Cash Equivalents	912796XE4	U S TREASURY BILL 2/25/21	0.0638%	10,000,000.0000	N/A	N/A	99.99	9,991,378.33	9,999,000.00
Fixed Income	00440EAP2	ACE INA HOLDINGS 2.700% 3/13/23	2.5640%	2,000,000.0000	A3	A	105.31	1,937,000.00	2,106,120.00
Fixed Income	00440EAS6	ACE INA HOLDING 3.150% 3/15/25	2.8539%	2,000,000.0000	A3	A	110.38	2,203,740.00	2,207,520.00
Fixed Income	00440EAU1	ACE INA HOLDINGS 2.875% 11/03/22	2.7580%	4,169,000.0000	A3	A	104.24	4,232,453.17	4,345,848.98
Fixed Income	02665WCJ8	AMERICAN HONDA MTN 3.450% 7/14/23	3.2033%	845,000.0000	A3	A-	107.70	843,538.15	910,090.35
Fixed Income	02665WCQ2	AMERICAN HONDA MTN 3.625% 10/10/23	3.3318%	2,000,000.0000	A3	A-	108.80	1,998,320.00	2,176,000.00
Fixed Income	02665WCZ2	AMERICAN HONDA MTN 2.400% 6/27/24	2.2595%	1,219,000.0000	A3	A-	106.22	1,213,843.63	1,294,821.80
Fixed Income	03215PFN4	AMRESCO 1.01546% 6/25/29	1.0769%	119,021.6400	N/A	A+	94.30	89,377.81	112,232.65
Fixed Income	037833AR1	APPLE INC 2.850% 5/06/21	2.8270%	1,155,000.0000	AA1	AA+	100.81	1,182,327.30	1,164,390.15
Fixed Income	037833BS8	APPLE INC 2.250% 2/23/21	2.2473%	4,000,000.0000	AA1	AA+	100.12	4,050,840.00	4,004,760.00
Fixed Income	037833CU2	APPLE INC 2.850% 5/11/24	2.6432%	3,000,000.0000	AA1	AA+	107.83	3,017,760.00	3,234,750.00
Fixed Income	06051GHF9	BANK OF AMERICA 3.550% 3/05/24	3.3231%	6,675,000.0000	A2	A-	106.83	6,770,625.75	7,130,835.75
Fixed Income	06406RAA5	BANK OF NY MTN 2.600% 2/07/22	2.5398%	2,500,000.0000	A1	A	102.37	2,504,475.00	2,559,250.00
Fixed Income	06406RAE7	BANK OF NY MTN 2.950% 1/29/23	2.8045%	2,500,000.0000	A1	A	105.19	2,489,555.00	2,629,675.00
Fixed Income	06417MMB8	BANK OF NOVA C D 0.280% 11/24/21	0.2800%	5,000,000.0000			100.00	5,000,000.00	4,999,800.00
Fixed Income	084664BT7	BERKSHIRE HATHAWAY 3.000% 5/15/22	2.8898%	4,000,000.0000	AA2	AA	103.81	4,131,120.00	4,152,560.00
Fixed Income	084670BR8	BERKSHIRE HATHAWAY 2.750% 3/15/23	2.6186%	2,500,000.0000	AA2	AA	105.02	2,440,950.00	2,625,400.00
Fixed Income	09247XAL5	BLACKROCK INC 3.500% 3/18/24	3.1865%	1,000,000.0000	AA3	AA-	109.84	1,036,330.00	1,098,400.00
Fixed Income	166764AH3	CHEVRON CORP 3.191% 6/24/23	3.0003%	3,500,000.0000	AA2	AA	106.36	3,441,095.00	3,722,460.00
Fixed Income	166764BG4	CHEVRON CORP 2.100% 5/16/21	2.0886%	2,500,000.0000	AA2	AA	100.55	2,485,350.00	2,513,625.00
Fixed Income	24422EUM9	JOHN DEERE MTN 3.650% 10/12/23	3.3433%	1,250,000.0000	A2	A	109.17	1,250,237.50	1,364,650.00
Fixed Income	30231GAV4	EXXON MOBIL 2.222% 3/01/21	2.2188%	3,000,000.0000	AA1	AA	100.14	3,016,097.40	3,004,290.00
Fixed Income	3130A0F70	F H L B DEB 3.375% 12/08/23	3.0892%	10,000,000.0000	AAA	AA+	109.25	10,269,043.75	10,925,200.00
Fixed Income	3130A1XJ2	F H L B 2.875% 6/14/24	2.6338%	11,110,000.0000	AAA	AA+	109.16	11,589,031.30	12,127,342.70
Fixed Income	3130A2UW4	F H L B DEB 2.875% 9/13/24	2.6215%	2,500,000.0000	AAA	AA+	109.67	2,635,950.00	2,741,700.00
Fixed Income	3130A4CH3	F H L B DEB 2.375% 3/14/25	2.1936%	5,225,000.0000	AAA	AA+	108.27	5,526,848.25	5,657,107.50
Fixed Income	3130A7CV5	F H L B DEB 1.375% 2/18/21	1.3729%	5,365,000.0000	AAA	AA+	100.16	5,343,325.40	5,373,369.40
Fixed Income	313379RB7	F H L B DEB 1.875% 6/11/21	1.8610%	4,000,000.0000	AAA	AA+	100.75	4,030,160.00	4,030,080.00
Fixed Income	313383QR5	F H L B DEB 3.250% 6/09/23	3.0260%	5,000,000.0000	AAA	AA+	107.40	5,083,350.00	5,370,200.00
Fixed Income	313383YJ4	F H L B DEB 3.375% 9/08/23	3.1091%	10,000,000.0000	AAA	AA+	108.55	10,211,831.00	10,855,300.00
Fixed Income	313385AD8	F H L B DISC NTS 1/04/21	0.0000%	1,500,000.0000	N/A	N/A	1.00	1,498,340.00	1,500,000.00
Fixed Income	313385AX4	F H L B DISC NTS 1/22/21	0.0000%	9,000,000.0000	N/A	N/A	100.00	8,999,543.75	8,999,730.00
Fixed Income	313385BL9	F H L B DISC NTS 2/04/21	0.0000%	9,000,000.0000	N/A	N/A	99.99	8,999,213.75	8,999,370.00
Fixed Income	3133EKWV4	F F C B DEB 1.850% 7/26/24	1.7520%	5,000,000.0000	AAA	AA+	105.60	5,048,280.00	5,279,800.00
Fixed Income	3133ELYR9	F F C B DEB 0.250% 5/06/22	0.2495%	8,850,000.0000	AAA	AA+	100.19	8,838,760.50	8,866,815.00
Fixed Income	3133TCE95	F H L M C MLTCL MTG 3.929% 8/15/32	3.8850%	4,473.7000	N/A	N/A	101.13	4,478.39	4,524.42

**U.S. Bank
Investment Listing - Yield
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Asset Category	CUSIP	Asset Short Name	Yield	Shares/Units	Moody's	S&P Rating	Price	Cost Basis	Market Value
Fixed Income	31348SWZ3	F H L M C #786064 2.752% 1/01/28	2.7540%	1,579.2700	N/A	N/A	99.93	1,540.81	1,578.10
Fixed Income	3135G03U5	F N M A DEB 0.625% 4/22/25	0.6177%	14,000,000.0000	AAA	AA+	101.18	13,996,711.60	14,164,640.00
Fixed Income	3135G04Z3	F N M A 0.500% 6/17/25	0.4974%	9,905,000.0000	AAA	AA+	100.53	9,884,496.65	9,957,595.55
Fixed Income	3135G05G4	F N M A 0.250% 7/10/23	0.2494%	6,775,000.0000	AAA	AA+	100.24	6,760,433.75	6,791,192.25
Fixed Income	3135G05X7	F N M A 0.375% 8/25/25	0.3751%	7,945,000.0000	AAA	AA+	99.98	7,907,817.40	7,943,252.10
Fixed Income	3135G06G3	F N M A 0.500% 11/07/25	0.4979%	8,255,000.0000	AAA	AA+	100.42	8,225,447.10	8,289,505.90
Fixed Income	3135G0J20	F N M A DEB 1.375% 2/26/21	1.3725%	10,000,000.0000	AAA	AA+	100.18	10,040,950.00	10,018,400.00
Fixed Income	3135G0S38	F N M A 2.000% 1/05/22	1.9627%	3,000,000.0000	AAA	AA+	101.90	2,994,570.00	3,057,090.00
Fixed Income	3135G0T45	F N M A 1.875% 4/05/22	1.8345%	5,000,000.0000	AAA	AA+	102.21	4,972,500.00	5,110,500.00
Fixed Income	3135G0T94	F N M A DEB 2.375% 1/19/23	2.2710%	5,000,000.0000	AAA	AA+	104.58	4,910,990.00	5,229,000.00
Fixed Income	3135G0U35	F N M A 2.750% 6/22/21	2.7163%	7,500,000.0000	AAA	AA+	101.24	7,515,225.00	7,593,000.00
Fixed Income	3135G0V34	F N M A 2.500% 2/05/24	2.3341%	5,000,000.0000	AAA	AA+	107.11	4,980,850.00	5,355,300.00
Fixed Income	3135G0X24	F N M A 1.625% 1/07/25	1.5421%	10,000,000.0000	AAA	AA+	105.38	10,157,936.40	10,537,700.00
Fixed Income	31371NUC7	F N M A #257179 4.500% 4/01/28	4.1552%	10,705.2100	N/A	N/A	108.30	11,321.81	11,593.42
Fixed Income	31376KT22	F N M A #357969 5.000% 9/01/35	4.2993%	78,622.3900	N/A	N/A	116.30	84,519.05	91,437.05
Fixed Income	3137EAEL9	F H L M C M T N 2.375% 2/16/21	2.3687%	7,500,000.0000	AAA	AA+	100.27	7,484,475.00	7,520,100.00
Fixed Income	3137EAEN5	F H L M C 2.750% 6/19/23	2.5866%	10,000,000.0000	AAA	AA+	106.32	9,956,500.00	10,631,700.00
Fixed Income	3137EAEP0	F H L M C 1.500% 2/12/25	1.4299%	12,335,000.0000	AAA	AA+	104.90	12,510,182.05	12,939,785.05
Fixed Income	3137EAEU9	F H L M C M T N 0.375% 7/21/25	0.3748%	5,030,000.0000	AAA	AA+	100.05	5,004,950.60	5,032,665.90
Fixed Income	3137EAEX3	F H L M C M T N 0.375% 9/23/25	0.3756%	7,660,000.0000	AAA	AA+	99.83	7,636,943.40	7,647,284.40
Fixed Income	3138EG6F6	F N M A #AL0869 4.500% 6/01/29	4.1187%	6,954.1500	N/A	N/A	109.26	7,354.71	7,597.90
Fixed Income	31394JY35	F H L M C MLTCL MTG 6.500% 9/25/43	5.5906%	561,133.9500	N/A	N/A	116.27	635,484.20	652,413.61
Fixed Income	31397QRE0	F N M A GTD REMIC 2.472% 2/25/41	0.8168%	135,973.2200	N/A	N/A	101.37	135,930.74	137,840.13
Fixed Income	31403DJZ3	F N M A #745580 5.000% 6/01/36	4.3049%	70,722.8100	N/A	N/A	116.15	76,027.01	82,142.42
Fixed Income	31403GXF4	F N M A #748678 5.000% 10/01/33	4.4291%	1,318.1100	N/A	N/A	112.89	1,416.97	1,488.03
Fixed Income	31406PQY8	F N M A #815971 5.000% 3/01/35	4.3008%	105,426.6600	N/A	N/A	116.26	113,333.68	122,565.87
Fixed Income	31406XWT5	F N M A #823358 2.937% 2/01/35	2.8133%	91,103.5200	N/A	N/A	104.40	90,391.78	95,110.25
Fixed Income	31407BXH7	F N M A #826080 5.000% 7/01/35	4.3003%	13,805.5700	N/A	N/A	116.27	14,840.97	16,051.74
Fixed Income	31410F4V4	F N M A #888336 5.000% 7/01/36	4.3145%	130,793.5200	N/A	N/A	115.89	140,603.04	151,573.99
Fixed Income	31417YAY3	F N M A #MA0022 4.500% 4/01/29	4.1547%	11,574.1200	N/A	N/A	108.31	12,240.77	12,535.93
Fixed Income	36225CAZ9	G N M A I I #080023 3.125% 12/20/26	3.0224%	11,409.5500	N/A	N/A	103.39	11,598.04	11,796.68
Fixed Income	36225CC20	G N M A I I #080088 2.875% 6/20/27	2.8224%	8,992.7500	N/A	N/A	101.87	9,189.47	9,160.46
Fixed Income	36225CN28	G N M A I I #080408 2.875% 5/20/30	2.7634%	35,807.2900	N/A	N/A	104.04	35,443.62	37,252.83
Fixed Income	36225CNM4	G N M A I I #080395 2.875% 4/20/30	2.7635%	4,774.0500	N/A	N/A	104.04	4,730.75	4,966.73
Fixed Income	36225DCB8	G N M A I I #080965 2.250% 7/20/34	2.1555%	31,941.8600	N/A	N/A	104.39	31,921.91	33,342.83
Fixed Income	369550BE7	GENERAL DYNAMICS 3.000% 5/11/21	2.9714%	3,160,000.0000	A2	A	100.96	3,138,038.00	3,190,430.80
Fixed Income	43813KAC6	HONDA AUTO 0.370% 10/18/24	0.3694%	3,235,000.0000	N/A	AAA	100.17	3,234,524.78	3,240,467.15
Fixed Income	43814UAG4	HONDA AUTO 3.010% 5/18/22	2.9851%	631,002.3200	N/A	AAA	100.83	630,988.57	636,264.88
Fixed Income	43815HAC1	HONDA AUTO 2.950% 8/22/22	2.9155%	1,791,651.3800	AAA	N/A	101.19	1,791,405.57	1,812,882.45
Fixed Income	43815NAB0	HONDA AUTO 1.900% 4/15/22	1.8932%	1,347,348.3800	AAA	AAA	100.36	1,347,254.07	1,352,171.89

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Asset Category	CUSIP	Asset Short Name	Yield	Shares/Units	Moody's	S&P Rating	Price	Cost Basis	Market Value
Fixed Income	438516CB0	HONEYWELL 1.350% 6/01/25	1.3030%	5,000,000.0000	A2	A	103.61	5,119,000.00	5,180,450.00
Fixed Income	44932HAH6	IBM CREDIT CORP 3.000% 2/06/23	2.8328%	5,670,000.0000	A2	A	105.90	5,603,264.40	6,004,643.40
Fixed Income	458140BD1	INTEL CORP 2.875% 5/11/24	2.6643%	5,000,000.0000	A1	A+	107.91	5,025,900.00	5,395,350.00
Fixed Income	4581X0CS5	INTER AMER BK M T N 1.875% 3/15/21	1.8691%	5,000,000.0000	AAA	AAA	100.32	5,059,610.00	5,015,850.00
Fixed Income	4581X0CW6	INTER AMER DEV BK 2.125% 1/18/22	2.0846%	3,000,000.0000	AAA	N/A	101.94	2,996,310.00	3,058,110.00
Fixed Income	4581X0CZ9	INTER AMER DEV BK 1.750% 9/14/22	1.7044%	6,500,000.0000	AAA	AAA	102.68	6,249,655.00	6,673,875.00
Fixed Income	459058FH1	INTL BK 1.375% 5/24/21	1.3689%	1,000,000.0000	AAA	AAA	100.45	1,010,570.00	1,004,490.00
Fixed Income	459058FY4	INTL BK 2.000% 1/26/22	1.9625%	10,000,000.0000	AAA	N/A	101.91	10,006,350.00	10,191,200.00
Fixed Income	459058JB0	INTL BK M T N 0.625% 4/22/25	0.6190%	6,245,000.0000	AAA	AAA	100.97	6,220,831.85	6,305,326.70
Fixed Income	459058JL8	INTL BK M T N 0.500% 10/28/25	0.4991%	6,920,000.0000	AAA	AAA	100.19	6,912,180.40	6,932,940.40
Fixed Income	45950KCJ7	INTL FINANCE CORP 1.125% 7/20/21	1.1193%	2,500,000.0000	AAA	AAA	100.51	2,441,600.00	2,512,825.00
Fixed Income	45950KCM0	INTL BK M T N 2.250% 1/25/21	2.2471%	2,970,000.0000	AAA	AAA	100.13	2,961,268.20	2,973,771.90
Fixed Income	46625HRL6	JP MORGAN CHASE CO 2.700% 5/18/23	2.5681%	5,000,000.0000	A2	A-	105.14	4,821,910.00	5,256,750.00
Fixed Income	46647PAU0	JPMORGAN CHASE CO 3.797% 7/23/24	3.5003%	2,500,000.0000	A2	A-	108.48	2,632,175.00	2,711,900.00
Fixed Income	477870AB5	JOHN DEERE OWNER 2.280% 5/16/22	2.2754%	646,522.3800	AAA	N/A	100.20	646,519.92	647,834.82
Fixed Income	47787NAC3	JOHN DEERE OWNER 0.510% 11/15/24	0.5084%	1,480,000.0000	AAA	N/A	100.32	1,479,774.45	1,484,750.80
Fixed Income	47788CAC6	JOHN DEERE OWNER 2.660% 4/18/22	2.6533%	165,799.5700	AAA	N/A	100.25	165,787.65	166,215.73
Fixed Income	47788EAC2	JOHN DEERE OWNER 3.080% 11/15/22	3.0491%	2,145,869.8100	AAA	N/A	101.01	2,145,707.16	2,167,628.93
Fixed Income	494368BF9	KIMBERLY CLARK CORP 3.875% 3/01/21	3.8544%	750,000.0000	A2	A	100.53	768,877.50	754,005.00
Fixed Income	525ESC0Y6	LEHMAN BRTH HLD ESC	0.0000%	2,000,000.0000			-	1,025,037.05	-
Fixed Income	525ESCIB7	LEHMAN BRTH MTN ES 0.00001% 1/24/13	0.0009%	600,000.0000	N/A	N/A	1.12	318,131.38	6,720.00
Fixed Income	55380TMD9	MUFG BK LTD N Y C D 0.240% 4/21/21	0.2400%	2,500,000.0000			100.00	2,500,000.00	2,500,050.00
Fixed Income	58770FAC6	MERCEDES BENZ AUTO 1.840% 12/15/22	1.8146%	2,050,000.0000	AAA	AAA	101.40	2,049,729.81	2,078,638.50
Fixed Income	58933YAF2	MERCK CO INC 2.800% 5/18/23	2.6403%	2,000,000.0000	A1	AA-	106.05	1,948,640.00	2,120,960.00
Fixed Income	594918BP8	MICROSOFT CORP 1.550% 8/08/21	1.5394%	3,045,000.0000	AAA	AAA	100.69	3,041,385.15	3,065,949.60
Fixed Income	61747WAL3	MORGAN STANLEY 5.500% 7/28/21	5.3429%	2,800,000.0000	A2	BBB+	102.94	3,200,848.00	2,882,320.00
Fixed Income	65479GAD1	NISSAN AUTO 3.060% 3/15/23	3.0186%	2,222,777.0100	AAA	AAA	101.37	2,222,705.00	2,253,295.74
Fixed Income	65479JAD5	NISSAN AUTO 1.930% 7/15/24	1.8914%	4,185,000.0000	AAA	AAA	102.04	4,184,779.03	4,270,374.00
Fixed Income	68389XBK0	ORACLE CORP 1.900% 9/15/21	1.8811%	3,000,000.0000	A3	A	101.01	2,892,240.00	3,030,210.00
Fixed Income	69353RFB9	PNC BANK NA MTN 2.625% 2/17/22	2.5627%	1,000,000.0000	A2	A	102.43	974,940.00	1,024,300.00
Fixed Income	69353RFL7	PNC BANK NA MTN 3.500% 6/08/23	3.2603%	5,000,000.0000	A2	A	107.35	4,993,318.05	5,367,600.00
Fixed Income	69371RN93	PACCAR FINANCIAL MTN 2.800% 3/01/21	2.7905%	600,000.0000	A1	A+	100.34	607,086.00	602,052.00
Fixed Income	78012UVJ1	ROYAL BK OF C D 1.000% 2/19/21	0.9988%	1,500,000.0000			100.12	1,500,000.00	1,501,740.00
Fixed Income	78013XZU5	ROYAL BANK OF MTN 2.550% 7/16/24	2.3846%	6,500,000.0000	A2	A	106.94	6,581,445.00	6,950,775.00
Fixed Income	78015K7H1	ROYAL BANK OF MTN 1.150% 6/10/25	1.1254%	1,500,000.0000	A2	A	102.19	1,515,480.00	1,532,805.00
Fixed Income	78445JAA5	S L M A 1.76388% 4/25/23	1.7647%	10,816.0300	BAA3	B	99.95	10,772.14	10,810.95
Fixed Income	808513AT2	CHARLES SCHWAB CORP 2.650% 1/25/23	2.5297%	6,750,000.0000	A2	A	104.76	6,729,480.00	7,071,030.00
Fixed Income	808513AW5	CHARLES SCHWAB CORP 3.250% 5/21/21	3.2212%	1,385,000.0000	A2	A	100.90	1,419,472.65	1,397,395.75
Fixed Income	83162CLJ0	S B A GTD DEV PART 6.340% 3/01/21	6.3122%	2,984.8600	N/A	N/A	100.44	2,984.86	2,998.02
Fixed Income	89114QBX5	TORONTO DOMINION MTN 2.550% 1/25/21	2.5470%	1,750,000.0000	AA1	AA-	100.12	1,774,762.50	1,752,082.50

**U.S. Bank
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Asset Category	CUSIP	Asset Short Name	Yield	Shares/Units	Moody's	S&P Rating	Price	Cost Basis	Market Value
Fixed Income	89114QC48	TORONTO MTN 3.500% 7/19/23	3.2342%	5,000,000.0000	AA1	AA-	108.22	5,094,200.00	5,410,900.00
Fixed Income	89114QCA4	TORONTO DOMINION MTN 2.650% 6/12/24	2.4731%	3,000,000.0000	AA3	A	107.15	3,000,570.00	3,214,560.00
Fixed Income	89236TBJ3	TOYOTA MOTOR MTN 2.750% 5/17/21	2.7254%	1,500,000.0000	A1	A+	100.90	1,523,295.00	1,513,560.00
Fixed Income	89237VAB5	TOYOTA AUTO RECV 0.440% 10/15/24	0.4385%	2,960,000.0000	AAA	AAA	100.35	2,959,772.08	2,970,389.60
Fixed Income	90331HNL3	US BANK NA MTN 2.850% 1/23/23	2.7095%	2,000,000.0000	A1	AA-	105.19	1,992,640.00	2,103,720.00
Fixed Income	90331HPL1	US BANK NA MTN 2.050% 1/21/25	1.9372%	7,270,000.0000	A1	AA-	105.82	7,254,514.90	7,693,259.40
Fixed Income	9128283J7	U S TREASURY NT 2.125% 11/30/24	1.9806%	16,500,000.0000	AAA	N/A	107.29	16,783,886.72	17,703,345.00
Fixed Income	9128284D9	U S TREASURY NT 2.500% 3/31/23	2.3742%	10,000,000.0000	AAA	N/A	105.30	9,887,265.63	10,529,700.00
Fixed Income	9128287A2	U S TREASURY NT 1.625% 6/30/21	1.6130%	19,000,000.0000	AAA	N/A	100.74	19,180,937.51	19,140,980.00
Fixed Income	912828J76	U S TREASURY NT 1.750% 3/31/22	1.7152%	5,000,000.0000	AAA	N/A	102.03	4,976,383.94	5,101,550.00
Fixed Income	912828L24	U S TREASURY NT 1.875% 8/31/22	1.8222%	6,000,000.0000	AAA	N/A	102.90	5,987,832.60	6,173,880.00
Fixed Income	912828L57	U S TREASURY NT 1.750% 9/30/22	1.7019%	16,000,000.0000	AAA	N/A	102.82	15,829,492.20	16,451,840.00
Fixed Income	912828M80	U S TREASURY NT 2.000% 11/30/22	1.9308%	8,000,000.0000	AAA	N/A	103.58	7,907,500.00	8,286,560.00
Fixed Income	912828N30	U S TREASURY NT 2.125% 12/31/22	2.0436%	5,000,000.0000	AAA	N/A	103.98	4,926,562.50	5,199,050.00
Fixed Income	912828R69	U S TREASURY NT 1.625% 5/31/23	1.5690%	5,000,000.0000	AAA	N/A	103.57	4,757,226.56	5,178,300.00
Fixed Income	912828S27	U S TREASURY NT 1.125% 6/30/21	1.1194%	27,000,000.0000	AAA	N/A	100.50	27,141,328.14	27,135,000.00
Fixed Income	912828S76	U S TREASURY NT 1.125% 7/31/21	1.1184%	43,000,000.0000	AAA	N/A	100.59	43,267,968.77	43,251,980.00
Fixed Income	912828T34	U S TREASURY NT 1.125% 9/30/21	1.1166%	7,000,000.0000	AAA	N/A	100.75	6,757,914.08	7,052,780.00
Fixed Income	912828T67	U S TREASURY NT 1.250% 10/31/21	1.2385%	6,000,000.0000	AAA	N/A	100.93	5,813,691.98	6,055,800.00
Fixed Income	912828U57	U S TREASURY NT 2.125% 11/30/23	2.0098%	15,000,000.0000	AAA	N/A	105.73	14,723,632.81	15,859,650.00
Fixed Income	912828U65	U S TREASURY NT 1.750% 11/30/21	1.7245%	7,000,000.0000	AAA	N/A	101.48	6,900,492.20	7,103,390.00
Fixed Income	912828V72	U S TREASURY NT 1.875% 1/31/22	1.8402%	3,000,000.0000	AAA	N/A	101.89	3,004,814.74	3,056,730.00
Fixed Income	912828V80	U S TREASURY NT 2.250% 1/31/24	2.1148%	7,500,000.0000	AAA		106.39	7,491,503.91	7,979,325.00
Fixed Income	912828W48	U S TREASURY NT 2.125% 2/29/24	2.0022%	10,000,000.0000	AAA	N/A	106.13	9,911,718.75	10,613,300.00
Fixed Income	912828WJ5	U S TREASURY NT 2.500% 5/15/24	2.3200%	7,000,000.0000	AAA	N/A	107.76	7,193,046.88	7,543,060.00
Fixed Income	912828WR7	U S TREASURY NT 2.125% 6/30/21	2.1041%	8,000,000.0000	AAA	N/A	100.99	8,118,398.44	8,079,360.00
Fixed Income	912828WU0	U S TREASURY I P S 0.125% 7/15/24	0.1167%	11,404,744.0000	AAA	N/A	107.07	11,260,024.09	12,210,831.31
Fixed Income	912828WY2	U S TREASURY NT 2.250% 7/31/21	2.2227%	8,000,000.0000	AAA	N/A	101.23	8,144,296.88	8,098,160.00
Fixed Income	912828XW5	U S TREASURY NT 1.750% 6/30/22	1.7084%	5,000,000.0000	AAA	N/A	102.43	4,973,454.25	5,121,700.00
Fixed Income	912828XX3	U S TREASURY NT 2.000% 6/30/24	1.8823%	5,000,000.0000	AAA	N/A	106.25	5,028,710.94	5,312,700.00
Fixed Income	912828YC8	U S TREASURY NT 1.500% 8/31/21	1.4863%	9,000,000.0000	AAA	N/A	100.92	9,084,726.56	9,082,980.00
Fixed Income	912828YH7	U S TREASURY NT 1.500% 9/30/24	1.4325%	14,000,000.0000	AAA	N/A	104.72	13,859,296.88	14,660,100.00
Fixed Income	912828ZL7	U S TREASURY NT 0.375% 4/30/25	0.3736%	12,000,000.0000	AAA	N/A	100.36	11,998,515.63	12,043,560.00
Fixed Income	91282CAM3	U S TREASURY NT 0.250% 9/30/25	0.2510%	6,500,000.0000	AAA	N/A	99.62	6,477,656.25	6,475,365.00
Fixed Income	91282CBA8	U S TREASURY NT 0.125% 12/15/23	0.1251%	6,500,000.0000	AAA	N/A	99.88	6,491,367.19	6,492,395.00
Fixed Income	91282CBC4	U S TREASURY NT 0.375% 12/31/25	0.3747%	7,000,000.0000	AAA	N/A	100.08	6,999,453.13	7,005,460.00
Fixed Income	913366EJ5	UNIV OF CALIFORNIA 5.035% 5/15/21	4.9529%	400,000.0000	AA3	AA-	101.66	400,000.00	406,632.00
Fixed Income	931142EK5	WALMART INC 3.400% 6/26/23	3.1659%	3,880,000.0000	AA2	AA	107.39	3,878,991.40	4,166,887.20
Fixed Income	95000U2B8	WELLS FARGO MTN 2.625% 7/22/22	2.5359%	3,000,000.0000	A2	BBB+	103.51	2,954,520.00	3,105,360.00
Total Consolidated									880,322,449.48

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CUSIP	Asset Short Name	Price	Shares/Units	Cost Basis	Market Value	Percent of Total	Unrealized Gain/Loss
Cash Equivalents							
31846V567	FIRST AM GOVT OB FD CL Z	1.00	10,599,075.5200	10,599,075.52	10,599,075.52	1.20	-
31846V567	FIRST AM GOVT OB FD CL Z	1.00	10,413,934.7200	10,413,934.72	10,413,934.72	1.18	-
9127963W7	U S TREASURY BILL 2/04/21	100.00	15,000,000.0000	14,998,725.00	14,999,250.00	1.70	525.00
912796UC1	U S TREASURY BILL 1/28/21	100.00	58,250,000.0000	58,193,363.48	58,247,670.00	6.62	54,306.52
912796XE4	U S TREASURY BILL 2/25/21	99.99	10,000,000.0000	9,991,378.33	9,999,000.00	1.14	7,621.67
Cash Equivalents Total			104,263,010.2400	104,196,477.05	104,258,930.24	11.84	62,453.19
Fixed Income							
00440EAP2	ACE INA HOLDINGS 2.700% 3/13/23	105.31	2,000,000.0000	1,937,000.00	2,106,120.00	0.24	169,120.00
00440EAS6	ACE INA HOLDING 3.150% 3/15/25	110.38	2,000,000.0000	2,203,740.00	2,207,520.00	0.25	3,780.00
00440EAU1	ACE INA HOLDINGS 2.875% 11/03/22	104.24	4,169,000.0000	4,232,453.17	4,345,848.98	0.49	113,395.81
02665WCJ8	AMERICAN HONDA MTN 3.450% 7/14/23	107.70	845,000.0000	843,538.15	910,090.35	0.10	66,552.20
02665WCQ2	AMERICAN HONDA MTN 3.625% 10/10/23	108.80	2,000,000.0000	1,998,320.00	2,176,000.00	0.25	177,680.00
02665WCZ2	AMERICAN HONDA MTN 2.400% 6/27/24	106.22	1,219,000.0000	1,213,843.63	1,294,821.80	0.15	80,978.17
03215PFN4	AMRESKO 1.01546% 6/25/29	94.30	119,021.6400	89,377.81	112,232.65	0.01	22,854.84
037833AR1	APPLE INC 2.850% 5/06/21	100.81	1,155,000.0000	1,182,327.30	1,164,390.15	0.13	(17,937.15)
037833BS8	APPLE INC 2.250% 2/23/21	100.12	4,000,000.0000	4,050,840.00	4,004,760.00	0.45	(46,080.00)
037833CU2	APPLE INC 2.850% 5/11/24	107.83	3,000,000.0000	3,017,760.00	3,234,750.00	0.37	216,990.00
06051GHF9	BANK OF AMERICA 3.550% 3/05/24	106.83	6,675,000.0000	6,770,625.75	7,130,835.75	0.81	360,210.00
06406RAA5	BANK OF NY MTN 2.600% 2/07/22	102.37	2,500,000.0000	2,504,475.00	2,559,250.00	0.29	54,775.00
06406RAE7	BANK OF NY MTN 2.950% 1/29/23	105.19	2,500,000.0000	2,489,555.00	2,629,675.00	0.30	140,120.00
06417MMB8	BANK OF NOVA C D 0.280% 11/24/21	100.00	5,000,000.0000	5,000,000.00	4,999,800.00	0.57	(200.00)
084664BT7	BERKSHIRE HATHAWAY 3.000% 5/15/22	103.81	4,000,000.0000	4,131,120.00	4,152,560.00	0.47	21,440.00
084670BR8	BERKSHIRE HATHAWAY 2.750% 3/15/23	105.02	2,500,000.0000	2,440,950.00	2,625,400.00	0.30	184,450.00
09247XAL5	BLACKROCK INC 3.500% 3/18/24	109.84	1,000,000.0000	1,036,330.00	1,098,400.00	0.12	62,070.00
166764AH3	CHEVRON CORP 3.191% 6/24/23	106.36	3,500,000.0000	3,441,095.00	3,722,460.00	0.42	281,365.00
166764BG4	CHEVRON CORP 2.100% 5/16/21	100.55	2,500,000.0000	2,485,350.00	2,513,625.00	0.29	28,275.00
24422EUM9	JOHN DEERE MTN 3.650% 10/12/23	109.17	1,250,000.0000	1,250,237.50	1,364,650.00	0.16	114,412.50
30231GAV4	EXXON MOBIL 2.222% 3/01/21	100.14	3,000,000.0000	3,016,097.40	3,004,290.00	0.34	(11,807.40)
3130A0F70	F H L B DEB 3.375% 12/08/23	109.25	10,000,000.0000	10,269,043.75	10,925,200.00	1.24	656,156.25
3130A1XJ2	F H L B 2.875% 6/14/24	109.16	11,110,000.0000	11,589,031.30	12,127,342.70	1.38	538,311.40
3130A2UW4	F H L B DEB 2.875% 9/13/24	109.67	2,500,000.0000	2,635,950.00	2,741,700.00	0.31	105,750.00
3130A4CH3	F H L B DEB 2.375% 3/14/25	108.27	5,225,000.0000	5,526,848.25	5,657,107.50	0.64	130,259.25
3130A7CV5	F H L B DEB 1.375% 2/18/21	100.16	5,365,000.0000	5,343,325.40	5,373,369.40	0.61	30,044.00
313379RB7	F H L B DEB 1.875% 6/11/21	100.75	4,000,000.0000	4,030,160.00	4,030,080.00	0.46	(80.00)
313383QR5	F H L B DEB 3.250% 6/09/23	107.40	5,000,000.0000	5,083,350.00	5,370,200.00	0.61	286,850.00
313383YJ4	F H L B DEB 3.375% 9/08/23	108.55	10,000,000.0000	10,211,831.00	10,855,300.00	1.23	643,469.00
313385AD8	F H L B DISC NTS 1/04/21	1.00	1,500,000.0000	1,498,340.00	1,500,000.00	0.17	1,660.00
313385AX4	F H L B DISC NTS 1/22/21	100.00	9,000,000.0000	8,999,543.75	8,999,730.00	1.02	186.25
313385BL9	F H L B DISC NTS 2/04/21	99.99	9,000,000.0000	8,999,213.75	8,999,370.00	1.02	156.25
3133EKWV4	F F C B DEB 1.850% 7/26/24	105.60	5,000,000.0000	5,048,280.00	5,279,800.00	0.60	231,520.00

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CUSIP	Asset Short Name	Price	Shares/Units	Cost Basis	Market Value	Percent of Total	Unrealized Gain/Loss
3133ELYR9	F F C B DEB 0.250% 5/06/22	100.19	8,850,000.0000	8,838,760.50	8,866,815.00	1.01	28,054.50
3133TCE95	F H L M C MLTCL MTG 3.929% 8/15/32	101.13	4,473.7000	4,478.39	4,524.42	0.00	46.03
31348SWZ3	F H L M C #786064 2.752% 1/01/28	99.93	1,579.2700	1,540.81	1,578.10	0.00	37.29
3135G03U5	F N M A DEB 0.625% 4/22/25	101.18	14,000,000.0000	13,996,711.60	14,164,640.00	1.61	167,928.40
3135G04Z3	F N M A 0.500% 6/17/25	100.53	9,905,000.0000	9,884,496.65	9,957,595.55	1.13	73,098.90
3135G05G4	F N M A 0.250% 7/10/23	100.24	6,775,000.0000	6,760,433.75	6,791,192.25	0.77	30,758.50
3135G05X7	F N M A 0.375% 8/25/25	99.98	7,945,000.0000	7,907,817.40	7,943,252.10	0.90	35,434.70
3135G06G3	F N M A 0.500% 11/07/25	100.42	8,255,000.0000	8,225,447.10	8,289,505.90	0.94	64,058.80
3135G0J20	F N M A DEB 1.375% 2/26/21	100.18	10,000,000.0000	10,040,950.00	10,018,400.00	1.14	(22,550.00)
3135G0S38	F N M A 2.000% 1/05/22	101.90	3,000,000.0000	2,994,570.00	3,057,090.00	0.35	62,520.00
3135G0T45	F N M A 1.875% 4/05/22	102.21	5,000,000.0000	4,972,500.00	5,110,500.00	0.58	138,000.00
3135G0T94	F N M A DEB 2.375% 1/19/23	104.58	5,000,000.0000	4,910,990.00	5,229,000.00	0.59	318,010.00
3135G0U35	F N M A 2.750% 6/22/21	101.24	7,500,000.0000	7,515,225.00	7,593,000.00	0.86	77,775.00
3135G0V34	F N M A 2.500% 2/05/24	107.11	5,000,000.0000	4,980,850.00	5,355,300.00	0.61	374,450.00
3135G0X24	F N M A 1.625% 1/07/25	105.38	10,000,000.0000	10,157,936.40	10,537,700.00	1.20	379,763.60
31371NUC7	F N M A #257179 4.500% 4/01/28	108.30	10,705.2100	11,321.81	11,593.42	0.00	271.61
31376KT22	F N M A #357969 5.000% 9/01/35	116.30	78,622.3900	84,519.05	91,437.05	0.01	6,918.00
3137EAE9	F H L M C MTN 2.375% 2/16/21	100.27	7,500,000.0000	7,484,475.00	7,520,100.00	0.85	35,625.00
3137EAEN5	F H L M C 2.750% 6/19/23	106.32	10,000,000.0000	9,956,500.00	10,631,700.00	1.21	675,200.00
3137EAEP0	F H L M C 1.500% 2/12/25	104.90	12,335,000.0000	12,510,182.05	12,939,785.05	1.47	429,603.00
3137EAEU9	F H L M C MTN 0.375% 7/21/25	100.05	5,030,000.0000	5,004,950.60	5,032,665.90	0.57	27,715.30
3137EAEX3	F H L M C MTN 0.375% 9/23/25	99.83	7,660,000.0000	7,636,943.40	7,647,284.40	0.87	10,341.00
3138EG6F6	F N M A #AL0869 4.500% 6/01/29	109.26	6,954.1500	7,354.71	7,597.90	0.00	243.19
31394JY35	F H L M C MLTCL MTG 6.500% 9/25/43	116.27	561,133.9500	635,484.20	652,413.61	0.07	16,929.41
31397QRE0	F N M A GTD REMIC 2.472% 2/25/41	101.37	135,973.2200	135,930.74	137,840.13	0.02	1,909.39
31403DJZ3	F N M A #745580 5.000% 6/01/36	116.15	70,722.8100	76,027.01	82,142.42	0.01	6,115.41
31403GXF4	F N M A #748678 5.000% 10/01/33	112.89	1,318.1100	1,416.97	1,488.03	0.00	71.06
31406PQY8	F N M A #815971 5.000% 3/01/35	116.26	105,426.6600	113,333.68	122,565.87	0.01	9,232.19
31406XWT5	F N M A #823358 2.937% 2/01/35	104.40	91,103.5200	90,391.78	95,110.25	0.01	4,718.47
31407BXH7	F N M A #826080 5.000% 7/01/35	116.27	13,805.5700	14,840.97	16,051.74	0.00	1,210.77
31410F4V4	F N M A #888336 5.000% 7/01/36	115.89	130,793.5200	140,603.04	151,573.99	0.02	10,970.95
31417YAY3	F N M A #MA0022 4.500% 4/01/29	108.31	11,574.1200	12,240.77	12,535.93	0.00	295.16
36225CAZ9	G N M A I I #080023 3.125% 12/20/26	103.39	11,409.5500	11,598.04	11,796.68	0.00	198.64
36225CC20	G N M A I I #080088 2.875% 6/20/27	101.87	8,992.7500	9,189.47	9,160.46	0.00	(29.01)
36225CN28	G N M A I I #080408 2.875% 5/20/30	104.04	35,807.2900	35,443.62	37,252.83	0.00	1,809.21
36225CNM4	G N M A I I #080395 2.875% 4/20/30	104.04	4,774.0500	4,730.75	4,966.73	0.00	235.98
36225DCB8	G N M A I I #080965 2.250% 7/20/34	104.39	31,941.8600	31,921.91	33,342.83	0.00	1,420.92
369550BE7	GENERAL DYNAMICS 3.000% 5/11/21	100.96	3,160,000.0000	3,138,038.00	3,190,430.80	0.36	52,392.80
43813KAC6	HONDA AUTO 0.370% 10/18/24	100.17	3,235,000.0000	3,234,524.78	3,240,467.15	0.37	5,942.37
43814UAG4	HONDA AUTO 3.010% 5/18/22	100.83	631,002.3200	630,988.57	636,264.88	0.07	5,276.31
43815HAC1	HONDA AUTO 2.950% 8/22/22	101.19	1,791,651.3800	1,791,405.57	1,812,882.45	0.21	21,476.88
43815NAB0	HONDA AUTO 1.900% 4/15/22	100.36	1,347,348.3800	1,347,254.07	1,352,171.89	0.15	4,917.82

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CUSIP	Asset Short Name	Price	Shares/Units	Cost Basis	Market Value	Percent of Total	Unrealized Gain/Loss
438516CB0	HONEYWELL 1.350% 6/01/25	103.61	5,000,000.0000	5,119,000.00	5,180,450.00	0.59	61,450.00
44932HAH6	IBM CREDIT CORP 3.000% 2/06/23	105.90	5,670,000.0000	5,603,264.40	6,004,643.40	0.68	401,379.00
458140BD1	INTEL CORP 2.875% 5/11/24	107.91	5,000,000.0000	5,025,900.00	5,395,350.00	0.61	369,450.00
4581X0CS5	INTER AMER BK M T N 1.875% 3/15/21	100.32	5,000,000.0000	5,059,610.00	5,015,850.00	0.57	(43,760.00)
4581X0CW6	INTER AMER DEV BK 2.125% 1/18/22	101.94	3,000,000.0000	2,996,310.00	3,058,110.00	0.35	61,800.00
4581X0CZ9	INTER AMER DEV BK 1.750% 9/14/22	102.68	6,500,000.0000	6,249,655.00	6,673,875.00	0.76	424,220.00
459058FH1	INTL BK 1.375% 5/24/21	100.45	1,000,000.0000	1,010,570.00	1,004,490.00	0.11	(6,080.00)
459058FY4	INTL BK 2.000% 1/26/22	101.91	10,000,000.0000	10,006,350.00	10,191,200.00	1.16	184,850.00
459058JB0	INTL BK M T N 0.625% 4/22/25	100.97	6,245,000.0000	6,220,831.85	6,305,326.70	0.72	84,494.85
459058JL8	INTL BK M T N 0.500% 10/28/25	100.19	6,920,000.0000	6,912,180.40	6,932,940.40	0.79	20,760.00
45950KCJ7	INTL FINANCE CORP 1.125% 7/20/21	100.51	2,500,000.0000	2,441,600.00	2,512,825.00	0.29	71,225.00
45950KCM0	INTL BK M T N 2.250% 1/25/21	100.13	2,970,000.0000	2,961,268.20	2,973,771.90	0.34	12,503.70
46625HRL6	JP MORGAN CHASE CO 2.700% 5/18/23	105.14	5,000,000.0000	4,821,910.00	5,256,750.00	0.60	434,840.00
46647PAU0	JPMORGAN CHASE CO 3.797% 7/23/24	108.48	2,500,000.0000	2,632,175.00	2,711,900.00	0.31	79,725.00
477870AB5	JOHN DEERE OWNER 2.280% 5/16/22	100.20	646,522.3800	646,519.92	647,834.82	0.07	1,314.90
47787NAC3	JOHN DEERE OWNER 0.510% 11/15/24	100.32	1,480,000.0000	1,479,774.45	1,484,750.80	0.17	4,976.35
47788CAC6	JOHN DEERE OWNER 2.660% 4/18/22	100.25	165,799.5700	165,787.65	166,215.73	0.02	428.08
47788EAC2	JOHN DEERE OWNER 3.080% 11/15/22	101.01	2,145,869.8100	2,145,707.16	2,167,628.93	0.25	21,921.77
494368BF9	KIMBERLY CLARK CORP 3.875% 3/01/21	100.53	750,000.0000	768,877.50	754,005.00	0.09	(14,872.50)
525ESC0Y6	LEHMAN BRTH HLD ESC	-	2,000,000.0000	1,025,037.05	-	-	(1,025,037.05)
525ESCIB7	LEHMAN BRTH MTN ES 0.00001% 1/24/13	1.12	600,000.0000	318,131.38	6,720.00	0.00	(311,411.38)
55380TMD9	MUFG BK LTD N Y C D 0.240% 4/21/21	100.00	2,500,000.0000	2,500,000.00	2,500,050.00	0.28	50.00
58770FAC6	MERCEDES BENZ AUTO 1.840% 12/15/22	101.40	2,050,000.0000	2,049,729.81	2,078,638.50	0.24	28,908.69
58933YAF2	MERCK CO INC 2.800% 5/18/23	106.05	2,000,000.0000	1,948,640.00	2,120,960.00	0.24	172,320.00
594918BP8	MICROSOFT CORP 1.550% 8/08/21	100.69	3,045,000.0000	3,041,385.15	3,065,949.60	0.35	24,564.45
61747WAL3	MORGAN STANLEY 5.500% 7/28/21	102.94	2,800,000.0000	3,200,848.00	2,882,320.00	0.33	(318,528.00)
65479GAD1	NISSAN AUTO 3.060% 3/15/23	101.37	2,222,777.0100	2,222,705.00	2,253,295.74	0.26	30,590.74
65479JAD5	NISSAN AUTO 1.930% 7/15/24	102.04	4,185,000.0000	4,184,779.03	4,270,374.00	0.49	85,594.97
68389XBK0	ORACLE CORP 1.900% 9/15/21	101.01	3,000,000.0000	2,892,240.00	3,030,210.00	0.34	137,970.00
69353RFB9	PNC BANK NA MTN 2.625% 2/17/22	102.43	1,000,000.0000	974,940.00	1,024,300.00	0.12	49,360.00
69353RFL7	PNC BANK NA MTN 3.500% 6/08/23	107.35	5,000,000.0000	4,993,318.05	5,367,600.00	0.61	374,281.95
69371RN93	PACCAR FINANCIAL MTN 2.800% 3/01/21	100.34	600,000.0000	607,086.00	602,052.00	0.07	(5,034.00)
78012UVJ1	ROYAL BK OF C D 1.000% 2/19/21	100.12	1,500,000.0000	1,500,000.00	1,501,740.00	0.17	1,740.00
78013XZU5	ROYAL BANK OF MTN 2.550% 7/16/24	106.94	6,500,000.0000	6,581,445.00	6,950,775.00	0.79	369,330.00
78015K7H1	ROYAL BANK OF MTN 1.150% 6/10/25	102.19	1,500,000.0000	1,515,480.00	1,532,805.00	0.17	17,325.00
78445JAA5	S L M A 1.76388% 4/25/23	99.95	10,816.0300	10,772.14	10,810.95	0.00	38.81
808513AT2	CHARLES SCHWAB CORP 2.650% 1/25/23	104.76	6,750,000.0000	6,729,480.00	7,071,030.00	0.80	341,550.00
808513AW5	CHARLES SCHWAB CORP 3.250% 5/21/21	100.90	1,385,000.0000	1,419,472.65	1,397,395.75	0.16	(22,076.90)
83162CLJ0	S B A GTD DEV PART 6.340% 3/01/21	100.44	2,984.8600	2,984.86	2,998.02	0.00	13.16
89114QBX5	TORONTO DOMINION MTN 2.550% 1/25/21	100.12	1,750,000.0000	1,774,762.50	1,752,082.50	0.20	(22,680.00)
89114QC48	TORONTO MTN 3.500% 7/19/23	108.22	5,000,000.0000	5,094,200.00	5,410,900.00	0.61	316,700.00
89114QCA4	TORONTO DOMINION MTN 2.650% 6/12/24	107.15	3,000,000.0000	3,000,570.00	3,214,560.00	0.37	213,990.00

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89236TBJ3	TOYOTA MOTOR MTN 2.750% 5/17/21	100.90	1,500,000.0000	1,523,295.00	1,513,560.00	0.17	(9,735.00)
89237VAB5	TOYOTA AUTO RECV 0.440% 10/15/24	100.35	2,960,000.0000	2,959,772.08	2,970,389.60	0.34	10,617.52
90331HNL3	US BANK NA MTN 2.850% 1/23/23	105.19	2,000,000.0000	1,992,640.00	2,103,720.00	0.24	111,080.00
90331HPL1	US BANK NA MTN 2.050% 1/21/25	105.82	7,270,000.0000	7,254,514.90	7,693,259.40	0.87	438,744.50
9128283J7	U S TREASURY NT 2.125% 11/30/24	107.29	16,500,000.0000	16,783,886.72	17,703,345.00	2.01	919,458.28
9128284D9	U S TREASURY NT 2.500% 3/31/23	105.30	10,000,000.0000	9,887,265.63	10,529,700.00	1.20	642,434.37
9128287A2	U S TREASURY NT 1.625% 6/30/21	100.74	19,000,000.0000	19,180,937.51	19,140,980.00	2.17	(39,957.51)
912828J76	U S TREASURY NT 1.750% 3/31/22	102.03	5,000,000.0000	4,976,383.94	5,101,550.00	0.58	125,166.06
912828L24	U S TREASURY NT 1.875% 8/31/22	102.90	6,000,000.0000	5,987,832.60	6,173,880.00	0.70	186,047.40
912828L57	U S TREASURY NT 1.750% 9/30/22	102.82	16,000,000.0000	15,829,492.20	16,451,840.00	1.87	622,347.80
912828M80	U S TREASURY NT 2.000% 11/30/22	103.58	8,000,000.0000	7,907,500.00	8,286,560.00	0.94	379,060.00
912828N30	U S TREASURY NT 2.125% 12/31/22	103.98	5,000,000.0000	4,926,562.50	5,199,050.00	0.59	272,487.50
912828R69	U S TREASURY NT 1.625% 5/31/23	103.57	5,000,000.0000	4,757,226.56	5,178,300.00	0.59	421,073.44
912828S27	U S TREASURY NT 1.125% 6/30/21	100.50	27,000,000.0000	27,141,328.14	27,135,000.00	3.08	(6,328.14)
912828S76	U S TREASURY NT 1.125% 7/31/21	100.59	43,000,000.0000	43,267,968.77	43,251,980.00	4.91	(15,988.77)
912828T34	U S TREASURY NT 1.125% 9/30/21	100.75	7,000,000.0000	6,757,914.08	7,052,780.00	0.80	294,865.92
912828T67	U S TREASURY NT 1.250% 10/31/21	100.93	6,000,000.0000	5,813,691.98	6,055,800.00	0.69	242,108.02
912828U57	U S TREASURY NT 2.125% 11/30/23	105.73	15,000,000.0000	14,723,632.81	15,859,650.00	1.80	1,136,017.19
912828U65	U S TREASURY NT 1.750% 11/30/21	101.48	7,000,000.0000	6,900,492.20	7,103,390.00	0.81	202,897.80
912828V72	U S TREASURY NT 1.875% 1/31/22	101.89	3,000,000.0000	3,004,814.74	3,056,730.00	0.35	51,915.26
912828V80	U S TREASURY NT 2.250% 1/31/24	106.39	7,500,000.0000	7,491,503.91	7,979,325.00	0.91	487,821.09
912828W48	U S TREASURY NT 2.125% 2/29/24	106.13	10,000,000.0000	9,911,718.75	10,613,300.00	1.21	701,581.25
912828WJ5	U S TREASURY NT 2.500% 5/15/24	107.76	7,000,000.0000	7,193,046.88	7,543,060.00	0.86	350,013.12
912828WR7	U S TREASURY NT 2.125% 6/30/21	100.99	8,000,000.0000	8,118,398.44	8,079,360.00	0.92	(39,038.44)
912828WU0	U S TREASURY I P S 0.125% 7/15/24	107.07	11,404,744.0000	11,260,024.09	12,210,831.31	1.39	950,807.22
912828WY2	U S TREASURY NT 2.250% 7/31/21	101.23	8,000,000.0000	8,144,296.88	8,098,160.00	0.92	(46,136.88)
912828XW5	U S TREASURY NT 1.750% 6/30/22	102.43	5,000,000.0000	4,973,454.25	5,121,700.00	0.58	148,245.75
912828XX3	U S TREASURY NT 2.000% 6/30/24	106.25	5,000,000.0000	5,028,710.94	5,312,700.00	0.60	283,989.06
912828YC8	U S TREASURY NT 1.500% 8/31/21	100.92	9,000,000.0000	9,084,726.56	9,082,980.00	1.03	(1,746.56)
912828YH7	U S TREASURY NT 1.500% 9/30/24	104.72	14,000,000.0000	13,859,296.88	14,660,100.00	1.67	800,803.12
912828ZL7	U S TREASURY NT 0.375% 4/30/25	100.36	12,000,000.0000	11,998,515.63	12,043,560.00	1.37	45,044.37
91282CAM3	U S TREASURY NT 0.250% 9/30/25	99.62	6,500,000.0000	6,477,656.25	6,475,365.00	0.74	(2,291.25)
91282CBA8	U S TREASURY NT 0.125% 12/15/23	99.88	6,500,000.0000	6,491,367.19	6,492,395.00	0.74	1,027.81
91282CBC4	U S TREASURY NT 0.375% 12/31/25	100.08	7,000,000.0000	6,999,453.13	7,005,460.00	0.80	6,006.87
913366EJ5	UNIV OF CALIFORNIA 5.035% 5/15/21	101.66	400,000.0000	400,000.00	406,632.00	0.05	6,632.00
931142EK5	WALMART INC 3.400% 6/26/23	107.39	3,880,000.0000	3,878,991.40	4,166,887.20	0.47	287,895.80
95000U2B8	WELLS FARGO MTN 2.625% 7/22/22	103.51	3,000,000.0000	2,954,520.00	3,105,360.00	0.35	150,840.00
Fixed Income Total			755,178,649.0800	755,612,402.76	776,063,519.24	88.16	20,451,116.48
Grand Total			859,441,659.3200	859,808,879.81	880,322,449.48	100.00	20,513,569.67

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ACQUISITIONS							
10/01/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	472.2200	1.000000	-472.22	472.22	0.00
10/02/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	240.1000	1.000000	-240.10	240.10	0.00
10/02/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	1,568.5100	1.000000	-1,568.51	1,568.51	0.00
10/02/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	294.6200	1.000000	-294.62	294.62	0.00
10/05/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	46,875.0000	1.000000	-46,875.00	46,875.00	0.00
10/08/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	5,000,000.0000	1.000000	-5,000,000.00	5,000,000.00	0.00
10/13/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	6,500,000.0000	1.000000	-6,500,000.00	6,500,000.00	0.00
10/13/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	59,062.5000	1.000000	-59,062.50	59,062.50	0.00
10/14/2020	912828WR7	PURCHASED PAR VALUE OF U S TREASURY NT 2.125% 6/30/21 /NOMURA SECURITIES INTERNATIONA/5,000,000 PAR VALUE AT 101.4257812 %	5,000,000.0000	1.014258	-5,071,289.06	5,071,289.06	0.00
10/15/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	1,184,650.0000	1.000000	-1,184,650.00	1,184,650.00	0.00
10/15/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	1,627,997.9300	1.000000	-1,627,997.93	1,627,997.93	0.00
10/19/2020	91282CAM3	PURCHASED PAR VALUE OF U S TREASURY NT 0.250% 9/30/25 /GOLDMAN SACHS & CO. LLC/6,500,000 PAR VALUE AT 99.65625 %	6,500,000.0000	0.996563	-6,477,656.25	6,477,656.25	0.00
10/19/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	124,664.1600	1.000000	-124,664.16	124,664.16	0.00
10/19/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	6,584.2000	1.000000	-6,584.20	6,584.20	0.00
10/20/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	1,934.1000	1.000000	-1,934.10	1,934.10	0.00
10/21/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	232,267.1200	1.000000	-232,267.12	232,267.12	0.00
10/22/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	5,000,000.0000	1.000000	-5,000,000.00	5,000,000.00	0.00
10/22/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	6,588,050.7500	1.000000	-6,588,050.75	6,588,050.75	0.00
10/22/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	19,546.8500	1.000000	-19,546.85	19,546.85	0.00
10/26/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	28,715.8500	1.000000	-28,715.85	28,715.85	0.00
10/26/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	329,378.5500	1.000000	-329,378.55	329,378.55	0.00
10/27/2020	912828S76	PURCHASED PAR VALUE OF U S TREASURY NT 1.125% 7/31/21 /J.P. MORGAN SECURITIES LLC/5,000,000 PAR VALUE AT 100.7578126 %	5,000,000.0000	1.007578	-5,037,890.63	5,037,890.63	0.00
10/27/2020	9128287A2	PURCHASED PAR VALUE OF U S TREASURY NT 1.625% 6/30/21 /J.P. MORGAN SECURITIES LLC/5,000,000 PAR VALUE AT 101.015625 %	5,000,000.0000	1.010156	-5,050,781.25	5,050,781.25	0.00
10/28/2020	459058JL8	PURCHASED PAR VALUE OF INTL BK M T N 0.500% 10/28/25 /MORGAN STANLEY & CO. LLC/6,920,000 PAR VALUE AT 99.887 %	6,920,000.0000	0.998870	-6,912,180.40	6,912,180.40	0.00
10/30/2020	00440EAS6	PURCHASED PAR VALUE OF ACE INA HOLDING SECURITIES, LLC/2,000,000 PAR VALUE AT 110.187 %	2,000,000.0000	1.101870	-2,203,740.00	2,203,740.00	0.00
10/30/2020	9128287A2	PURCHASED PAR VALUE OF U S TREASURY NT 1.625% 6/30/21 /J.P. MORGAN SECURITIES LLC/4,000,000 PAR VALUE AT 101.0078125 %	4,000,000.0000	1.010078	-4,040,312.50	4,040,312.50	0.00
11/02/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	1,488,525.0000	1.000000	-1,488,525.00	1,488,525.00	0.00
11/03/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	505,994.9200	1.000000	-505,994.92	505,994.92	0.00
11/03/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	60,022.9600	1.000000	-60,022.96	60,022.96	0.00

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11/05/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	5,000,000.0000	1.000000	-5,000,000.00	5,000,000.00	0.00
11/06/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	16,458.7500	1.000000	-16,458.75	16,458.75	0.00
11/06/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	11,062.5000	1.000000	-11,062.50	11,062.50	0.00
11/10/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	7,555,925.0000	1.000000	-7,555,925.00	7,555,925.00	0.00
11/12/2020	3135G06G3	PURCHASED PAR VALUE OF F N M A 0.500% 11/07/25 /BARCLAYS CAPITAL INC. FIXED IN/8,255,000 PAR VALUE AT 99.642 %	8,255,000.0000	0.996420	-8,225,447.10	8,225,447.10	0.00
11/16/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	1,522,847.6400	1.000000	-1,522,847.64	1,522,847.64	0.00
11/16/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	374,284.2700	1.000000	-374,284.27	374,284.27	0.00
11/17/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	20,625.0000	1.000000	-20,625.00	20,625.00	0.00
11/17/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	5,046,875.0000	1.000000	-5,046,875.00	5,046,875.00	0.00
11/18/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	524,925.8300	1.000000	-524,925.83	524,925.83	0.00
11/18/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	118,021.4100	1.000000	-118,021.41	118,021.41	0.00
11/20/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	2,757.1000	1.000000	-2,757.10	2,757.10	0.00
11/23/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	1,522,506.2500	1.000000	-1,522,506.25	1,522,506.25	0.00
11/23/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	230,574.3400	1.000000	-230,574.34	230,574.34	0.00
11/24/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	4,806,875.0000	1.000000	-4,806,875.00	4,806,875.00	0.00
11/24/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	5.0000	1.000000	-5.00	5.00	0.00
11/25/2020	06417MMB8	PURCHASED PAR VALUE OF BANK OF NOVA C D 0.280% 11/24/21 /GOLDMAN SACHS & CO. LLC/5,000,000 PAR VALUE AT 100 %	5,000,000.0000	1.000000	-5,000,000.00	5,000,000.00	0.00
11/25/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	23,578.1100	1.000000	-23,578.11	23,578.11	0.00
11/30/2020	9128287A2	PURCHASED PAR VALUE OF U S TREASURY NT 1.625% 6/30/21 /J.P. MORGAN SECURITIES LLC/5,000,000 PAR VALUE AT 100.8984376 %	5,000,000.0000	1.008984	-5,044,921.88	5,044,921.88	0.00
11/30/2020	9128287A2	PURCHASED PAR VALUE OF U S TREASURY NT 1.625% 6/30/21 /J.P. MORGAN SECURITIES LLC/5,000,000 PAR VALUE AT 100.8984376 %	5,000,000.0000	1.008984	-5,044,921.88	5,044,921.88	0.00
11/30/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	516,562.5000	1.000000	-516,562.50	516,562.50	0.00
12/01/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	36,187.5000	1.000000	-36,187.50	36,187.50	0.00
12/02/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	156.6000	1.000000	-156.60	156.60	0.00
12/02/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	111.9900	1.000000	-111.99	111.99	0.00
12/08/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	256,250.0000	1.000000	-256,250.00	256,250.00	0.00
12/09/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	81,250.0000	1.000000	-81,250.00	81,250.00	0.00
12/10/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	8,625.0000	1.000000	-8,625.00	8,625.00	0.00
12/11/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	37,500.0000	1.000000	-37,500.00	37,500.00	0.00
12/14/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	505,500.0000	1.000000	-505,500.00	505,500.00	0.00
12/14/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	159,706.2500	1.000000	-159,706.25	159,706.25	0.00
12/14/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	39,750.0000	1.000000	-39,750.00	39,750.00	0.00
12/15/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	894,881.1500	1.000000	-894,881.15	894,881.15	0.00

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12/15/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	58,163.1600	1.000000	-58,163.16	58,163.16	0.00
12/17/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	24,487.3600	1.000000	-24,487.36	24,487.36	0.00
12/18/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	228,855.3400	1.000000	-228,855.34	228,855.34	0.00
12/21/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	347,181.4800	1.000000	-347,181.48	347,181.48	0.00
12/21/2020	55380TMD9	PURCHASED PAR VALUE OF MUFG BK LTD N Y C D 0.240% 4/21/21 /MUFG UNION BK NA/MMI/PIMS/IPA/2,500,000 PAR VALUE AT 100 %	2,500,000.0000	1.000000	-2,500,000.00	2,500,000.00	0.00
12/22/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	103,125.0000	1.000000	-103,125.00	103,125.00	0.00
12/23/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	97,000,000.0000	1.000000	-97,000,000.00	97,000,000.00	0.00
12/23/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	31,000,000.0000	1.000000	-31,000,000.00	31,000,000.00	0.00
12/24/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	55,842.5000	1.000000	-55,842.50	55,842.50	0.00
12/28/2020	313385AX4	PURCHASED PAR VALUE OF F H L B DISC NTS 1/22/21 /MORGAN STANLEY & CO. LLC/9,000,000 PAR VALUE AT 99.99493056 %	9,000,000.0000	0.999949	-8,999,543.75	8,999,543.75	0.00
12/28/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	108,001.4800	1.000000	-108,001.48	108,001.48	0.00
12/29/2020	313385BL9	PURCHASED PAR VALUE OF F H L B DISC NTS 2/04/21 /GOLDMAN SACHS & CO. LLC/9,000,000 PAR VALUE AT 99.99126389 %	9,000,000.0000	0.999913	-8,999,213.75	8,999,213.75	0.00
12/29/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	14,628.0000	1.000000	-14,628.00	14,628.00	0.00
12/29/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	2.5000	1.000000	-2.50	2.50	0.00
12/29/2020	912828S27	PURCHASED PAR VALUE OF U S TREASURY NT 1.125% 6/30/21 /GOLDMAN SACHS & CO. LLC/9,000,000 PAR VALUE AT 100.52343756 %	9,000,000.0000	1.005234	-9,047,109.38	9,047,109.38	0.00
12/29/2020	912828S27	PURCHASED PAR VALUE OF U S TREASURY NT 1.125% 6/30/21 /WELLS FARGO SECURITIES, LLC/9,000,000 PAR VALUE AT 100.52343756 %	9,000,000.0000	1.005234	-9,047,109.38	9,047,109.38	0.00
12/29/2020	912828S27	PURCHASED PAR VALUE OF U S TREASURY NT 1.125% 6/30/21 /WELLS FARGO SECURITIES, LLC/9,000,000 PAR VALUE AT 100.52343756 %	9,000,000.0000	1.005234	-9,047,109.38	9,047,109.38	0.00
12/29/2020	912828S76	PURCHASED PAR VALUE OF U S TREASURY NT 1.125% 7/31/21 /GOLDMAN SACHS & CO. LLC/9,000,000 PAR VALUE AT 100.60546878 %	9,000,000.0000	1.006055	-9,054,492.19	9,054,492.19	0.00
12/29/2020	912828YC8	PURCHASED PAR VALUE OF U S TREASURY NT 1.500% 8/31/21 /WELLS FARGO SECURITIES, LLC/9,000,000 PAR VALUE AT 100.94140622 %	9,000,000.0000	1.009414	-9,084,726.56	9,084,726.56	0.00
12/30/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	0.8700	1.000000	-0.87	0.87	0.00
12/30/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	6.3700	1.000000	-6.37	6.37	0.00
12/30/2020	9127963W7	PURCHASED PAR VALUE OF U S TREASURY BILL 2/04/21 /J.P. MORGAN SECURITIES LLC/15,000,000 PAR VALUE AT 99.9915 %	15,000,000.0000	0.999915	-14,998,725.00	14,998,725.00	0.00
12/30/2020	912828S76	PURCHASED PAR VALUE OF U S TREASURY NT 1.125% 7/31/21 /NOMURA SECURITIES INTERNATIONAL/5,000,000 PAR VALUE AT 100.6054688 %	5,000,000.0000	1.006055	-5,030,273.44	5,030,273.44	0.00
12/30/2020	912828S76	PURCHASED PAR VALUE OF U S TREASURY NT 1.125% 7/31/21 /NOMURA SECURITIES INTERNATIONAL/6,000,000 PAR VALUE AT 100.60546883 %	6,000,000.0000	1.006055	-6,036,328.13	6,036,328.13	0.00
12/30/2020	912828S76	PURCHASED PAR VALUE OF U S TREASURY NT 1.125% 7/31/21 /NOMURA SECURITIES INTERNATIONAL/9,000,000 PAR VALUE AT 100.60546878 %	9,000,000.0000	1.006055	-9,054,492.19	9,054,492.19	0.00

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12/30/2020	912828S76	PURCHASED PAR VALUE OF U S TREASURY NT 1.125% 7/31/21 /NOMURA SECURITIES INTERNATIONA/9,000,000 PAR VALUE AT 100.60546878 %	9,000,000.0000	1.006055	-9,054,492.19	9,054,492.19	0.00
12/30/2020	91282CBA8	PURCHASED PAR VALUE OF U S TREASURY NT 0.125% 12/15/23 /J.P. MORGAN SECURITIES LLC/6,500,000 PAR VALUE AT 99.86718754 %	6,500,000.0000	0.998672	-6,491,367.19	6,491,367.19	0.00
12/31/2020	31846V567	PURCHASED UNITS OF FIRST AM GOVT OB FD CL Z	5,391,250.0000	1.000000	-5,391,250.00	5,391,250.00	0.00
12/31/2020	91282CBC4	PURCHASED PAR VALUE OF U S TREASURY NT 0.250% 12/31/25 /J.P. MORGAN SECURITIES LLC/7,000,000 PAR VALUE AT 99.99218757 %	7,000,000.0000	0.999922	-6,999,453.13	6,999,453.13	0.00
TOTAL ACQUISITIONS			373,127,191.5900		-374,005,768.20	374,005,768.20	0.00
DISPOSITIONS							
10/08/2020	912796TN9	MATURED PAR VALUE OF U S TREASURY BILL 10/08/20 5,000,000 PAR VALUE AT 100 %	-5,000,000.0000	1.000000	4,997,484.38	-4,997,484.38	0.00
10/13/2020	313384K57	MATURED PAR VALUE OF F H L B DISC NTS 10/13/20 6,500,000 PAR VALUE AT 100 %	-6,500,000.0000	1.000000	6,496,403.33	-6,496,403.33	0.00
10/14/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-5,101,893.6800	1.000000	5,101,893.68	-5,101,893.68	0.00
10/15/2020	46625HHU7	MATURED PAR VALUE OF JPMORGAN CHASE CO 4.250% 10/15/20 1,160,000 PAR VALUE AT 100 %	-1,160,000.0000	1.000000	1,160,000.00	-1,176,924.40	-16,924.40
10/15/2020	31348SWZ3	PAID DOWN PAR VALUE OF F H L M C #786064 3.846% 1/01/28 SEPTEMBER FHLMC DUE 10/15/20	-10.8100	0.000000	10.81	-10.55	0.26
10/15/2020	3133TCE95	PAID DOWN PAR VALUE OF F H L M C MLTCL MTG 3.985% 8/15/32	-69.3000	0.000000	69.30	-69.37	-0.07
10/15/2020	43815NAB0	PAID DOWN PAR VALUE OF HONDA AUTO 1.900% 4/15/22	-292,039.3700	0.000000	292,039.37	-292,018.93	20.44
10/15/2020	47788BAD6	PAID DOWN PAR VALUE OF JOHN DEERE OWNER 1.820% 10/15/21	-18,151.5800	0.000000	18,151.58	-18,150.25	1.33
10/15/2020	477870AB5	PAID DOWN PAR VALUE OF JOHN DEERE OWNER 2.280% 5/16/22	-182,713.9700	0.000000	182,713.97	-182,713.28	0.69
10/15/2020	47788CAC6	PAID DOWN PAR VALUE OF JOHN DEERE OWNER 2.660% 4/18/22	-66,844.7500	0.000000	66,844.75	-66,839.94	4.81
10/15/2020	47789JAB2	PAID DOWN PAR VALUE OF JOHN DEERE OWNER 2.850% 12/15/21	-222,999.4700	0.000000	222,999.47	-222,989.31	10.16
10/15/2020	47788EAC2	PAID DOWN PAR VALUE OF JOHN DEERE OWNER 3.080% 11/15/22	-219,116.3700	0.000000	219,116.37	-219,099.76	16.61
10/15/2020	65478GAD2	PAID DOWN PAR VALUE OF NISSAN AUTO 1.750% 10/15/21	-121,975.8200	0.000000	121,975.82	-120,084.24	1,891.58
10/15/2020	65479GAD1	PAID DOWN PAR VALUE OF NISSAN AUTO 3.060% 3/15/23	-213,877.4300	0.000000	213,877.43	-213,870.50	6.93
10/15/2020	89239AAB9	PAID DOWN PAR VALUE OF TOYOTA AUTO 2.830% 10/15/21	-254,732.0600	0.000000	254,732.06	-254,708.94	23.12
10/19/2020	43814PAC4	PAID DOWN PAR VALUE OF HONDA AUTO 1.790% 9/20/21	-124,185.4900	0.000000	124,185.49	-122,215.99	1,969.50
10/19/2020	43814WAB1	PAID DOWN PAR VALUE OF HONDA AUTO 2.750% 9/20/21	-332,646.6500	0.000000	332,646.65	-332,625.23	21.42
10/19/2020	43814UAG4	PAID DOWN PAR VALUE OF HONDA AUTO 3.010% 5/18/22	-108,575.5100	0.000000	108,575.51	-108,573.14	2.37
10/19/2020	912828N89	SOLD PAR VALUE OF U S TREASURY NT 1.375% 1/31/21 /GOLDMAN SACHS & CO. LLC/6,000,000 PAR VALUE AT 100.35546883 %	-6,000,000.0000	1.003555	6,021,328.13	-5,895,840.41	125,487.72
10/20/2020	36225CAZ9	PAID DOWN PAR VALUE OF G N M A I I #080023 3.125% 12/20/26 SEPTEMBER GNMA DUE 10/20/20	-160.9000	0.000000	160.90	-163.56	-2.66
10/20/2020	36225CC20	PAID DOWN PAR VALUE OF G N M A I I #080088 2.875% 6/20/27 SEPTEMBER GNMA DUE 10/20/20	-115.7600	0.000000	115.76	-118.29	-2.53

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10/20/2020	36225CNM4	PAID DOWN PAR VALUE OF G N M A I I #080395 2.875% 4/20/30 SEPTEMBER GNMA DUE 10/20/20	-161.1700	0.000000	161.17	-159.71	1.46
10/20/2020	36225CN28	PAID DOWN PAR VALUE OF G N M A I I #080408 2.875% 5/20/30 SEPTEMBER GNMA DUE 10/20/20	-327.8300	0.000000	327.83	-324.50	3.33
10/20/2020	36225DCB8	PAID DOWN PAR VALUE OF G N M A I I #080965 3.250% 7/20/34 SEPTEMBER GNMA DUE 10/20/20	-918.0200	0.000000	918.02	-917.45	0.57
10/21/2020	43815HAC1	PAID DOWN PAR VALUE OF HONDA AUTO 2.950% 8/22/22	-226,254.6700	0.000000	226,254.67	-226,223.63	31.04
10/22/2020	9127962S7	MATURED PAR VALUE OF U S TREASURY BILL 10/22/20 5,000,000 PAR VALUE AT 100 %	-5,000,000.0000	1.000000	4,997,362.85	-4,997,362.85	0.00
10/22/2020	912828L99	SOLD PAR VALUE OF U S TREASURY NT 1.375% 10/31/20 /CITIGROUP GLOBAL MARKETS INC./6,500,000 PAR VALUE AT 100.03515631 %	-6,500,000.0000	1.000352	6,502,285.16	-6,396,119.99	106,165.17
10/26/2020	31394JY35	PAID DOWN PAR VALUE OF F H L M C MLTCL MTG 6.500% 9/25/43	-4,860.0000	0.000000	4,860.00	-5,503.95	-643.95
10/26/2020	31371NUC7	PAID DOWN PAR VALUE OF F N M A #257179 4.500% 4/01/28 SEPTEMBER FNMA DUE 10/25/20	-132.0800	0.000000	132.08	-139.69	-7.61
10/26/2020	31376KT22	PAID DOWN PAR VALUE OF F N M A #357969 5.000% 9/01/35 SEPTEMBER FNMA DUE 10/25/20	-1,125.4900	0.000000	1,125.49	-1,209.90	-84.41
10/26/2020	31381PDA3	PAID DOWN PAR VALUE OF F N M A #466397 3.400% 11/01/20 P & I DUE 10/25/20	-328,447.9500	0.000000	328,447.95	-321,340.16	7,107.79
10/26/2020	31403DJZ3	PAID DOWN PAR VALUE OF F N M A #745580 5.000% 6/01/36 SEPTEMBER FNMA DUE 10/25/20	-1,659.8300	0.000000	1,659.83	-1,784.32	-124.49
10/26/2020	31403GXF4	PAID DOWN PAR VALUE OF F N M A #748678 5.000% 10/01/33 SEPTEMBER FNMA DUE 10/25/20	-340.6700	0.000000	340.67	-366.22	-25.55
10/26/2020	31406PQY8	PAID DOWN PAR VALUE OF F N M A #815971 5.000% 3/01/35 SEPTEMBER FNMA DUE 10/25/20	-5,542.7200	0.000000	5,542.72	-5,958.42	-415.70
10/26/2020	31406XWT5	PAID DOWN PAR VALUE OF F N M A #823358 3.674% 2/01/35 SEPTEMBER FNMA DUE 10/25/20	-490.0800	0.000000	490.08	-486.25	3.83
10/26/2020	31407BXH7	PAID DOWN PAR VALUE OF F N M A #826080 5.000% 7/01/35 SEPTEMBER FNMA DUE 10/25/20	-739.5100	0.000000	739.51	-794.97	-55.46
10/26/2020	31410F4V4	PAID DOWN PAR VALUE OF F N M A #888336 5.000% 7/01/36 SEPTEMBER FNMA DUE 10/25/20	-3,929.8600	0.000000	3,929.86	-4,224.60	-294.74
10/26/2020	3138EG6F6	PAID DOWN PAR VALUE OF F N M A #AL0869 4.500% 6/01/29 SEPTEMBER FNMA DUE 10/25/20	-167.3800	0.000000	167.38	-177.02	-9.64
10/26/2020	31417YAY3	PAID DOWN PAR VALUE OF F N M A #MA0022 4.500% 4/01/29 SEPTEMBER FNMA DUE 10/25/20	-198.6200	0.000000	198.62	-210.06	-11.44
10/26/2020	31397QRE0	PAID DOWN PAR VALUE OF F N M A GTD REMIC 2.472% 2/25/41	-3,453.0100	0.000000	3,453.01	-3,451.93	1.08
10/26/2020	78445JAA5	PAID DOWN PAR VALUE OF S L M A 1.76388% 4/25/23	-409.7700	0.000000	409.77	-408.11	1.66
10/27/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-10,128,396.7500	1.000000	10,128,396.75	-10,128,396.75	0.00
10/28/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-6,912,180.4000	1.000000	6,912,180.40	-6,912,180.40	0.00
10/30/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-4,061,861.4100	1.000000	4,061,861.41	-4,061,861.41	0.00
10/30/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-2,211,615.0000	1.000000	2,211,615.00	-2,211,615.00	0.00

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11/02/2020	64971M5E8	MATURED PAR VALUE OF NEW YORK CITY NY VALUE AT 100 %	4.075% 11/01/20 1,400,000 PAR	-1,400,000.0000	1.000000	1,400,000.00	-1,400,000.00 0.00
11/03/2020	00440EAT4	MATURED PAR VALUE OF ACE INA HOLDINGS AT 100 %	2.300% 11/03/20 500,000 PAR VALUE	-500,000.0000	1.000000	500,000.00	-503,140.00 -3,140.00
11/05/2020	912796TP4	MATURED PAR VALUE OF U S TREASURY BILL AT 100 %	11/05/20 5,000,000 PAR VALUE	-5,000,000.0000	1.000000	4,997,375.00	-4,997,375.00 0.00
11/10/2020	3135G0F73	SOLD PAR VALUE OF F N M A LLC/7,500,000 PAR VALUE AT 100.079 %	1.500% 11/30/20 /MORGAN STANLEY & CO.	-7,500,000.0000	1.000790	7,505,925.00	-7,370,726.00 135,199.00
11/12/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z		-8,063,422.1000	1.000000	8,063,422.10	-8,063,422.10 0.00
11/16/2020	31348SWZ3	PAID DOWN PAR VALUE OF F H L M C #786064 DUE 11/15/20	3.845% 1/01/28 OCTOBER FHLMC	-18.0200	0.000000	18.02	-17.58 0.44
11/16/2020	3133TCE95	PAID DOWN PAR VALUE OF F H L M C MLTCL MTG	3.954% 8/15/32	-87.5000	0.000000	87.50	-87.59 -0.09
11/16/2020	43815NAB0	PAID DOWN PAR VALUE OF HONDA AUTO	1.900% 4/15/22	-285,396.1200	0.000000	285,396.12	-285,376.14 19.98
11/16/2020	47788BAD6	PAID DOWN PAR VALUE OF JOHN DEERE OWNER PAYDOWN	1.820% 10/15/21 CMO FINAL	-1,148.6300	0.000000	1,148.63	-1,148.55 0.08
11/16/2020	477870AB5	PAID DOWN PAR VALUE OF JOHN DEERE OWNER	2.280% 5/16/22	-262,205.5000	0.000000	262,205.50	-262,204.50 1.00
11/16/2020	47788CAC6	PAID DOWN PAR VALUE OF JOHN DEERE OWNER	2.660% 4/18/22	-104,586.1300	0.000000	104,586.13	-104,578.61 7.52
11/16/2020	47789JAB2	PAID DOWN PAR VALUE OF JOHN DEERE OWNER PAYDOWN	2.850% 12/15/21 CMO FINAL	-196,926.8600	0.000000	196,926.86	-196,917.88 8.98
11/16/2020	47788EAC2	PAID DOWN PAR VALUE OF JOHN DEERE OWNER	3.080% 11/15/22	-326,413.1500	0.000000	326,413.15	-326,388.41 24.74
11/16/2020	65478GAD2	PAID DOWN PAR VALUE OF NISSAN AUTO	1.750% 10/15/21	-112,511.6000	0.000000	112,511.60	-110,766.79 1,744.81
11/16/2020	65479GAD1	PAID DOWN PAR VALUE OF NISSAN AUTO	3.060% 3/15/23	-215,744.2900	0.000000	215,744.29	-215,737.30 6.99
11/16/2020	89239AAB9	PAID DOWN PAR VALUE OF TOYOTA AUTO PAYDOWN	2.830% 10/15/21 CMO FINAL	-176,208.7800	0.000000	176,208.78	-176,192.78 16.00
11/17/2020	3137EAEK1	MATURED PAR VALUE OF F H L M C M T N AT 100 %	1.875% 11/17/20 5,000,000 PAR VALUE	-5,000,000.0000	1.000000	5,000,000.00	-4,986,225.00 13,775.00
11/18/2020	43814WAB1	PAID DOWN PAR VALUE OF HONDA AUTO	2.750% 9/20/21	-322,255.2900	0.000000	322,255.29	-322,234.54 20.75
11/18/2020	43814UAG4	PAID DOWN PAR VALUE OF HONDA AUTO	3.010% 5/18/22	-103,235.8600	0.000000	103,235.86	-103,233.61 2.25
11/18/2020	43814PAC4	PAID DOWN PAR VALUE OF HONDA AUTO	1.78999% 9/20/21	-117,727.9800	0.000000	117,727.98	-115,860.89 1,867.09
11/20/2020	36225CAZ9	PAID DOWN PAR VALUE OF G N M A I I #080023 DUE 11/20/20	3.125% 12/20/26 OCTOBER GNMA	-444.6000	0.000000	444.60	-451.94 -7.34
11/20/2020	36225CC20	PAID DOWN PAR VALUE OF G N M A I I #080088 DUE 11/20/20	2.875% 6/20/27 OCTOBER GNMA	-116.9800	0.000000	116.98	-119.54 -2.56
11/20/2020	36225CNM4	PAID DOWN PAR VALUE OF G N M A I I #080395 DUE 11/20/20	2.875% 4/20/30 OCTOBER GNMA	-160.1200	0.000000	160.12	-158.67 1.45
11/20/2020	36225CN28	PAID DOWN PAR VALUE OF G N M A I I #080408 DUE 11/20/20	2.875% 5/20/30 OCTOBER GNMA	-892.3900	0.000000	892.39	-883.33 9.06
11/20/2020	36225DCB8	PAID DOWN PAR VALUE OF G N M A I I #080965 DUE 11/20/20	2.250% 7/20/34 OCTOBER GNMA	-924.5000	0.000000	924.50	-923.92 0.58

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11/23/2020	89233GLP9	MATURED PAR VALUE OF TOYOTA MOTOR CREDIT CO C P 11/23/20 1,500,000 PAR VALUE AT 100 %	-1,500,000.0000	1.000000	1,498,721.67	-1,498,721.67	0.00
11/23/2020	43815HAC1	PAID DOWN PAR VALUE OF HONDA AUTO 2.950% 8/22/22	-225,118.1000	0.000000	225,118.10	-225,087.21	30.89
11/24/2020	313384Q77	MATURED PAR VALUE OF F H L B DISC NTS 11/24/20 4,800,000 PAR VALUE AT 100 %	-4,800,000.0000	1.000000	4,796,656.00	-4,796,656.00	0.00
11/25/2020	31394JY35	PAID DOWN PAR VALUE OF F H L M C MLTCL MTG 6.500% 9/25/43	-2,857.8900	0.000000	2,857.89	-3,236.56	-378.67
11/25/2020	31371NUC7	PAID DOWN PAR VALUE OF F N M A #257179 4.500% 4/01/28 OCTOBER FNMA DUE 11/25/20	-133.8800	0.000000	133.88	-141.59	-7.71
11/25/2020	31376KT22	PAID DOWN PAR VALUE OF F N M A #357969 5.000% 9/01/35 OCTOBER FNMA DUE 11/25/20	-826.6200	0.000000	826.62	-888.62	-62.00
11/25/2020	31403DJZ3	PAID DOWN PAR VALUE OF F N M A #745580 5.000% 6/01/36 OCTOBER FNMA DUE 11/25/20	-1,722.0200	0.000000	1,722.02	-1,851.17	-129.15
11/25/2020	31403GXF4	PAID DOWN PAR VALUE OF F N M A #748678 5.000% 10/01/33 OCTOBER FNMA DUE 11/25/20	-6.0500	0.000000	6.05	-6.50	-0.45
11/25/2020	31406PQY8	PAID DOWN PAR VALUE OF F N M A #815971 5.000% 3/01/35 OCTOBER FNMA DUE 11/25/20	-4,676.9500	0.000000	4,676.95	-5,027.72	-350.77
11/25/2020	31406XWT5	PAID DOWN PAR VALUE OF F N M A #823358 3.674% 2/01/35 OCTOBER FNMA DUE 11/25/20	-522.2400	0.000000	522.24	-518.16	4.08
11/25/2020	31407BXH7	PAID DOWN PAR VALUE OF F N M A #826080 5.000% 7/01/35 OCTOBER FNMA DUE 11/25/20	-404.7700	0.000000	404.77	-435.13	-30.36
11/25/2020	31410F4V4	PAID DOWN PAR VALUE OF F N M A #888336 5.000% 7/01/36 OCTOBER FNMA DUE 11/25/20	-2,515.1400	0.000000	2,515.14	-2,703.78	-188.64
11/25/2020	3138EG6F6	PAID DOWN PAR VALUE OF F N M A #AL0869 4.500% 6/01/29 OCTOBER FNMA DUE 11/25/20	-294.5800	0.000000	294.58	-311.55	-16.97
11/25/2020	31417YAY3	PAID DOWN PAR VALUE OF F N M A #MA0022 4.500% 4/01/29 OCTOBER FNMA DUE 11/25/20	-443.5300	0.000000	443.53	-469.08	-25.55
11/25/2020	31397QRE0	PAID DOWN PAR VALUE OF F N M A GTD REMIC 2.472% 2/25/41	-3,648.1200	0.000000	3,648.12	-3,646.98	1.14
11/25/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-5,000,000.0000	1.000000	5,000,000.00	-5,000,000.00	0.00
11/30/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-10,157,404.9000	1.000000	10,157,404.90	-10,157,404.90	0.00
12/14/2020	92826CAB8	MATURED PAR VALUE OF VISA INC 2.200% 12/14/20 500,000 PAR VALUE AT 100 %	-500,000.0000	1.000000	500,000.00	-501,360.00	-1,360.00
12/15/2020	3133TCE95	PAID DOWN PAR VALUE OF F H L M C MLTCL MTG 3.956% 8/15/32	-129.8500	0.000000	129.85	-129.99	-0.14
12/15/2020	31348SWZ3	PAID DOWN PAR VALUE OF F H L M C #786064 3.845% 1/01/28 NOVEMBER FHLMC DUE 12/15/20	-18.6500	0.000000	18.65	-18.20	0.45
12/15/2020	43815NAB0	PAID DOWN PAR VALUE OF HONDA AUTO 1.900% 4/15/22	-257,374.9500	0.000000	257,374.95	-257,356.93	18.02
12/15/2020	477870AB5	PAID DOWN PAR VALUE OF JOHN DEERE OWNER 2.280% 5/16/22	-151,088.7000	0.000000	151,088.70	-151,088.13	0.57
12/15/2020	47788CAC6	PAID DOWN PAR VALUE OF JOHN DEERE OWNER 2.660% 4/18/22	-54,442.7300	0.000000	54,442.73	-54,438.82	3.91
12/15/2020	47788EAC2	PAID DOWN PAR VALUE OF JOHN DEERE OWNER 3.080% 11/15/22	-210,261.9600	0.000000	210,261.96	-210,246.02	15.94

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12/15/2020	65478GAD2	PAID DOWN PAR VALUE OF NISSAN AUTO PAYDOWN	1.750% 10/15/21 CMO FINAL	-58,163.1600	0.000000	58,163.16	-57,261.18	901.98
12/15/2020	65479GAD1	PAID DOWN PAR VALUE OF NISSAN AUTO	3.060% 3/15/23	-193,118.2500	0.000000	193,118.25	-193,111.99	6.26
12/18/2020	43814PAC4	PAID DOWN PAR VALUE OF HONDA AUTO PAYDOWN	1.78999% 9/20/21 CMO FINAL	-78,985.1700	1.555167	78,985.17	-77,732.51	1,252.66
12/18/2020	43814UAG4	PAID DOWN PAR VALUE OF HONDA AUTO	3.010% 5/18/22	-94,842.7900	0.000000	94,842.79	-94,840.72	2.07
12/18/2020	43814WAB1	PAID DOWN PAR VALUE OF HONDA AUTO PAYDOWN	2.750% 9/20/21 CMO FINAL	-51,972.3400	2.363471	51,972.34	-51,968.99	3.35
12/21/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z		-2,500,000.0000	1.000000	2,500,000.00	-2,500,000.00	0.00
12/21/2020	36225CAZ9	PAID DOWN PAR VALUE OF G N M A I I #080023 DUE 12/20/20	3.125% 12/20/26 NOVEMBER GNMA	-573.5500	0.000000	573.55	-583.03	-9.48
12/21/2020	36225CC20	PAID DOWN PAR VALUE OF G N M A I I #080088 DUE 12/20/20	2.875% 6/20/27 NOVEMBER GNMA	-126.5400	0.000000	126.54	-129.31	-2.77
12/21/2020	36225CN28	PAID DOWN PAR VALUE OF G N M A I I #080408 DUE 12/20/20	2.875% 5/20/30 NOVEMBER GNMA	-817.6800	0.000000	817.68	-809.38	8.30
12/21/2020	36225CNM4	PAID DOWN PAR VALUE OF G N M A I I #080395 DUE 12/20/20	2.875% 4/20/30 NOVEMBER GNMA	-126.6000	0.000000	126.60	-125.45	1.15
12/21/2020	36225DCB8	PAID DOWN PAR VALUE OF G N M A I I #080965 DUE 12/20/20	2.250% 7/20/34 NOVEMBER GNMA	-203.7800	0.000000	203.78	-203.65	0.13
12/21/2020	43815HAC1	PAID DOWN PAR VALUE OF HONDA AUTO	2.950% 8/22/22	-202,717.6900	0.000000	202,717.69	-202,689.88	27.81
12/28/2020	31371NUC7	PAID DOWN PAR VALUE OF F N M A #257179 DUE 12/25/20	4.500% 4/01/28 NOVEMBER FNMA	-133.1800	0.000000	133.18	-140.85	-7.67
12/28/2020	31376KT22	PAID DOWN PAR VALUE OF F N M A #357969 DUE 12/25/20	5.000% 9/01/35 NOVEMBER FNMA	-1,511.5900	0.000000	1,511.59	-1,624.96	-113.37
12/28/2020	3138EG6F6	PAID DOWN PAR VALUE OF F N M A #AL0869 DUE 12/25/20	4.500% 6/01/29 NOVEMBER FNMA	-266.4400	0.000000	266.44	-281.79	-15.35
12/28/2020	31394JY35	PAID DOWN PAR VALUE OF F H L M C MLTCL MTG	6.500% 9/25/43	-16,824.7700	0.000000	16,824.77	-19,054.05	-2,229.28
12/28/2020	31397QRE0	PAID DOWN PAR VALUE OF F N M A GTD REMIC	2.472% 2/25/41	-3,159.5100	0.000000	3,159.51	-3,158.52	0.99
12/28/2020	31403DJZ3	PAID DOWN PAR VALUE OF F N M A #745580 DUE 12/25/20	5.000% 6/01/36 NOVEMBER FNMA	-1,688.1900	0.000000	1,688.19	-1,814.80	-126.61
12/28/2020	31403GXF4	PAID DOWN PAR VALUE OF F N M A #748678 DUE 12/25/20	5.000% 10/01/33 NOVEMBER FNMA	-6.0800	0.000000	6.08	-6.54	-0.46
12/28/2020	31406PQY8	PAID DOWN PAR VALUE OF F N M A #815971 DUE 12/25/20	5.000% 3/01/35 NOVEMBER FNMA	-4,744.6600	0.000000	4,744.66	-5,100.51	-355.85
12/28/2020	31406XWT5	PAID DOWN PAR VALUE OF F N M A #823358 DUE 12/25/20	3.476% 2/01/35 NOVEMBER FNMA	-578.2800	0.000000	578.28	-573.76	4.52
12/28/2020	31407BXH7	PAID DOWN PAR VALUE OF F N M A #826080 DUE 12/25/20	5.000% 7/01/35 NOVEMBER FNMA	-448.6300	0.000000	448.63	-482.28	-33.65
12/28/2020	31410F4V4	PAID DOWN PAR VALUE OF F N M A #888336 DUE 12/25/20	5.000% 7/01/36 NOVEMBER FNMA	-6,982.6500	0.000000	6,982.65	-7,506.35	-523.70

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12/28/2020	31417YAY3	PAID DOWN PAR VALUE OF F N M A #MA0022 4.500% 4/01/29 NOVEMBER FNMA DUE 12/25/20	-240.4900	0.000000	240.49	-254.34	-13.85
12/28/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-8,999,543.7500	1.000000	8,999,543.75	-8,999,543.75	0.00
12/29/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-45,517,067.9800	1.000000	45,517,067.98	-45,517,067.98	0.00
12/29/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-8,999,213.4100	1.000000	8,999,213.41	-8,999,213.41	0.00
12/30/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-29,310,341.3800	1.000000	29,310,341.38	-29,310,341.38	0.00
12/30/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-21,490,427.0100	1.000000	21,490,427.01	-21,490,427.01	0.00
12/31/2020	31846V567	SOLD UNITS OF FIRST AM GOVT OB FD CL Z	-6,852,578.1300	1.000000	6,852,578.13	-6,852,578.13	0.00
12/31/2020	912796TY5	MATURED PAR VALUE OF U S TREASURY BILL 12/31/20 5,000,000 PAR VALUE AT 100 %	-5,000,000.0000	1.000000	4,995,372.22	-4,995,372.22	0.00
TOTAL DISPOSITIONS			-243,265,042.8500		243,273,956.59	-242,903,928.87	370,027.72
OTHER TRANSACTIONS							
10/01/2020	31846V567	INTEREST EARNED ON FIRST AM GOVT OB FD CL Z UNIT ON 0.0000 SHARES DUE 9/30/2020 INTEREST FROM 9/1/20 TO 9/30/20	0.0000	0.000000	240.10	0.00	0.00
10/01/2020	31846V567	INTEREST EARNED ON FIRST AM GOVT OB FD CL Z UNIT ON 0.0000 SHARES DUE 9/30/2020 INTEREST FROM 9/1/20 TO 9/30/20	0.0000	0.000000	294.62	0.00	0.00
10/01/2020	525ESCIB7	Unknown LEHMAN BRTH MTN ES 0.00001% 1/24/13 PARTIAL LIQUIDATING DISTRIBUTION PAID @ 0.78/SHARE	0.0000	0.000000	472.22	-472.22	0.00
10/02/2020	525ESC0Y6	Unknown LEHMAN BRTH HLD ESC PARTIAL LIQUIDATING DISTRIBUTION PAID @ 0.78/SHARE	0.0000	0.000000	1,568.51	-1,568.51	0.00
10/05/2020	3135G0T45	INTEREST EARNED ON F N M A 1.875% 4/05/22 \$1 PV ON 5000000.0000 SHARES DUE 10/5/2020	0.0000	0.000000	46,875.00	0.00	0.00
10/08/2020	912796TN9	INTEREST EARNED ON U S TREASURY BILL 10/08/20 \$1 PV ON 5000000.0000 SHARES DUE 10/8/2020 5,000,000 PAR VALUE AT 100 %	0.0000	0.000000	2,515.62	0.00	0.00
10/13/2020	912828WU0	BOOK VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 17992.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
10/13/2020	912828WU0	FED BASIS OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 17992.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	17,992.00	0.00
10/13/2020	02665WCQ2	INTEREST EARNED ON AMERICAN HONDA MTN 3.625% 10/10/23 \$1 PV ON 2000000.0000 SHARES DUE 10/13/2020	0.0000	0.000000	36,250.00	0.00	0.00
10/13/2020	313384K57	INTEREST EARNED ON F H L B DISC NTS 10/13/20 \$1 PV ON 6500000.0000 SHARES DUE 10/13/2020 6,500,000 PAR VALUE AT 100 %	0.0000	0.000000	3,596.67	0.00	0.00
10/13/2020	24422EUM9	INTEREST EARNED ON JOHN DEERE MTN 3.650% 10/12/23 \$1 PV ON 1250000.0000 SHARES DUE 10/12/2020	0.0000	0.000000	22,812.50	0.00	0.00
10/13/2020	912828WU0	PAR VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 17992.0000 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	17,992.0000	0.000000	0.00	0.00	0.00
10/13/2020	912828WU0	STATE COST OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 17992.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
10/14/2020	912828WR7	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 2.125% 6/30/21	0.0000	0.000000	-30,604.62	0.00	0.00

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10/15/2020	31348SWZ3	INTEREST EARNED ON F H L M C #786064 3.846% 1/01/28 \$1 PV ON 5.2100 SHARES DUE 10/15/2020 AUGUST FHLMC DUE 10/15/20	0.0000	0.000000	5.21	0.00	0.00
10/15/2020	3133TCE95	INTEREST EARNED ON F H L M C MLTCL MTG 3.985% 8/15/32 \$1 PV ON 15.8100 SHARES DUE 10/15/2020 \$0.00332/PV ON 4,760.35 PV DUE 10/15/20	0.0000	0.000000	15.81	0.00	0.00
10/15/2020	43815NAB0	INTEREST EARNED ON HONDA AUTO 1.900% 4/15/22 \$1 PV ON 3455.0900 SHARES DUE 10/15/2020 \$0.00158/PV ON 2,182,158.82 PV DUE 10/15/20	0.0000	0.000000	3,455.09	0.00	0.00
10/15/2020	47787NAC3	INTEREST EARNED ON JOHN DEERE OWNER 0.510% 11/15/24 \$1 PV ON 629.0000 SHARES DUE 10/15/2020 \$0.00042/PV ON 1,480,000.00 PV DUE 10/15/20	0.0000	0.000000	629.00	0.00	0.00
10/15/2020	47788BAD6	INTEREST EARNED ON JOHN DEERE OWNER 1.820% 10/15/21 \$1 PV ON 29.2700 SHARES DUE 10/15/2020 \$0.00152/PV ON 19,300.21 PV DUE 10/15/20	0.0000	0.000000	29.27	0.00	0.00
10/15/2020	477870AB5	INTEREST EARNED ON JOHN DEERE OWNER 2.280% 5/16/22 \$1 PV ON 2360.8100 SHARES DUE 10/15/2020 \$0.00190/PV ON 1,242,530.55 PV DUE 10/15/20	0.0000	0.000000	2,360.81	0.00	0.00
10/15/2020	47788CAC6	INTEREST EARNED ON JOHN DEERE OWNER 2.660% 4/18/22 \$1 PV ON 868.2100 SHARES DUE 10/15/2020 \$0.00222/PV ON 391,673.18 PV DUE 10/15/20	0.0000	0.000000	868.21	0.00	0.00
10/15/2020	47789JAB2	INTEREST EARNED ON JOHN DEERE OWNER 2.850% 12/15/21 \$1 PV ON 997.3200 SHARES DUE 10/15/2020 \$0.00237/PV ON 419,926.33 PV DUE 10/15/20	0.0000	0.000000	997.32	0.00	0.00
10/15/2020	47788EAC2	INTEREST EARNED ON JOHN DEERE OWNER 3.080% 11/15/22 \$1 PV ON 7447.6000 SHARES DUE 10/15/2020 \$0.00257/PV ON 2,901,661.29 PV DUE 10/15/20	0.0000	0.000000	7,447.60	0.00	0.00
10/15/2020	46625HHU7	INTEREST EARNED ON JPMORGAN CHASE CO 4.250% 10/15/20 \$1 PV ON 1160000.0000 SHARES DUE 10/15/2020	0.0000	0.000000	24,650.00	0.00	0.00
10/15/2020	58770FAC6	INTEREST EARNED ON MERCEDES BENZ AUTO 1.840% 12/15/22 \$1 PV ON 3143.3300 SHARES DUE 10/15/2020 \$0.00153/PV ON 2,050,000.00 PV DUE 10/15/20	0.0000	0.000000	3,143.33	0.00	0.00
10/15/2020	65478GAD2	INTEREST EARNED ON NISSAN AUTO 1.750% 10/15/21 \$1 PV ON 426.7800 SHARES DUE 10/15/2020 \$0.00146/PV ON 292,650.58 PV DUE 10/15/20	0.0000	0.000000	426.78	0.00	0.00
10/15/2020	65479JAD5	INTEREST EARNED ON NISSAN AUTO 1.930% 7/15/24 \$1 PV ON 6730.8700 SHARES DUE 10/15/2020 \$0.00161/PV ON 4,185,000.00 PV DUE 10/15/20	0.0000	0.000000	6,730.87	0.00	0.00
10/15/2020	65479GAD1	INTEREST EARNED ON NISSAN AUTO 3.060% 3/15/23 \$1 PV ON 7256.0700 SHARES DUE 10/15/2020 \$0.00255/PV ON 2,845,516.98 PV DUE 10/15/20	0.0000	0.000000	7,256.07	0.00	0.00
10/15/2020	89239AAB9	INTEREST EARNED ON TOYOTA AUTO 2.830% 10/15/21 \$1 PV ON 1016.3000 SHARES DUE 10/15/2020 \$0.00236/PV ON 430,940.84 PV DUE 10/15/20	0.0000	0.000000	1,016.30	0.00	0.00
10/15/2020	89237VAB5	INTEREST EARNED ON TOYOTA AUTO RECV 0.440% 10/15/24 \$1 PV ON 1085.3300 SHARES DUE 10/15/2020 \$0.00037/PV ON 2,960,000.00 PV DUE 10/15/20	0.0000	0.000000	1,085.33	0.00	0.00
10/19/2020	43813KAC6	INTEREST EARNED ON HONDA AUTO 0.370% 10/18/24 \$1 PV ON 631.7200 SHARES DUE 10/18/2020 \$0.00020/PV ON 3,235,000.00 PV DUE 10/18/20	0.0000	0.000000	631.72	0.00	0.00
10/19/2020	43814PAC4	INTEREST EARNED ON HONDA AUTO 1.790% 9/20/21 \$1 PV ON 478.6700 SHARES DUE 10/18/2020 \$0.00149/PV ON 320,898.64 PV DUE 10/18/20	0.0000	0.000000	478.67	0.00	0.00
10/19/2020	43814WAB1	INTEREST EARNED ON HONDA AUTO 2.750% 9/20/21 \$1 PV ON 1619.9200 SHARES DUE 10/18/2020 \$0.00229/PV ON 706,874.28 PV DUE 10/18/20	0.0000	0.000000	1,619.92	0.00	0.00
10/19/2020	43814UAG4	INTEREST EARNED ON HONDA AUTO 3.010% 5/18/22 \$1 PV ON 2351.9500 SHARES DUE 10/18/2020 \$0.00251/PV ON 937,656.48 PV DUE 10/18/20	0.0000	0.000000	2,351.95	0.00	0.00

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10/19/2020	91282CAM3	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 0.250% 9/30/25	0.0000	0.000000	-848.21	0.00	0.00
10/19/2020	912828N89	RECEIVED ACCRUED INTEREST ON SALE OF U S TREASURY NT 1.375% 1/31/21	0.0000	0.000000	17,934.78	0.00	0.00
10/20/2020	36225CAZ9	INTEREST EARNED ON G N M A I I #080023 3.125% 12/20/26 \$1 PV ON 32.7800 SHARES DUE 10/20/2020 SEPTEMBER GNMA DUE 10/20/20	0.0000	0.000000	32.78	0.00	0.00
10/20/2020	36225CC20	INTEREST EARNED ON G N M A I I #080088 2.875% 6/20/27 \$1 PV ON 22.4100 SHARES DUE 10/20/2020 SEPTEMBER GNMA DUE 10/20/20	0.0000	0.000000	22.41	0.00	0.00
10/20/2020	36225CNM4	INTEREST EARNED ON G N M A I I #080395 2.875% 4/20/30 \$1 PV ON 12.5100 SHARES DUE 10/20/2020 SEPTEMBER GNMA DUE 10/20/20	0.0000	0.000000	12.51	0.00	0.00
10/20/2020	36225CN28	INTEREST EARNED ON G N M A I I #080408 2.875% 5/20/30 \$1 PV ON 90.6700 SHARES DUE 10/20/2020 SEPTEMBER GNMA DUE 10/20/20	0.0000	0.000000	90.67	0.00	0.00
10/20/2020	36225DCB8	INTEREST EARNED ON G N M A I I #080965 3.250% 7/20/34 \$1 PV ON 92.0500 SHARES DUE 10/20/2020 SEPTEMBER GNMA DUE 10/20/20	0.0000	0.000000	92.05	0.00	0.00
10/21/2020	43815HAC1	INTEREST EARNED ON HONDA AUTO 2.950% 8/22/22 \$1 PV ON 6012.4500 SHARES DUE 10/21/2020 \$0.00246/PV ON 2,445,741.84 PV DUE 10/21/20	0.0000	0.000000	6,012.45	0.00	0.00
10/22/2020	3135G03U5	INTEREST EARNED ON F N M A DEB 0.625% 4/22/25 \$1 PV ON 14000000.0000 SHARES DUE 10/22/2020	0.0000	0.000000	43,263.89	0.00	0.00
10/22/2020	459058JB0	INTEREST EARNED ON INTL BK M T N 0.625% 4/22/25 \$1 PV ON 6245000.0000 SHARES DUE 10/22/2020	0.0000	0.000000	19,546.85	0.00	0.00
10/22/2020	9127962S7	INTEREST EARNED ON U S TREASURY BILL 10/22/20 \$1 PV ON 5000000.0000 SHARES DUE 10/22/2020 5,000,000 PAR VALUE AT 100 %	0.0000	0.000000	2,637.15	0.00	0.00
10/22/2020	912828L99	RECEIVED ACCRUED INTEREST ON SALE OF U S TREASURY NT 1.375% 10/31/20	0.0000	0.000000	42,501.70	0.00	0.00
10/26/2020	03215PFN4	INTEREST EARNED ON AMRESCO 1.12443% 6/25/29 \$1 PV ON 111.5300 SHARES DUE 10/25/2020 \$0.00094/PV ON 119,021.64 PV DUE 10/25/20	0.0000	0.000000	111.53	0.00	0.00
10/26/2020	31394JY35	INTEREST EARNED ON F H L M C MLTCL MTG 6.500% 9/25/43 \$1 PV ON 3172.4200 SHARES DUE 10/25/2020 \$0.00542/PV ON 585,676.61 PV DUE 10/25/20	0.0000	0.000000	3,172.42	0.00	0.00
10/26/2020	31371NUC7	INTEREST EARNED ON F N M A #257179 4.500% 4/01/28 \$1 PV ON 41.6400 SHARES DUE 10/25/2020 SEPTEMBER FNMA DUE 10/25/20	0.0000	0.000000	41.64	0.00	0.00
10/26/2020	31376KT22	INTEREST EARNED ON F N M A #357969 5.000% 9/01/35 \$1 PV ON 342.0300 SHARES DUE 10/25/2020 SEPTEMBER FNMA DUE 10/25/20	0.0000	0.000000	342.03	0.00	0.00
10/26/2020	31381PDA3	INTEREST EARNED ON F N M A #466397 3.400% 11/01/20 \$1 PV ON 930.6000 SHARES DUE 10/25/2020 P & I DUE 10/25/20	0.0000	0.000000	930.60	0.00	0.00
10/26/2020	31403DJZ3	INTEREST EARNED ON F N M A #745580 5.000% 6/01/36 \$1 PV ON 315.8000 SHARES DUE 10/25/2020 SEPTEMBER FNMA DUE 10/25/20	0.0000	0.000000	315.80	0.00	0.00
10/26/2020	31403GXF4	INTEREST EARNED ON F N M A #748678 5.000% 10/01/33 \$1 PV ON 6.9600 SHARES DUE 10/25/2020 SEPTEMBER FNMA DUE 10/25/20	0.0000	0.000000	6.96	0.00	0.00
10/26/2020	31406PQY8	INTEREST EARNED ON F N M A #815971 5.000% 3/01/35 \$1 PV ON 501.6300 SHARES DUE 10/25/2020 SEPTEMBER FNMA DUE 10/25/20	0.0000	0.000000	501.63	0.00	0.00
10/26/2020	31406XWT5	INTEREST EARNED ON F N M A #823358 3.674% 2/01/35 \$1 PV ON 283.8000 SHARES DUE 10/25/2020 SEPTEMBER FNMA DUE 10/25/20	0.0000	0.000000	283.80	0.00	0.00

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10/26/2020	31407BXH7	INTEREST EARNED ON F N M A #826080 5.000% 7/01/35 \$1 PV ON 64.1600 SHARES DUE 10/25/2020 SEPTEMBER FNMA DUE 10/25/20	0.0000	0.000000	64.16	0.00	0.00
10/26/2020	31410F4V4	INTEREST EARNED ON F N M A #888336 5.000% 7/01/36 \$1 PV ON 600.9200 SHARES DUE 10/25/2020 SEPTEMBER FNMA DUE 10/25/20	0.0000	0.000000	600.92	0.00	0.00
10/26/2020	3138EG6F6	INTEREST EARNED ON F N M A #AL0869 4.500% 6/01/29 \$1 PV ON 28.8100 SHARES DUE 10/25/2020 SEPTEMBER FNMA DUE 10/25/20	0.0000	0.000000	28.81	0.00	0.00
10/26/2020	31417YAY3	INTEREST EARNED ON F N M A #MA0022 4.500% 4/01/29 \$1 PV ON 46.7100 SHARES DUE 10/25/2020 SEPTEMBER FNMA DUE 10/25/20	0.0000	0.000000	46.71	0.00	0.00
10/26/2020	31397QRE0	INTEREST EARNED ON F N M A GTD REMIC 2.472% 2/25/41 \$1 PV ON 100.9200 SHARES DUE 10/25/2020 \$0.00069/PV ON 146,233.86 PV DUE 10/25/20	0.0000	0.000000	100.92	0.00	0.00
10/26/2020	78445JAA5	INTEREST EARNED ON S L M A 1.76388% 4/25/23 \$1 PV ON 49.5000 SHARES DUE 10/25/2020 \$0.00441/PV ON 11,225.80 PV DUE 10/25/20	0.0000	0.000000	49.50	0.00	0.00
10/27/2020	912828S76	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.125% 7/31/21	0.0000	0.000000	-13,451.09	0.00	0.00
10/27/2020	9128287A2	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.625% 6/30/21	0.0000	0.000000	-26,273.78	0.00	0.00
10/28/2020	912828WU0	BOOK VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 18512.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
10/28/2020	912828WU0	FED BASIS OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 18512.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	18,512.00	0.00
10/28/2020	912828WU0	PAR VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 18512.0000 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	18,512.0000	0.000000	0.00	0.00	0.00
10/28/2020	912828WU0	STATE COST OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 18512.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
10/30/2020	00440EAS6	PAID ACCRUED INTEREST ON PURCHASE OF ACE INA HOLDING 3.150% 3/15/25	0.0000	0.000000	-7,875.00	0.00	0.00
10/30/2020	9128287A2	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.625% 6/30/21	0.0000	0.000000	-21,548.91	0.00	0.00
11/02/2020	31846V567	INTEREST EARNED ON FIRST AM GOVT OB FD CL Z UNIT ON 0.0000 SHARES DUE 10/31/2020 INTEREST FROM 10/1/20 TO 10/31/20	0.0000	0.000000	244.92	0.00	0.00
11/02/2020	31846V567	INTEREST EARNED ON FIRST AM GOVT OB FD CL Z UNIT ON 0.0000 SHARES DUE 10/31/2020 INTEREST FROM 10/1/20 TO 10/31/20	0.0000	0.000000	93.58	0.00	0.00
11/02/2020	64971M5E8	INTEREST EARNED ON NEW YORK CITY NY 4.075% 11/01/20 \$1 PV ON 1400000.0000 SHARES DUE 11/1/2020	0.0000	0.000000	28,525.00	0.00	0.00
11/02/2020	912828ZL7	INTEREST EARNED ON U S TREASURY NT 0.375% 4/30/25 \$1 PV ON 12000000.0000 SHARES DUE 10/31/2020	0.0000	0.000000	22,500.00	0.00	0.00
11/02/2020	912828T67	INTEREST EARNED ON U S TREASURY NT 1.250% 10/31/21 \$1 PV ON 6000000.0000 SHARES DUE 10/31/2020	0.0000	0.000000	37,500.00	0.00	0.00
11/03/2020	00440EAT4	INTEREST EARNED ON ACE INA HOLDINGS 2.300% 11/03/20 \$1 PV ON 500000.0000 SHARES DUE 11/3/2020	0.0000	0.000000	5,750.00	0.00	0.00
11/03/2020	00440EAU1	INTEREST EARNED ON ACE INA HOLDINGS 2.875% 11/03/22 \$1 PV ON 4169000.0000 SHARES DUE 11/3/2020	0.0000	0.000000	59,929.38	0.00	0.00
11/05/2020	912796TP4	INTEREST EARNED ON U S TREASURY BILL 11/05/20 \$1 PV ON 5000000.0000 SHARES DUE 11/5/2020 5,000,000 PAR VALUE AT 100 %	0.0000	0.000000	2,625.00	0.00	0.00

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11/06/2020	037833AR1	INTEREST EARNED ON APPLE INC 2.850% 5/06/21 \$1 PV ON 1155000.0000 SHARES DUE 11/6/2020	0.0000	0.000000	16,458.75	0.00	0.00
11/06/2020	3133ELYR9	INTEREST EARNED ON F F C B DEB 0.250% 5/06/22 \$1 PV ON 8850000.0000 SHARES DUE 11/6/2020	0.0000	0.000000	11,062.50	0.00	0.00
11/10/2020	3135G0F73	RECEIVED ACCRUED INTEREST ON SALE OF F N M A 1.500% 11/30/20	0.0000	0.000000	50,000.00	0.00	0.00
11/12/2020	912828WU0	BOOK VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 8528.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
11/12/2020	912828WU0	FED BASIS OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 8528.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	8,528.00	0.00
11/12/2020	037833CU2	INTEREST EARNED ON APPLE INC 2.850% 5/11/24 \$1 PV ON 3000000.0000 SHARES DUE 11/11/2020	0.0000	0.000000	42,750.00	0.00	0.00
11/12/2020	369550BE7	INTEREST EARNED ON GENERAL DYNAMICS 3.000% 5/11/21 \$1 PV ON 3160000.0000 SHARES DUE 11/11/2020	0.0000	0.000000	47,400.00	0.00	0.00
11/12/2020	458140BD1	INTEREST EARNED ON INTEL CORP 2.875% 5/11/24 \$1 PV ON 5000000.0000 SHARES DUE 11/11/2020	0.0000	0.000000	71,875.00	0.00	0.00
11/12/2020	912828WU0	PAR VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 8528.0000 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	8,528.0000	0.000000	0.00	0.00	0.00
11/12/2020	912828WU0	STATE COST OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 8528.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
11/16/2020	084664BT7	INTEREST EARNED ON BERKSHIRE HATHAWAY 3.000% 5/15/22 \$1 PV ON 4000000.0000 SHARES DUE 11/15/2020	0.0000	0.000000	60,000.00	0.00	0.00
11/16/2020	166764BG4	INTEREST EARNED ON CHEVRON CORP 2.100% 5/16/21 \$1 PV ON 2500000.0000 SHARES DUE 11/16/2020	0.0000	0.000000	26,250.00	0.00	0.00
11/16/2020	31348SWZ3	INTEREST EARNED ON F H L M C #786064 3.845% 1/01/28 \$1 PV ON 5.1800 SHARES DUE 11/15/2020 SEPTEMBER FHLMC DUE 11/15/20	0.0000	0.000000	5.18	0.00	0.00
11/16/2020	3133TCE95	INTEREST EARNED ON F H L M C MLTCL MTG 3.954% 8/15/32 \$1 PV ON 15.4600 SHARES DUE 11/15/2020 \$0.00330/PV ON 4,691.05 PV DUE 11/15/20	0.0000	0.000000	15.46	0.00	0.00
11/16/2020	43815NAB0	INTEREST EARNED ON HONDA AUTO 1.900% 4/15/22 \$1 PV ON 2992.6900 SHARES DUE 11/15/2020 \$0.00158/PV ON 1,890,119.45 PV DUE 11/15/20	0.0000	0.000000	2,992.69	0.00	0.00
11/16/2020	47787NAC3	INTEREST EARNED ON JOHN DEERE OWNER 0.510% 11/15/24 \$1 PV ON 629.0000 SHARES DUE 11/15/2020 \$0.00042/PV ON 1,480,000.00 PV DUE 11/15/20	0.0000	0.000000	629.00	0.00	0.00
11/16/2020	47788BAD6	INTEREST EARNED ON JOHN DEERE OWNER 1.820% 10/15/21 \$1 PV ON 1.7400 SHARES DUE 11/15/2020 \$0.00152/PV ON 1,148.63 PV DUE 11/15/20	0.0000	0.000000	1.74	0.00	0.00
11/16/2020	477870AB5	INTEREST EARNED ON JOHN DEERE OWNER 2.280% 5/16/22 \$1 PV ON 2013.6500 SHARES DUE 11/15/2020 \$0.00190/PV ON 1,059,816.58 PV DUE 11/15/20	0.0000	0.000000	2,013.65	0.00	0.00
11/16/2020	47788CAC6	INTEREST EARNED ON JOHN DEERE OWNER 2.660% 4/18/22 \$1 PV ON 720.0400 SHARES DUE 11/15/2020 \$0.00222/PV ON 324,828.43 PV DUE 11/15/20	0.0000	0.000000	720.04	0.00	0.00
11/16/2020	47789JAB2	INTEREST EARNED ON JOHN DEERE OWNER 2.850% 12/15/21 \$1 PV ON 467.7000 SHARES DUE 11/15/2020 \$0.00238/PV ON 196,926.86 PV DUE 11/15/20	0.0000	0.000000	467.70	0.00	0.00

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11/16/2020	47788EAC2	INTEREST EARNED ON JOHN DEERE OWNER 3.080% 11/15/22 \$1 PV ON 6885.2000 SHARES DUE 11/15/2020 \$0.00257/PV ON 2,682,544.92 PV DUE 11/15/20	0.0000	0.000000	6,885.20	0.00	0.00
11/16/2020	58770FAC6	INTEREST EARNED ON MERCEDES BENZ AUTO 1.840% 12/15/22 \$1 PV ON 3143.3300 SHARES DUE 11/15/2020 \$0.00153/PV ON 2,050,000.00 PV DUE 11/15/20	0.0000	0.000000	3,143.33	0.00	0.00
11/16/2020	65478GAD2	INTEREST EARNED ON NISSAN AUTO 1.750% 10/15/21 \$1 PV ON 248.9000 SHARES DUE 11/15/2020 \$0.00146/PV ON 170,674.76 PV DUE 11/15/20	0.0000	0.000000	248.90	0.00	0.00
11/16/2020	65479JAD5	INTEREST EARNED ON NISSAN AUTO 1.930% 7/15/24 \$1 PV ON 6730.8700 SHARES DUE 11/15/2020 \$0.00161/PV ON 4,185,000.00 PV DUE 11/15/20	0.0000	0.000000	6,730.87	0.00	0.00
11/16/2020	65479GAD1	INTEREST EARNED ON NISSAN AUTO 3.060% 3/15/23 \$1 PV ON 6710.6800 SHARES DUE 11/15/2020 \$0.00255/PV ON 2,631,639.55 PV DUE 11/15/20	0.0000	0.000000	6,710.68	0.00	0.00
11/16/2020	89239AAB9	INTEREST EARNED ON TOYOTA AUTO 2.830% 10/15/21 \$1 PV ON 415.5600 SHARES DUE 11/15/2020 \$0.00236/PV ON 176,208.78 PV DUE 11/15/20	0.0000	0.000000	415.56	0.00	0.00
11/16/2020	89237VAB5	INTEREST EARNED ON TOYOTA AUTO RECV 0.440% 10/15/24 \$1 PV ON 1085.3300 SHARES DUE 11/15/2020 \$0.00037/PV ON 2,960,000.00 PV DUE 11/15/20	0.0000	0.000000	1,085.33	0.00	0.00
11/16/2020	912828WJ5	INTEREST EARNED ON U S TREASURY NT 2.500% 5/15/24 \$1 PV ON 7000000.0000 SHARES DUE 11/15/2020	0.0000	0.000000	87,500.00	0.00	0.00
11/16/2020	913366EJ5	INTEREST EARNED ON UNIV OF CALIFORNIA 5.035% 5/15/21 \$1 PV ON 400000.0000 SHARES DUE 11/15/2020	0.0000	0.000000	10,070.00	0.00	0.00
11/17/2020	3137EAEK1	INTEREST EARNED ON F H L M C M T N 1.875% 11/17/20 \$1 PV ON 5000000.0000 SHARES DUE 11/17/2020	0.0000	0.000000	46,875.00	0.00	0.00
11/17/2020	89236TBJ3	INTEREST EARNED ON TOYOTA MOTOR MTN 2.750% 5/17/21 \$1 PV ON 1500000.0000 SHARES DUE 11/17/2020	0.0000	0.000000	20,625.00	0.00	0.00
11/18/2020	43813KAC6	INTEREST EARNED ON HONDA AUTO 0.370% 10/18/24 \$1 PV ON 997.4600 SHARES DUE 11/18/2020 \$0.00031/PV ON 3,235,000.00 PV DUE 11/18/20	0.0000	0.000000	997.46	0.00	0.00
11/18/2020	43814WAB1	INTEREST EARNED ON HONDA AUTO 2.750% 9/20/21 \$1 PV ON 857.6100 SHARES DUE 11/18/2020 \$0.00229/PV ON 374,227.63 PV DUE 11/18/20	0.0000	0.000000	857.61	0.00	0.00
11/18/2020	43814UAG4	INTEREST EARNED ON HONDA AUTO 3.010% 5/18/22 \$1 PV ON 2079.6100 SHARES DUE 11/18/2020 \$0.00251/PV ON 829,080.97 PV DUE 11/18/20	0.0000	0.000000	2,079.61	0.00	0.00
11/18/2020	43814PAC4	INTEREST EARNED ON HONDA AUTO 1.78999% 9/20/21 \$1 PV ON 293.4300 SHARES DUE 11/18/2020 \$0.00149/PV ON 196,713.15 PV DUE 11/18/20	0.0000	0.000000	293.43	0.00	0.00
11/18/2020	46625HRL6	INTEREST EARNED ON JP MORGAN CHASE CO 2.700% 5/18/23 \$1 PV ON 5000000.0000 SHARES DUE 11/18/2020	0.0000	0.000000	67,500.00	0.00	0.00
11/18/2020	58933YAF2	INTEREST EARNED ON MERCK CO INC 2.800% 5/18/23 \$1 PV ON 2000000.0000 SHARES DUE 11/18/2020	0.0000	0.000000	28,000.00	0.00	0.00
11/20/2020	36225CAZ9	INTEREST EARNED ON G N M A I I #080023 3.125% 12/20/26 \$1 PV ON 32.3600 SHARES DUE 11/20/2020 OCTOBER GNMA DUE 11/20/20	0.0000	0.000000	32.36	0.00	0.00
11/20/2020	36225CC20	INTEREST EARNED ON G N M A I I #080088 2.875% 6/20/27 \$1 PV ON 22.1300 SHARES DUE 11/20/2020 OCTOBER GNMA DUE 11/20/20	0.0000	0.000000	22.13	0.00	0.00
11/20/2020	36225CNM4	INTEREST EARNED ON G N M A I I #080395 2.875% 4/20/30 \$1 PV ON 12.1200 SHARES DUE 11/20/2020 OCTOBER GNMA DUE 11/20/20	0.0000	0.000000	12.12	0.00	0.00

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11/20/2020	36225CN28	INTEREST EARNED ON G N M A I I #080408 2.875% 5/20/30 \$1 PV ON 89.8900 SHARES DUE 11/20/2020 OCTOBER GNMA DUE 11/20/20	0.0000	0.000000	89.89	0.00	0.00
11/20/2020	36225DCB8	INTEREST EARNED ON G N M A I I #080965 2.250% 7/20/34 \$1 PV ON 62.0100 SHARES DUE 11/20/2020 OCTOBER GNMA DUE 11/20/20	0.0000	0.000000	62.01	0.00	0.00
11/23/2020	808513AW5	INTEREST EARNED ON CHARLES SCHWAB CORP 3.250% 5/21/21 \$1 PV ON 1385000.0000 SHARES DUE 11/21/2020	0.0000	0.000000	22,506.25	0.00	0.00
11/23/2020	43815HAC1	INTEREST EARNED ON HONDA AUTO 2.950% 8/22/22 \$1 PV ON 5456.2400 SHARES DUE 11/21/2020 \$0.00246/PV ON 2,219,487.17 PV DUE 11/21/20	0.0000	0.000000	5,456.24	0.00	0.00
11/23/2020	89233GLP9	INTEREST EARNED ON TOYOTA MOTOR CREDIT CO C P 11/23/20 \$1 PV ON 1500000.0000 SHARES DUE 11/23/2020 1,500,000 PAR VALUE AT 100 %	0.0000	0.000000	1,278.33	0.00	0.00
11/24/2020	313384Q77	INTEREST EARNED ON F H L B DISC NTS 11/24/20 \$1 PV ON 4800000.0000 SHARES DUE 11/24/2020 4,800,000 PAR VALUE AT 100 %	0.0000	0.000000	3,344.00	0.00	0.00
11/24/2020	459058FH1	INTEREST EARNED ON INTL BK 1.375% 5/24/21 \$1 PV ON 1000000.0000 SHARES DUE 11/24/2020	0.0000	0.000000	6,880.00	0.00	0.00
11/25/2020	912828WU0	BOOK VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 7904.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
11/25/2020	912828WU0	FED BASIS OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 7904.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	7,904.00	0.00
11/25/2020	03215PFN4	INTEREST EARNED ON AMRESCO 1.08922% 6/25/29 \$1 PV ON 108.0300 SHARES DUE 11/25/2020 \$0.00091/PV ON 119,021.64 PV DUE 11/25/20	0.0000	0.000000	108.03	0.00	0.00
11/25/2020	31394JY35	INTEREST EARNED ON F H L M C MLTCL MTG 6.500% 9/25/43 \$1 PV ON 3146.0900 SHARES DUE 11/25/2020 \$0.00542/PV ON 580,816.61 PV DUE 11/25/20	0.0000	0.000000	3,146.09	0.00	0.00
11/25/2020	31371NUC7	INTEREST EARNED ON F N M A #257179 4.500% 4/01/28 \$1 PV ON 41.1500 SHARES DUE 11/25/2020 OCTOBER FNMA DUE 11/25/20	0.0000	0.000000	41.15	0.00	0.00
11/25/2020	31376KT22	INTEREST EARNED ON F N M A #357969 5.000% 9/01/35 \$1 PV ON 337.3400 SHARES DUE 11/25/2020 OCTOBER FNMA DUE 11/25/20	0.0000	0.000000	337.34	0.00	0.00
11/25/2020	31403DJZ3	INTEREST EARNED ON F N M A #745580 5.000% 6/01/36 \$1 PV ON 308.8900 SHARES DUE 11/25/2020 OCTOBER FNMA DUE 11/25/20	0.0000	0.000000	308.89	0.00	0.00
11/25/2020	31403GXF4	INTEREST EARNED ON F N M A #748678 5.000% 10/01/33 \$1 PV ON 5.5400 SHARES DUE 11/25/2020 OCTOBER FNMA DUE 11/25/20	0.0000	0.000000	5.54	0.00	0.00
11/25/2020	31406PQY8	INTEREST EARNED ON F N M A #815971 5.000% 3/01/35 \$1 PV ON 478.5300 SHARES DUE 11/25/2020 OCTOBER FNMA DUE 11/25/20	0.0000	0.000000	478.53	0.00	0.00
11/25/2020	31406XWT5	INTEREST EARNED ON F N M A #823358 3.674% 2/01/35 \$1 PV ON 282.3000 SHARES DUE 11/25/2020 OCTOBER FNMA DUE 11/25/20	0.0000	0.000000	282.30	0.00	0.00
11/25/2020	31407BXH7	INTEREST EARNED ON F N M A #826080 5.000% 7/01/35 \$1 PV ON 61.0800 SHARES DUE 11/25/2020 OCTOBER FNMA DUE 11/25/20	0.0000	0.000000	61.08	0.00	0.00
11/25/2020	31410F4V4	INTEREST EARNED ON F N M A #888336 5.000% 7/01/36 \$1 PV ON 584.5500 SHARES DUE 11/25/2020 OCTOBER FNMA DUE 11/25/20	0.0000	0.000000	584.55	0.00	0.00
11/25/2020	3138EG6F6	INTEREST EARNED ON F N M A #AL0869 4.500% 6/01/29 \$1 PV ON 28.1800 SHARES DUE 11/25/2020 OCTOBER FNMA DUE 11/25/20	0.0000	0.000000	28.18	0.00	0.00

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11/25/2020	31417YAY3	INTEREST EARNED ON F N M A #MA0022 4.500% 4/01/29 \$1 PV ON 45.9700 SHARES DUE 11/25/2020 OCTOBER FNMA DUE 11/25/20	0.0000	0.000000	45.97	0.00	0.00
11/25/2020	31397QRE0	INTEREST EARNED ON F N M A GTD REMIC 2.472% 2/25/41 \$1 PV ON 98.6700 SHARES DUE 11/25/2020 \$0.00069/PV ON 142,780.85 PV DUE 11/25/20	0.0000	0.000000	98.67	0.00	0.00
11/25/2020	912828WU0	PAR VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 7904.0000 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	7,904.0000	0.000000	0.00	0.00	0.00
11/25/2020	912828WU0	STATE COST OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 7904.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
11/30/2020	912828R69	INTEREST EARNED ON U S TREASURY NT 1.625% 5/31/23 \$1 PV ON 5000000.0000 SHARES DUE 11/30/2020	0.0000	0.000000	40,625.00	0.00	0.00
11/30/2020	912828U65	INTEREST EARNED ON U S TREASURY NT 1.750% 11/30/21 \$1 PV ON 7000000.0000 SHARES DUE 11/30/2020	0.0000	0.000000	61,250.00	0.00	0.00
11/30/2020	912828M80	INTEREST EARNED ON U S TREASURY NT 2.000% 11/30/22 \$1 PV ON 8000000.0000 SHARES DUE 11/30/2020	0.0000	0.000000	80,000.00	0.00	0.00
11/30/2020	912828U57	INTEREST EARNED ON U S TREASURY NT 2.125% 11/30/23 \$1 PV ON 15000000.0000 SHARES DUE 11/30/2020	0.0000	0.000000	159,375.00	0.00	0.00
11/30/2020	9128283J7	INTEREST EARNED ON U S TREASURY NT 2.125% 11/30/24 \$1 PV ON 16500000.0000 SHARES DUE 11/30/2020	0.0000	0.000000	175,312.50	0.00	0.00
11/30/2020	9128287A2	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.625% 6/30/21	0.0000	0.000000	-33,780.57	0.00	0.00
11/30/2020	9128287A2	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.625% 6/30/21	0.0000	0.000000	-33,780.57	0.00	0.00
12/01/2020	31846V567	INTEREST EARNED ON FIRST AM GOVT OB FD CL Z UNIT ON 0.0000 SHARES DUE 11/30/2020 INTEREST FROM 11/1/20 TO 11/30/20	0.0000	0.000000	156.60	0.00	0.00
12/01/2020	31846V567	INTEREST EARNED ON FIRST AM GOVT OB FD CL Z UNIT ON 0.0000 SHARES DUE 11/30/2020 INTEREST FROM 11/1/20 TO 11/30/20	0.0000	0.000000	111.99	0.00	0.00
12/01/2020	438516CB0	INTEREST EARNED ON HONEYWELL 1.350% 6/01/25 \$1 PV ON 5000000.0000 SHARES DUE 12/1/2020	0.0000	0.000000	36,187.50	0.00	0.00
12/08/2020	3130A0F70	INTEREST EARNED ON F H L B DEB 3.375% 12/08/23 \$1 PV ON 10000000.0000 SHARES DUE 12/8/2020	0.0000	0.000000	168,750.00	0.00	0.00
12/08/2020	69353RFL7	INTEREST EARNED ON PNC BANK NA MTN 3.500% 6/08/23 \$1 PV ON 5000000.0000 SHARES DUE 12/8/2020	0.0000	0.000000	87,500.00	0.00	0.00
12/09/2020	313383QR5	INTEREST EARNED ON F H L B DEB 3.250% 6/09/23 \$1 PV ON 5000000.0000 SHARES DUE 12/9/2020	0.0000	0.000000	81,250.00	0.00	0.00
12/10/2020	78015K7H1	INTEREST EARNED ON ROYAL BANK OF MTN 1.150% 6/10/25 \$1 PV ON 1500000.0000 SHARES DUE 12/10/2020	0.0000	0.000000	8,625.00	0.00	0.00
12/11/2020	313379RB7	INTEREST EARNED ON F H L B DEB 1.875% 6/11/21 \$1 PV ON 4000000.0000 SHARES DUE 12/11/2020	0.0000	0.000000	37,500.00	0.00	0.00
12/11/2020	912828WU0	BOOK VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 2704.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
12/11/2020	912828WU0	FED BASIS OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 2704.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	2,704.00	0.00

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Entry Date	CUSIP Id	Explanation	Units	Price	Net Cash Amt	Cost	Gain/Loss
12/11/2020	912828WU0	PAR VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 2704.0000 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	2,704.0000	0.000000	0.00	0.00	0.00
12/11/2020	912828WU0	STATE COST OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 2704.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
12/14/2020	3130A1XJ2	INTEREST EARNED ON F H L B 2.875% 6/14/24 \$1 PV ON 11110000.0000 SHARES DUE 12/14/2020	0.0000	0.000000	159,706.25	0.00	0.00
12/14/2020	89114QCA4	INTEREST EARNED ON TORONTO DOMINION MTN 2.650% 6/12/24 \$1 PV ON 3000000.0000 SHARES DUE 12/12/2020	0.0000	0.000000	39,750.00	0.00	0.00
12/14/2020	92826CAB8	INTEREST EARNED ON VISA INC 2.200% 12/14/20 \$1 PV ON 500000.0000 SHARES DUE 12/14/2020	0.0000	0.000000	5,500.00	0.00	0.00
12/15/2020	3133TCE95	INTEREST EARNED ON F H L M C MLTCL MTG 3.956% 8/15/32 \$1 PV ON 15.1800 SHARES DUE 12/15/2020 \$0.00330/PV ON 4,603.55 PV DUE 12/15/20	0.0000	0.000000	15.18	0.00	0.00
12/15/2020	31348SWZ3	INTEREST EARNED ON F H L M C #786064 3.845% 1/01/28 \$1 PV ON 5.1200 SHARES DUE 12/15/2020 OCTOBER FHLMC DUE 12/15/20	0.0000	0.000000	5.12	0.00	0.00
12/15/2020	43815NAB0	INTEREST EARNED ON HONDA AUTO 1.900% 4/15/22 \$1 PV ON 2540.8100 SHARES DUE 12/15/2020 \$0.00158/PV ON 1,604,723.33 PV DUE 12/15/20	0.0000	0.000000	2,540.81	0.00	0.00
12/15/2020	477870AB5	INTEREST EARNED ON JOHN DEERE OWNER 2.280% 5/16/22 \$1 PV ON 1515.4600 SHARES DUE 12/15/2020 \$0.00190/PV ON 797,611.08 PV DUE 12/15/20	0.0000	0.000000	1,515.46	0.00	0.00
12/15/2020	47787NAC3	INTEREST EARNED ON JOHN DEERE OWNER 0.510% 11/15/24 \$1 PV ON 629.0000 SHARES DUE 12/15/2020 \$0.00042/PV ON 1,480,000.00 PV DUE 12/15/20	0.0000	0.000000	629.00	0.00	0.00
12/15/2020	47788CAC6	INTEREST EARNED ON JOHN DEERE OWNER 2.660% 4/18/22 \$1 PV ON 488.2000 SHARES DUE 12/15/2020 \$0.00222/PV ON 220,242.30 PV DUE 12/15/20	0.0000	0.000000	488.20	0.00	0.00
12/15/2020	47788EAC2	INTEREST EARNED ON JOHN DEERE OWNER 3.080% 11/15/22 \$1 PV ON 6047.4100 SHARES DUE 12/15/2020 \$0.00257/PV ON 2,356,131.77 PV DUE 12/15/20	0.0000	0.000000	6,047.41	0.00	0.00
12/15/2020	58770FAC6	INTEREST EARNED ON MERCEDES BENZ AUTO 1.840% 12/15/22 \$1 PV ON 3143.3300 SHARES DUE 12/15/2020 \$0.00153/PV ON 2,050,000.00 PV DUE 12/15/20	0.0000	0.000000	3,143.33	0.00	0.00
12/15/2020	65478GAD2	INTEREST EARNED ON NISSAN AUTO 1.750% 10/15/21 \$1 PV ON 84.8200 SHARES DUE 12/15/2020 \$0.00146/PV ON 58,163.16 PV DUE 12/15/20	0.0000	0.000000	84.82	0.00	0.00
12/15/2020	65479GAD1	INTEREST EARNED ON NISSAN AUTO 3.060% 3/15/23 \$1 PV ON 6160.5300 SHARES DUE 12/15/2020 \$0.00255/PV ON 2,415,895.26 PV DUE 12/15/20	0.0000	0.000000	6,160.53	0.00	0.00
12/15/2020	65479JAD5	INTEREST EARNED ON NISSAN AUTO 1.930% 7/15/24 \$1 PV ON 6730.8700 SHARES DUE 12/15/2020 \$0.00161/PV ON 4,185,000.00 PV DUE 12/15/20	0.0000	0.000000	6,730.87	0.00	0.00
12/15/2020	89237VAB5	INTEREST EARNED ON TOYOTA AUTO RECV 0.440% 10/15/24 \$1 PV ON 1085.3300 SHARES DUE 12/15/2020 \$0.00037/PV ON 2,960,000.00 PV DUE 12/15/20	0.0000	0.000000	1,085.33	0.00	0.00
12/17/2020	3135G04Z3	INTEREST EARNED ON F N M A 0.500% 6/17/25 \$1 PV ON 9905000.0000 SHARES DUE 12/17/2020	0.0000	0.000000	24,487.36	0.00	0.00
12/18/2020	43813KAC6	INTEREST EARNED ON HONDA AUTO 0.370% 10/18/24 \$1 PV ON 997.4600 SHARES DUE 12/18/2020 \$0.00031/PV ON 3,235,000.00 PV DUE 12/18/20	0.0000	0.000000	997.46	0.00	0.00
12/18/2020	43814PAC4	INTEREST EARNED ON HONDA AUTO 1.78999% 9/20/21 \$1 PV ON 117.8200 SHARES DUE 12/18/2020 \$0.00149/PV ON 78,985.17 PV DUE 12/18/20	0.0000	0.000000	117.82	0.00	0.00

U.S. Bank
Transaction History
10/01/2020 Thru 12/31/2020

Entry Date	CUSIP Id	Explanation	Units	Price	Net Cash Amt	Cost	Gain/Loss
12/18/2020	43814UAG4	INTEREST EARNED ON HONDA AUTO 3.010% 5/18/22 \$1 PV ON 1820.6600 SHARES DUE 12/18/2020 \$0.00251/PV ON 725,845.11 PV DUE 12/18/20	0.0000	0.000000	1,820.66	0.00	0.00
12/18/2020	43814WAB1	INTEREST EARNED ON HONDA AUTO 2.750% 9/20/21 \$1 PV ON 119.1000 SHARES DUE 12/18/2020 \$0.00229/PV ON 51,972.34 PV DUE 12/18/20	0.0000	0.000000	119.10	0.00	0.00
12/21/2020	3137EAEN5	INTEREST EARNED ON F H L M C 2.750% 6/19/23 \$1 PV ON 10000000.0000 SHARES DUE 12/19/2020	0.0000	0.000000	137,500.00	0.00	0.00
12/21/2020	36225CAZ9	INTEREST EARNED ON G N M A I I #080023 3.125% 12/20/26 \$1 PV ON 31.2100 SHARES DUE 12/20/2020 NOVEMBER GNMA DUE 12/20/20	0.0000	0.000000	31.21	0.00	0.00
12/21/2020	36225CC20	INTEREST EARNED ON G N M A I I #080088 2.875% 6/20/27 \$1 PV ON 21.8500 SHARES DUE 12/20/2020 NOVEMBER GNMA DUE 12/20/20	0.0000	0.000000	21.85	0.00	0.00
12/21/2020	36225CN28	INTEREST EARNED ON G N M A I I #080408 2.875% 5/20/30 \$1 PV ON 87.7500 SHARES DUE 12/20/2020 NOVEMBER GNMA DUE 12/20/20	0.0000	0.000000	87.75	0.00	0.00
12/21/2020	36225CNM4	INTEREST EARNED ON G N M A I I #080395 2.875% 4/20/30 \$1 PV ON 11.7400 SHARES DUE 12/20/2020 NOVEMBER GNMA DUE 12/20/20	0.0000	0.000000	11.74	0.00	0.00
12/21/2020	36225DCB8	INTEREST EARNED ON G N M A I I #080965 2.250% 7/20/34 \$1 PV ON 60.2700 SHARES DUE 12/20/2020 NOVEMBER GNMA DUE 12/20/20	0.0000	0.000000	60.27	0.00	0.00
12/21/2020	43815HAC1	INTEREST EARNED ON HONDA AUTO 2.950% 8/22/22 \$1 PV ON 4902.8200 SHARES DUE 12/21/2020 \$0.00246/PV ON 1,994,369.07 PV DUE 12/21/20	0.0000	0.000000	4,902.82	0.00	0.00
12/22/2020	3135G0U35	INTEREST EARNED ON F N M A 2.750% 6/22/21 \$1 PV ON 7500000.0000 SHARES DUE 12/22/2020	0.0000	0.000000	103,125.00	0.00	0.00
12/23/2020		CASH RECEIPT INCOMING WIRES REC'D FR BANK OF CALIFORNIA- 12/23/2020	0.0000	0.000000	97,000,000.00	0.00	0.00
12/23/2020		CASH RECEIPT INCOMING WIRES RECEIVED FROM BANK OF CALIF 12/23/2020	0.0000	0.000000	31,000,000.00	0.00	0.00
12/24/2020	166764AH3	INTEREST EARNED ON CHEVRON CORP 3.191% 6/24/23 \$1 PV ON 3500000.0000 SHARES DUE 12/24/2020	0.0000	0.000000	55,842.50	0.00	0.00
12/28/2020	03215PFN4	INTEREST EARNED ON AMRESCO 1.19911% 6/25/29 \$1 PV ON 118.9300 SHARES DUE 12/25/2020 \$0.00100/PV ON 119,021.64 PV DUE 12/25/20	0.0000	0.000000	118.93	0.00	0.00
12/28/2020	31371NUC7	INTEREST EARNED ON F N M A #257179 4.500% 4/01/28 \$1 PV ON 40.6400 SHARES DUE 12/25/2020 NOVEMBER FNMA DUE 12/25/20	0.0000	0.000000	40.64	0.00	0.00
12/28/2020	31376KT22	INTEREST EARNED ON F N M A #357969 5.000% 9/01/35 \$1 PV ON 333.8900 SHARES DUE 12/25/2020 NOVEMBER FNMA DUE 12/25/20	0.0000	0.000000	333.89	0.00	0.00
12/28/2020	3138EG6F6	INTEREST EARNED ON F N M A #AL0869 4.500% 6/01/29 \$1 PV ON 27.0800 SHARES DUE 12/25/2020 NOVEMBER FNMA DUE 12/25/20	0.0000	0.000000	27.08	0.00	0.00
12/28/2020	31394JY35	INTEREST EARNED ON F H L M C MLTCL MTG 6.500% 9/25/43 \$1 PV ON 3130.6100 SHARES DUE 12/25/2020 \$0.00542/PV ON 577,958.72 PV DUE 12/25/20	0.0000	0.000000	3,130.61	0.00	0.00
12/28/2020	31397QRE0	INTEREST EARNED ON F N M A GTD REMIC 2.472% 2/25/41 \$1 PV ON 96.2500 SHARES DUE 12/25/2020 \$0.00069/PV ON 139,132.73 PV DUE 12/25/20	0.0000	0.000000	96.25	0.00	0.00
12/28/2020	31403DJZ3	INTEREST EARNED ON F N M A #745580 5.000% 6/01/36 \$1 PV ON 301.7100 SHARES DUE 12/25/2020 NOVEMBER FNMA DUE 12/25/20	0.0000	0.000000	301.71	0.00	0.00
12/28/2020	31403GXF4	INTEREST EARNED ON F N M A #748678 5.000% 10/01/33 \$1 PV ON 5.5200 SHARES DUE 12/25/2020 NOVEMBER FNMA DUE 12/25/20	0.0000	0.000000	5.52	0.00	0.00

U.S. Bank
Transaction History
10/01/2020 Thru 12/31/2020

Entry Date	CUSIP Id	Explanation	Units	Price	Net Cash Amt	Cost	Gain/Loss
12/28/2020	31406PQY8	INTEREST EARNED ON F N M A #815971 5.000% 3/01/35 \$1 PV ON 459.0500 SHARES DUE 12/25/2020 NOVEMBER FNMA DUE 12/25/20	0.0000	0.000000	459.05	0.00	0.00
12/28/2020	31406XWT5	INTEREST EARNED ON F N M A #823358 3.476% 2/01/35 \$1 PV ON 265.5700 SHARES DUE 12/25/2020 NOVEMBER FNMA DUE 12/25/20	0.0000	0.000000	265.57	0.00	0.00
12/28/2020	31407BXH7	INTEREST EARNED ON F N M A #826080 5.000% 7/01/35 \$1 PV ON 59.3900 SHARES DUE 12/25/2020 NOVEMBER FNMA DUE 12/25/20	0.0000	0.000000	59.39	0.00	0.00
12/28/2020	31410F4V4	INTEREST EARNED ON F N M A #888336 5.000% 7/01/36 \$1 PV ON 574.0700 SHARES DUE 12/25/2020 NOVEMBER FNMA DUE 12/25/20	0.0000	0.000000	574.07	0.00	0.00
12/28/2020	31417YAY3	INTEREST EARNED ON F N M A #MA0022 4.500% 4/01/29 \$1 PV ON 44.3000 SHARES DUE 12/25/2020 NOVEMBER FNMA DUE 12/25/20	0.0000	0.000000	44.30	0.00	0.00
12/28/2020	931142EK5	INTEREST EARNED ON WALMART INC 3.400% 6/26/23 \$1 PV ON 3880000.0000 SHARES DUE 12/26/2020	0.0000	0.000000	65,960.00	0.00	0.00
12/29/2020	02665WCZ2	INTEREST EARNED ON AMERICAN HONDA MTN 2.400% 6/27/24 \$1 PV ON 1219000.0000 SHARES DUE 12/29/2020	0.0000	0.000000	14,628.00	0.00	0.00
12/29/2020	31846V567	CASH RECEIPT LONG-TERM CAPITAL GAIN DIV FIRST AM GOVT OB FD CL Z LTCG PAYABLE 12/29/20; FGZXX	0.0000	0.000000	0.34	0.00	0.00
12/29/2020	31846V567	CASH RECEIPT LONG-TERM CAPITAL GAIN DIV FIRST AM GOVT OB FD CL Z LTCG PAYABLE 12/29/20; FGZXX	0.0000	0.000000	2.50	0.00	0.00
12/29/2020	912828S27	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.125% 6/30/21	0.0000	0.000000	-50,074.73	0.00	0.00
12/29/2020	912828S27	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.125% 6/30/21	0.0000	0.000000	-50,074.73	0.00	0.00
12/29/2020	912828S27	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.125% 6/30/21	0.0000	0.000000	-50,074.73	0.00	0.00
12/29/2020	912828S76	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.125% 7/31/21	0.0000	0.000000	-41,545.52	0.00	0.00
12/29/2020	912828WU0	BOOK VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 2496.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
12/29/2020	912828WU0	FED BASIS OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 2496.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	2,496.00	0.00
12/29/2020	912828WU0	PAR VALUE OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 2496.0000 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	2,496.0000	0.000000	0.00	0.00	0.00
12/29/2020	912828WU0	STATE COST OF U S TREASURY I P S 0.125% 7/15/24 ADJUSTED BY 2496.00 UNITS INCREASE TO ADJUST FOR CHANGE IN CPI	0.0000	0.000000	0.00	0.00	0.00
12/29/2020	912828YC8	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.500% 8/31/21	0.0000	0.000000	-44,751.38	0.00	0.00
12/30/2020	31846V567	CASH RECEIPT SHORT-TERM CAPITAL GAIN DIV FIRST AM GOVT OB FD CL Z STCG PAYABLE 12/29/20	0.0000	0.000000	0.87	0.00	0.00
12/30/2020	31846V567	CASH RECEIPT SHORT-TERM CAPITAL GAIN DIV FIRST AM GOVT OB FD CL Z STCG PAYABLE 12/29/20	0.0000	0.000000	6.37	0.00	0.00
12/30/2020	912828S76	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.125% 7/31/21	0.0000	0.000000	-27,880.43	0.00	0.00
12/30/2020	912828S76	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.125% 7/31/21	0.0000	0.000000	-23,233.70	0.00	0.00
12/30/2020	912828S76	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.125% 7/31/21	0.0000	0.000000	-41,820.65	0.00	0.00
12/30/2020	912828S76	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 1.125% 7/31/21	0.0000	0.000000	-41,820.65	0.00	0.00

U.S. Bank
Transaction History
10/01/2020 Thru 12/31/2020

Entry Date	CUSIP Id	Explanation	Units	Price	Net Cash Amt	Cost	Gain/Loss
12/30/2020	91282CBA8	PAID ACCRUED INTEREST ON PURCHASE OF U S TREASURY NT 0.125% 12/15/23	0.0000	0.000000	-334.82	0.00	0.00
12/31/2020	912796TY5	INTEREST EARNED ON U S TREASURY BILL 12/31/20 \$1 PV ON 5000000.0000 SHARES DUE 12/31/2020 5,000,000 PAR VALUE AT 100 %	0.0000	0.000000	4,627.78	0.00	0.00
12/31/2020	9128287A2	INTEREST EARNED ON U S TREASURY NT 1.625% 6/30/21 \$1 PV ON 19000000.0000 SHARES DUE 12/31/2020	0.0000	0.000000	154,375.00	0.00	0.00
12/31/2020	912828N30	INTEREST EARNED ON U S TREASURY NT 2.125% 12/31/22 \$1 PV ON 5000000.0000 SHARES DUE 12/31/2020	0.0000	0.000000	53,125.00	0.00	0.00
12/31/2020	912828S27	INTEREST EARNED ON U S TREASURY NT 1.125% 6/30/21 \$1 PV ON 27000000.0000 SHARES DUE 12/31/2020	0.0000	0.000000	151,875.00	0.00	0.00
12/31/2020	912828WR7	INTEREST EARNED ON U S TREASURY NT 2.125% 6/30/21 \$1 PV ON 8000000.0000 SHARES DUE 12/31/2020	0.0000	0.000000	85,000.00	0.00	0.00
12/31/2020	912828XW5	INTEREST EARNED ON U S TREASURY NT 1.750% 6/30/22 \$1 PV ON 5000000.0000 SHARES DUE 12/31/2020	0.0000	0.000000	43,750.00	0.00	0.00
12/31/2020	912828XX3	INTEREST EARNED ON U S TREASURY NT 2.000% 6/30/24 \$1 PV ON 5000000.0000 SHARES DUE 12/31/2020	0.0000	0.000000	50,000.00	0.00	0.00
TOTAL OTHER TRANSACTIONS			58,136.0000		130,731,811.61	56,095.27	0.00

December 31, 2020

Orange County Sanitation District



**Investment Measurement Service
Quarterly Review**

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Orange County Sanitation District Executive Summary for Period Ending December 31, 2020

Asset Allocation

	December 31, 2020		Net New Inv.	Inv. Return	September 30, 2020	
	Market Value	Weight			Market Value	Weight
Domestic Fixed Income						
Long Term Operating Fund*	657,618,803	74.45%	31,000,000	1,406,042	625,212,761	82.93%
Liquid Operating Monies*	225,711,282	25.55%	97,000,000	26,228	128,685,054	17.07%
Total Fund	\$883,330,085	100.0%	\$128,000,000	\$1,432,270	\$753,897,814	100.0%

Performance

	Last Quarter	Last Year	Last 3 Years	Last 5 Years	Last 7 Years
Domestic Fixed Income					
Long Term Operating Fund^	0.21%	4.42%	3.56%	2.68%	2.32%
Chandler	0.21%	4.42%	3.56%	2.68%	-
Blmbg Govt/Cred 1-5 Year Idx	0.33%	4.71%	3.69%	2.77%	2.32%
ML 1-5 Govt/Corp	0.37%	4.65%	3.69%	2.79%	2.36%
Liquid Operating Monies^	0.02%	0.84%	1.71%	1.30%	0.97%
Chandler	0.02%	0.84%	1.71%	1.30%	-
Citigroup 3-Month Treasury Bill	0.02%	0.58%	1.56%	1.16%	0.84%
Total Fund	0.16%	3.73%	3.23%	2.37%	2.05%
Target*	0.30%	3.82%	3.27%	2.46%	2.05%

* Current Quarter Target = 80.0% ML 1-5 Govt/Corp and 20.0% FTSE 3mo T-Bills.

^Assets were transferred in kind to Chandler on 12/1/2014. Previous performance reflects PIMCO.

Recent Developments

- During the quarter, \$31.0 million was contributed to the Long Term Operating Fund and \$97.0 million was contributed to the Liquid Operating Monies.

Organizational Issues

- N/A

Fixed Income Market Snapshot

- U.S. Treasury yields rose steadily over the course of 4Q; the 10-year U.S. Treasury yield closed the quarter at 0.93%, up 24 basis points from Sept. 30, but off sharply from the year-end level of 1.92%. TIPS (Bloomberg Barclays US TIPS: +1.6%) strongly outperformed nominal U.S. Treasuries for the quarter as 10-year breakeven spreads widened from 163 bps to 199 bps. The Bloomberg Barclays US Aggregate Bond Index gained 0.7%, bringing its 2020 gain to 7.5%. Corporates strongly outperformed U.S. Treasuries for the quarter and the year (Bloomberg Barclays US Treasury: -0.8%; +8.0%; Bloomberg Barclays US Corporate: +3.0%; +9.9%) in

spite of record 2020 issuance. High yield corporates (Bloomberg Barclays High Yield: +6.5%; +7.1%) outperformed investment grade for the quarter but trailed for the year. High yield default rates (6.2% y-o-y as of December) continued to trend higher but are expected to peak far below levels reached in the Global Financial Crisis. Separately, municipal bonds (Bloomberg Barclays Muni Bond Index: +1.8%; +5.2%) outperformed U.S. Treasuries for the quarter but trailed for the year.

Manager Performance

- The Long Term Operating Fund generated a 0.21% return in the fourth quarter, which trailed the 0.37% return of the ML U.S. 1-5 Corp/Gov Index. Over the trailing one-year period, the Long Term Operating Fund gained 4.42%, which trailed the benchmark return of 4.65%. The manager ranked in the bottom quartile among the Callan Short Term Fixed Income peer group in the fourth quarter, but is above median over the trailing year. The fund ranks above median over all trailing periods longer than one year.
- Credit spreads tightened in the fourth quarter, particularly among lower-quality credit, which led to modest underperformance for Chandler's more conservatively positioned portfolio relative to the benchmark. The fund's out-of-benchmark exposure to asset-backed securities, continued to outperform the overall index. Sector allocation remained relatively stable during the quarter. The portfolio had less than 30% invested in credit (21%) and less than the permitted 20% invested in the combination of asset-backed securities (4%), commercial mortgage backed securities (0%), and CMOs (0%) as of December 30, 2021 (see page 20).
- The Liquid Operating Portfolio declined 0.02% (after fees) in the fourth quarter, trailing the Citigroup 3-Month Treasury Bill Index's return of 0.02% by four basis points. Over the trailing year, the fund gained 0.69%, which outpaced the benchmark by 11 basis points.

Cordially,



Alex Ford
Vice President

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Capital Market Review

U.S. EQUITY

Record highs in 2020

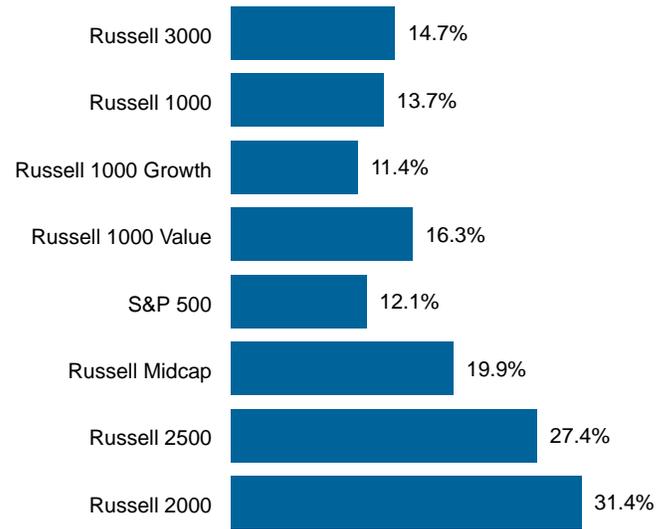
The S&P 500 Index hit a record high in 4Q20. The Index was up 12.1% for the quarter, bringing the 2020 gain to 18.4%.

- Since its March low, the S&P is up over 70%, with all sectors posting increases greater than 40%.
- 4Q winner: Energy (+28%), but down 34% for the year
- Top 2020 sector: Technology with 44% gain (+12% in 4Q)
- Pandemic has cast a pall over certain sectors while rewarding others: online retail soared 69% in 2020, while hotels/cruise lines, airlines, and retail REITs dropped ~30%.
- Apple, Microsoft, Amazon, Facebook, and Alphabet made up 22% of S&P 500 market cap at year-end, and for 2020, accounted for 12.1% of 18.4% Index return.

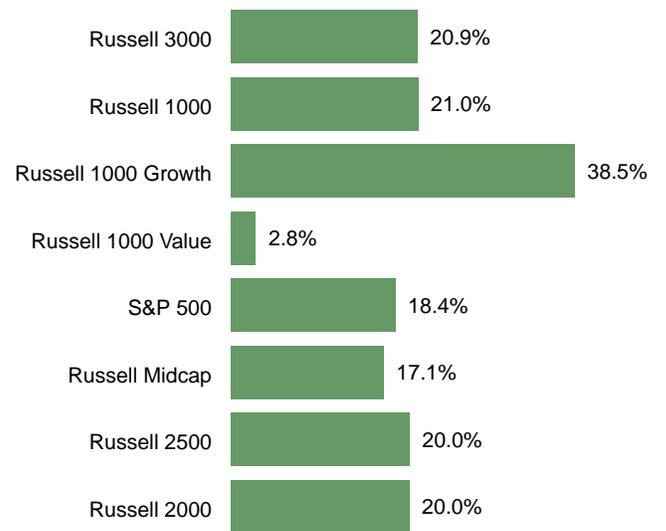
Anti-momentum rally

- In 4Q, value outperformed growth across the cap spectrum driven by vaccine progress, political clarity, and further stimulus. For the year, however, value trails growth by a significant margin due to Tech's outperformance.
- Fueled by the prospect of an economic recovery, small cap outperformed large in 4Q but was even on the year. Small value was the best performer for the quarter, but 2020 gain is a mere 4.6%.
- 4Q experienced a shift in YTD 2020 trends, attributed to expectations of broader economic recovery from the vaccine roll-out and the presidential election outcome.
- Cyclical sectors such as Energy, Financials, Industrials, and Materials outperformed during the quarter.
- Although stocks with the highest P/E's significantly outperformed for the year, the trend shifted after the vaccine announcement and stocks with zero earnings estimates or P/E's less than 10 shot up.

U.S. Equity: Quarterly Returns

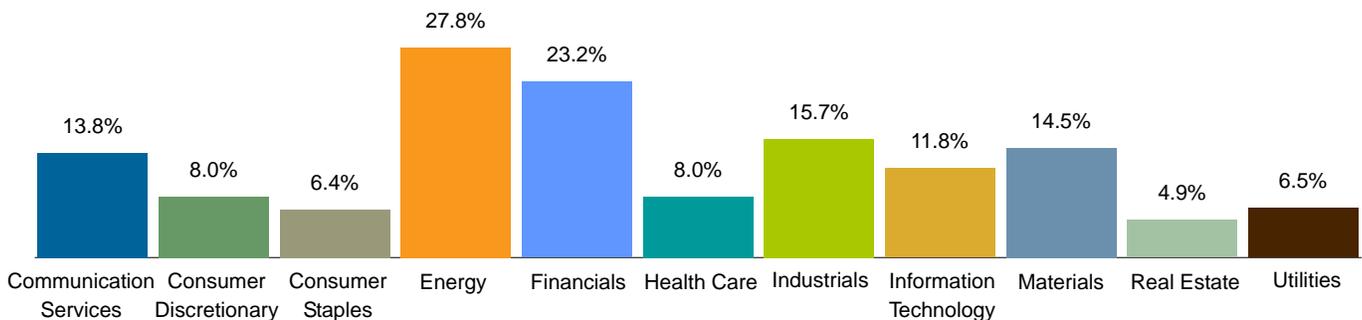


U.S. Equity: One-Year Returns



Sources: FTSE Russell, S&P Dow Jones Indices

S&P Sector Returns, Quarter Ended December 31, 2020



Source: S&P Dow Jones Indices

GLOBAL/GLOBAL EX-U.S. EQUITY

Vaccine rollouts extend and expand risk-on rally

- Prospects of global economic recovery propelled by COVID-19 vaccination fueled double-digit returns broadly across developed and emerging markets.
- Expectations of reverting back to normal economic activity by late 2021 enabled risk assets to thrive.
- Emerging markets outperformed developed markets, led by Latam—specifically Brazil.
- Small cap outperformed large as business confidence improved with news of vaccination.

Market rotates to cyclicals

- Positive outlook on reflation trade stoked Energy, Materials, and Financials to drive the market.
- Beta and volatility led factor performance due to market rotation.

U.S. dollar vs. other currencies

- U.S. dollar continued to lose ground as appetite for risk increased with the expectation that a path to global economic recovery is on the horizon.

Growth vs. value

- Value topped growth as sentiment shifted to cyclical sectors.

4Q20 belonged to value; does it have staying power?

- COVID-19 benefited value as the quarter brought news of successful vaccines.
- Financials, Travel, and Energy rebounded
- MSCI World Growth (+12.4%) trailed MSCI World Value (+15.2%) over the three-month period.
- Even with this divergence of style in 4Q20, growth still outpaced value globally by over 35% for the full year.

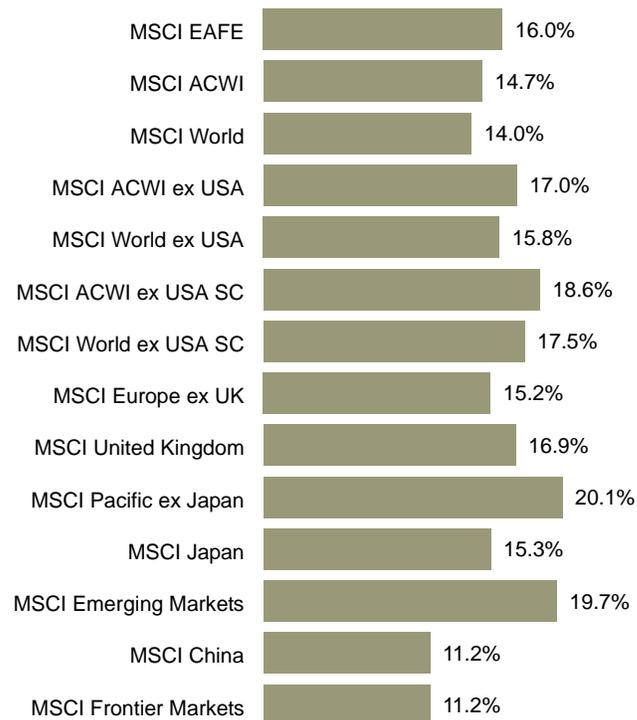
Potential tailwinds for value

- Higher interest rates on the heels of potentially higher inflation with government stimulus and businesses reopening
- Continued rebound of discretionary spending in areas neglected in 2020 as markets reopen: lodging, travel

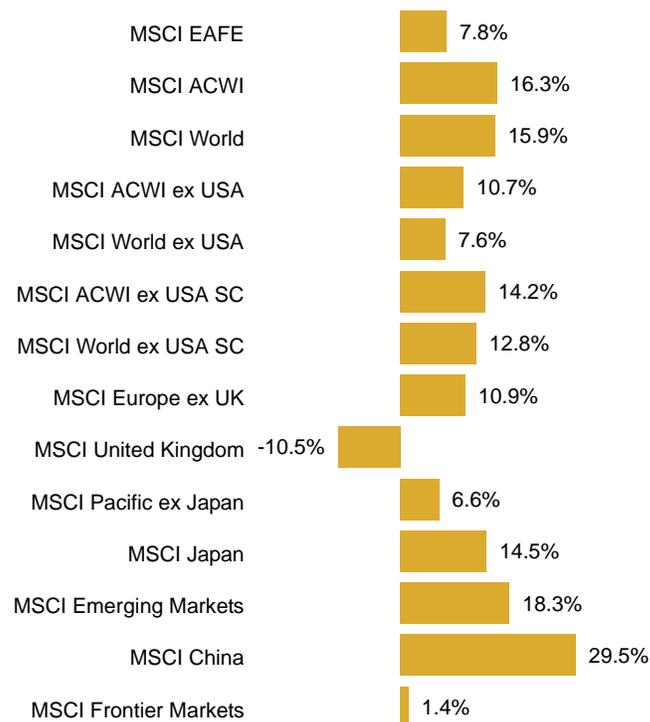
The good news

- Recent dollar weakness supports emerging markets.
- Could continue in 2021—wider U.S. fiscal deficit plus stronger emerging market currencies on the heels of higher growth

Global Equity: Quarterly Returns



Global Equity: One-Year Returns



Source: MSCI

U.S. FIXED INCOME

Treasury yields rose

- The 10-year U.S. Treasury yield closed 4Q20 at 0.93%, up 24 bps from 3Q20 but off from the year-end level of 1.92%.
- TIPS outperformed nominal U.S. Treasuries as 10-year breakeven spreads widened from 163 bps to 199 bps.
- No rate hikes are expected until at least 2023.

Bloomberg Barclays Aggregate gained slightly

- Corporate credit outperformed treasuries as investors continued to hunt for yield.
- Corporate credit ended the year up 9.9% despite record issuance in 2020.

High yield bonds gained on the quarter as rally extended

- High yield bonds outperformed IG in 4Q, returning 6.5%, but trailed IG for the year.
- Leveraged loans gained 3.8% as demand remained strong to finish the year.

Munis boosted by favorable supply/demand dynamics

- Municipals outperformed Treasuries for the quarter, but remained down for the year.
- Tax-exempt issuance was muted amid strong demand.
- Lower quality outperformed for the quarter; however, higher quality outperformed for the year.

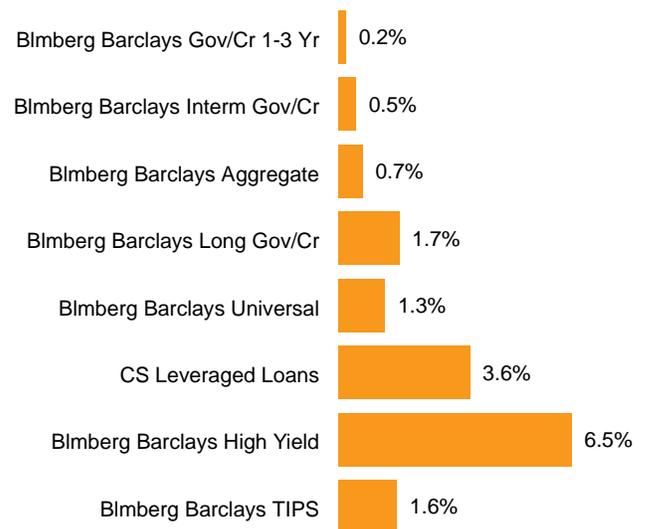
U.S. credit attractive to non-U.S. investors

- Central banks globally are adopting a “lower for longer” mindset toward rates.
- 89% of positive yields globally are in the U.S., spurring demand for U.S. corporate credit.
- Lower LIBOR rates have decreased currency hedging costs; combined with a steep Treasury curve, that makes U.S. credit attractive to non-U.S. investors.

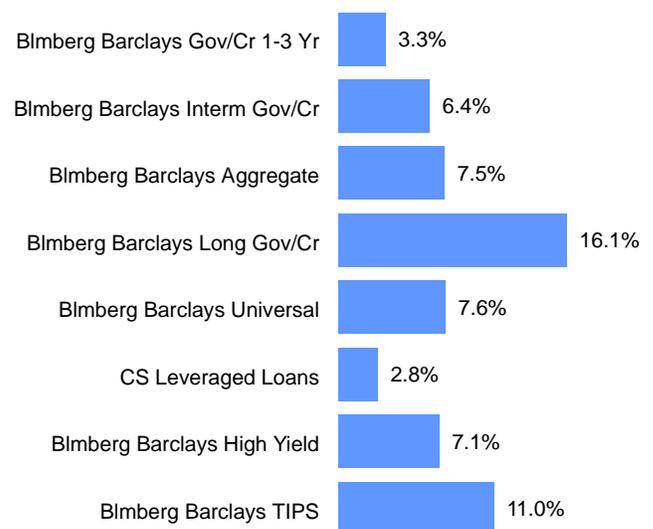
Implications of U.S. rates rising in 4Q

- U.S. Treasury rates rose in 4Q, most notably in the intermediate and long portions of the yield curve.
- As Democrats won both seats in the Georgia run-off, greater fiscal stimulus is likely. This may lead to further steepening of the yield curve and increased inflation expectations.
- A rising rate environment opens opportunities for floating-rate securities like leveraged loans, and makes securities with shorter durations such as securitized credit more attractive.

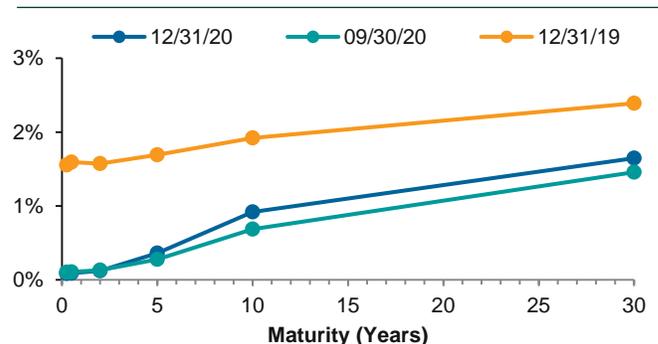
U.S. Fixed Income: Quarterly Returns



U.S. Fixed Income: One-Year Returns



U.S. Treasury Yield Curves



Sources: Bloomberg, Bloomberg Barclays, Credit Suisse

GLOBAL FIXED INCOME

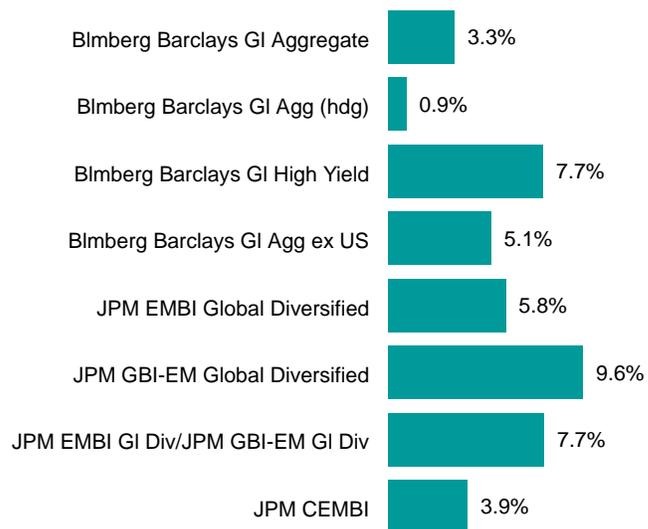
Global fixed income rose amid monetary backdrop

- Low rates and asset purchase programs continued to prop up the global bond market.
- Broad-based U.S. dollar weakness resulting from continued confidence in risk assets dampened hedged returns as the USD lost 4.27% versus the euro, 5.43% versus the British pound, and 2.02% versus the yen.

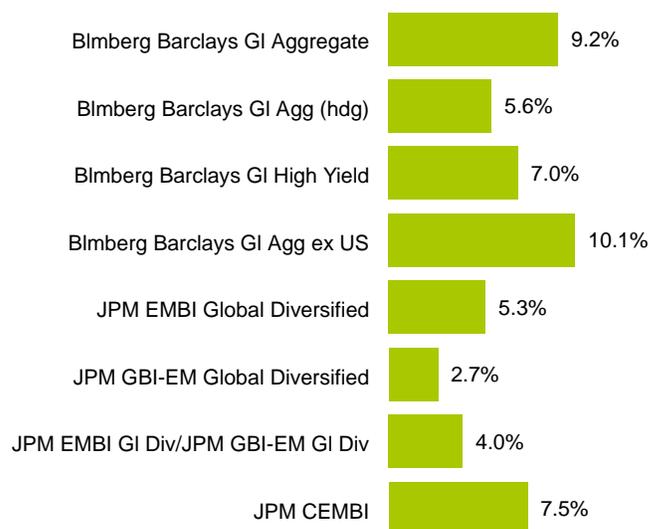
Emerging market debt ended the year positive

- Emerging market debt indices gained in 4Q20, finishing the year in positive territory amid a global search for yield and renewed growth expectations.
- U.S. dollar-denominated index (EMBI Global Diversified) underperformed local currency emerging market debt as U.S. rates rose; returns were mixed across the 70+ constituents.
- Local currency index (GBI-EM Global Diversified) was up significantly, with broad-based gains across constituents.

Global Fixed Income: Quarterly Returns



Global Fixed Income: One-Year Returns



Change in 10-Year Global Government Bond Yields

3Q20 to 4Q20



Sources: Bloomberg, Bloomberg Barclays, JP Morgan

Active Management Overview

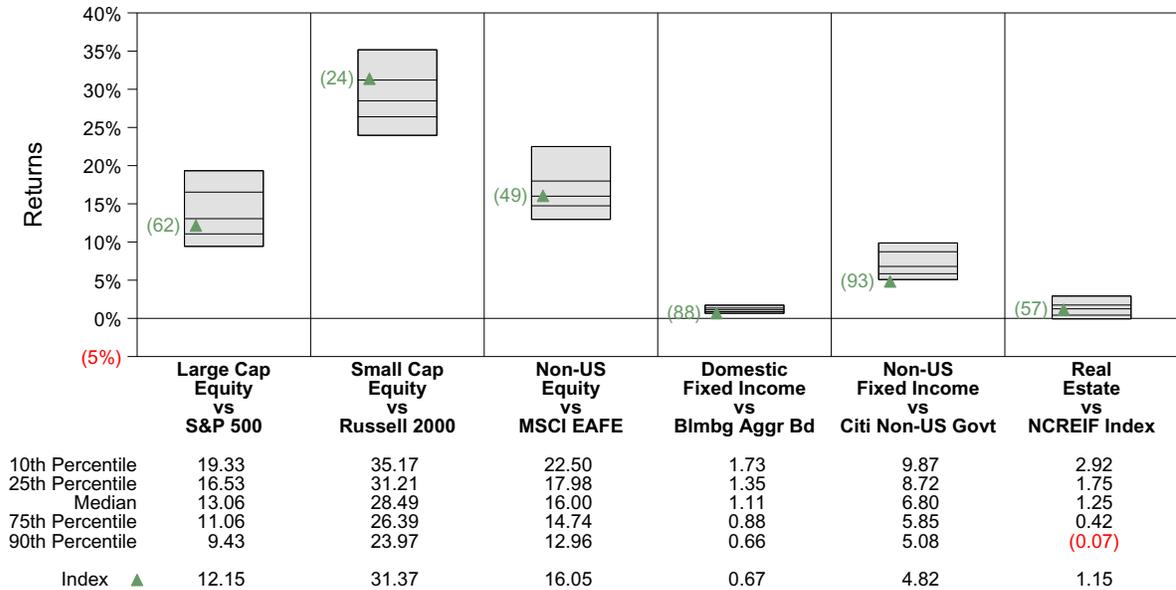
Market Overview

Active Management vs Index Returns

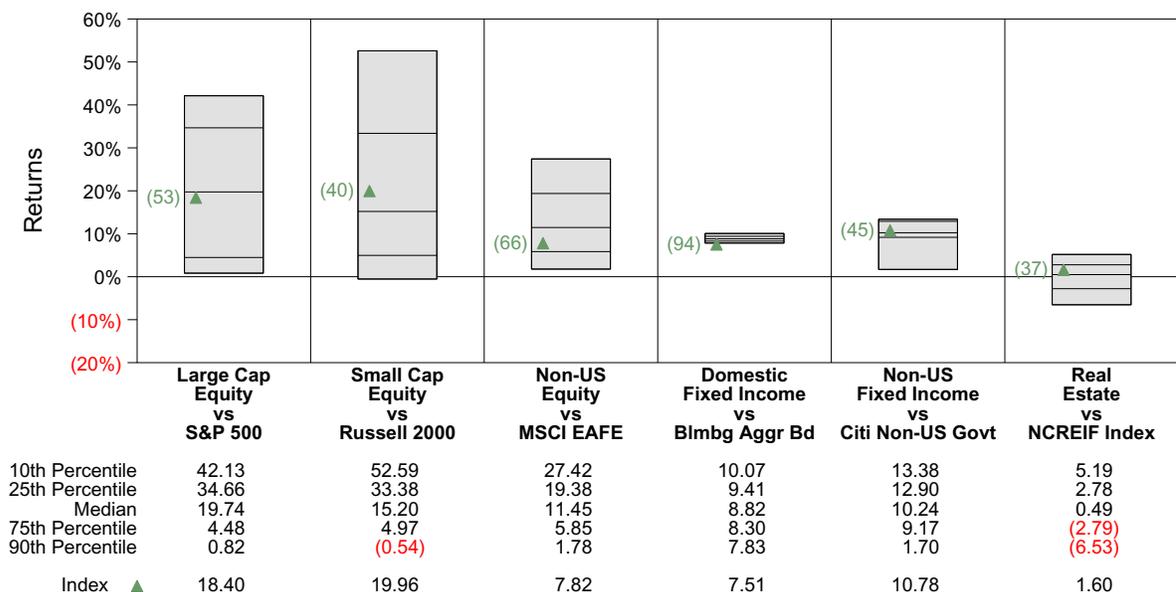
Market Overview

The charts below illustrate the range of returns across managers in Callan's Separate Account database over the most recent one quarter and one year time periods. The database is broken down by asset class to illustrate the difference in returns across those asset classes. An appropriate index is also shown for each asset class for comparison purposes. As an example, the first bar in the upper chart illustrates the range of returns for domestic equity managers over the last quarter. The triangle represents the S&P 500 return. The number next to the triangle represents the ranking of the S&P 500 in the Large Cap Equity manager database.

Range of Separate Account Manager Returns by Asset Class One Quarter Ended December 31, 2020



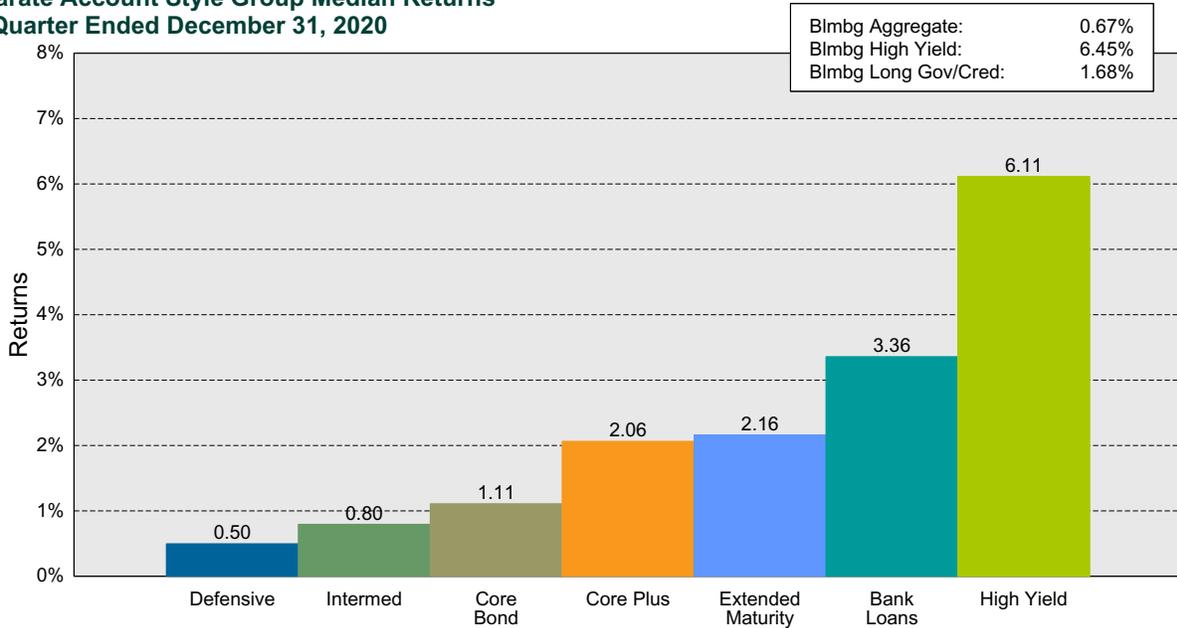
Range of Separate Account Manager Returns by Asset Class One Year Ended December 31, 2020



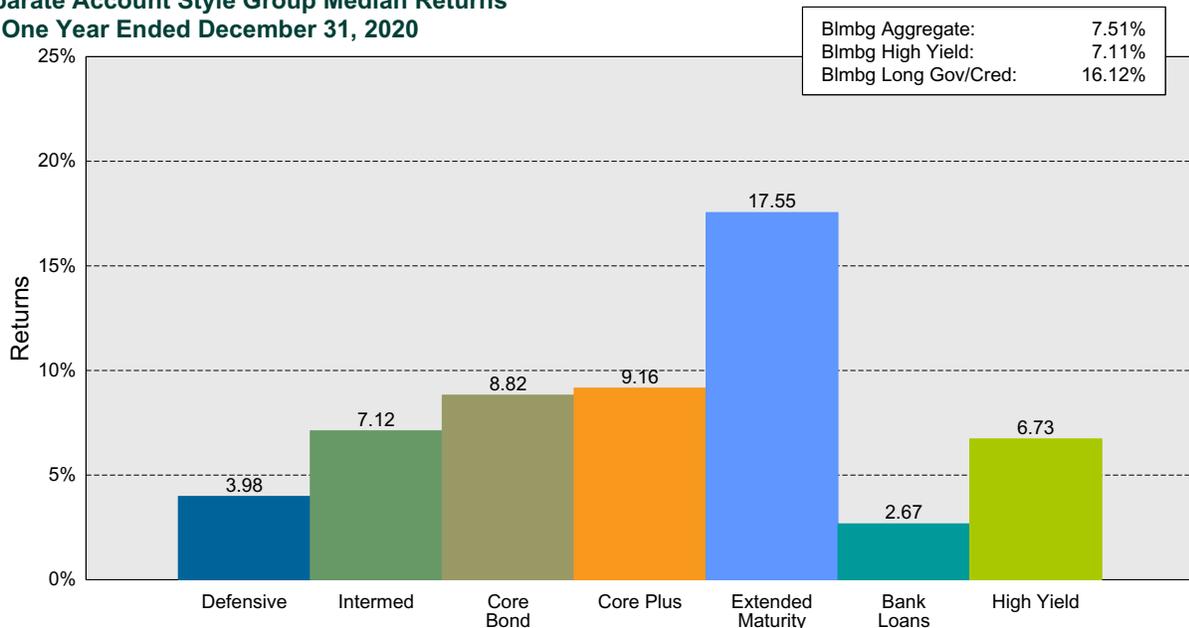
Domestic Fixed Income Active Management Overview

U.S. Treasury yields rose steadily over the course of 4Q; the 10-year U.S. Treasury yield closed the quarter at 0.93%, up 24 basis points from Sept. 30, but off sharply from the year-end level of 1.92%. TIPS (Bloomberg Barclays US TIPS: +1.6%) strongly outperformed nominal U.S. Treasuries for the quarter as 10-year breakeven spreads widened from 163 bps to 199 bps. The Bloomberg Barclays US Aggregate Bond Index gained 0.7%, bringing its 2020 gain to 7.5%. Investment grade corporates strongly outperformed U.S. Treasuries for the quarter and the year (Bloomberg Barclays US Treasury: -0.8%; +8.0%; Bloomberg Barclays US Corporate: +3.0%; +9.9%) in spite of record 2020 issuance. High yield corporates (Bloomberg Barclays High Yield: +6.5%; +7.1%) outperformed investment grade for the quarter but trailed for the year. High yield default rates (6.2% y-o-y as of December) continued to trend higher but are expected to peak far below levels reached in the Global Financial Crisis.

Separate Account Style Group Median Returns for Quarter Ended December 31, 2020



Separate Account Style Group Median Returns for One Year Ended December 31, 2020



Asset Allocation

Investment Manager Asset Allocation

The table below contrasts the distribution of assets across the Fund's investment managers as of December 31, 2020, with the distribution as of September 30, 2020. The change in asset distribution is broken down into the dollar change due to Net New Investment and the dollar change due to Investment Return.

Asset Distribution Across Investment Managers

	December 31, 2020		Net New Inv.	Inv. Return	September 30, 2020	
	Market Value	Weight			Market Value	Weight
Domestic Fixed Income						
Long Term Operating Fund*	657,618,803	74.45%	31,000,000	1,406,042	625,212,761	82.93%
Liquid Operating Monies*	225,711,282	25.55%	97,000,000	26,228	128,685,054	17.07%
Total Fund	\$883,330,085	100.0%	\$128,000,000	\$1,432,270	\$753,897,814	100.0%

*Chandler replaced PIMCO during the 4th quarter of 2014. Assets were transferred in-kind as of 12/01/2014.

Investment Manager Returns

The table below details the rates of return for the Fund's investment managers over various time periods ended December 31, 2020. Negative returns are shown in red, positive returns in black. Returns for one year or greater are annualized. The first set of returns for each asset class represents the composite returns for all the fund's accounts for that asset class.

Returns for Periods Ended December 31, 2020

	Last Quarter	Last Year	Last 3 Years	Last 5 Years	Last 7 Years
Domestic Fixed Income					
Long Term Operating Fund^	0.21%	4.42%	3.56%	2.68%	2.32%
Chandler	0.21%	4.42%	3.56%	2.68%	-
Blmbg Govt/Cred 1-5 Year Idx	0.33%	4.71%	3.69%	2.77%	2.32%
ML 1-5 Govt/Corp	0.37%	4.65%	3.69%	2.79%	2.36%
Liquid Operating Monies^					
Chandler	0.02%	0.84%	1.71%	1.30%	-
Citigroup 3-Month Treasury Bill	0.02%	0.58%	1.56%	1.16%	0.84%
Total Fund	0.16%	3.73%	3.23%	2.37%	2.05%
Target*	0.30%	3.82%	3.27%	2.46%	2.05%

* Current Quarter Target = 80.0% ML:Corp/Gov 1-5 Yr and 20.0% FTSE 3 Mo T-Bill.

^Assets were transferred in kind to Chandler on 12/1/2014. Previous performance reflects PIMCO.

Investment Manager Returns

The table below details the rates of return for the Fund's investment managers over various time periods ended December 31, 2020. Negative returns are shown in red, positive returns in black. Returns for one year or greater are annualized. The first set of returns for each asset class represents the composite returns for all the fund's accounts for that asset class.

	Returns for Periods Ended December 31, 2020		
	Last 10 Years	Last 15 Years	Last 25-1/4 Years
Domestic Fixed Income			
Long Term Operating Fund^	2.20%	3.25%	4.23%
Blmbg Govt/Cred 1-5 Year Idx	2.19%	3.13%	4.09%
ML 1-5 Govt/Corp	2.24%	3.16%	4.11%
Liquid Operating Monies^	0.73%	1.38%	2.50%
Citigroup 3-Month Treasury Bill	0.60%	1.16%	2.21%
Total Fund	1.92%	2.89%	3.95%
Target*	1.91%	2.76%	3.73%

* Current Quarter Target = 80.0% ML:Corp/Gov 1-5 Yr and 20.0% FTSE 3 Mo T-Bill.

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Investment Manager Returns

The table below details the rates of return for the Fund's investment managers over various time periods. Negative returns are shown in red, positive returns in black. Returns for one year or greater are annualized. The first set of returns for each asset class represents the composite returns for all the fund's accounts for that asset class.

	2020	2019	2018	2017	2016
Domestic Fixed Income					
Long Term Operating Fund^	4.42%	4.70%	1.60%	1.18%	1.58%
Chandler	4.42%	4.70%	1.60%	1.18%	1.58%
Bimbg Govt/Cred 1-5 Year Idx	4.71%	5.01%	1.38%	1.27%	1.56%
ML 1-5 Govt/Corp	4.65%	5.08%	1.40%	1.28%	1.62%
Liquid Operating Monies^	0.84%	2.39%	1.90%	0.91%	0.47%
Chandler	0.84%	2.39%	1.90%	0.91%	0.47%
Citigroup 3-Month Treasury Bill	0.58%	2.25%	1.86%	0.84%	0.27%
Total Fund	3.73%	4.26%	1.72%	1.02%	1.15%
Target*	3.82%	4.51%	1.49%	1.19%	1.35%

* Current Quarter Target = 80.0% ML:Corp/Gov 1-5 Yr and 20.0% FTSE 3 Mo T-Bill.

^Assets were transferred in kind to Chandler on 12/1/2014. Previous performance reflects PIMCO.

Investment Manager Returns

The table below details the rates of return for the Fund's investment managers over various time periods. Negative returns are shown in red, positive returns in black. Returns for one year or greater are annualized. The first set of returns for each asset class represents the composite returns for all the fund's accounts for that asset class.

	2015	2014	2013	2012	2011
Domestic Fixed Income					
Long Term Operating Fund^	0.85%	1.98%	(1.77%)	3.06%	4.59%
Blmbg Govt/Cred 1-5 Year Idx	0.97%	1.42%	0.28%	2.24%	3.14%
ML 1-5 Govt/Corp	1.05%	1.51%	0.32%	2.47%	3.10%
Liquid Operating Monies^	0.22%	0.09%	0.13%	0.17%	0.24%
Citigroup 3-Month Treasury Bill	0.03%	0.03%	0.05%	0.07%	0.08%
Total Fund	0.80%	1.73%	(1.49%)	2.70%	3.70%
Target*	0.85%	1.21%	0.26%	1.99%	2.49%

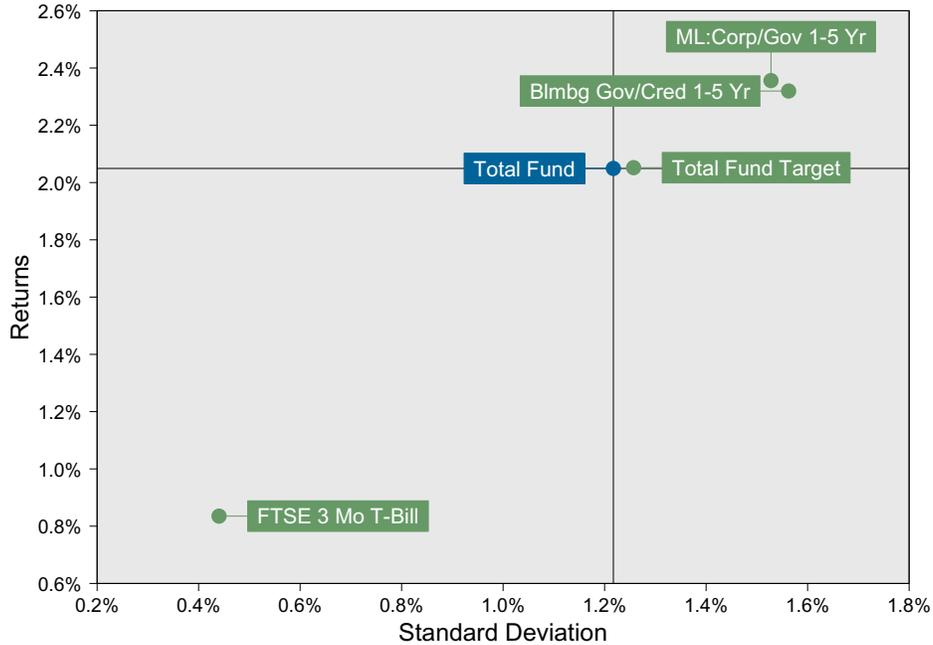
* Current Quarter Target = 80.0% ML:Corp/Gov 1-5 Yr and 20.0% FTSE 3 Mo T-Bill.

^Assets were transferred in kind to Chandler on 12/1/2014. Previous performance reflects PIMCO.

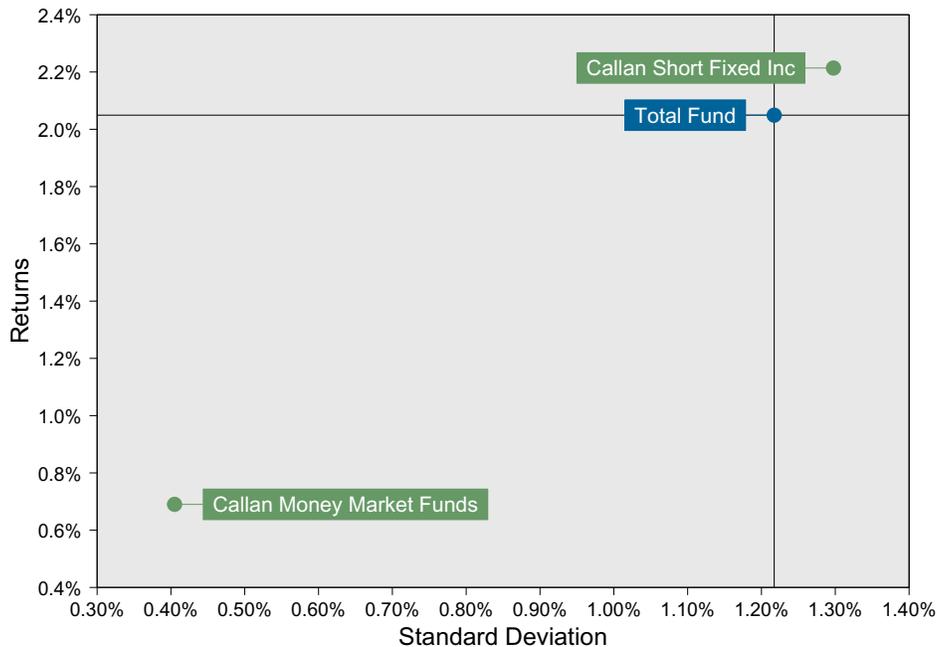
Asset Class Risk and Return

The charts below show the seven year annualized risk and return for each asset class component of the Total Fund. The first graph contrasts these values with those of the appropriate index for each asset class. The second chart contrasts them with the risk and return of the median portfolio in each of the appropriate CAI comparative databases. In each case, the crosshairs on the chart represent the return and risk of the Total Fund.

Seven Year Annualized Risk vs Return Asset Classes vs Benchmark Indices



Seven Year Annualized Risk vs Return Asset Classes vs Asset Class Median



Manager Analysis

Long Term Operating Fund Period Ended December 31, 2020

Investment Philosophy

Chandler Asset Management's Short Term Bond strategy is driven by quantitative models and focuses on active duration management, sector selection and term structure. The strategy seeks to achieve consistent above-benchmark returns with low volatility relative to the style's performance benchmark. The firm has a unique focus on high quality fixed income management, and places risk control as a higher objective than return. Assets were transferred in kind to Chandler on 12/1/2014. Previous performance reflects PIMCO.

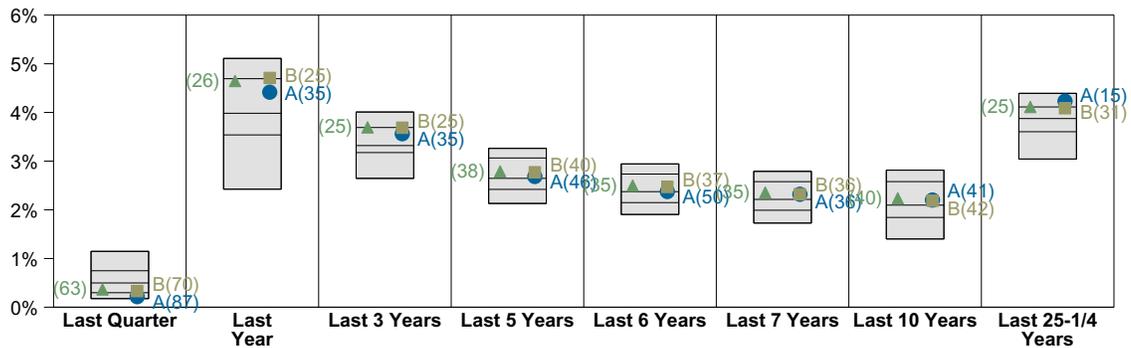
Quarterly Summary and Highlights

- Long Term Operating Fund's portfolio posted a 0.21% return for the quarter placing it in the 87 percentile of the Callan Short Term Fixed Income group for the quarter and in the 35 percentile for the last year.
- Long Term Operating Fund's portfolio underperformed the ML:Corp/Gov 1-5 Yr by 0.15% for the quarter and underperformed the ML:Corp/Gov 1-5 Yr for the year by 0.23%.

Quarterly Asset Growth

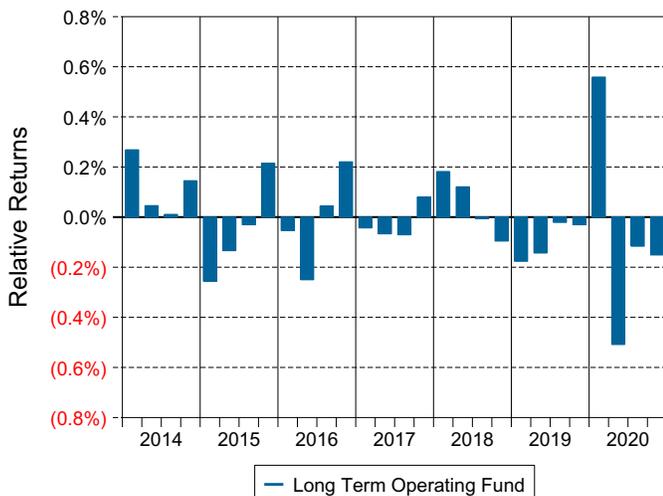
Beginning Market Value	\$625,212,761
Net New Investment	\$31,000,000
Investment Gains/(Losses)	\$1,406,042
Ending Market Value	\$657,618,803

Performance vs Callan Short Term Fixed Income (Gross)

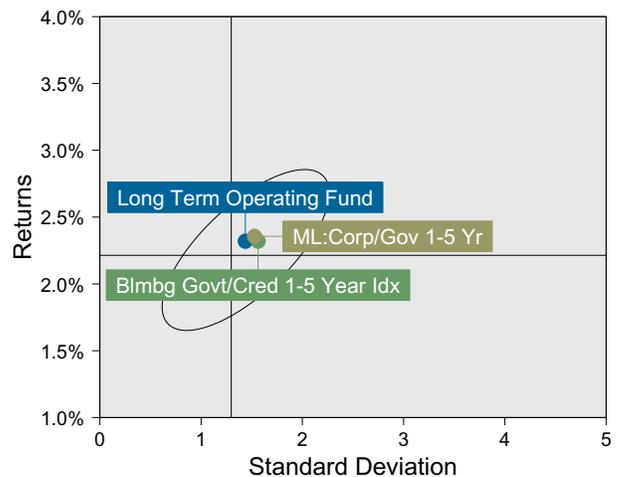


10th Percentile	1.15	5.11	4.01	3.26	2.94	2.79	2.81	4.39	
25th Percentile	0.75	4.69	3.69	3.06	2.73	2.58	2.58	4.11	
Median	0.50	3.98	3.32	2.65	2.37	2.21	2.10	3.87	
75th Percentile	0.30	3.54	3.18	2.42	2.15	1.99	1.84	3.60	
90th Percentile	0.18	2.42	2.65	2.13	1.90	1.73	1.40	3.04	
Long Term Operating Fund	● A	0.21	4.42	3.56	2.68	2.38	2.32	2.20	4.23
Bloomberg Govt/Cred 1-5 Year Idx	■ B	0.33	4.71	3.69	2.77	2.47	2.32	2.19	4.09
ML:Corp/Gov 1-5 Yr	▲	0.37	4.65	3.69	2.79	2.50	2.36	2.24	4.11

Relative Return vs ML:Corp/Gov 1-5 Yr



Callan Short Term Fixed Income (Gross) Annualized Seven Year Risk vs Return

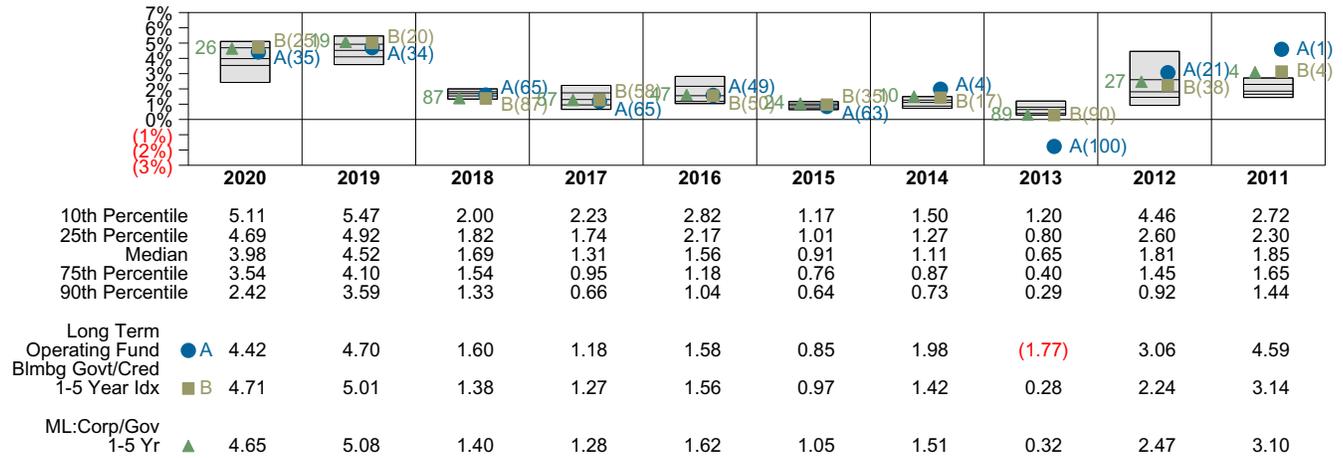


Long Term Operating Fund Return Analysis Summary

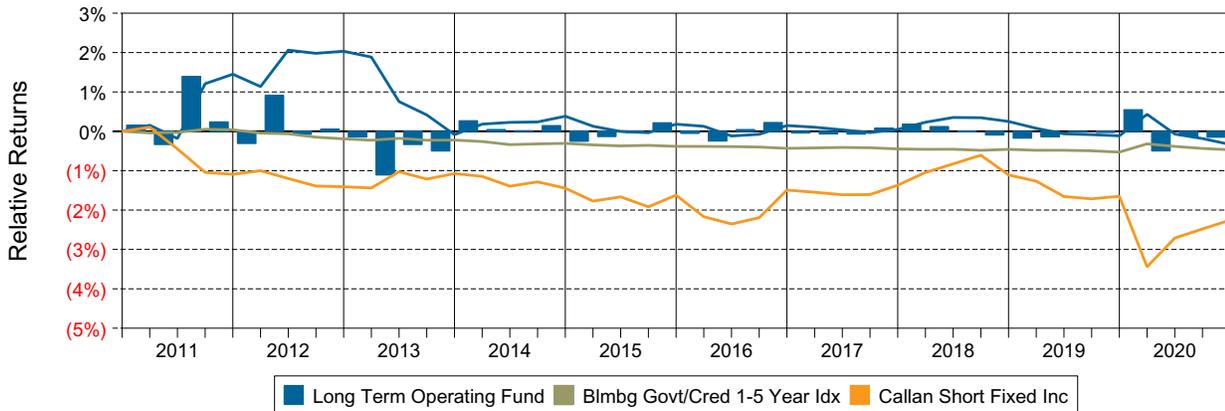
Return Analysis

The graphs below analyze the manager's return on both a risk-adjusted and unadjusted basis. The first chart illustrates the manager's ranking over different periods versus the appropriate style group. The second chart shows the historical quarterly and cumulative manager returns versus the appropriate market benchmark. The last chart illustrates the manager's ranking relative to their style using various risk-adjusted return measures. Assets were transferred in kind to Chandler on 12/1/2014. Previous performance reflects PIMCO.

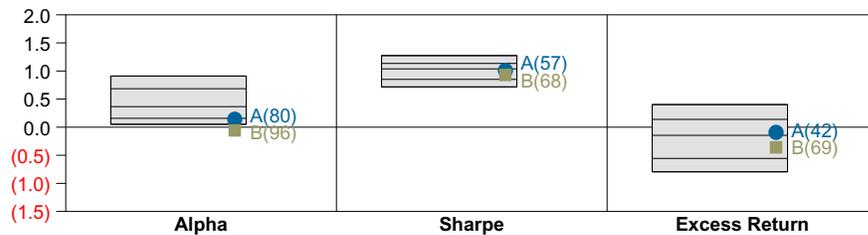
Performance vs Callan Short Term Fixed Income (Gross)



Cumulative and Quarterly Relative Return vs ML:Corp/Gov 1-5 Yr



Risk Adjusted Return Measures vs ML:Corp/Gov 1-5 Yr Rankings Against Callan Short Term Fixed Income (Gross) Seven Years Ended December 31, 2020



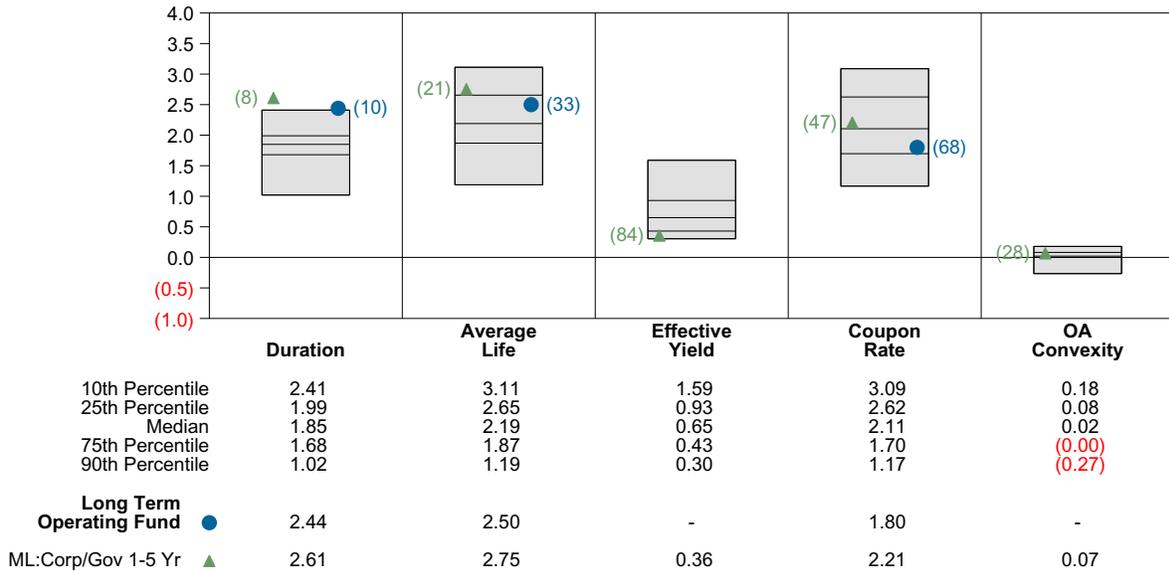
	Alpha	Sharpe Ratio	Excess Return Ratio
10th Percentile	0.91	1.27	0.40
25th Percentile	0.68	1.14	0.14
Median	0.37	1.04	(0.15)
75th Percentile	0.16	0.85	(0.56)
90th Percentile	0.05	0.72	(0.79)
Long Term Operating Fund	● A 0.14	1.01	(0.09)
Blmbg Govt/Cred 1-5 Year Idx	■ B (0.06)	0.93	(0.36)

Long Term Operating Fund Bond Characteristics Analysis Summary

Portfolio Characteristics

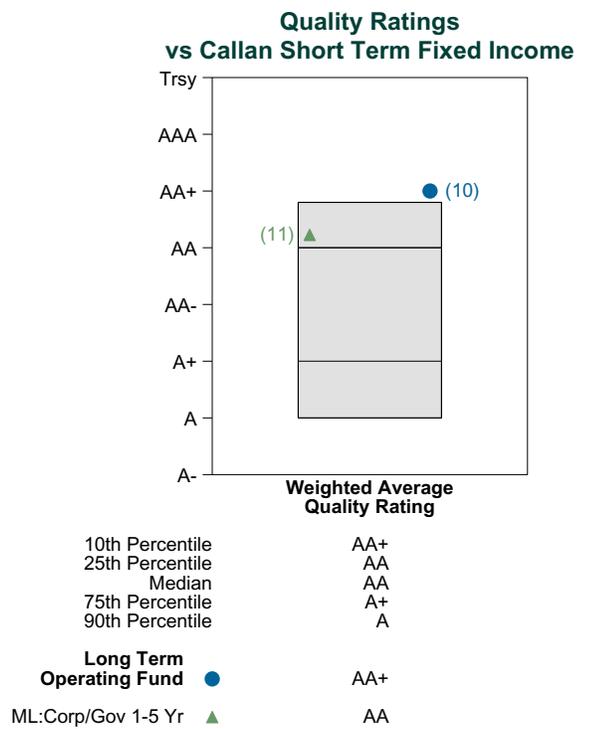
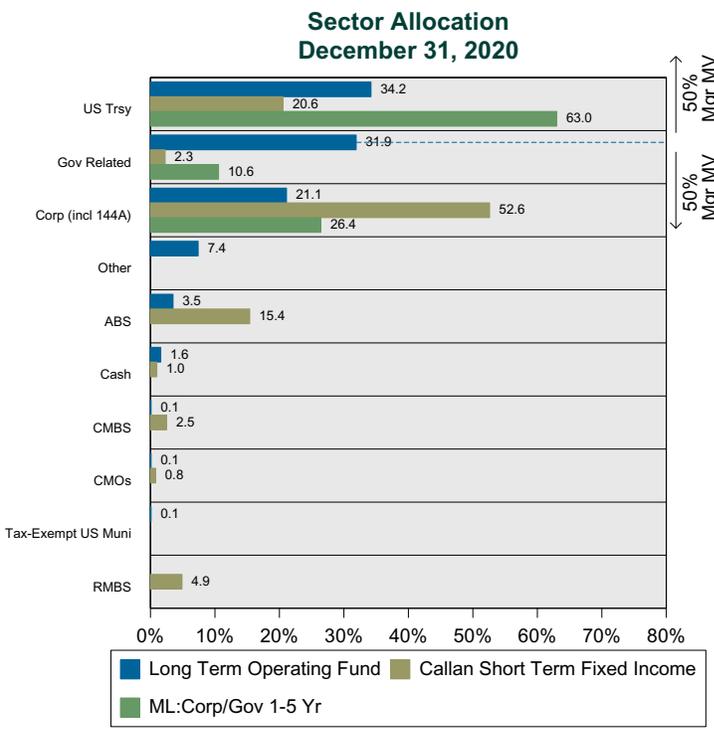
This graph compares the manager's portfolio characteristics with the range of characteristics for the portfolios which make up the manager's style group. This analysis illustrates whether the manager's current holdings are consistent with other managers employing the same style.

Fixed Income Portfolio Characteristics Rankings Against Callan Short Term Fixed Income as of December 31, 2020



Sector Allocation and Quality Ratings

The first graph compares the manager's sector allocation with the average allocation across all the members of the manager's style. The second graph compares the manager's weighted average quality rating with the range of quality ratings for the style.

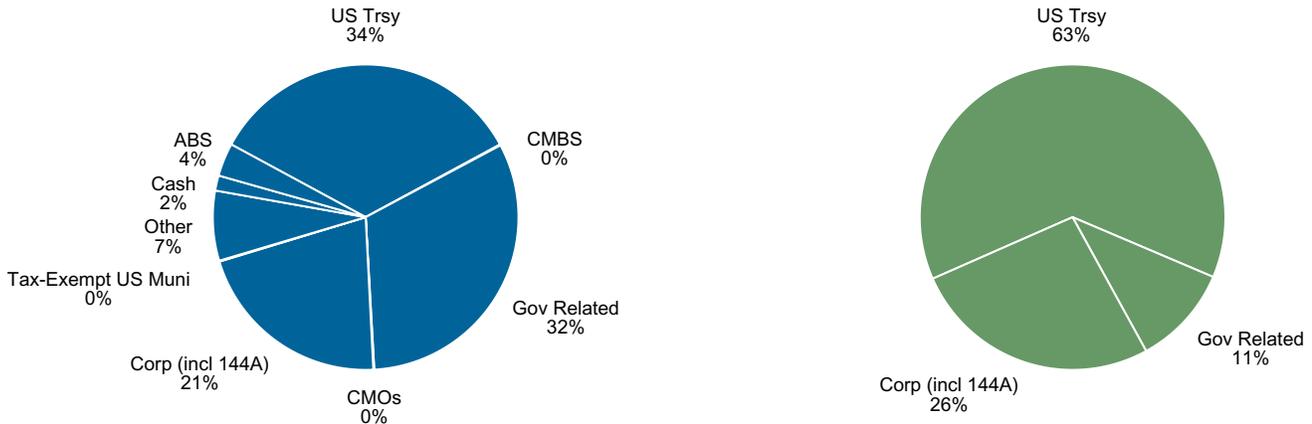


Long Term Operating Fund Portfolio Characteristics Summary As of December 31, 2020

Portfolio Structure Comparison

The charts below compare the structure of the portfolio to that of the index from the three perspectives that have the greatest influence on return. The first chart compares the two portfolios across sectors. The second chart compares the duration distribution. The last chart compares the distribution across quality ratings.

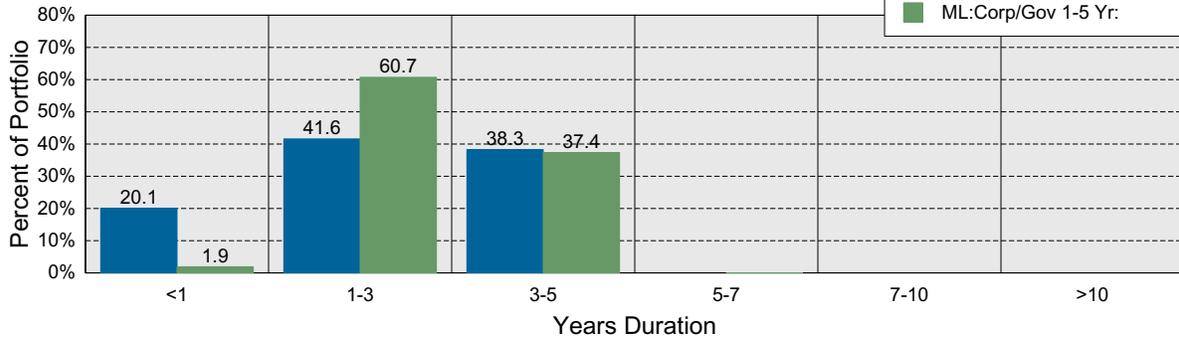
Sector Allocation



Long Term Operating Fund

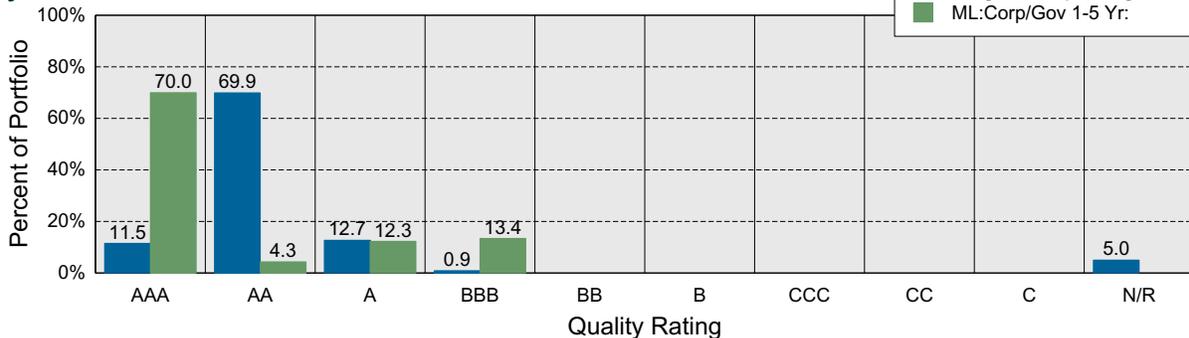
ML:Corp/Gov 1-5 Yr

Duration Distribution



Weighted Average:	Duration
Long Term Operating Fund:	2.44
ML:Corp/Gov 1-5 Yr:	2.61

Quality Distribution



Weighted Average:	Quality
Long Term Operating Fund:	AA+
ML:Corp/Gov 1-5 Yr:	AA

Chandler-Liquid Operating Money Period Ended December 31, 2020

Investment Philosophy

Assets were transferred in kind to Chandler on 12/1/2014. Previous performance reflects PIMCO.

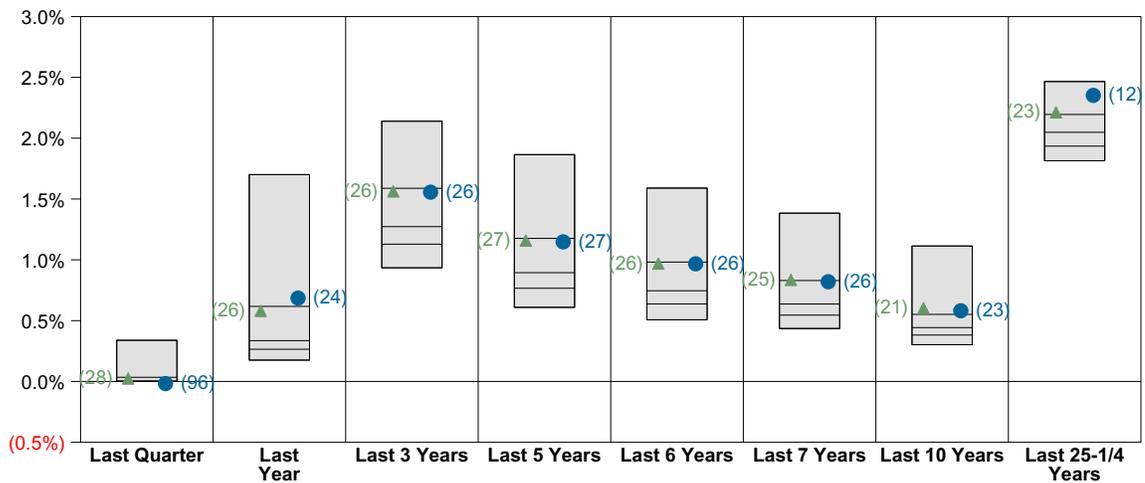
Quarterly Summary and Highlights

- Liquid Operating Money Net's portfolio posted a (0.02)% return for the quarter placing it in the 96 percentile of the Callan Money Market Funds group for the quarter and in the 24 percentile for the last year.
- Liquid Operating Money Net's portfolio underperformed the Citigroup 3-Month Treasury Bill by 0.04% for the quarter and outperformed the Citigroup 3-Month Treasury Bill for the year by 0.10%.

Quarterly Asset Growth

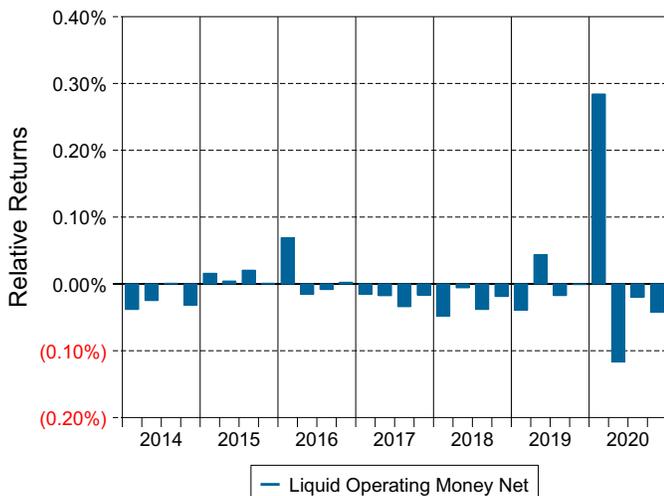
Beginning Market Value	\$128,685,054
Net New Investment	\$97,000,000
Investment Gains/(Losses)	\$26,228
Ending Market Value	\$225,711,282

Performance vs Callan Money Market Funds (Net)

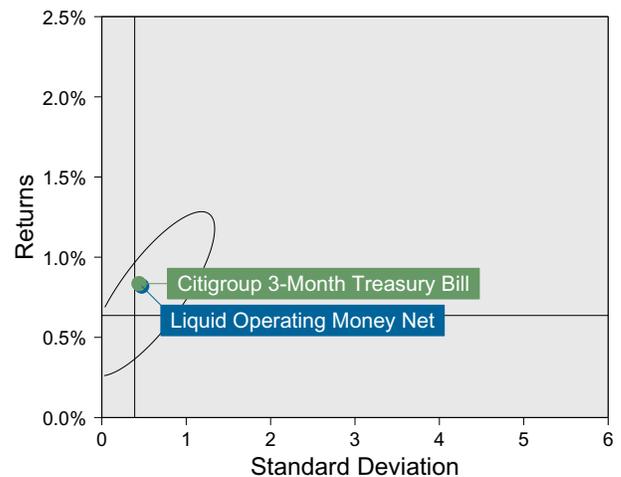


	Last Quarter	Last Year	Last 3 Years	Last 5 Years	Last 6 Years	Last 7 Years	Last 10 Years	Last 25-1/4 Years
10th Percentile	0.34	1.70	2.14	1.86	1.59	1.38	1.11	2.47
25th Percentile	0.03	0.62	1.59	1.18	0.98	0.83	0.55	2.19
Median	0.00	0.34	1.27	0.89	0.75	0.64	0.44	2.05
75th Percentile	0.00	0.26	1.13	0.77	0.64	0.55	0.38	1.93
90th Percentile	0.00	0.18	0.93	0.61	0.51	0.44	0.30	1.81
Liquid Operating Money Net ●	(0.02)	0.69	1.56	1.15	0.97	0.82	0.58	2.35
Citigroup 3-Month Treasury Bill ▲	0.02	0.58	1.56	1.16	0.97	0.84	0.60	2.21

Relative Returns vs Citigroup 3-Month Treasury Bill



Callan Money Market Funds (Net) Annualized Seven Year Risk vs Return



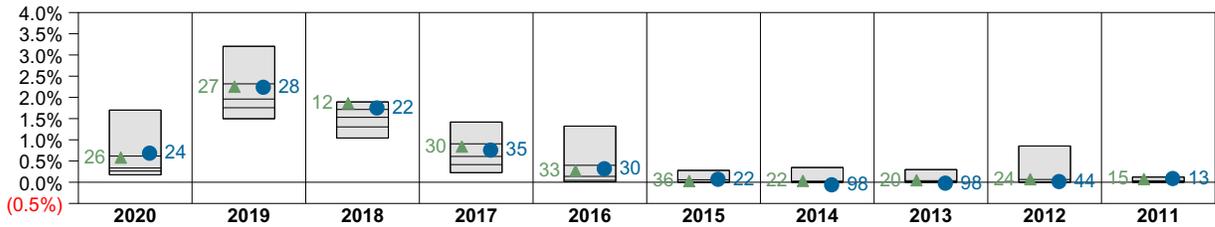
Liquid Operating Money Net Return Analysis Summary

Return Analysis

The graphs below analyze the manager's return on both a risk-adjusted and unadjusted basis. The first chart illustrates the manager's ranking over different periods versus the appropriate style group. The second chart shows the historical quarterly and cumulative manager returns versus the appropriate market benchmark. The last chart illustrates the manager's ranking relative to their style using various risk-adjusted return measures.

Assets were transferred in kind to Chandler on 12/1/2014. Previous performance reflects PIMCO.

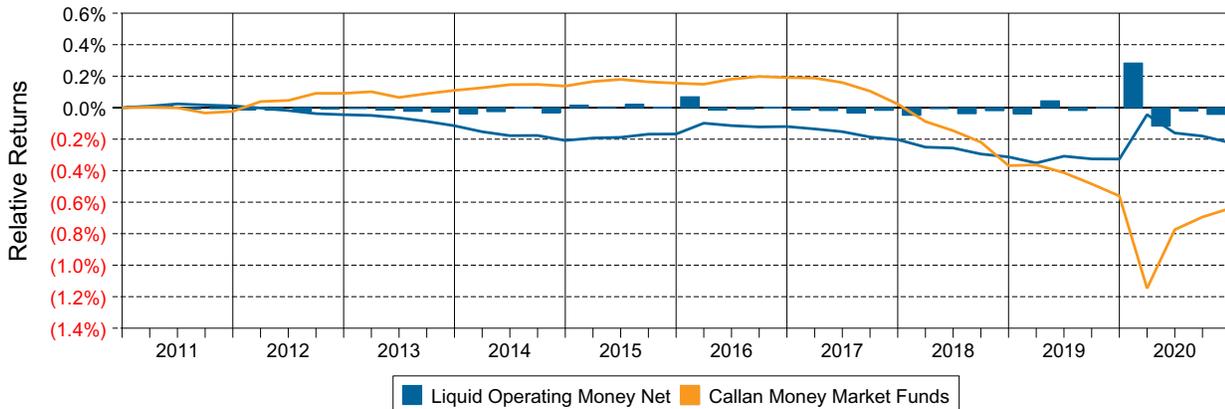
Performance vs Callan Money Market Funds (Net)



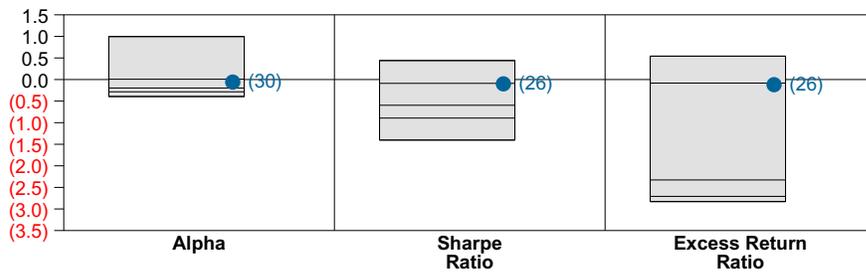
10th Percentile	1.70	3.20	1.89	1.42	1.32	0.28	0.35	0.30	0.85	0.12
25th Percentile	0.62	2.32	1.72	0.91	0.40	0.06	0.03	0.04	0.06	0.04
Median	0.34	1.96	1.53	0.61	0.14	0.01	0.01	0.01	0.01	0.01
75th Percentile	0.26	1.76	1.30	0.42	0.04	0.01	0.01	0.01	0.01	0.01
90th Percentile	0.18	1.50	1.04	0.23	0.01	0.00	0.00	0.00	0.00	0.00

Liquid Operating Money Net	●	0.69	2.24	1.75	0.76	0.32	0.07	(0.06)	(0.02)	0.02	0.09
Citigroup 3-Month Treasury Bill	▲	0.58	2.25	1.86	0.84	0.27	0.03	0.03	0.05	0.07	0.08

Cumulative and Quarterly Relative Return vs Citigroup 3-Month Treasury Bill



Risk Adjusted Return Measures vs Citigroup 3-Month Treasury Bill Rankings Against Callan Money Market Funds (Net) Seven Years Ended December 31, 2020



10th Percentile	1.00	0.44	0.54	
25th Percentile	0.01	(0.09)	(0.08)	
Median	(0.20)	(0.60)	(2.33)	
75th Percentile	(0.28)	(0.89)	(2.71)	
90th Percentile	(0.39)	(1.40)	(2.83)	
Liquid Operating Money Net	●	(0.06)	(0.10)	(0.12)

Callan Research/Education

Research and Educational Programs

The Callan Institute provides research to update clients on the latest industry trends and carefully structured educational programs to enhance the knowledge of industry professionals. Visit www.callan.com/research-library to see all of our publications, and www.callan.com/blog to view our blog. For more information contact Barb Gerraty at 415-274-3093 / institute@callan.com.

New Research from Callan's Experts

[Under the Hood of Alternative Beta: Hedge Fund Monitor, 3rd Quarter 2020](#) | In this quarter's *Hedge Fund Monitor*, Jim McKee explains and analyzes the newly introduced set of alternative risk premia (ARP) indices from Bloomberg and Goldman Sachs Asset Management. This index suite can help institutional investors evaluate the performance of their strategies that use ARP solutions.

[A Primer on Green Building Certifications](#) | This essay by real assets consultant Aaron Quach examines "green building certifications," which seek to establish standards for sustainability and are used to assess the performance of a building or other commercial real estate project. Real estate investment managers can reduce their carbon footprint by acquiring buildings that are green-certified, obtaining certifications for existing properties, or developing new properties that will be green-certified.

[Research Cafe: Private Equity](#) | In this coffee break webinar session, private equity experts Pete Keliuotis and Ashley DeLuce used the results of our exclusive *Private Equity Fees and Terms Study* to provide actionable insights for institutional investors to help them negotiate with private equity managers.

Blog Highlights

[Will Boring Still Be Beautiful?](#) | A simple, "boring" glidepath beat a diversified one over the last 10 years. Will that continue?

[The Kids Are Alright](#) | Private equity is doing quite well given the disruptions caused by the COVID-19 pandemic.

[DOL Issues Final Rule on Selecting Plan Investments](#) | The Department of Labor (DOL) issued its final rule providing guidance to plan sponsors on the financial factors to consider when evaluating plan investments, a follow-up to its proposed

environmental, social, and governance (ESG) rule released four months ago. In the final rule, the DOL modified the ESG rule, most notably removing references to ESG and instead focusing on pecuniary versus non-pecuniary factors.

[The Private Equity Playbook: Playing Offense](#) | Investors should maintain strong oversight of the in-place private equity program, particularly after periods of disruption.

[Macroeconomic Alphabet Soup: V, W, L, U, or K?](#) | While certain sectors of the economy have rebounded more quickly than expected, the trajectory of the recovery is still unclear.

Quarterly Periodicals

[Private Equity Trends, 3Q20](#) | A high-level summary of private equity activity in the quarter through all the investment stages

[Active vs. Passive Charts, 3Q20](#) | A comparison of active managers alongside relevant benchmarks over the long term

[Market Pulse Flipbook, 3Q20](#) | A quarterly market reference guide covering trends in the U.S. economy, developments for institutional investors, and the latest data on the capital markets

[Capital Markets Review, 3Q20](#) | Analysis and a broad overview of the economy and public and private market activity each quarter across a wide range of asset classes

[Hedge Fund Quarterly, 3Q20](#) | Commentary on developments for hedge funds and multi-asset class (MAC) strategies

[Real Assets Reporter, 3Q20](#) | In this quarter's edition, Munir Iman provides analysis of the performance of real estate and other real assets in 3Q20.

Events

Miss out on a Callan conference or workshop? Event summaries and speakers' presentations are available on our website: callan.com/research-library

Please mark your calendar and look forward to upcoming invitations:

March Workshop—Virtual

A Fresh Look at Fixed Income—Generating Yield in a Zero Interest Rate Environment

March 25, 2021, at 9:00 am

2021 National Conference

Summer 2021

For more information about events, please contact Barb Gerraty: 415-274-3093 / gerraty@callan.com

Education: By the Numbers

50+

Unique pieces of research the Institute generates each year

525

Attendees (on average) of the Institute's annual National Conference

3,700

Total attendees of the "Callan College" since 1994

Education

Founded in 1994, the "Callan College" offers educational sessions for industry professionals involved in the investment decision-making process.

Introduction to Investments—Virtual

April 13-15, 2021

This program familiarizes institutional investor trustees and staff and asset management advisers with basic investment theory, terminology, and practices. It is held over three days with virtual modules of 2.5-3 hours. This course is designed for individuals with less than two years of experience with asset-management oversight and/or support responsibilities. Tuition is \$950 per person and includes instruction and digital materials.

Additional information including registration can be found at: callan.com/events/april-intro-college-virtual/

Introduction to Investments—In Person

July 14-15, 2021, in San Francisco

This program familiarizes institutional investor trustees and staff and asset management advisers with basic investment theory, terminology, and practices. It lasts one-and-a-half days and is designed for individuals with less than two years of experience with asset-management oversight and/or support responsibilities. Tuition is \$2,350 per person and includes instruction, all materials, breakfast and lunch on each day, and dinner on the first evening with the instructors.

Additional information including dates and registration can be found at: callan.com/events/july-intro-college/



"Research is the foundation of all we do at Callan, and sharing our best thinking with the investment community is our way of helping to foster dialogue to raise the bar across the industry."

Greg Allen, CEO and Chief Research Officer

Definitions

Risk/Reward Statistics

The risk statistics used in this report examine performance characteristics of a manager or a portfolio relative to a benchmark (market indicator) which assumes to represent overall movements in the asset class being considered. The main unit of analysis is the excess return, which is the portfolio return minus the return on a risk free asset (3 month T-Bill).

Alpha measures a portfolio's return in excess of the market return adjusted for risk. It is a measure of the manager's contribution to performance with reference to security selection. A positive alpha indicates that a portfolio was positively rewarded for the residual risk which was taken for that level of market exposure.

Beta measures the sensitivity of rates of portfolio returns to movements in the market index. A portfolio's beta measures the expected change in return per 1% change in the return on the market. If a beta of a portfolio is 1.5, a 1 percent increase in the return on the market will result, on average, in a 1.5 percent increase in the return on the portfolio. The converse would also be true.

Downside Risk stems from the desire to differentiate between "good risk" (upside volatility) and "bad risk" (downside volatility). Whereas standard deviation punishes both upside and downside volatility, downside risk measures only the standard deviation of returns below the target. Returns above the target are assigned a deviation of zero. Both the frequency and magnitude of underperformance affect the amount of downside risk.

Excess Return Ratio is a measure of risk adjusted relative return. This ratio captures the amount of active management performance (value added relative to an index) per unit of active management risk (tracking error against the index.) It is calculated by dividing the manager's annualized cumulative excess return relative to the index by the standard deviation of the individual quarterly excess returns. The Excess Return Ratio can be interpreted as the manager's active risk/reward tradeoff for diverging from the index when the index is mandated to be the "riskless" market position.

Information Ratio measures the manager's market risk-adjusted excess return per unit of residual risk relative to a benchmark. It is computed by dividing alpha by the residual risk over a given time period. Assuming all other factors being equal, managers with lower residual risk achieve higher values in the information ratio. Managers with higher information ratios will add value relative to the benchmark more reliably and consistently.

R-Squared indicates the extent to which the variability of the portfolio returns are explained by market action. It can also be thought of as measuring the diversification relative to the appropriate benchmark. An r-squared value of .75 indicates that 75% of the fluctuation in a portfolio return is explained by market action. An r-squared of 1.0 indicates that a portfolio's returns are entirely related to the market and it is not influenced by other factors. An r-squared of zero indicates that no relationship exists between the portfolio's return and the market.

Relative Standard Deviation is a simple measure of a manager's risk (volatility) relative to a benchmark. It is calculated by dividing the manager's standard deviation of returns by the benchmark's standard deviation of returns. A relative standard deviation of 1.20, for example, means the manager has exhibited 20% more risk than the benchmark over that time period. A ratio of .80 would imply 20% less risk. This ratio is especially useful when analyzing the risk of investment grade fixed-income products where actual historical durations are not available. By using this relative risk measure over rolling time periods one can illustrate the "implied" historical duration patterns of the portfolio versus the benchmark.

Residual Portfolio Risk is the unsystematic risk of a fund, the portion of the total risk unique to the fund (manager) itself and not related to the overall market. This reflects the "bets" which the manager places in that particular asset market. These bets may reflect emphasis in particular sectors, maturities (for bonds), or other issue specific factors which the manager considers a good investment opportunity. Diversification of the portfolio will reduce or eliminate the residual risk of that portfolio.

Risk/Reward Statistics

Rising Declining Periods refer to the sub-asset class cycles vis-a-vis the broader asset class. This is determined by evaluating the cumulative relative sub-asset class index performance to that of the broader asset class index. For example, to determine the Growth Style cycle, the S&P 500 Growth Index (sub-asset class) performance is compared to that of the S&P 500 Index (broader asset class).

Sharpe Ratio is a commonly used measure of risk-adjusted return. It is calculated by subtracting the "risk-free" return (usually 3 Month Treasury Bill) from the portfolio return and dividing the resulting "excess return" by the portfolio's risk level (standard deviation). The result is a measure of return gained per unit of risk taken.

Sortino Ratio is a downside risk-adjusted measure of value-added. It measures excess return over a benchmark divided by downside risk. The natural appeal is that it identifies value-added per unit of truly bad risk. The danger of interpretation, however, lies in these two areas: (1) the statistical significance of the denominator, and (2) its reliance on the persistence of skewness in return distributions.

Standard Deviation is a statistical measure of portfolio risk. It reflects the average deviation of the observations from their sample mean. Standard deviation is used as an estimate of risk since it measures how wide the range of returns typically is. The wider the typical range of returns, the higher the standard deviation of returns, and the higher the portfolio risk. If returns are normally distributed (ie. has a bell shaped curve distribution) then approximately 2/3 of the returns would occur within plus or minus one standard deviation from the sample mean.

Total Portfolio Risk is a measure of the volatility of the quarterly excess returns of an asset. Total risk is composed of two measures of risk: market (non-diversifiable or systematic) risk and residual (diversifiable or unsystematic) risk. The purpose of portfolio diversification is to reduce the residual risk of the portfolio.

Tracking Error is a statistical measure of a portfolio's risk relative to an index. It reflects the standard deviation of a portfolio's individual quarterly or monthly returns from the index's returns. Typically, the lower the Tracking Error, the more "index-like" the portfolio.

Treynor Ratio represents the portfolio's average excess return over a specified period divided by the beta relative to its benchmark over that same period. This measure reflects the reward over the risk-free rate relative to the systematic risk assumed.

Note: Alpha, Total Risk, and Residual Risk are annualized.

Fixed Income Portfolio Characteristics

All Portfolio Characteristics are derived by first calculating the characteristics for each security, and then calculating the market value weighted average of these values for the portfolio.

Allocation by Sector - Sector allocation is one of the tools which managers often use to add value without impacting the duration of the portfolio. The sector weights exhibit can be used to contrast a portfolio's weights with those of the index to identify any significant sector bets.

Average Coupon - The average coupon is the market value weighted average coupon of all securities in the portfolio. The total portfolio coupon payments per year are divided by the total portfolio par value.

Average Moody's Rating for Total Portfolio - A measure of the credit quality as determined by the individual security ratings. The ratings for each security, from Moody's Investor Service, are compiled into a composite rating for the whole portfolio. Quality symbols range from Aaa+ (highest investment quality - lowest credit risk) to C (lowest investment quality - highest credit risk).

Average Option Adjusted (Effective) Convexity - Convexity is a measure of the portfolio's exposure to interest rate risk. It is a measure of how much the duration of the portfolio will change given a change in interest rates. Generally, securities with negative convexities are considered to be risky in that changes in interest rates will result in disadvantageous changes in duration. When a security's duration changes it indicates that the stream of expected future cash-flows has changed, generally having a significant impact on the value of the security. The option adjusted convexity for each security in the portfolio is calculated using models developed by Lehman Brothers and Salomon Brothers which determine the expected stream of cash-flows for the security based on various interest rate scenarios. Expected cash-flows take into account any put or call options embedded in the security, any expected sinking-fund paydowns or any expected mortgage principal prepayments.

Average Option Adjusted (Effective) Duration - Duration is one measure of the portfolio's exposure to interest rate risk. Generally, the higher a portfolio's duration, the more that its value will change in response to interest rate changes. The option adjusted duration for each security in the portfolio is calculated using models developed by Lehman Brothers and Salomon Brothers which determine the expected stream of cash-flows for the security based on various interest rate scenarios. Expected cash-flows take into account any put or call options embedded in the security, any expected sinking-fund paydowns or any expected mortgage principal prepayments.

Average Price - The average price is equal to the portfolio market value divided by the number of securities in the portfolio. Portfolios with an average price above par will tend to generate more current income than those with an average price below par.

Average Years to Expected Maturity - This is a measure of the market-value-weighted average of the years to expected maturity across all of the securities in the portfolio. Expected years to maturity takes into account any put or call options embedded in the security, any expected sinking-fund paydowns or any expected mortgage principal prepayments.

Average Years to Stated Maturity - The average years to stated maturity is the market value weighted average time to stated maturity for all securities in the portfolio. This measure does not take into account imbedded options, sinking fund paydowns, or prepayments.

Current Yield - The current yield is the current annual income generated by the total portfolio market value. It is equal to the total portfolio coupon payments per year divided by the current total portfolio market value.

Fixed Income Portfolio Characteristics

Duration Dispersion - Duration dispersion is the market-value weighted standard deviation of the portfolio's individual security durations around the total portfolio duration. The higher the dispersion, the more variable the security durations relative to the total portfolio duration ("barbellness"), and the smaller the dispersion, the more concentrated the holdings' durations around the overall portfolio's ("bulletness"). The purpose of this statistic is to gauge the "bulletness" or "barbellness" of a portfolio relative to its total duration and to that of its benchmark index.

Effective Yield - The effective yield is the actual total annualized return that would be realized if all securities in the portfolio were held to their expected maturities. Effective yield is calculated as the internal rate of return, using the current market value and all expected future interest and principal cash flows. This measure incorporates sinking fund paydowns, expected mortgage principal prepayments, and the exercise of any "in-the-money" imbedded put or call options.

Weighted Average Life - The weighted average life of a security is the weighted average time to payment of all remaining principal. It is calculated by multiplying each expected future principal payment amount by the time left to the payment. This amount is then divided by the total amount of principal remaining. Weighted average life is commonly used as a measure of the investment life for pass-through security types for comparison to non-pass-through securities.

Orange County Sanitation District

Period Ending December 31, 2020

CHANDLER ASSET MANAGEMENT, INC. | 800.317.4747 | www.chandlerasset.com



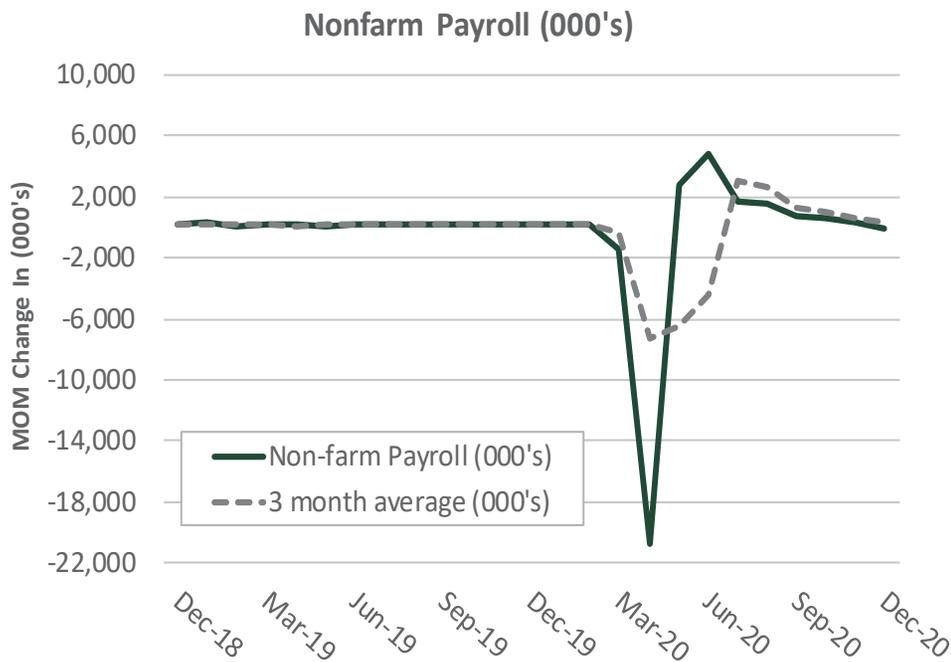
SECTION 1	Economic Update
SECTION 2	Account Profile
SECTION 3	Consolidated Information
SECTION 4	Portfolio Holdings
SECTION 5	Transactions

Section 1 | Economic Update

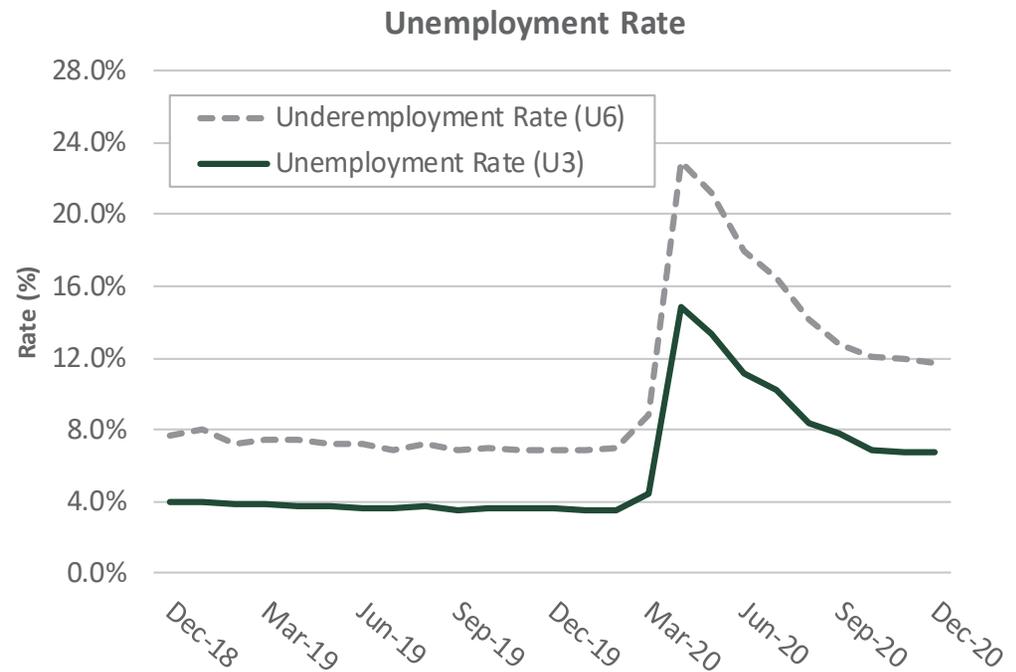
Economic Update

- Recent economic data suggests that the economy has lost momentum as virus cases have risen. We anticipated that economic data would soften during the winter months, and believe the near-term outlook remains challenging as the labor market remains under pressure and many regions have renewed business restrictions due to the virus. However, the passage of a new \$900 billion COVID-19 fiscal relief bill should help cushion the economy over the next few months, and we believe the incoming Presidential administration will have a keen focus on getting the economy back on track. We also remain very optimistic about progress on vaccines. A limited number of vaccine doses have already been distributed, and we expect more widespread distribution in the second and third quarter of 2021. We believe the distribution of vaccines and therapeutics will help fuel the economic recovery later this year. We also expect the Fed's highly accommodative monetary policy framework will continue to provide support for the financial markets.
- The Federal Open Market Committee (FOMC) kept monetary policy unchanged at their December meeting as expected, with the fed funds target rate in a range of 0.0% to 0.25%. The Fed intends to remain highly accommodative until their goals of maximum employment and higher inflation are achieved. The Fed's summary of economic projections continues to signal that the target fed funds rate will remain unchanged until at least 2023, as policymakers do not expect inflation to exceed 2.0% during that timeframe. Until the Fed has made substantial progress toward achieving their dual mandate of maximum employment and price stability, they have set a floor for monthly asset purchases of at least \$80 billion per month of Treasuries and \$40 billion per month of agency mortgage-backed securities. Notably, the Fed's outlook for GDP over the next few years was revised higher and the outlook for unemployment was revised lower compared with their previous forecasts in September, which suggests increased optimism. Nevertheless, the outlook remains uncertain and Fed Chair Powell indicated that the Fed would increase policy accommodation further if progress toward their dual mandate slows.
- In 2020, the yield on 2-year Treasuries was down 145 basis points to 0.12% and the yield on 10-year Treasuries was down about 100 basis points to 0.91%. The yield curve steepened modestly in December and month-to-date the yield curve has continued to steepen, likely due in part to favorable developments on the vaccine front. Month-to-date, the yield on 2-year Treasuries is little changed but the yield on 10-year Treasuries is up about 20 basis points. We believe the Treasury yield curve is poised to steepen modestly further in 2021 as the economy reopens, driven by an increase in longer-term rates as the front end of the curve is likely to remain anchored near 0.0%.

Employment



Source: US Department of Labor

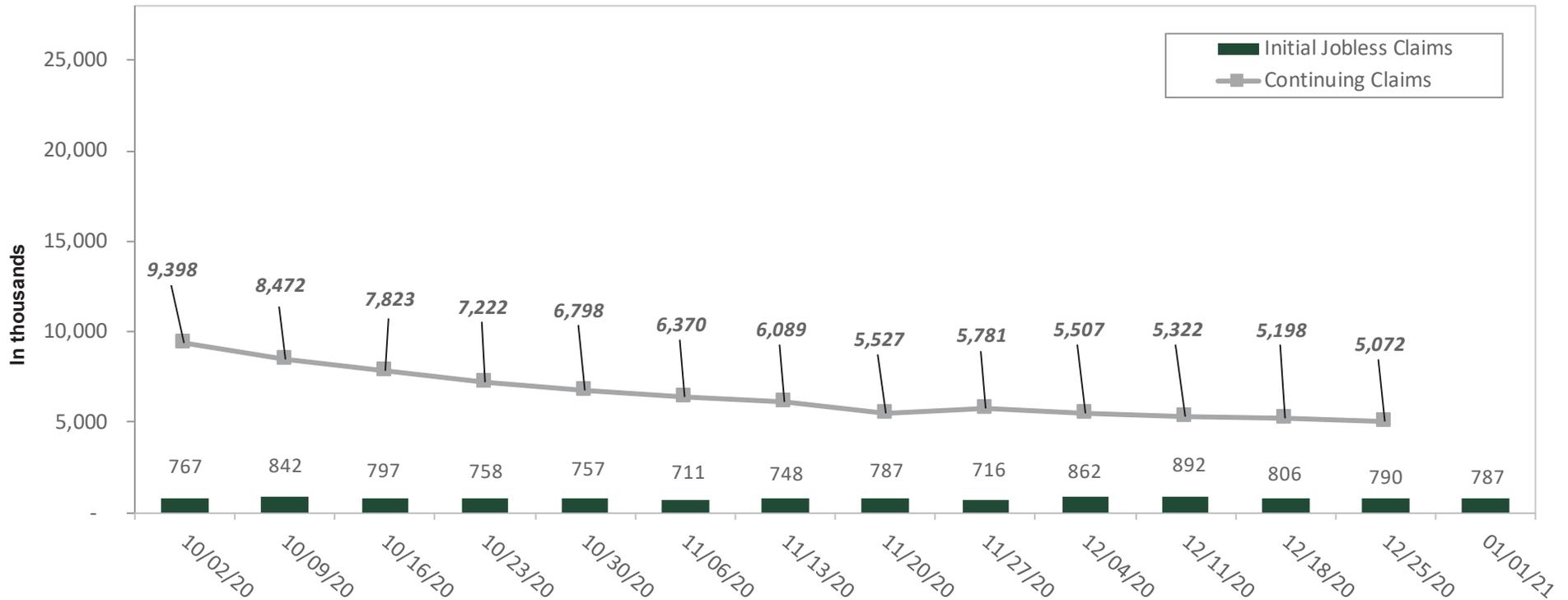


Source: US Department of Labor

U.S. nonfarm payrolls declined by 140,000 in December. It was the first monthly decline in nonfarm payrolls since April of last year and came in well below expectations for a 50,000 gain. The monthly decline was led by the leisure and hospitality sector which experienced a 498,000 net decline in payrolls in December, along with modest declines in government jobs and education and health services. The unemployment rate was unchanged in December at 6.7% and has improved significantly from the peak of 14.8% last April. Nevertheless, more than 10.7 million people remain unemployed. Workers who classified themselves as employed but absent from work in December continued to understate the unemployment rate by about 0.6%. The U-6 underemployment rate, which includes those who are marginally attached to the labor force and employed part time for economic reasons, remained high but declined to 11.7% in December from 12.0% in November. The labor participation rate was unchanged at 61.5% in December and remains well below pre-pandemic levels.

Initial Claims for Unemployment

Initial Claims For Unemployment October 02, 2020 - January 01, 2021

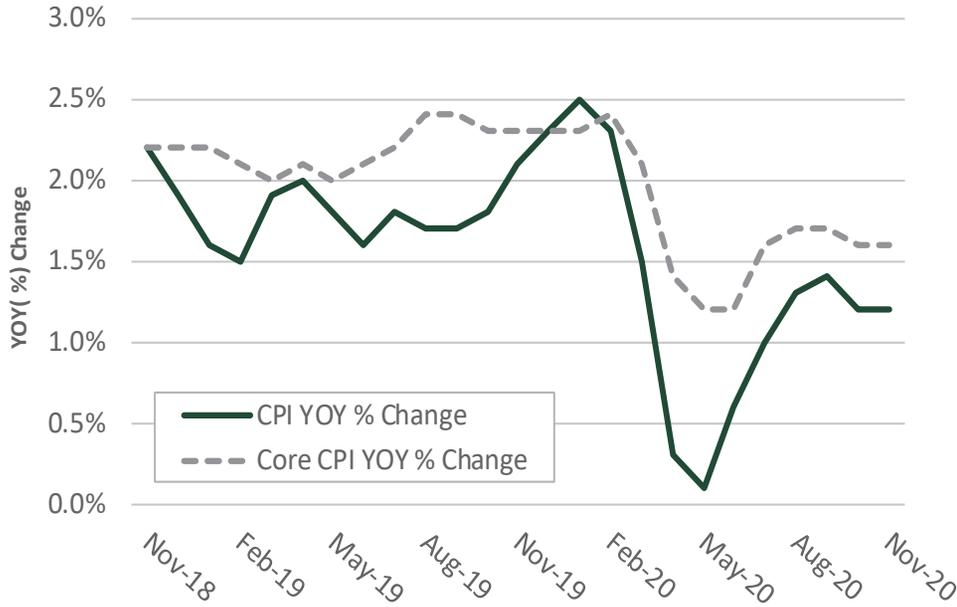


Source: US Department of Labor

In the most recent week, the number of initial jobless claims decreased to 787,000 compared to 790,000 in the prior week. The level of continuing unemployment claims (where the data is lagged by one week) decreased to about 5.1 million from roughly 5.2 million in the prior week. Although jobless claims have declined from the early stage of the pandemic, they have remained well above the 2019 average of 1.7 million. Given the resurgence of the virus and renewed lockdown measures, we believe the labor market is likely to remain under pressure over the near term.

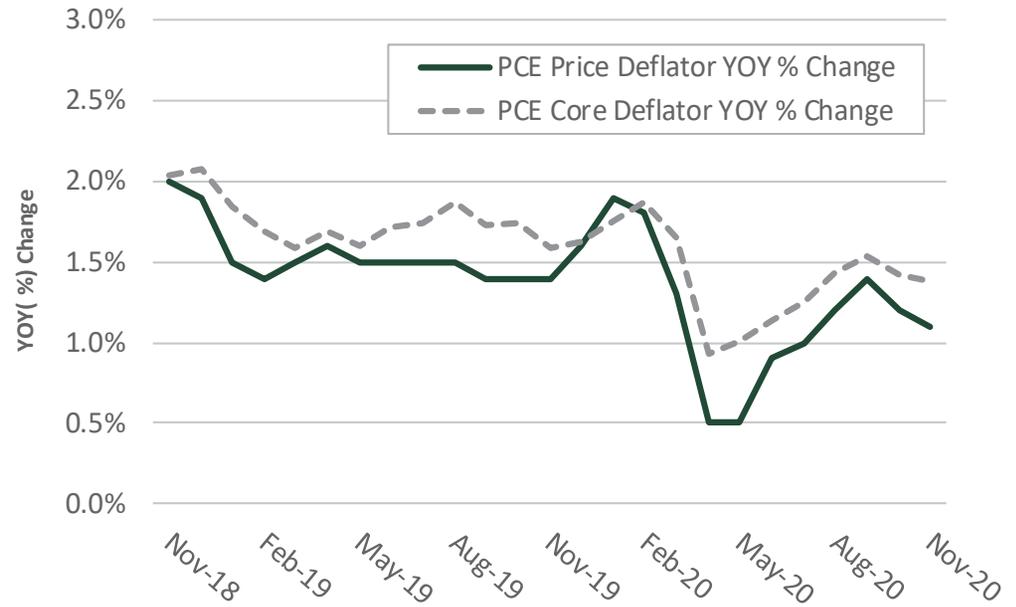
Inflation

Consumer Price Index (CPI)



Source: US Department of Labor

Personal Consumption Expenditures (PCE)

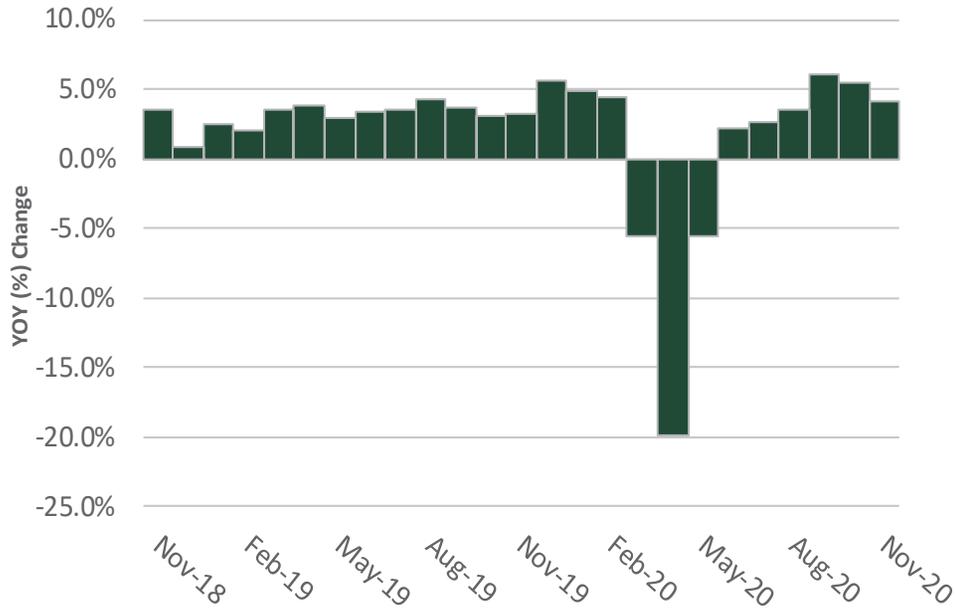


Source: US Department of Commerce

The Consumer Price Index (CPI) was up 1.2% year-over-year in November, unchanged from October. Core CPI (CPI less food and energy) was up 1.6% year-over-year in November, also unchanged from October. The Personal Consumption Expenditures (PCE) index was up 1.1% year-over-year in November, versus up 1.2% year-over-year in October. Core PCE, which is the Fed's primary inflation gauge, was up 1.4% year-over-year in November, unchanged from October. Inflation remains below the Fed's target.

Consumer

Retail Sales YOY % Change



Source: US Department of Commerce

Consumer Confidence



Source: The Conference Board

Consumer spending trends softened in November. On a year-over-year basis, retail sales were up 4.1% in November versus 5.5% in October. On a month-over-month basis, retail sales declined 1.1% in November, with broad-based declines in many categories on a seasonally adjusted basis. Excluding vehicles and gas, retail sales fell 0.8% in November, following a 0.1% decline in October. Notably, retail sales makes up roughly one third of the personal consumption expenditures component of US gross domestic product (GDP), while services revenue comprises roughly two thirds. Spending on services has been hit particularly hard by the pandemic and lagged the pick-up in overall third quarter GDP. While retail sales remain higher on a year-over-year basis, we believe this has been partially boosted by the contraction in spending on services. The Consumer Confidence index declined to 88.6 in December from 92.9 in November. The index is well below pre-pandemic levels at the start of this year.

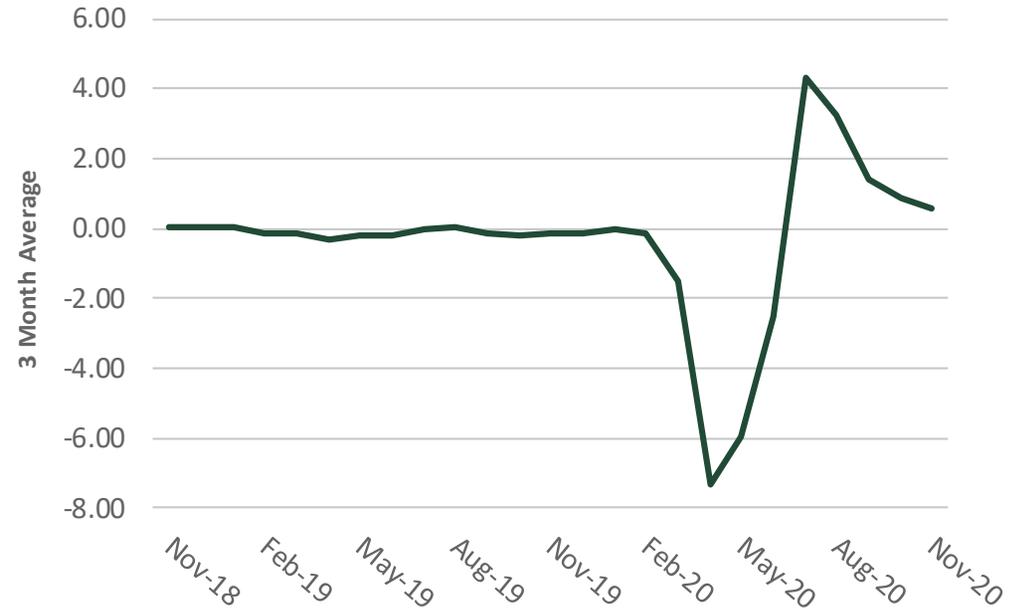
Economic Activity

Leading Economic Indicators (LEI)



Source: The Conference Board

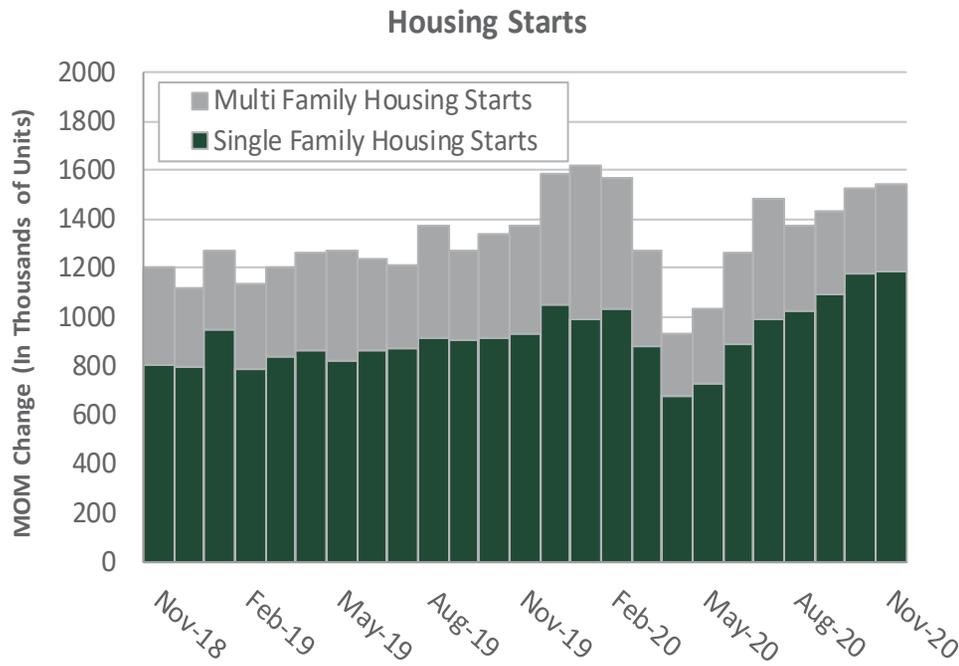
Chicago Fed National Activity Index (CFNAI)



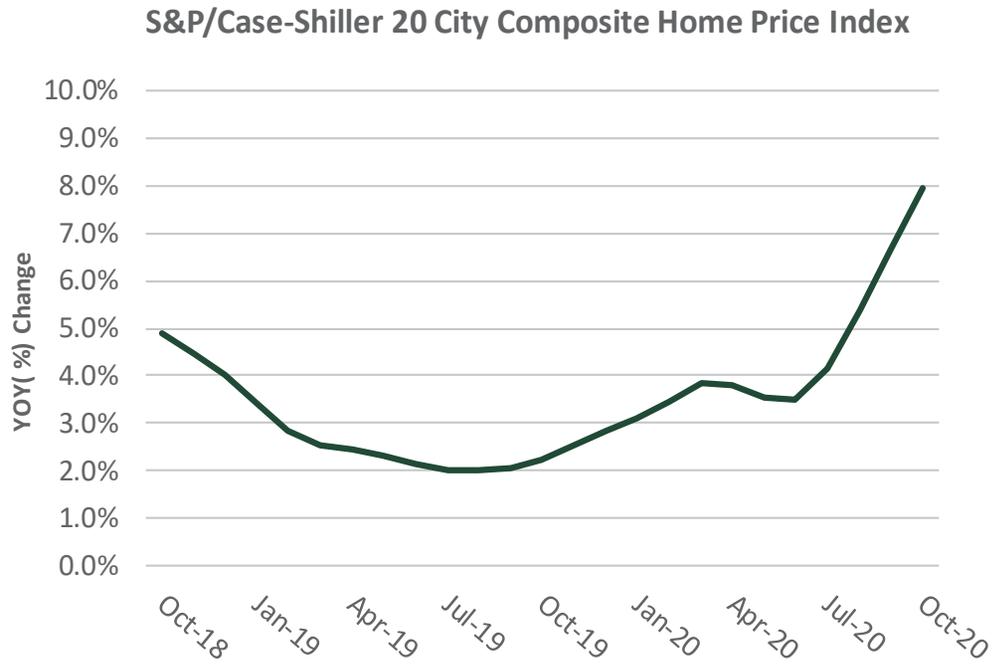
Source: Federal Reserve Bank of Chicago

The Conference Board’s Leading Economic Index (LEI) rose 0.6% in November (following a 0.8% increase in October) but remained down 2.2% year-over-year. According to the Conference Board, a decelerating pace of improvement in the LEI in recent months suggests that economic growth has moderated heading into 2021. Furthermore, the Conference Board warns of potential downside risks to economic growth from a second wave of the virus and high unemployment. The Chicago Fed National Activity Index (CFNAI) declined to 0.27 in November from 1.01 in October. On a 3-month moving average basis, the CFNAI declined to 0.56 in November from 0.85 in October. The index slipped on a one month and 3-month basis, but a positive index reading corresponds to above trend growth.

Housing



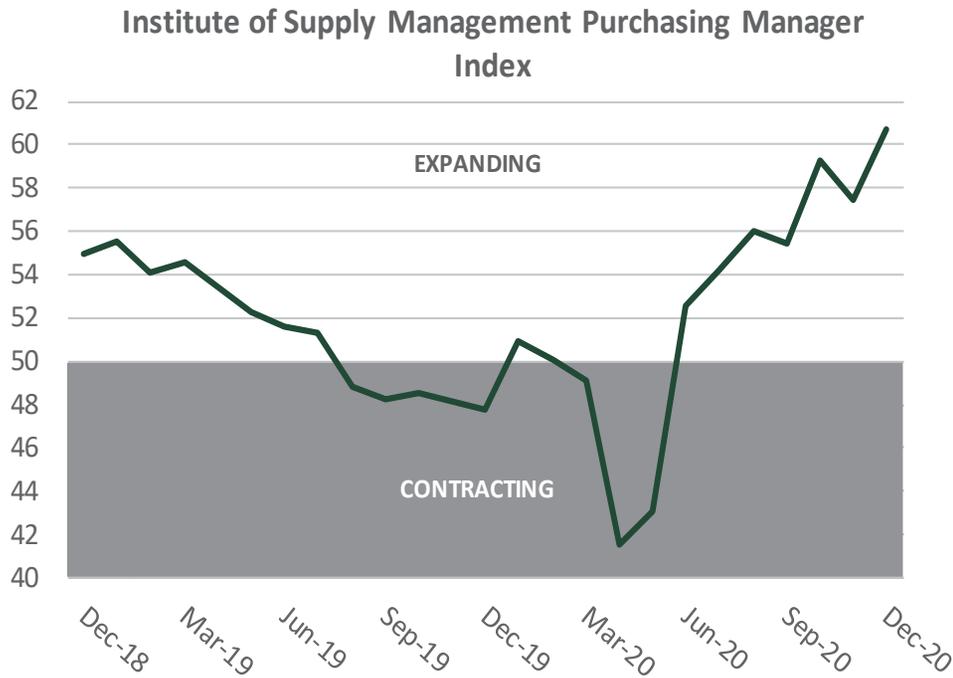
Source: US Department of Commerce



Source: S&P

Total housing starts increased 1.2% in November to an annual pace of 1,547,000. Single family starts inched up 0.4% to a very strong annualized rate of 1,186,000, while multi-family starts increased 4.0% to an annualized rate of 361,000. On a year-over-year basis, total housing starts were up 12.8% in November, driven by growth in single-family starts. Meanwhile, permits were up 6.2% on a month-over-month basis in November, to an annualized rate of 1,639,000 (the strongest rate since 2006). According to the Case-Shiller 20-City home price index, home prices were up 7.9% year-over-year in October versus up 6.6% year-over-year in September. The housing market has been an area of strength during the pandemic. Very low mortgage rates, solid stock market performance, and a meaningful shift toward working from home are providing strong tailwinds for the housing sector.

Manufacturing



Source: Institute for Supply Management



Source: Federal Reserve

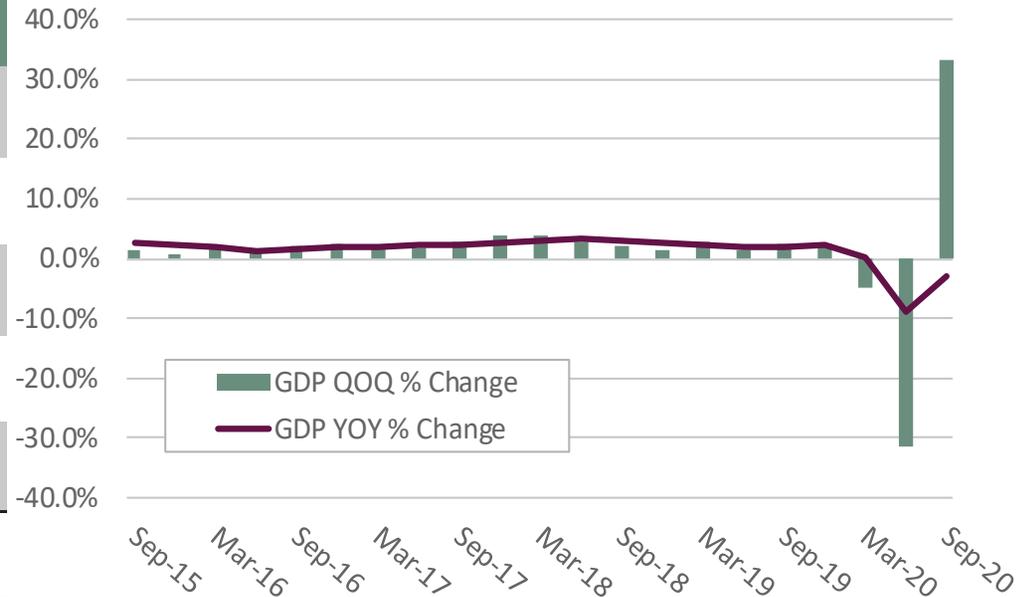
The Institute for Supply Management (ISM) manufacturing index increased to 60.7 in December from 57.5 in November. Readings above 50.0 are indicative of expansion in the manufacturing sector. We believe a weakening US dollar has been supportive of the US manufacturing sector throughout the pandemic. The Industrial Production index was down 5.5% year-over-year in November, versus down 5.0% in October. On a month-over-month basis, the Industrial Production index increased 0.4% in November, following a 0.9% increase in October. Capacity Utilization increased to 73.3% in November from 73.0% in October, but remains well below the long-run average of 79.8%. Overall manufacturing conditions have improved since the deep contraction in activity earlier this year, but industrial production remains lower on a year-over-year basis.

Gross Domestic Product (GDP)

Components of GDP	12/19	3/20	6/20	9/20
Personal Consumption Expenditures	1.1%	-4.8%	-24.0%	25.4%
Gross Private Domestic Investment	-0.6%	-1.6%	-8.8%	12.0%
Net Exports and Imports	1.5%	1.1%	0.6%	-3.2%
Federal Government Expenditures	0.3%	0.1%	1.2%	-0.4%
State and Local (Consumption and Gross Investment)	0.2%	0.1%	-0.4%	-0.4%
Total	2.4%	-5.0%	-31.4%	33.4%

Source: US Department of Commerce

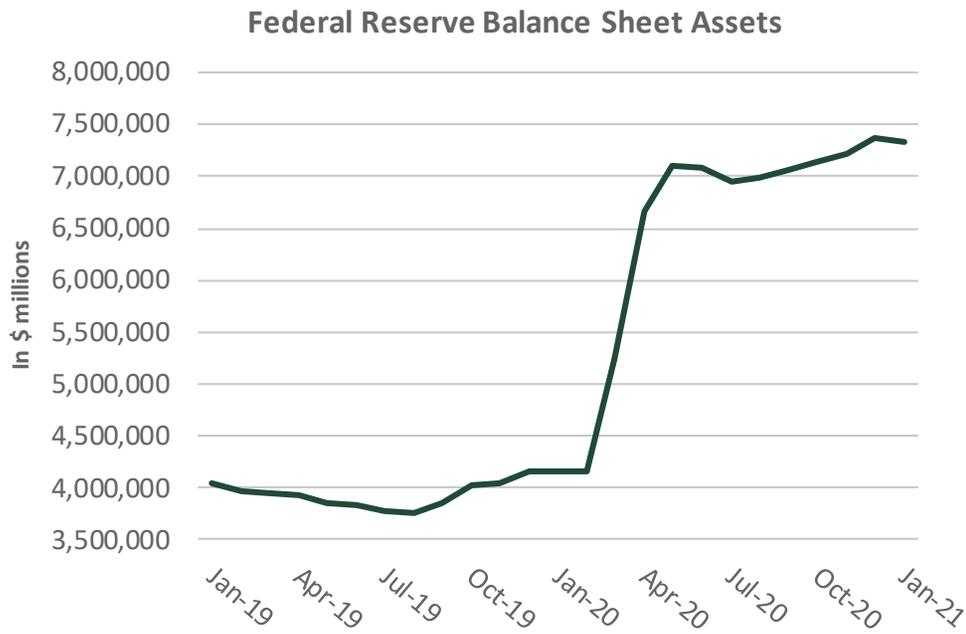
Gross Domestic Product (GDP)



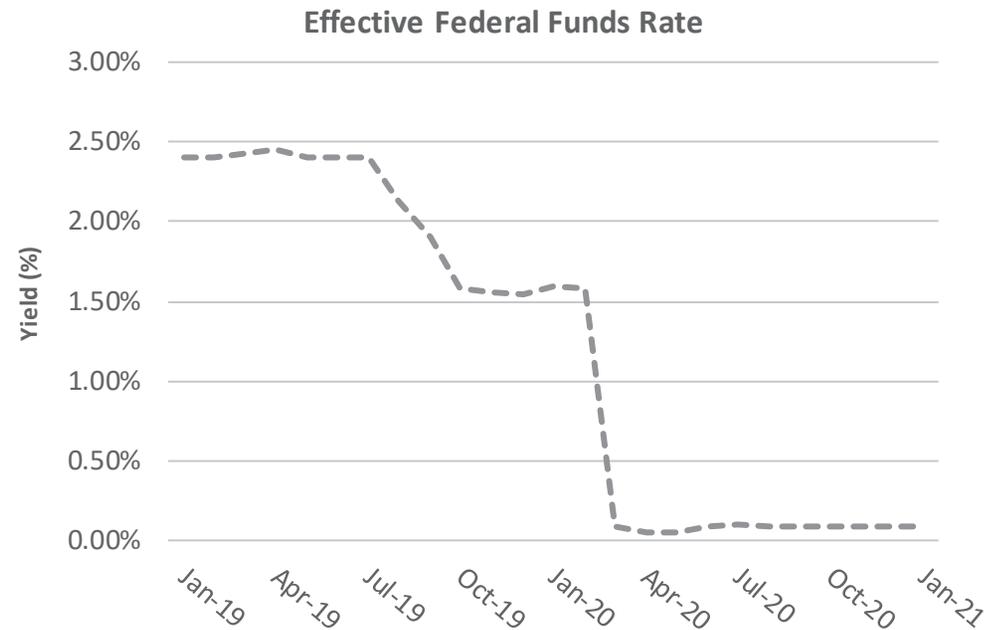
Source: US Department of Commerce

According to the third estimate, real US gross domestic product (GDP) grew at an annualized rate of 33.4% in the third quarter (up slightly from the advance and second estimates), following a 31.4% annualized decline in the second quarter. Third quarter GDP growth was by far the largest annualized gain on record but followed the largest annualized decline in GDP on record in the second quarter. Personal consumption expenditures rebounded in the third quarter and was by far the biggest contributor to third quarter GDP growth. The consensus estimate for fourth quarter 2020 GDP growth is 4.6%. The consensus forecast for US gross domestic product growth in 2021 is 4.0%, following an expected 3.5% decline in 2020.

Federal Reserve



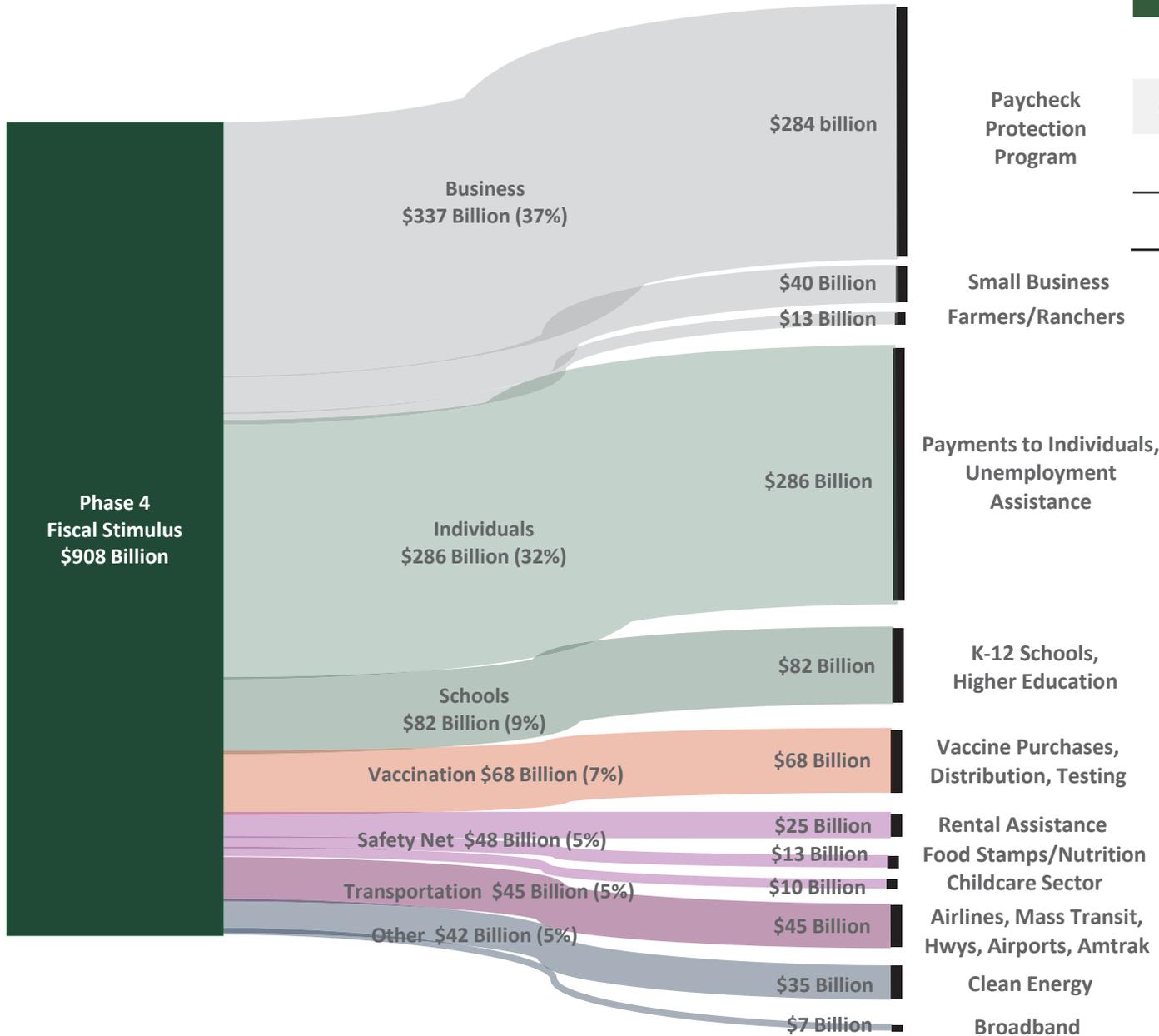
Source: Federal Reserve



Source: Bloomberg

The Fed has taken a wide range of aggressive actions to help stabilize and provide liquidity to the financial markets. The Fed has lowered the fed funds target rate to a range of 0.0%-0.25% and continues to purchase Treasury and agency mortgage-backed securities to support smooth market functioning. Earlier this year, policymakers reinstated the Commercial Paper Funding Facility and Money Market Mutual Fund Liquidity Facility. The Fed also established the Primary Market Corporate Credit Facility, Secondary Market Corporate Credit Facility, Term Asset-Backed Securities Loan Facility, Paycheck Protection Program Liquidity Facility, Main Street Lending Facility, and Municipal Liquidity Facility. The Fed has also provided short-term funding through large-scale repo operations and lowered the reserve requirement for depository institutions. Notably, many of the Fed's lending facilities are set to expire at the end of this year, including the Fed's corporate credit, asset-backed securities, municipal lending, and Main Street Lending programs. The Fed will return the unused funds currently earmarked for those facilities to the Treasury.

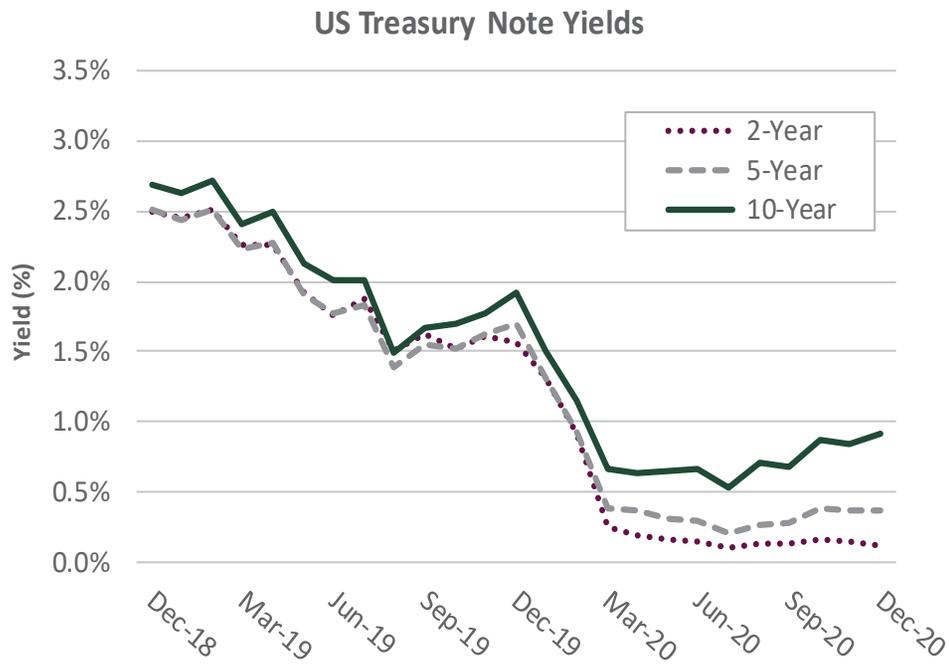
\$3.6 Trillion Stimulus And Counting



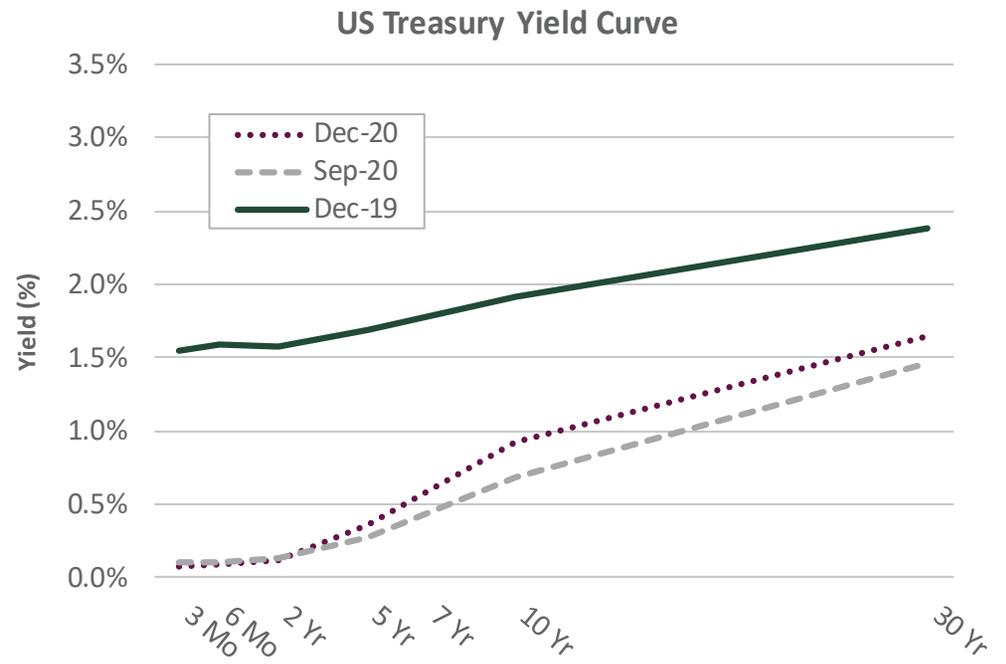
Fiscal Package	Amount
CARES Act	\$2.23 Trillion
Coronavirus Relief Bill	\$484 Billion
Phase 4 Stimulus	\$908 Billion
Total So Far	\$3.6 Trillion

Source: U.S. Congress

Bond Yields



Source: Bloomberg



Source: Bloomberg

Treasury yields were much lower on a year-over-year basis at 2020 year-end. The 3-month T-bill yield was down 149 basis points, the 2-year Treasury yield was down 145 basis points, and the 10-Year Treasury yield was down 100 basis points, year-over-year. Yields declined precipitously in March 2020, with the Fed cutting rates by a total of 150 basis points and a flight to safe-haven assets driving down yields across the curve. The Fed has signaled plans to keep the front end of the Treasury yield curve anchored near zero for at least the next few years.

Section 2 | Account Profile

Investment Objectives

The investment objectives of the Orange County Sanitation District are first, to provide safety of principal to ensure the preservation of capital in the overall portfolio; second, to provide sufficient liquidity to meet all operating requirements; and third, to earn a commensurate rate of return consistent with the constraints imposed by the safety and liquidity objectives.

Chandler Asset Management Performance Objective

Liquid Operating Monies – will be compared to the 3-month T-Bill rate and operate with a maximum maturity of one year. Long-Term Operating Monies – will be compared to the ICE BAML 1-5 Year Corporate Government Rated AAA – A Index.

Strategy

In order to achieve these objectives, the portfolio invests in high quality fixed income securities consistent with the investment policy and California Government Code.

Orange County Sanitation District Long Term

Assets managed by Chandler Asset Management are in full compliance with state law and with the investment policy

Category	Standard	Comment
Treasury Issues	10% minimum; 5 years max maturity	Complies*
U.S. Agencies	20% max per agency of the U.S. Government, which does not provide the full faith and credit of the U.S. government; 5 years max maturity	Complies
Supranational Obligations	"AA" rated or better by a NRSRO; 30% maximum; 5 years max maturity; U.S. dollar denominated senior unsecured unsubordinated obligations issued or unconditionally guaranteed by the International Bank for Reconstruction and Development ("IBRD"), the International Finance Corporation ("IFC") or the Inter-American Development Bank ("IADB")	Complies
Corporate Medium Term Notes	"A" rated or better long term debt by a NRSRO; 30% maximum; 5% max issuer; 5 years max maturity; Issued by corporations organized and operating within the U.S. or issued by depository institutions licensed by the U.S. or any state and operating within the U.S.	Complies
Municipal Securities	"A" rated or higher by a NRSRO; Taxable or tax-exempt municipal bonds issued by any of the 50 states; 10% maximum; 5% max issuer; 5 years max maturity	Complies
Mortgage-Backed Securities/ Collateralized Mortgage Obligations/ Asset-Backed Securities	"AA" rated or better by a NRSRO; 20% maximum (combined MBS/CMO/ABS); 5% max issuer (except U.S. government or its agencies) ; 5 years max maturity	Complies*
Negotiable Certificates of Deposit (NCD)	"A" rated or better long term debt by a NRSRO; or "A-1"/ highest short term rating by a NRSRO; 30% maximum; 5% max issuer; 5 years max maturity	Complies
Certificates of Deposit	5% max issuer; 5 years max maturity; Secured/ collateralized	Complies
Banker's Acceptances	A-1 rated or highest short term rating by a NRSRO; 40% maximum; 5% max issuer; 180 days max maturity	Complies
Commercial Paper	A-1 rated or better by a NRSRO; "A" rated or better long term debt issuer by a NRSRO; Issuer is a corporation organized and operating in the U.S. with assets > \$500 million; 25% maximum; 5% max issuer; 10% max of the outstanding commercial paper of any single issuer; 270 days max maturity	Complies
Mutual Fund & Money Market Mutual Fund	Highest rating or "AAA" rated by two NRSROs; SEC registered adviser with AUM >\$500 million and experience > than 5 years; 20% maximum in Mutual Funds; 10% per one Mutual Fund; 20% max per issuer on Money Market Mutual Funds; 20% max of OCSD's surplus money	Complies
Repurchase Agreements	102% collateralization	Complies
Reverse Repurchase Agreements	5% maximum, 90 days max maturity	Complies
Local Agency Investment Fund (LAIF)	No more than the lesser of 15% of the portfolio or the statutory maximum invested in LAIF; Not used by investment adviser; Investment of OCSD funds in LAIF shall be subject to investigation and due diligence prior to investing	Complies
OCCIP	15% maximum; Not used by investment adviser; Orange County Treasurer's Money Market Commingled Investment Pool; Investment of OCSD funds in OCCIP shall be subject to investigation and due diligence prior to investing	Complies
Prohibited	Mortgage Derivatives, which include interest-only payments (IOs) and principal-only payments (POs); Inverse floaters, and RE-REMICS (Real Estate Mortgage Investment Conduits)	Complies
Avg Duration	Not to exceed 60 months - (80% to 120% of the benchmark)	Complies
Max Per Holding	5% max of the total debt outstanding of any issuer per individual holding	Complies
Max Per Issuer	5% max per issuer (except Supranationals, U.S. Government, Agencies, Mutual Fund)	Complies
Maximum Maturity	5 years maximum maturity	Complies*

*The portfolio has twenty (20) securities with maturities greater than 5 years including four (4) CMOs and sixteen (16) MBS. All securities were inherited from the previous manager and complied at time of purchase.

Orange County Sanitation District Long Term

	12/31/2020		9/30/2020
	Benchmark*	Portfolio	Portfolio
Average Maturity (yrs)	2.68	2.62	2.74
Average Modified Duration	2.59	2.44	2.52
Average Purchase Yield	n/a	1.78%	1.97%
Average Market Yield	0.26%	0.22%	0.26%
Average Quality**	AAA	AA+/Aa1	AA/Aa1
Total Market Value		657,628,543	625,217,609

*ICE BAML 1-5 Yr US Corp/Govt Rated AAA-A Index

**Benchmark is a blended rating of S&P, Moody's, and Fitch. Portfolio is S&P and Moody's respectively.

Multiple securities were purchased across the Treasury, Agency, Supranational, Certificate of Deposit and Corporate sectors of the allocation. The purchased securities ranged in maturity from February 2021 to December 2025. Two securities were sold, several matured, and \$31 million was contributed into the portfolio to facilitate the new holdings.

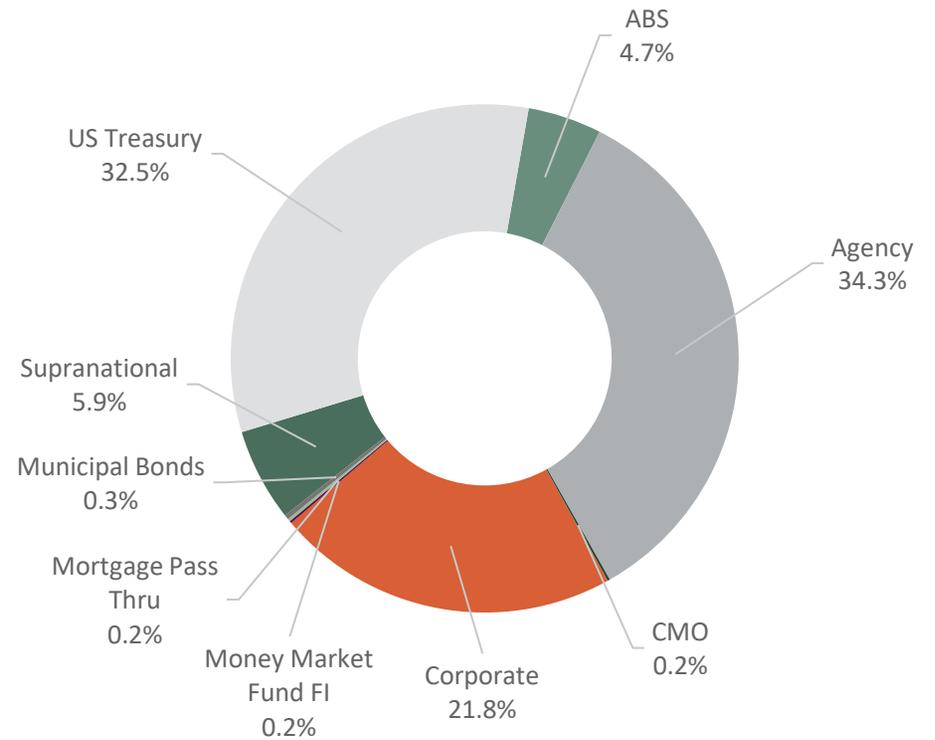
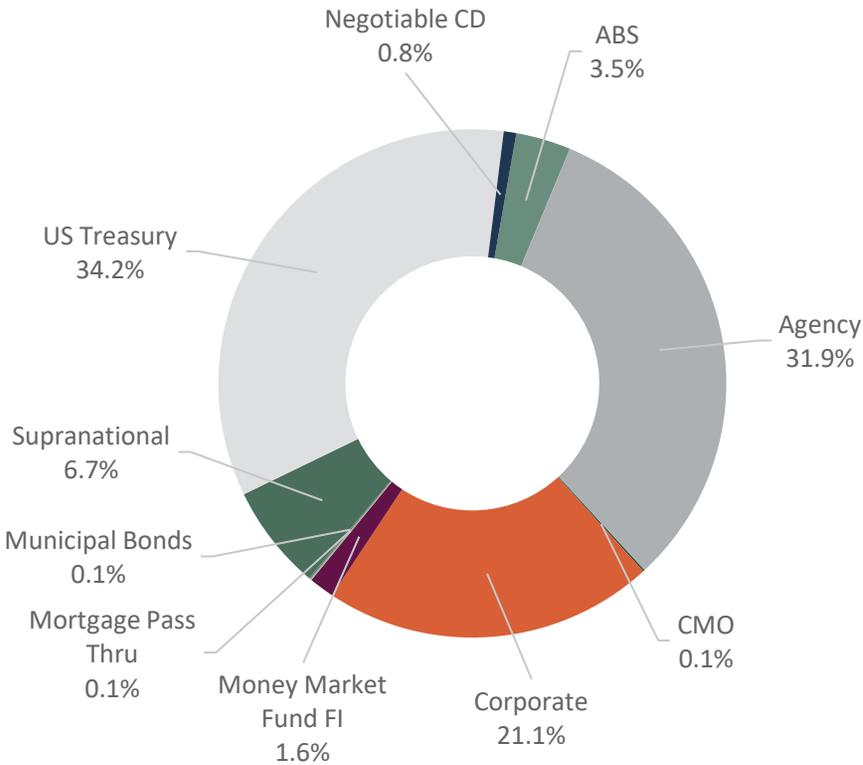
Sector Distribution

As of December 31, 2020

Orange County Sanitation District Long Term

December 31, 2020

September 30, 2020



The sector allocation was relatively stable. The Supranational exposure increased due to the Chandler team participating in a new issue deal in the sector while the ABS allocation contracted due to the pay down of principal and interest during the quarter.

Orange County Sanitation District Long Term – Account #10268

Issue Name	Investment Type	% Portfolio
Government of United States	US Treasury	34.18%
Federal National Mortgage Association	Agency	14.35%
Federal Home Loan Bank	Agency	8.72%
Federal Home Loan Mortgage Corp	Agency	6.68%
Intl Bank Recon and Development	Supranational	3.58%
Inter-American Dev Bank	Supranational	2.26%
Federal Farm Credit Bank	Agency	2.16%
First American Govt Obligation Fund Class-Z	Money Market Fund FI	1.58%
US Bancorp	Corporate	1.50%
Chubb Corporation	Corporate	1.32%
Toronto Dominion Holdings	Corporate	1.32%
Royal Bank of Canada	Corporate	1.30%
JP Morgan Chase & Co	Corporate	1.22%
Apple Inc	Corporate	1.11%
Bank of America Corp	Corporate	1.10%
Charles Schwab Corp/The	Corporate	1.09%
Honda ABS	ABS	1.07%
Berkshire Hathaway	Corporate	1.04%
Nissan ABS	ABS	0.99%
PNC Financial Services Group	Corporate	0.98%
ChevronTexaco Corp	Corporate	0.95%
IBM Corp	Corporate	0.92%
International Finance Corp	Supranational	0.84%
Intel Corp	Corporate	0.82%
Bank of New York	Corporate	0.80%
Honeywell Corp	Corporate	0.79%
Bank of Nova Scotia Houston	Negotiable CD	0.76%
John Deere ABS	ABS	0.68%
Honda Motor Corporation	Corporate	0.67%
Wal-Mart Stores	Corporate	0.63%
General Dynamics Corp	Corporate	0.49%
Wells Fargo Corp	Corporate	0.48%
Microsoft	Corporate	0.47%
Oracle Corp	Corporate	0.46%
Exxon Mobil Corp	Corporate	0.46%
Toyota ABS	ABS	0.45%
Morgan Stanley	Corporate	0.45%
Merck & Company	Corporate	0.32%

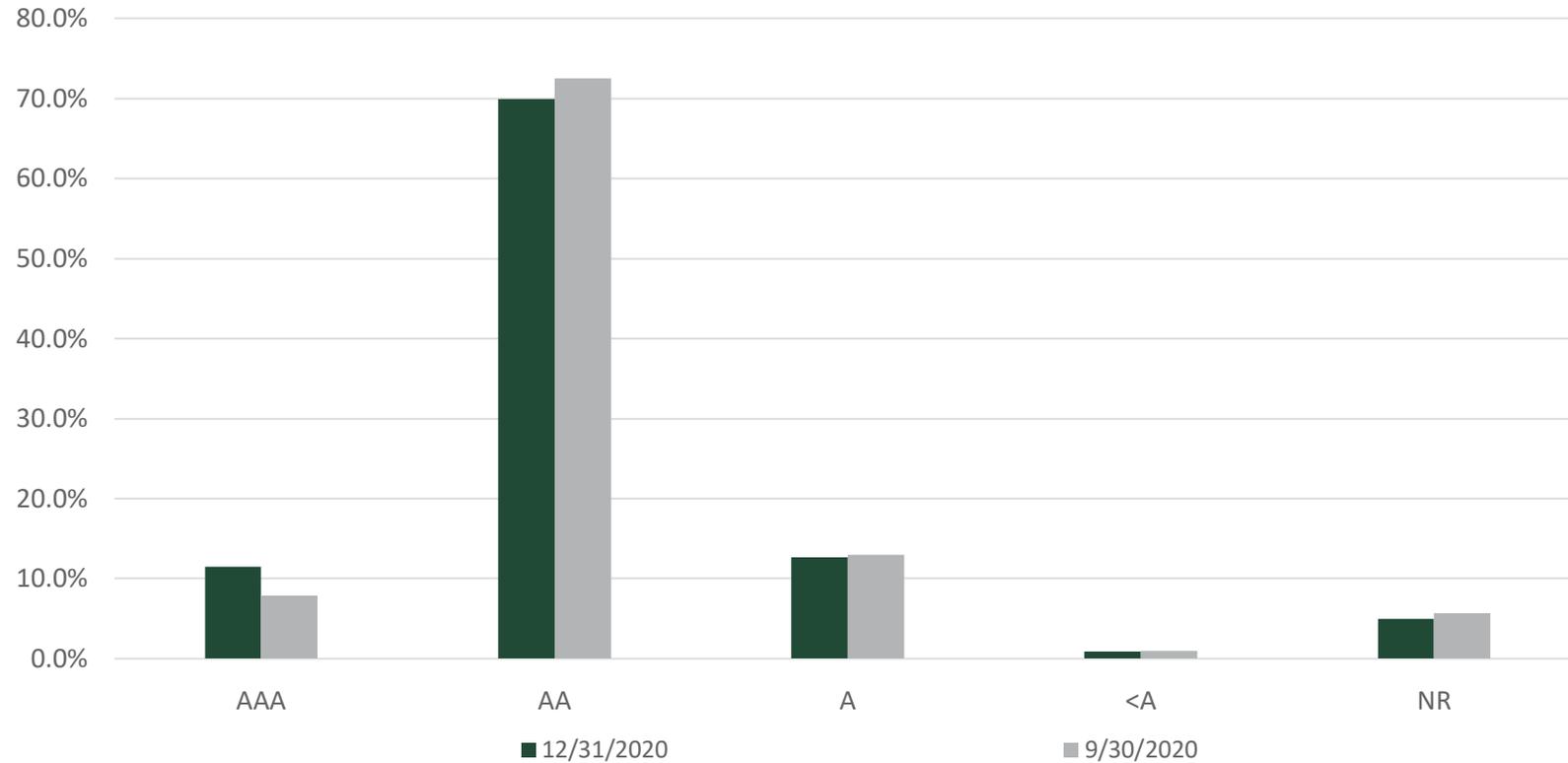
Orange County Sanitation District Long Term – Account #10268

Issue Name	Investment Type	% Portfolio
Mercedes-Benz Auto Lease Trust	ABS	0.32%
Deere & Company	Corporate	0.21%
BlackRock Inc/New York	Corporate	0.17%
Federal Home Loan Mortgage Corp	CMO	0.10%
Federal National Mortgage Association	Mortgage Pass Thru	0.09%
University of California	Municipal Bonds	0.06%
Federal National Mortgage Association	CMO	0.02%
AMRESO Residential Securities Corp	CMO	0.02%
GNMA	Mortgage Pass Thru	0.01%
SLM Corp	ABS	0.00%
Small Business Administration	ABS	0.00%
Federal Home Loan Mortgage Corp	Mortgage Pass Thru	0.00%
TOTAL		100.00%

Quality Distribution

As of December 31, 2020

**Orange County Sanitation District Long Term
December 31, 2020 vs. September 30, 2020**



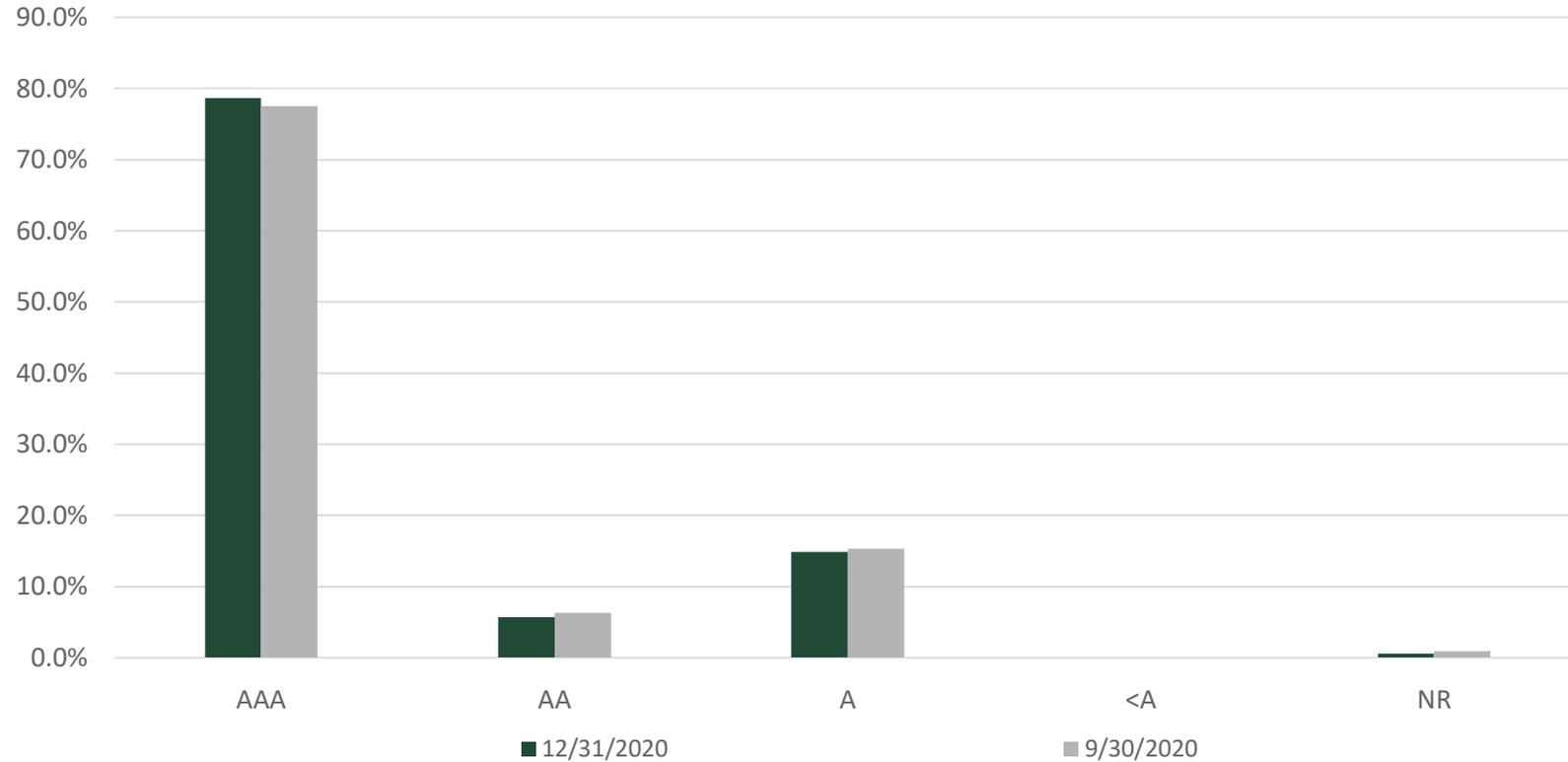
	AAA	AA	A	<A	NR
12/31/20	11.5%	69.9%	12.7%	0.9%	5.0%
09/30/20	7.9%	72.5%	13.0%	1.0%	5.7%

Source: S&P Ratings

Quality Distribution

As of December 31, 2020

**Orange County Sanitation District Long Term
December 31, 2020 vs. September 30, 2020**



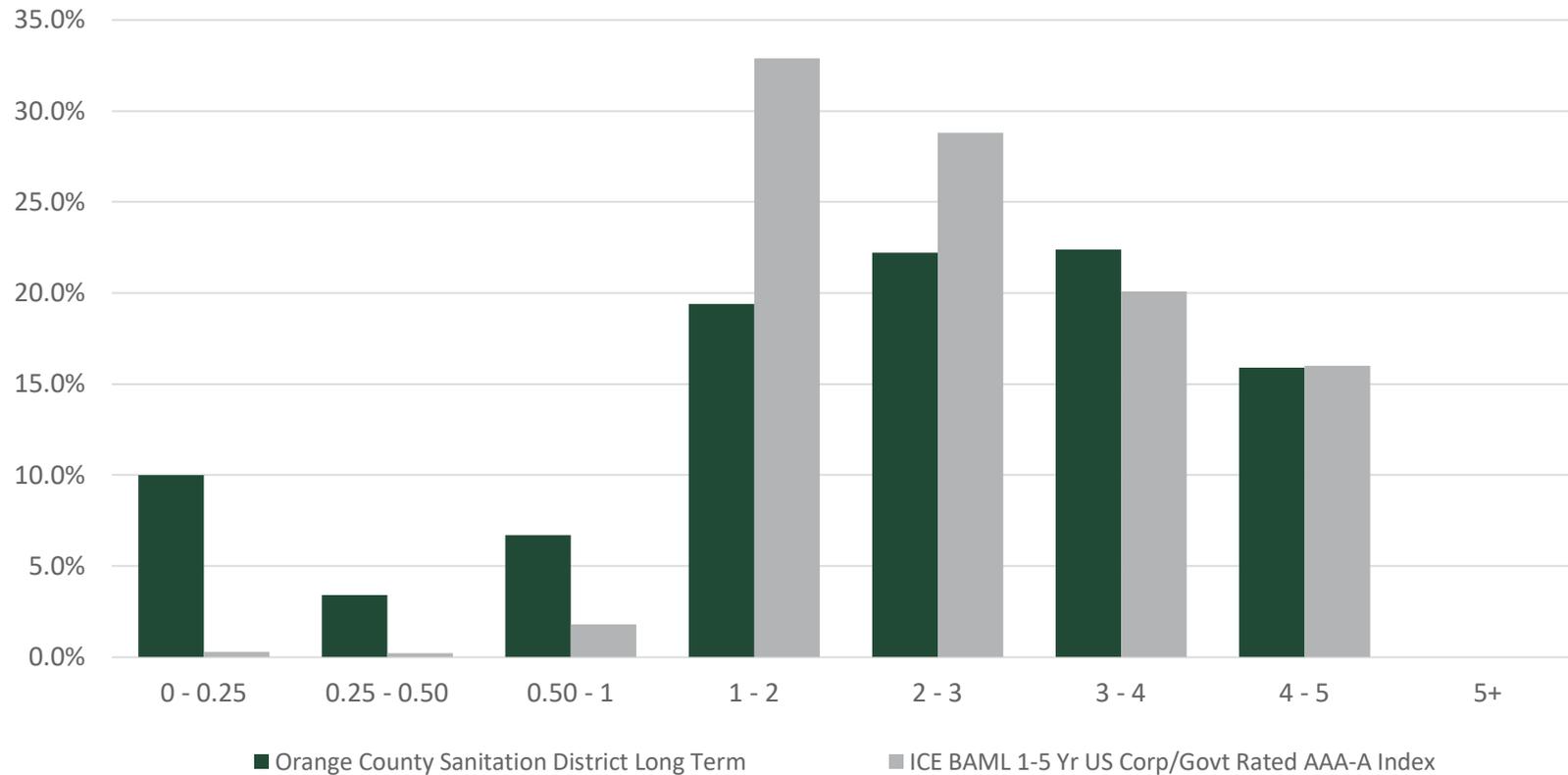
	AAA	AA	A	<A	NR
12/31/20	78.7%	5.7%	14.9%	0.0%	0.6%
09/30/20	77.5%	6.3%	15.3%	0.0%	0.9%

Source: Moody's Ratings

Duration Distribution

As of December 31, 2020

**Orange County Sanitation District Long Term
Portfolio Compared to the Benchmark as of December 31, 2020**

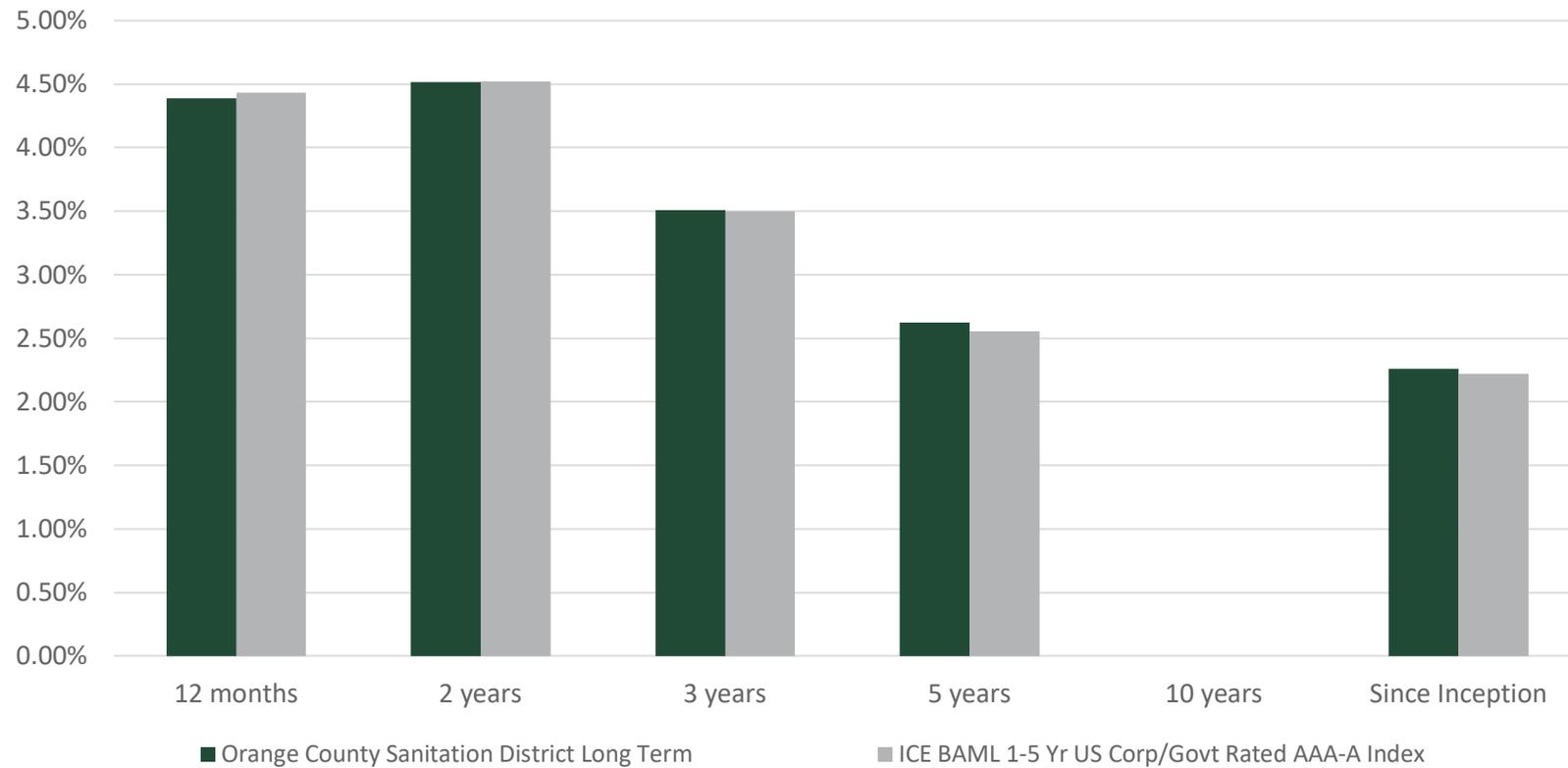


	0 - 0.25	0.25 - 0.50	0.50 - 1	1 - 2	2 - 3	3 - 4	4 - 5	5+
Portfolio	10.0%	3.4%	6.7%	19.4%	22.2%	22.4%	15.9%	0.0%
Benchmark*	0.3%	0.2%	1.8%	32.9%	28.8%	20.1%	16.0%	0.0%

*ICE BAML 1-5 Yr US Corp/Govt Rated AAA-A Index

The duration of the portfolio contracted to 2.44 compared to 2.52 at the end of the prior quarter. The large cash contribution late in the year contributed to the shortening of the duration of the portfolio. The Chandler team will be working to keep the duration close to the benchmark duration in coming quarters.

Orange County Sanitation District Long Term Total Rate of Return Annualized Since Inception 11/30/2014



TOTAL RATE OF RETURN	Annualized						
	3 months	12 months	2 years	3 years	5 years	10 years	Since Inception
Orange County Sanitation District Long Term	0.21%	4.39%	4.52%	3.51%	2.62%	N/A	2.26%
ICE BAML 1-5 Yr US Corp/Govt Rated AAA-A Index	0.15%	4.43%	4.52%	3.50%	2.56%	N/A	2.22%

Total rate of return: A measure of a portfolio's performance over time. It is the internal rate of return, which equates the beginning value of the portfolio with the ending value; it includes interest earnings, realized and unrealized gains and losses in the portfolio.

Orange County Sanitation District Liquid

Assets managed by Chandler Asset Management are in full compliance with state law and with the investment policy

Category	Standard	Comment
Treasury Issues	10% minimum; 1 year max maturity	Complies
U.S. Agencies	20% max per agency of the U.S. Government, which does not provide the full faith and credit of the U.S. government; 1 year max maturity	Complies
Supranational Obligations	"AA" rated or better by a NRSRO; 30% maximum; 1 year max maturity; U.S. dollar denominated senior unsecured unsubordinated obligations issued or unconditionally guaranteed by the International Bank for Reconstruction and Development ("IBRD"), the International Finance Corporation ("IFC") or the Inter-American Development Bank ("IADB")	Complies
Corporate Medium Term Notes	"A" rated or better long term debt by a NRSRO; 30% maximum; 5% max issuer; 1 year max maturity; Issued by corporations organized and operating within the U.S. or issued by depository institutions licensed by the U.S. or any state and operating within the U.S.	Complies
Municipal Securities	"A" rated or higher by a NRSRO; Taxable or tax-exempt municipal bonds issued by any of the 50 states; 10% maximum; 5% max issuer; 1 year max maturity	Complies
Mortgage-Backed Securities/ Collateralized Mortgage Obligations/ Asset-Backed Securities	"AA" rated or better by a NRSRO; 20% maximum (combined MBS/CMO/ABS); 5% max issuer (except U.S. government or its agencies) ; 1 year max maturity	Complies
Negotiable Certificates of Deposit (NCD)	"A" rated or better long term debt by a NRSRO; or "A-1"/ highest short term rating by a NRSRO; 30% maximum; 5% max issuer; 1 year max maturity	Complies
Certificates of Deposit	5% max issuer; 1 year max maturity; Secured/collateralized	Complies
Banker's Acceptances	A-1 rated or highest short term rating by a NRSRO; 40% maximum; 5% max issuer; 180 days max maturity	Complies
Commercial Paper	A-1 rated or better by a NRSRO; "A" rated or better long term debt issuer by a NRSRO; Issuer is a corporation organized and operating in the U.S. with assets > \$500 million; 25% maximum; 5% max issuer; 10% max of the outstanding commercial paper of any single issuer; 270 days max maturity	Complies
Mutual Fund & Money Market Mutual Fund	Highest rating or "AAA" rated by two NRSROs; SEC registered adviser with AUM >\$500 million and experience > than 5 years; 20% maximum in Mutual Funds; 10% per one Mutual Fund; 20% max per issuer on Money Market Mutual Funds; 20% max of OCSD's surplus money	Complies
Repurchase Agreements	102% collateralization	Complies
Reverse Repurchase Agreements	5% maximum, 90 days max maturity	Complies
Local Agency Investment Fund (LAIF)	No more than the lesser of 15% of the portfolio or the statutory maximum invested in LAIF; Not used by investment adviser; Investment of OCSD funds in LAIF shall be subject to investigation and due diligence prior to investing	Complies
OCCIP	15% maximum; Not used by investment adviser; Orange County Treasurer's Money Market Commingled Investment Pool; Investment of OCSD funds in OCCIP shall be subject to investigation and due diligence prior to investing	Complies
Prohibited	Mortgage Derivatives, which include interest-only payments (IOs) and principal-only payments (POs); Inverse floaters, and RE-REMICS (Real Estate Mortgage Investment Conduits)	Complies
Avg Duration	Not to exceed 180 days	Complies
Max Per Holding	5% max of the total debt outstanding of any issuer per individual holding	Complies
Max Per Issuer	5% max per issuer (except Supranationals, U.S. Government, Agencies, Mutual Fund)	Complies
Maximum Maturity	1 year maximum maturity	Complies

Orange County Sanitation District Liquid

	12/31/2020		9/30/2020
	Benchmark*	Portfolio	Portfolio
Average Maturity (yrs)	0.16	0.33	0.32
Average Modified Duration	0.15	0.33	0.32
Average Purchase Yield	n/a	0.13%	0.17%
Average Market Yield	0.07%	0.14%	0.17%
Average Quality**	AAA	AAA/Aaa	AAA/Aaa
Total Market Value		225,705,362	128,667,549

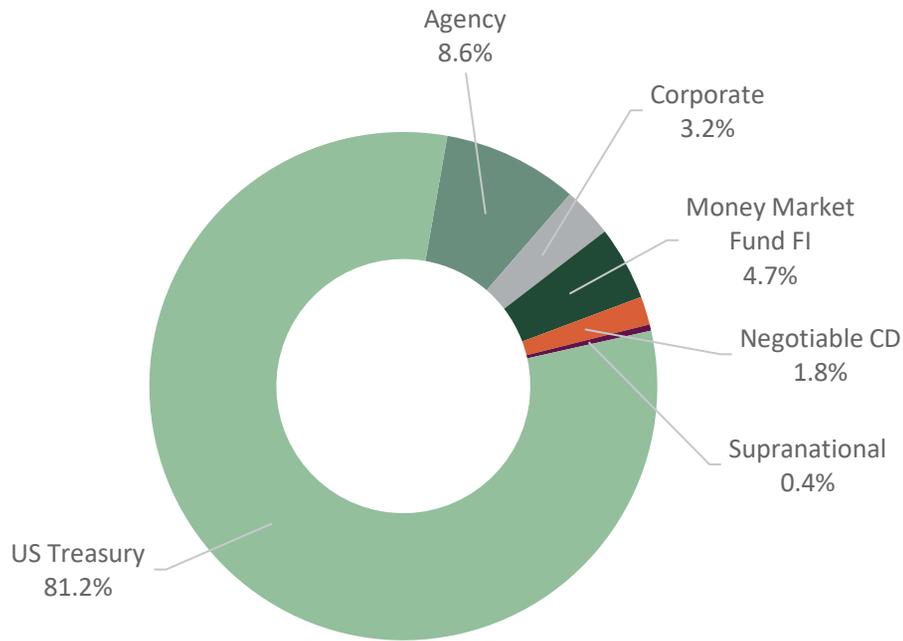
*ICE BAML 3-Month US Treasury Bill Index

**Benchmark is a blended rating of S&P, Moody's, and Fitch. Portfolio is S&P and Moody's respectively.

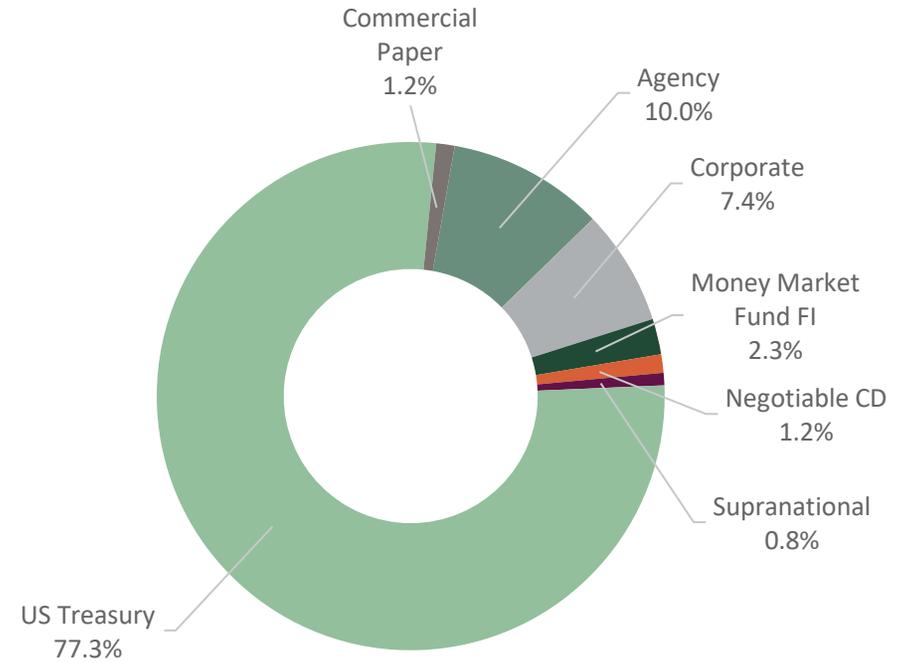
Many securities were purchase across the Treasury, Agency, and Certificate of Deposit sectors to keep the portfolio positioned consistent with the strategy and to spend down the \$97 million contribution late in December. The purchased securities ranged in maturity between January 2021 to July 2021. Multiple securities also matured during the quarter.

Orange County Sanitation District Liquid

December 31, 2020



September 30, 2020



The sector allocation was relatively stable. The Treasury allocation increased to 81.2% of the portfolio due to the large contribution late in the year when liquidity in other investment vehicles was lacking.

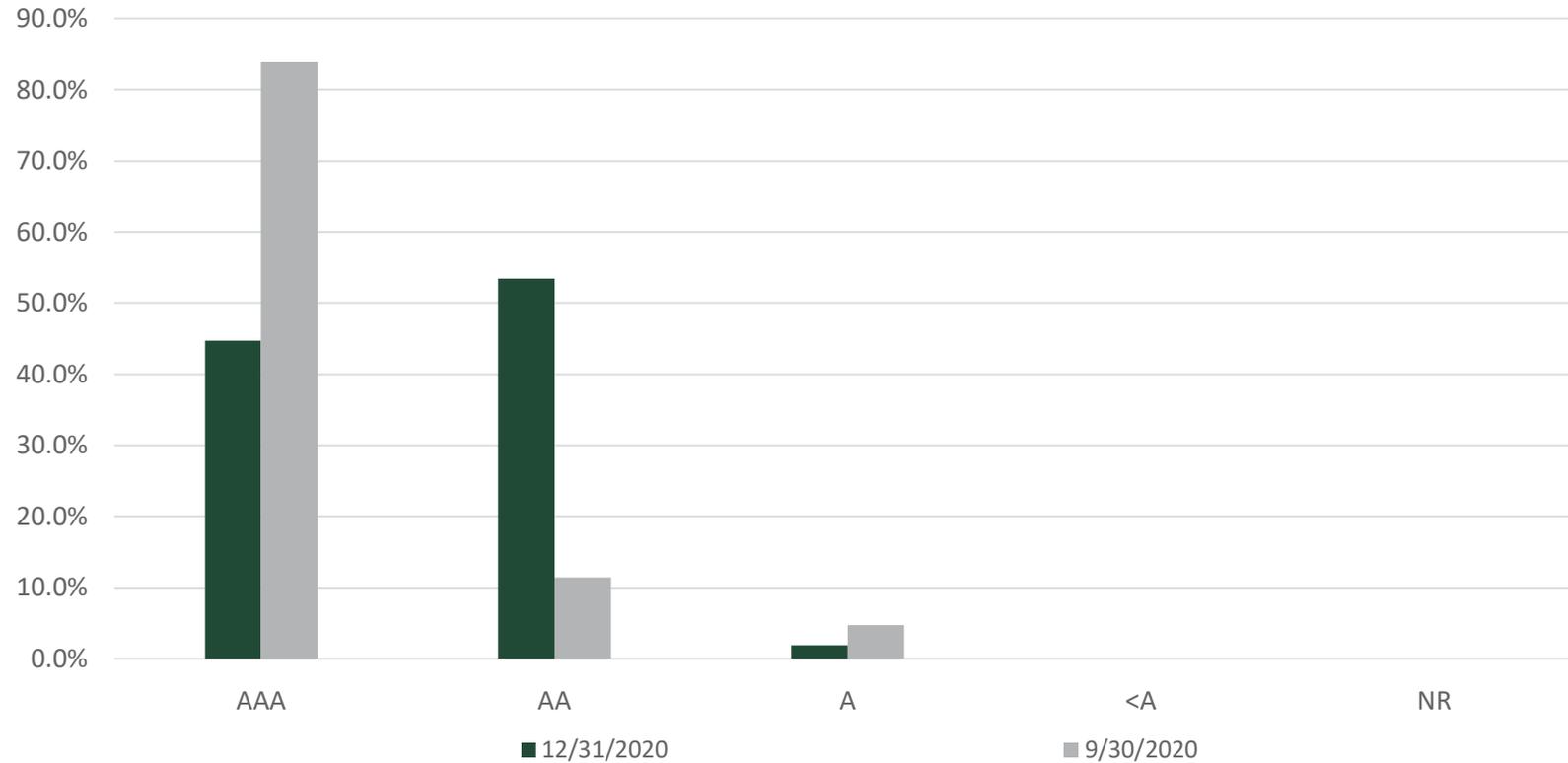
Orange County Sanitation District Liquid – Account #10282

Issue Name	Investment Type	% Portfolio
Government of United States	US Treasury	81.24%
Federal Home Loan Bank	Agency	8.64%
First American Govt Obligation Fund Class-Z	Money Market Fund FI	4.70%
MUFG Bank Ltd/NY	Negotiable CD	1.11%
Toronto Dominion Holdings	Corporate	0.78%
Toyota Motor Corp	Corporate	0.67%
Royal Bank of Canada	Negotiable CD	0.67%
Charles Schwab Corp/The	Corporate	0.62%
Apple Inc	Corporate	0.52%
Intl Bank Recon and Development	Supranational	0.45%
Kimberly-Clark	Corporate	0.34%
Paccar Financial	Corporate	0.27%
TOTAL		100.00%

Quality Distribution

As of December 31, 2020

Orange County Sanitation District Liquid December 31, 2020 vs. September 30, 2020



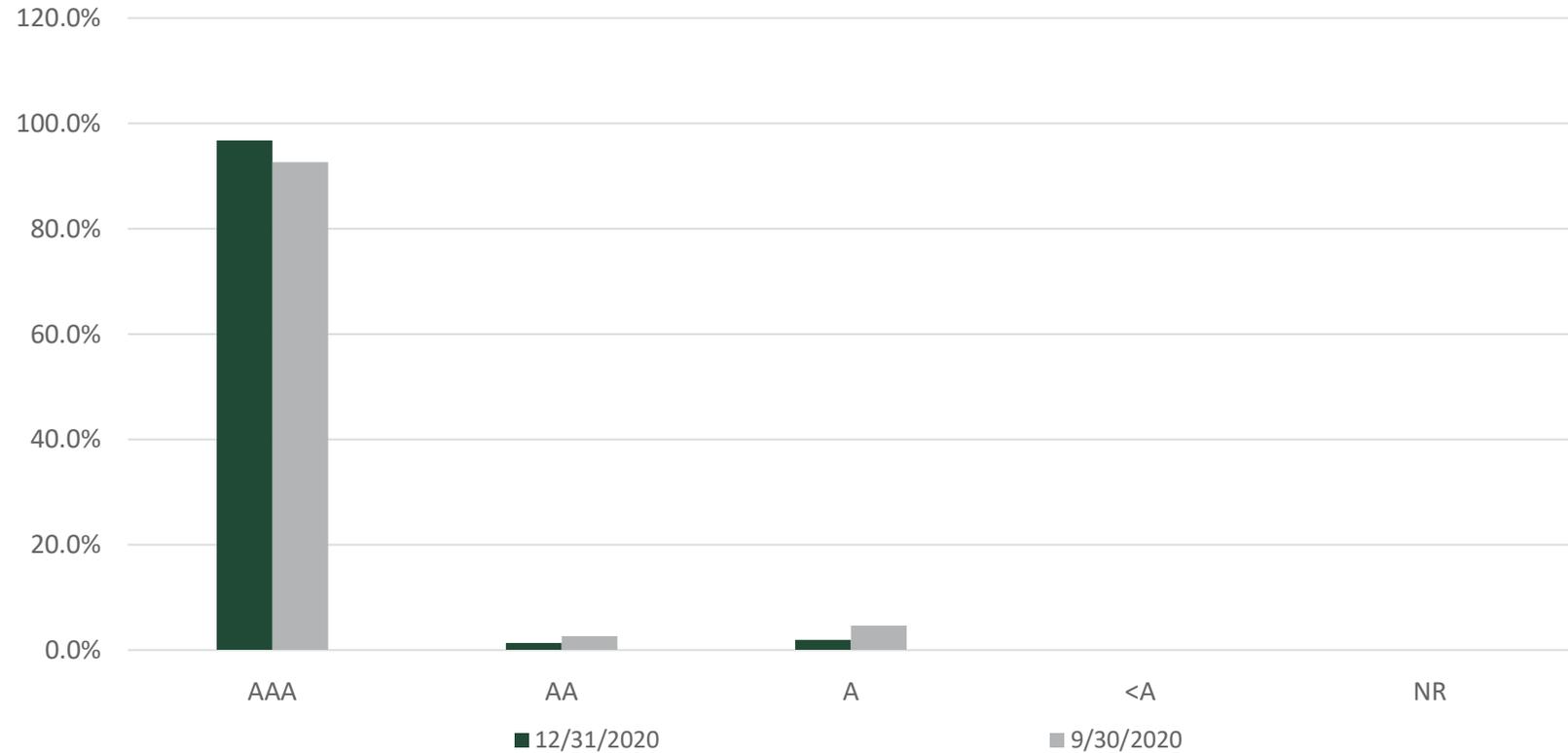
	AAA	AA	A	<A	NR
12/31/20	44.7%	53.4%	1.9%	0.0%	0.0%
09/30/20	83.9%	11.4%	4.7%	0.0%	0.0%

Source: S&P Ratings

Quality Distribution

As of December 31, 2020

Orange County Sanitation District Liquid December 31, 2020 vs. September 30, 2020



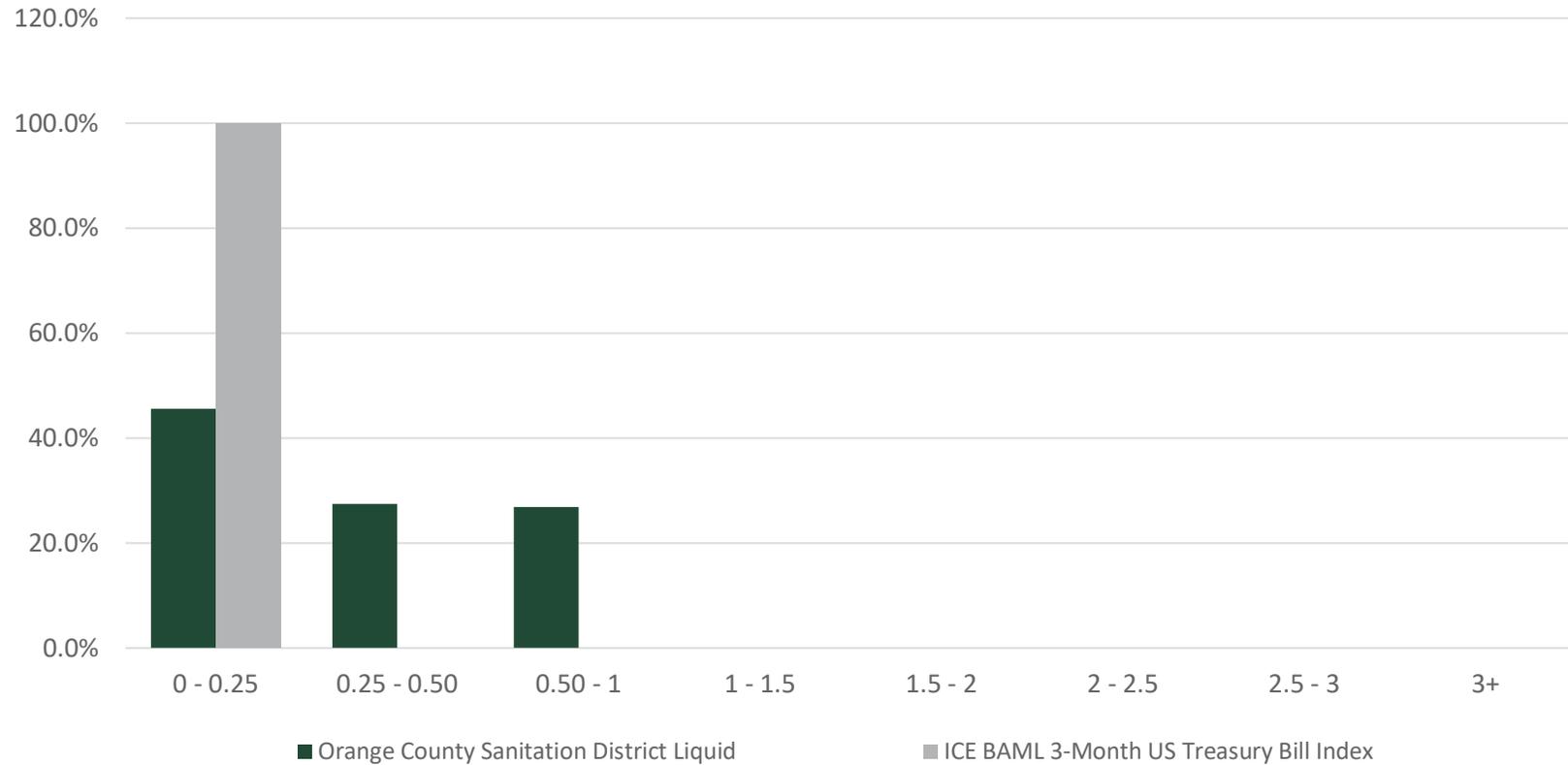
	AAA	AA	A	<A	NR
12/31/20	96.8%	1.3%	1.9%	0.0%	0.0%
09/30/20	92.6%	2.7%	4.7%	0.0%	0.0%

Source: Moody's Ratings

Duration Distribution

As of December 31, 2020

**Orange County Sanitation District Liquid
Portfolio Compared to the Benchmark as of December 31, 2020**

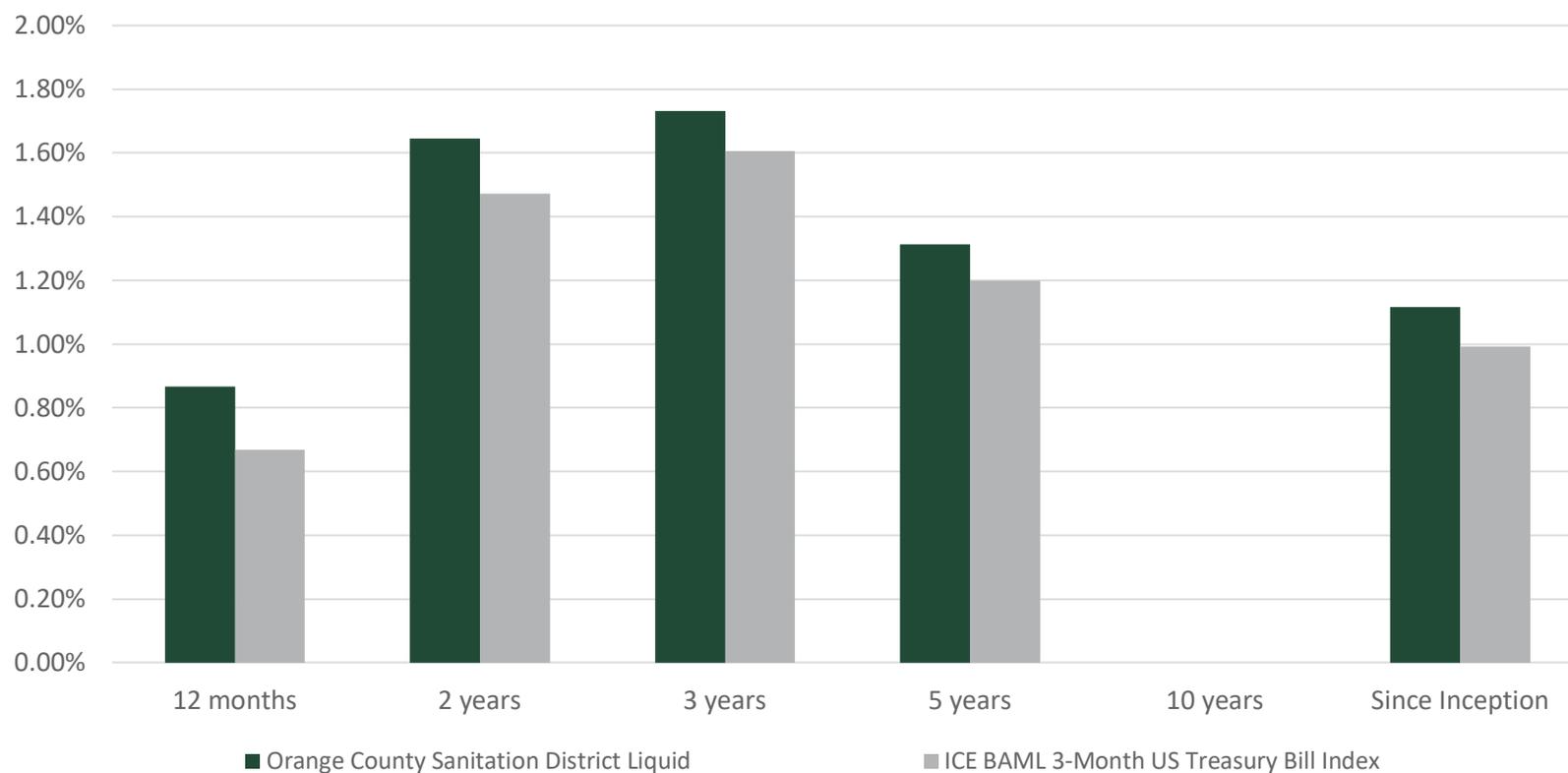


	0 - 0.25	0.25 - 0.50	0.50 - 1	1 - 1.5	1.5 - 2	2 - 2.5	2.5 - 3	3+
Portfolio	45.6%	27.4%	26.9%	0.0%	0.0%	0.0%	0.0%	0.0%
Benchmark*	100.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%

*ICE BAML 3-Month US Treasury Bill Index

The duration of the portfolio was stable ending the quarter at 0.33 compared to 0.32 at the end of September.

Orange County Sanitation District Liquid Total Rate of Return Annualized Since Inception 11/30/2014



TOTAL RATE OF RETURN	Annualized						
	3 months	12 months	2 years	3 years	5 years	10 years	Since Inception
Orange County Sanitation District Liquid	0.03%	0.87%	1.64%	1.73%	1.31%	N/A	1.12%
ICE BAML 3-Month US Treasury Bill Index	0.03%	0.67%	1.47%	1.60%	1.20%	N/A	0.99%

Total rate of return: A measure of a portfolio's performance over time. It is the internal rate of return, which equates the beginning value of the portfolio with the ending value; it includes interest earnings, realized and unrealized gains and losses in the portfolio.

OC SAN Lehman Exposure

Assets managed by Chandler Asset Management are in full compliance with state law and with the investment policy

Category	Standard	Comment
Treasury Issues	5 years maximum maturity	Complies
Supranational	"AA" or better by 1 of 3 NRSROs; 30% maximum; 5% max; 5 years maturity; Includes only: IADB, IBRD, and IFC per CGC	Complies
U.S. Agencies	20% max issuer; 5 years maximum maturity	Complies
U.S. Corporate (MTNs)	"A" or better long term rating by 1 of 3 NRSROs; 30% maximum; 5% max issuer; 5 years max maturity	Complies*
Municipal Securities	"A" or higher by 1 of 3 NRSROs; 10% maximum; 5% max issuer; 5 years maximum maturity	Complies
Asset Backed/ CMOs/ Mortgage-backed	"AA" or better by 1 of 3 NRSROs; "A" or higher issuer rating by 1 of 3 NRSROs; 20% maximum; 5% max issuer (excluding MBS/govt agency); 5 years max maturity	Complies
Negotiable CDs	"A" or better on its long term debt by 1 of 3 NRSROs ; "A1/P1" or highest short term ratings by 1 of 3 NRSROs; 30% maximum; 5% max issuer; 5 years max maturity	Complies
CDs/ TDS	5% max issuer; 5 years max maturity	Complies
Banker's Acceptances	A-1, or equivalent highest short term rating by 1 of 3 NRSROs; 40% maximum; 5% max issuer; 180 days max maturity	Complies
Commercial Paper	A-1, or equivalent by 1 of 3 NRSROs; "A" or better by 1 of 3 NRSROs, if long term debt issued; 25% maximum; 5% max issuer; 270 days max maturity	Complies
Money Market Fund	Highest rating by 2 of 3 NRSROs; 20% maximum; 10% max issuer	Complies
Repurchase Agreements	102% collateralization	Complies
Reverse Repurchase Agreements	5% maximum, 90 days max maturity	Complies
LAIF	Not used by investment adviser	Complies
Avg Duration	Not to exceed 60 months - (80% to 120% of the benchmark)	Complies
Maximum Maturity	5 years maximum maturity	Complies

* Account holds \$2 million face value (cusip 525ESCOY6) and \$600,000 face value (cusip 525ESC1B7) of defaulted Lehman Bros Holdings that were purchased by the previous manager. Complied at time of purchase.

OC SAN Lehman Exposure

	12/31/2020 Portfolio	9/30/2020 Portfolio
Average Maturity (yrs)	11.80	12.32
Modified Duration	0.00	0.00
Average Purchase Yield	0.00%	0.00%
Average Market Yield	0.00%	0.00%
Average Quality*	NR/NR	NR/NR
Total Market Value	54,741	56,821

*Portfolio is S&P and Moody's, respectively.



Section 3 | Consolidated Information

Portfolio Characteristics

As of December 31, 2020

Orange County Sanitation District Consolidated

	12/31/2020 Portfolio	9/30/2020 Portfolio
Average Maturity (yrs)	2.03	2.33
Modified Duration	1.90	2.15
Average Purchase Yield	1.35%	1.65%
Average Market Yield	0.20%	0.24%
Average Quality*	AA+/Aa1	AA+/Aa1
Total Market Value	883,388,646	753,941,979

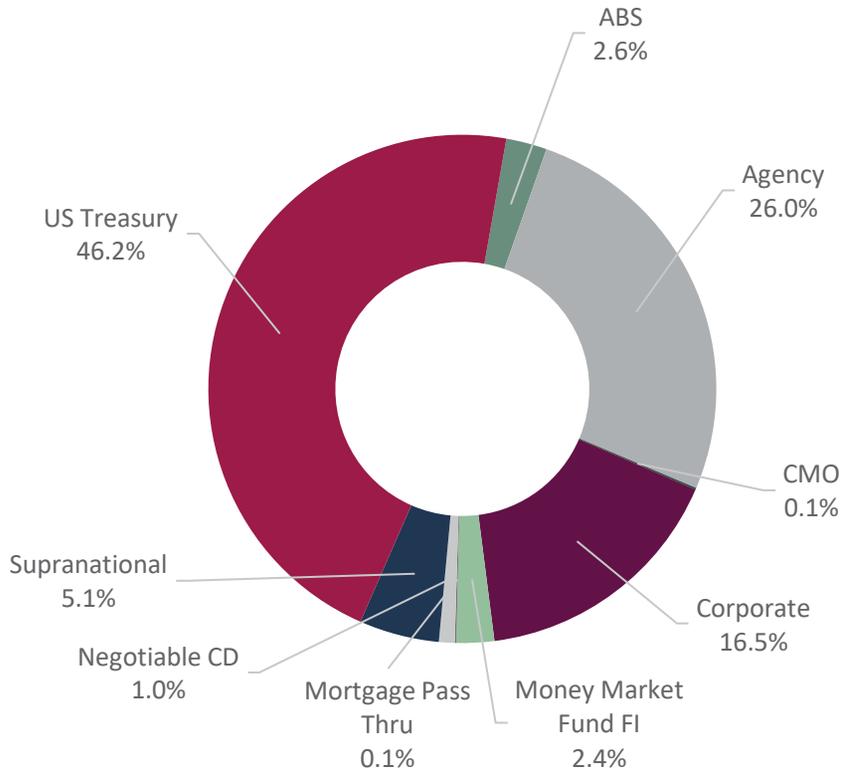
* Portfolio is S&P and Moody's respectively.

Sector Distribution

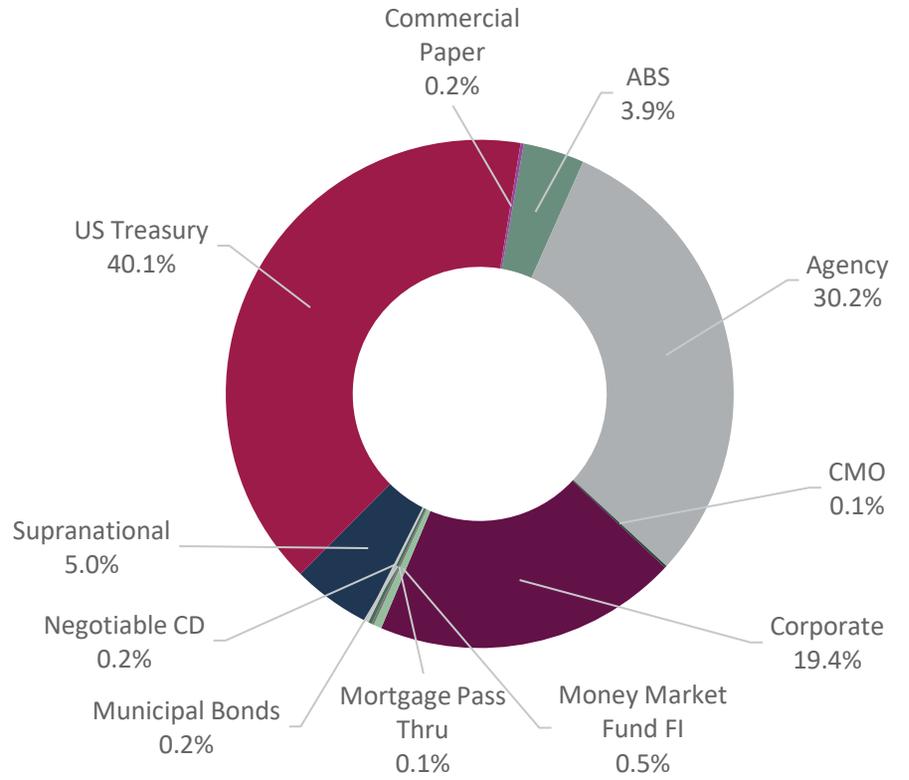
As of December 31, 2020

Orange County Sanitation District Consolidated

December 31, 2020



September 30, 2020





Section 4 | Portfolio Holdings

Holdings Report

As of December 31, 2020

Orange County Sanitation District Long Term - Account #10268

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
ABS									
83162CLJ0	Small Business Administration 2001-20C 1 6.340% Due 03/01/2021	2,984.86	03/06/2001 6.34%	2,984.86 2,984.86	100.44 3.57%	2,998.01 63.08	0.00% 13.15	Aaa / AA+ AAA	0.16 0.17
43815NAB0	Honda Auto Receivables Trust 2019-3 A2 1.900% Due 04/15/2022	1,347,348.38	08/20/2019 1.92%	1,347,254.07 1,347,331.95	100.36 0.32%	1,352,166.83 1,137.76	0.21% 4,834.88	Aaa / AAA NR	1.29 0.23
47788CAC6	John Deere Owner Trust 2018-A A3 2.660% Due 04/18/2022	165,799.57	02/21/2018 2.68%	165,787.65 165,795.84	100.25 0.44%	166,215.73 196.01	0.03% 419.89	Aaa / NR AAA	1.30 0.12
477870AB5	John Deere Owner Trust 2019-B A2 2.280% Due 05/16/2022	646,522.38	07/16/2019 2.29%	646,519.92 646,521.18	100.20 0.30%	647,835.58 655.14	0.10% 1,314.40	Aaa / NR AAA	1.37 0.11
43814UAG4	Honda Auto Receivables Trust 2018-2 A3 3.010% Due 05/18/2022	631,002.32	05/22/2018 3.03%	630,988.57 630,997.56	100.83 0.33%	636,262.99 685.86	0.10% 5,265.43	NR / AAA AAA	1.38 0.31
43815HAC1	Honda Auto Receivables Trust 2018-3 A3 2.950% Due 08/22/2022	1,791,651.38	08/21/2018 2.98%	1,791,405.57 1,791,550.35	101.18 0.17%	1,812,873.53 1,468.16	0.28% 21,323.18	Aaa / NR AAA	1.64 0.43
47788EAC2	John Deere Owner Trust 2018-B A3 3.080% Due 11/15/2022	2,145,869.81	07/18/2018 3.10%	2,145,707.16 2,145,799.23	101.01 0.20%	2,167,631.05 2,937.46	0.33% 21,831.82	Aaa / NR AAA	1.87 0.35
58770FAC6	Mercedes Benz Auto Lease Trust 2020-A A3 1.840% Due 12/15/2022	2,050,000.00	01/21/2020 1.85%	2,049,729.81 2,049,816.70	101.40 0.26%	2,078,640.55 1,676.44	0.32% 28,823.85	Aaa / AAA NR	1.96 0.88
65479GAD1	Nissan Auto Receivables Trust 2018-B A3 3.060% Due 03/15/2023	2,222,777.01	07/17/2018 3.08%	2,222,705.00 2,222,754.32	101.37 0.42%	2,253,306.85 3,022.98	0.34% 30,552.53	Aaa / AAA NR	2.20 0.52
78445JAA5	SLM Student Loan Trust 2008-9 A 1.716% Due 04/25/2023	10,816.03	08/22/2008 1.78%	10,772.14 10,809.11	99.95 1.51%	10,810.95 35.07	0.00% 1.84	Baa3 / B B	2.32 2.53
65479JAD5	Nissan Auto Receivables Owner 2019-C A3 1.930% Due 07/15/2024	4,185,000.00	10/16/2019 1.94%	4,184,779.03 4,184,834.82	102.04 0.43%	4,270,353.08 3,589.80	0.65% 85,518.26	Aaa / AAA NR	3.54 1.35
89237VAB5	Toyota Auto Receivables Trust 2020-C A3 0.440% Due 10/15/2024	2,960,000.00	07/21/2020 0.44%	2,959,772.08 2,959,795.45	100.35 0.23%	2,970,383.68 578.84	0.45% 10,588.23	Aaa / AAA NR	3.79 1.66
43813KAC6	Honda Auto Receivables Trust 2020-3 A3 0.370% Due 10/18/2024	3,235,000.00	09/22/2020 0.38%	3,234,524.78 3,234,563.79	100.17 0.29%	3,240,470.39 432.23	0.49% 5,906.60	NR / AAA AAA	3.80 2.01
47787NAC3	John Deere Owner Trust 2020-B A3 0.510% Due 11/15/2024	1,480,000.00	07/14/2020 0.52%	1,479,774.45 1,479,803.35	100.32 0.34%	1,484,758.20 335.47	0.23% 4,954.85	Aaa / NR AAA	3.88 1.87
TOTAL ABS		22,874,771.74	1.78%	22,872,705.09 22,873,358.51	0.31%	23,094,707.42 16,814.30	3.51% 221,348.91	Aaa / AAA Aaa	2.78 1.09
Agency									
3137EAEL9	FHLMC Note 2.375% Due 02/16/2021	7,500,000.00	02/26/2018 2.45%	7,484,475.00 7,499,341.80	100.27 0.23%	7,520,085.00 66,796.88	1.15% 20,743.20	Aaa / AA+ AAA	0.13 0.12

Holdings Report

As of December 31, 2020

Orange County Sanitation District Long Term - Account #10268

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
3130A7CV5	FHLB Note 1.375% Due 02/18/2021	5,365,000.00	02/17/2016 1.46%	5,343,325.40 5,364,430.55	100.16 0.18%	5,373,385.50 27,253.45	0.82% 8,954.95	Aaa / AA+ AAA	0.13 0.13
3135G0J20	FNMA Note 1.375% Due 02/26/2021	10,000,000.00	Various 1.28%	10,040,950.00 10,001,368.42	100.18 0.17%	10,018,430.00 47,743.06	1.53% 17,061.58	Aaa / AA+ AAA	0.16 0.15
313379RB7	FHLB Note 1.875% Due 06/11/2021	4,000,000.00	08/30/2017 1.67%	4,030,160.00 4,003,518.67	100.75 0.18%	4,030,096.00 4,166.67	0.61% 26,577.33	Aaa / AA+ AAA	0.44 0.44
3135G0U35	FNMA Note 2.750% Due 06/22/2021	7,500,000.00	06/28/2018 2.68%	7,515,225.00 7,502,404.68	101.24 0.14%	7,592,992.50 5,156.25	1.16% 90,587.82	Aaa / AA+ AAA	0.47 0.47
3135G0S38	FNMA Note 2.000% Due 01/05/2022	3,000,000.00	01/30/2017 2.04%	2,994,570.00 2,998,886.85	101.90 0.12%	3,057,090.00 29,333.33	0.47% 58,203.15	Aaa / AA+ AAA	1.01 1.00
3135G0T45	FNMA Note 1.875% Due 04/05/2022	5,000,000.00	05/05/2017 1.99%	4,972,500.00 4,992,960.12	102.21 0.12%	5,110,500.00 22,395.83	0.78% 117,539.88	Aaa / AA+ AAA	1.26 1.25
3133ELYR9	FFCB Note 0.250% Due 05/06/2022	8,850,000.00	04/30/2020 0.31%	8,838,760.50 8,842,455.68	100.19 0.11%	8,866,806.15 3,380.21	1.35% 24,350.47	Aaa / AA+ AAA	1.35 1.34
3135G0T94	FNMA Note 2.375% Due 01/19/2023	5,000,000.00	Various 2.78%	4,910,990.00 4,961,793.02	104.58 0.14%	5,229,005.00 53,437.50	0.80% 267,211.98	Aaa / AA+ AAA	2.05 1.99
313383QR5	FHLB Note 3.250% Due 06/09/2023	5,000,000.00	08/28/2018 2.87%	5,083,350.00 5,042,463.12	107.40 0.21%	5,370,180.00 9,930.56	0.82% 327,716.88	Aaa / AA+ NR	2.44 2.36
3137EAEN5	FHLMC Note 2.750% Due 06/19/2023	10,000,000.00	Various 2.84%	9,956,500.00 9,978,321.37	106.32 0.18%	10,631,710.00 9,166.66	1.62% 653,388.63	Aaa / AA+ AAA	2.47 2.40
3135G05G4	FNMA Note 0.250% Due 07/10/2023	6,775,000.00	07/08/2020 0.32%	6,760,433.75 6,762,761.69	100.24 0.16%	6,791,178.70 8,045.31	1.03% 28,417.01	Aaa / AA+ AAA	2.52 2.51
313383YJ4	FHLB Note 3.375% Due 09/08/2023	10,000,000.00	Various 2.88%	10,211,831.00 10,122,165.60	108.55 0.18%	10,855,290.01 105,937.50	1.67% 733,124.41	Aaa / AA+ NR	2.69 2.57
3130A0F70	FHLB Note 3.375% Due 12/08/2023	10,000,000.00	Various 2.79%	10,269,043.75 10,159,905.73	109.25 0.21%	10,925,240.00 21,562.51	1.66% 765,334.27	Aaa / AA+ AAA	2.94 2.82
3135G0V34	FNMA Note 2.500% Due 02/05/2024	5,000,000.00	02/27/2019 2.58%	4,980,850.00 4,987,998.06	107.11 0.20%	5,355,320.00 50,694.44	0.82% 367,321.94	Aaa / AA+ AAA	3.10 2.97
3130A1XJ2	FHLB Note 2.875% Due 06/14/2024	11,110,000.00	Various 1.96%	11,589,031.30 11,441,087.13	109.16 0.21%	12,127,353.81 15,083.37	1.85% 686,266.68	Aaa / AA+ NR	3.45 3.31
3133EKWV4	FFCB Note 1.850% Due 07/26/2024	5,000,000.00	08/13/2019 1.65%	5,048,280.00 5,034,768.01	105.60 0.27%	5,279,820.00 39,826.39	0.81% 245,051.99	Aaa / AA+ AAA	3.57 3.44
3130A2UW4	FHLB Note 2.875% Due 09/13/2024	2,500,000.00	09/12/2019 1.73%	2,635,950.00 2,600,530.08	109.67 0.25%	2,741,707.50 21,562.50	0.42% 141,177.42	Aaa / AA+ AAA	3.70 3.51
3135G0X24	FNMA Note 1.625% Due 01/07/2025	10,000,000.00	Various 1.28%	10,157,936.40 10,132,949.01	105.38 0.28%	10,537,680.00 78,541.66	1.61% 404,730.99	Aaa / AA+ AAA	4.02 3.87

Holdings Report

As of December 31, 2020

Orange County Sanitation District Long Term - Account #10268

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
3137EAEPO	FHLMC Note 1.500% Due 02/12/2025	12,335,000.00	Various 1.20%	12,510,182.05 12,480,916.33	104.90 0.30%	12,939,760.38 71,440.21	1.98% 458,844.05	Aaa / NR AAA	4.12 3.98
3130A4CH3	FHLB Note 2.375% Due 03/14/2025	5,225,000.00	03/19/2020 1.18%	5,526,848.25 5,479,249.10	108.27 0.39%	5,657,091.83 36,883.42	0.87% 177,842.73	Aaa / AA+ AAA	4.20 4.00
3135G03U5	FNMA Note 0.625% Due 04/22/2025	14,000,000.00	Various 0.63%	13,996,711.60 13,997,200.98	101.18 0.35%	14,164,570.00 16,770.84	2.16% 167,369.02	Aaa / AA+ AAA	4.31 4.25
3135G04Z3	FNMA Note 0.500% Due 06/17/2025	9,905,000.00	06/17/2020 0.54%	9,884,496.65 9,886,699.86	100.53 0.38%	9,957,546.03 1,925.97	1.51% 70,846.17	Aaa / AA+ AAA	4.46 4.41
3137EAEU9	FHLMC Note 0.375% Due 07/21/2025	5,030,000.00	07/21/2020 0.48%	5,004,950.60 5,007,175.38	100.05 0.36%	5,032,655.84 8,278.54	0.77% 25,480.46	Aaa / AA+ AAA	4.56 4.51
3135G05X7	FNMA Note 0.375% Due 08/25/2025	7,945,000.00	08/25/2020 0.47%	7,907,817.40 7,910,406.32	99.98 0.38%	7,943,260.05 10,262.29	1.21% 32,853.73	Aaa / AA+ AAA	4.65 4.60
3137EAEX3	FHLMC Note 0.375% Due 09/23/2025	7,660,000.00	09/23/2020 0.44%	7,636,943.40 7,638,182.19	99.83 0.41%	7,647,253.76 7,660.00	1.16% 9,071.57	Aaa / AA+ AAA	4.73 4.68
3135G06G3	FNMA Note 0.500% Due 11/07/2025	8,255,000.00	11/09/2020 0.57%	8,225,447.10 8,226,258.55	100.42 0.41%	8,289,530.67 5,617.99	1.26% 63,272.12	Aaa / AA+ AAA	4.85 4.78
TOTAL Agency		201,955,000.00	1.56%	203,517,559.15 203,056,198.30	0.25%	209,045,538.73 778,853.34	31.91% 5,989,340.43	Aaa / AA+ Aaa	2.90 2.83
CMO									
03215PFN4	AMRESCO Residential Securities 1999-1 A 1.095% Due 06/25/2029	119,021.64	05/20/2011 4.56%	89,377.81 105,126.23	96.12 1.73%	114,400.03 25.34	0.02% 9,273.80	NR / A+ BBB	8.49 6.94
3133TCE95	FHLMC FSPC E3 A 3.903% Due 08/15/2032	4,473.70	03/11/1998 3.86%	4,478.39 4,475.29	101.13 1.98%	4,524.42 14.55	0.00% 49.13	Aaa / AA+ AAA	11.63 2.60
31397QRE0	FNMA FNR 2011-3 FA 0.835% Due 02/25/2041	135,973.22	12/20/2010 0.83%	135,930.74 135,944.76	101.50 0.39%	138,007.38 18.92	0.02% 2,062.62	Aaa / AA+ AAA	20.17 3.47
31394JY35	FHLMC FSPC T-58 2A 6.500% Due 09/25/2043	561,133.95	06/09/2011 5.40%	635,484.20 613,483.69	118.24 1.81%	663,473.56 607.90	0.10% 49,989.87	Aaa / AA+ AAA	22.75 3.86
TOTAL CMO		820,602.51	4.60%	865,271.14 859,029.97	1.59%	920,405.39 666.71	0.14% 61,375.42	Aaa / AA+ Aaa	20.53 4.18
Corporate									
037833BS8	Apple Inc Callable Note Cont 1/23/2021 2.250% Due 02/23/2021	4,000,000.00	05/23/2016 1.96%	4,050,840.00 4,000,656.77	100.12 0.29%	4,004,748.00 32,000.00	0.61% 4,091.23	Aa1 / AA+ NR	0.15 0.06
30231GAV4	Exxon Mobil Corp Callable Note Cont 2/1/2021 2.222% Due 03/01/2021	3,000,000.00	Various 2.10%	3,016,097.40 3,000,291.65	100.14 0.48%	3,004,302.00 22,220.00	0.46% 4,010.35	Aa1 / AA NR	0.16 0.09

Holdings Report

As of December 31, 2020

Orange County Sanitation District Long Term - Account #10268

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
369550BE7	General Dynamics Corp Note 3.000% Due 05/11/2021	3,160,000.00	05/08/2018 3.24%	3,138,038.00 3,157,395.02	100.96 0.33%	3,190,440.28 13,166.67	0.49% 33,045.26	A2 / A NR	0.36 0.36
166764BG4	Chevron Corp Callable Note Cont 4/15/2021 2.100% Due 05/16/2021	2,500,000.00	05/20/2016 2.23%	2,485,350.00 2,498,911.53	100.54 0.21%	2,513,620.00 6,562.50	0.38% 14,708.47	Aa2 / AA NR	0.37 0.29
61747WAL3	Morgan Stanley Note 5.500% Due 07/28/2021	2,800,000.00	06/06/2014 3.24%	3,200,848.00 2,832,018.58	102.94 0.38%	2,882,331.20 65,450.00	0.45% 50,312.62	A2 / BBB+ A	0.57 0.56
594918BP8	Microsoft Callable Note Cont 7/8/2021 1.550% Due 08/08/2021	3,045,000.00	Various 1.57%	3,041,385.15 3,044,566.46	100.69 0.22%	3,065,946.56 18,747.89	0.47% 21,380.10	Aaa / AAA AA+	0.60 0.52
68389XBK0	Oracle Corp Callable Note Cont 8/15/2021 1.900% Due 09/15/2021	3,000,000.00	06/28/2018 3.08%	2,892,240.00 2,976,410.29	101.01 0.28%	3,030,210.00 16,783.33	0.46% 53,799.71	A3 / A A-	0.71 0.62
06406RAA5	Bank of NY Mellon Corp Callable Note Cont 1/7/2022 2.600% Due 02/07/2022	2,500,000.00	02/08/2017 2.56%	2,504,475.00 2,500,928.02	102.37 0.26%	2,559,257.50 26,000.00	0.39% 58,329.48	A1 / A AA-	1.10 1.00
69353RFB9	PNC Bank Callable Note Cont 1/18/2022 2.625% Due 02/17/2022	1,000,000.00	03/26/2018 3.32%	974,940.00 992,739.30	102.43 0.30%	1,024,297.00 9,770.83	0.16% 31,557.70	A2 / A A+	1.13 1.03
084664BT7	Berkshire Hathaway Note 3.000% Due 05/15/2022	4,000,000.00	05/23/2017 2.30%	4,131,120.00 4,036,048.97	103.81 0.22%	4,152,544.00 15,333.33	0.63% 116,495.03	Aa2 / AA A+	1.37 1.35
95000U2B8	Wells Fargo & Company Note 2.625% Due 07/22/2022	3,000,000.00	Various 2.99%	2,954,520.00 2,984,271.55	103.51 0.36%	3,105,357.00 34,781.26	0.48% 121,085.45	A2 / BBB+ A+	1.56 1.52
00440EAU1	Chubb INA Holdings Inc Callable Note Cont 9/3/2022 2.875% Due 11/03/2022	4,169,000.00	Various 2.54%	4,232,453.17 4,191,035.18	104.24 0.33%	4,345,832.30 19,310.58	0.66% 154,797.12	A3 / A A	1.84 1.64
90331HNL3	US Bank NA Callable Note Cont 12/23/2022 2.850% Due 01/23/2023	2,000,000.00	01/29/2018 2.93%	1,992,640.00 1,996,955.60	105.19 0.22%	2,103,714.00 25,016.67	0.32% 106,758.40	A1 / AA- AA-	2.06 1.92
808513AT2	Charles Schwab Corp Callable Note Cont 12/25/2022 2.650% Due 01/25/2023	6,750,000.00	05/21/2019 2.74%	6,729,480.00 6,738,479.46	104.76 0.24%	7,071,023.25 77,512.50	1.09% 332,543.79	A2 / A A	2.07 1.93
06406RAE7	Bank of NY Mellon Corp Callable Note Cont 12/29/2022 2.950% Due 01/29/2023	2,500,000.00	Various 3.03%	2,489,555.00 2,496,023.58	105.19 0.34%	2,629,665.00 31,138.89	0.40% 133,641.42	A1 / A AA-	2.08 1.93
44932HAH6	IBM Credit Corp Note 3.000% Due 02/06/2023	5,670,000.00	Various 3.26%	5,603,264.40 5,641,119.43	105.90 0.18%	6,004,660.42 68,512.50	0.92% 363,540.99	A2 / A NR	2.10 2.03
00440EAP2	Chubb INA Holdings Inc Note 2.700% Due 03/13/2023	2,000,000.00	05/24/2018 3.42%	1,937,000.00 1,971,147.51	105.31 0.28%	2,106,128.00 16,200.00	0.32% 134,980.49	A3 / A A	2.20 2.13
084670BR8	Berkshire Hathaway Callable Note Cont 1/15/2023 2.750% Due 03/15/2023	2,500,000.00	04/20/2018 3.28%	2,440,950.00 2,473,450.64	105.02 0.28%	2,625,405.00 20,243.06	0.40% 151,954.36	Aa2 / AA A+	2.20 1.98

Holdings Report

As of December 31, 2020

Orange County Sanitation District Long Term - Account #10268

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
58933YAF2	Merck & Co Note 2.800% Due 05/18/2023	2,000,000.00	10/26/2018 3.41%	1,948,640.00 1,973,191.38	106.05 0.25%	2,120,952.00 6,688.89	0.32% 147,760.62	A1 / AA- A+	2.38 2.31
46625HRL6	JP Morgan Chase Callable Note Cont 3/18/2023 2.700% Due 05/18/2023	5,000,000.00	Various 3.59%	4,821,910.00 4,903,340.53	105.13 0.37%	5,256,725.00 16,125.00	0.80% 353,384.47	A2 / A- AA-	2.38 2.16
69353RFL7	PNC Bank Callable Note Cont 5/9/2023 3.500% Due 06/08/2023	5,000,000.00	Various 3.53%	4,993,318.05 4,996,745.55	107.35 0.36%	5,367,575.01 11,180.56	0.82% 370,829.46	A2 / A A+	2.44 2.28
166764AH3	Chevron Corp Callable Note Cont 3/24/2023 3.191% Due 06/24/2023	3,500,000.00	11/08/2018 3.59%	3,441,095.00 3,468,378.79	106.36 0.33%	3,722,470.50 2,171.65	0.57% 254,091.71	Aa2 / AA NR	2.48 2.17
931142EK5	Wal-Mart Stores Callable Note Cont 5/26/2023 3.400% Due 06/26/2023	3,880,000.00	Various 3.41%	3,878,991.40 3,879,499.30	107.39 0.31%	4,166,902.72 1,832.22	0.63% 287,403.42	Aa2 / AA AA	2.48 2.33
02665WCJ8	American Honda Finance Note 3.450% Due 07/14/2023	845,000.00	07/11/2018 3.49%	843,538.15 844,259.46	107.70 0.39%	910,091.20 13,523.52	0.14% 65,831.74	A3 / A- NR	2.53 2.41
89114QC48	Toronto Dominion Bank Note 3.500% Due 07/19/2023	5,000,000.00	02/26/2019 3.04%	5,094,200.00 5,054,626.59	108.22 0.26%	5,410,915.00 78,750.00	0.83% 356,288.41	Aa1 / AA- AA	2.55 2.43
02665WCQ2	American Honda Finance Note 3.625% Due 10/10/2023	2,000,000.00	Various 3.64%	1,998,320.00 1,999,055.49	108.80 0.43%	2,176,002.00 16,312.50	0.33% 176,946.51	A3 / A- NR	2.78 2.65
24422EUM9	John Deere Capital Corp Note 3.650% Due 10/12/2023	1,250,000.00	11/28/2018 3.64%	1,250,237.50 1,250,135.52	109.17 0.33%	1,364,653.75 10,012.15	0.21% 114,518.23	A2 / A A	2.78 2.65
06051GHF9	Bank of America Corp Callable Note 1X 3/5/2023 3.550% Due 03/05/2024	6,675,000.00	Various 2.77%	6,770,625.75 6,736,763.94	106.83 0.40%	7,130,835.75 76,354.59	1.10% 394,071.81	A2 / A- A+	3.18 2.09
09247XAL5	Blackrock Inc Note 3.500% Due 03/18/2024	1,000,000.00	05/09/2019 2.69%	1,036,330.00 1,024,042.21	109.84 0.41%	1,098,403.00 10,013.89	0.17% 74,360.79	Aa3 / AA- NR	3.21 3.04
458140BD1	Intel Corp Callable Note Cont 3/11/2024 2.875% Due 05/11/2024	5,000,000.00	05/09/2019 2.76%	5,025,900.00 5,017,105.16	107.91 0.38%	5,395,365.00 19,965.28	0.82% 378,259.84	A1 / A+ A+	3.36 3.07
037833CU2	Apple Inc Callable Note Cont 3/11/2024 2.850% Due 05/11/2024	3,000,000.00	05/17/2019 2.72%	3,017,760.00 3,011,782.69	107.82 0.38%	3,234,747.00 11,875.00	0.49% 222,964.31	Aa1 / AA+ NR	3.36 3.07
89114QCA4	Toronto Dominion Bank Note 2.650% Due 06/12/2024	3,000,000.00	06/12/2019 2.65%	3,000,570.00 3,000,392.91	107.15 0.55%	3,214,563.00 4,195.83	0.49% 214,170.09	Aa3 / A AA-	3.45 3.31
02665WCZ2	American Honda Finance Note 2.400% Due 06/27/2024	1,219,000.00	07/10/2019 2.49%	1,213,843.63 1,215,377.45	106.22 0.60%	1,294,819.36 325.07	0.20% 79,441.91	A3 / A- NR	3.49 3.36
78013XZU5	Royal Bank of Canada Note 2.550% Due 07/16/2024	6,500,000.00	09/10/2019 2.28%	6,581,445.00 6,559,483.86	106.93 0.57%	6,950,762.00 75,968.75	1.07% 391,278.14	A2 / A AA	3.54 3.37
46647PAU0	JP Morgan Chase & Co Callable Note 1X 7/23/2023 3.797% Due 07/23/2024	2,500,000.00	09/12/2019 2.11%	2,632,175.00 2,596,893.52	108.48 0.64%	2,711,887.50 41,661.53	0.42% 114,993.98	A2 / A- AA-	3.56 3.32
90331HPL1	US Bank NA Callable Note Cont 12/21/2024 2.050% Due 01/21/2025	7,270,000.00	01/16/2020 2.10%	7,254,514.90 7,257,447.49	105.82 0.57%	7,693,273.94 66,237.78	1.18% 435,826.45	A1 / AA- AA-	4.06 3.80

Holdings Report

As of December 31, 2020

Orange County Sanitation District Long Term - Account #10268

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
00440EAS6	Chubb INA Holdings Inc Note 3.150% Due 03/15/2025	2,000,000.00	10/28/2020 0.78%	2,203,740.00 2,195,702.67	110.38 0.64%	2,207,528.00 18,550.00	0.34% 11,825.33	A3 / A A	4.21 3.94
438516CB0	Honeywell Intl Callable Note Cont 5/1/2025 1.350% Due 06/01/2025	5,000,000.00	06/23/2020 0.85%	5,119,000.00 5,106,233.20	103.61 0.51%	5,180,435.00 5,625.00	0.79% 74,201.80	A2 / A A	4.42 4.21
78015K7H1	Royal Bank of Canada Note 1.150% Due 06/10/2025	1,500,000.00	07/14/2020 0.93%	1,515,480.00 1,514,018.48	102.19 0.65%	1,532,811.00 1,006.25	0.23% 18,792.52	A2 / A AA	4.44 4.33
TOTAL Corporate		130,733,000.00	2.70%	131,456,830.50 131,136,925.73	0.37%	137,561,199.24 1,007,125.47	21.07% 6,424,273.51	A1 / A+ A+	2.40 2.20
Money Market Fund FI									
31846V567	First American Govt Obligation MMKT Class-Z	10,413,934.72	Various 0.03%	10,413,934.72 10,413,934.72	1.00 0.03%	10,413,934.72 0.00	1.58% 0.00	Aaa / AAA AAA	0.00 0.00
TOTAL Money Market Fund FI		10,413,934.72	0.03%	10,413,934.72	0.03%	10,413,934.72 0.00	1.58% 0.00	Aaa / AAA Aaa	0.00 0.00
Mortgage Pass Thru									
36225CAZ9	GNMA Pool# G2 80023 3.030% Due 12/20/2026	11,409.55	08/08/1997 2.92%	11,598.50 11,448.00	103.39 0.41%	11,796.72 28.81	0.00% 348.72	Aaa / AA+ AAA	5.97 2.47
36225CC20	GNMA Pool# G2 80088 1.670% Due 06/20/2027	8,992.74	08/11/1997 1.54%	9,189.46 9,035.39	101.86 1.30%	9,160.41 12.51	0.00% 125.02	Aaa / AA+ AAA	6.47 2.21
31348SWZ3	FHLMC FH 786064 2.257% Due 01/01/2028	1,579.26	02/18/2000 2.44%	1,540.80 1,569.60	99.93 2.19%	1,578.08 2.97	0.00% 8.48	Aaa / AA+ AAA	7.01 3.37
31371NUC7	FNMA FN 257179 4.500% Due 04/01/2028	10,705.20	12/05/2011 3.72%	11,321.80 10,979.28	108.30 0.91%	11,593.44 40.14	0.00% 614.16	Aaa / AA+ AAA	7.25 2.34
31417YAY3	FNMA Pool# FN MA0022 4.500% Due 04/01/2029	11,574.11	12/05/2011 3.76%	12,240.76 11,891.82	108.31 1.12%	12,535.95 43.40	0.00% 644.13	Aaa / AA+ AAA	8.25 2.50
3138EG6F6	FNMA FN AL0869 4.500% Due 06/01/2029	6,954.15	12/05/2011 3.77%	7,354.71 7,147.05	109.26 0.65%	7,597.91 6.08	0.00% 450.86	Aaa / AA+ AAA	8.42 2.44
36225CNM4	GNMA Pool# G2 80395 1.670% Due 04/20/2030	4,774.05	03/15/2000 1.73%	4,730.75 4,760.59	104.04 0.47%	4,966.71 6.64	0.00% 206.12	Aaa / AA+ AAA	9.31 2.86
36225CN28	GNMA Pool# G2 80408 1.670% Due 05/20/2030	35,807.33	03/15/2000 1.73%	35,443.65 35,693.57	104.04 0.48%	37,253.02 49.83	0.01% 1,559.45	Aaa / AA+ AAA	9.39 2.90
31403GXF4	FNMA Pool# FN 748678 5.000% Due 10/01/2033	1,318.11	06/10/2013 4.16%	1,416.97 1,380.45	112.89 0.74%	1,488.03 5.49	0.00% 107.58	Aaa / AA+ AAA	12.76 3.05
36225DCB8	GNMA Pool# G2 80965 1.620% Due 07/20/2034	31,941.85	07/19/2004 1.62%	31,921.90 31,932.81	104.39 0.26%	33,342.85 43.12	0.01% 1,410.04	Aaa / AA+ AAA	13.56 2.94

Holdings Report

As of December 31, 2020

Orange County Sanitation District Long Term - Account #10268

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
31406XWT5	FNMA Pool# FN 823358 3.640% Due 02/01/2035	91,103.52	01/11/2006 3.71%	90,391.78 90,758.12	104.40 0.97%	95,110.44 276.34	0.01% 4,352.32	Aaa / AA+ AAA	14.10 4.32
31406PQY8	FNMA Pool# FN 815971 5.000% Due 03/01/2035	105,426.67	06/10/2013 4.21%	113,333.69 110,603.92	116.26 0.47%	122,565.88 439.28	0.02% 11,961.96	Aaa / AA+ AAA	14.17 3.58
31407BXH7	FNMA Pool# FN 826080 5.000% Due 07/01/2035	13,805.58	06/10/2013 4.22%	14,840.99 14,488.97	116.27 0.28%	16,051.68 57.52	0.00% 1,562.71	Aaa / AA+ AAA	14.51 3.45
31376KT22	FNMA FN 357969 5.000% Due 09/01/2035	78,622.38	06/10/2013 4.22%	84,519.04 82,529.66	116.30 1.39%	91,436.65 76.44	0.01% 8,906.99	Aaa / AA+ AAA	14.68 4.45
31403DJZ3	FNMA Pool #745580 5.000% Due 06/01/2036	70,722.80	06/10/2013 4.26%	76,027.00 74,296.17	116.15 0.73%	82,142.41 294.68	0.01% 7,846.24	Aaa / AA+ AAA	15.43 3.76
31410F4V4	FNMA Pool# FN 888336 5.000% Due 07/01/2036	130,793.54	06/10/2013 4.25%	140,603.07 137,413.54	115.89 0.08%	151,573.36 544.97	0.02% 14,159.82	Aaa / AA+ AAA	15.51 3.25
TOTAL Mortgage Pass Thru		615,530.84	3.80%	646,474.87 635,928.94	0.63%	690,193.54 1,928.22	0.11% 54,264.60	Aaa / AA+ Aaa	13.81 3.58
Municipal Bonds									
913366EJ5	Univ of California Rgts Med TE-REV 5.035% Due 05/15/2021	400,000.00	11/09/2010 5.04%	400,000.00 400,000.00	101.66 0.57%	406,632.00 2,573.44	0.06% 6,632.00	Aa3 / AA- AA-	0.37 0.37
TOTAL Municipal Bonds		400,000.00	5.04%	400,000.00	0.57%	406,632.00 2,573.44	0.06% 6,632.00	Aa3 / AA- AA-	0.37 0.37
Negotiable CD									
06417MMB8	Bank of Nova Scotia Houston Yankee CD 0.280% Due 11/24/2021	5,000,000.00	11/24/2020 0.28%	5,000,000.00 5,000,000.00	100.00 0.28%	5,000,000.00 1,438.89	0.76% 0.00	P-1 / A-1 F-1+	0.90 0.90
TOTAL Negotiable CD		5,000,000.00	0.28%	5,000,000.00	0.28%	5,000,000.00 1,438.89	0.76% 0.00	Aaa / AA Aaa	0.90 0.90
Supranational									
45950KCM0	International Finance Corp Note 2.250% Due 01/25/2021	2,970,000.00	01/18/2018 2.35%	2,961,268.20 2,969,808.79	100.13 0.35%	2,973,760.02 28,957.50	0.46% 3,951.23	Aaa / AAA NR	0.07 0.07
4581XOCS5	Inter-American Dev Bank Note 1.875% Due 03/15/2021	5,000,000.00	Various 1.69%	5,059,610.00 5,001,820.48	100.32 0.33%	5,015,855.00 27,604.17	0.77% 14,034.52	Aaa / AAA AAA	0.20 0.21
45950KCJ7	International Finance Corp Note 1.125% Due 07/20/2021	2,500,000.00	11/09/2016 1.64%	2,441,600.00 2,493,181.55	100.51 0.20%	2,512,820.00 12,578.13	0.38% 19,638.45	Aaa / AAA NR	0.55 0.55
4581XOCW6	Inter-American Dev Bank Note 2.125% Due 01/18/2022	3,000,000.00	01/10/2017 2.15%	2,996,310.00 2,999,228.05	101.94 0.27%	3,058,110.00 28,864.58	0.47% 58,881.95	Aaa / NR AAA	1.05 1.03

Orange County Sanitation District Long Term - Account #10268

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
459058FY4	Intl. Bank Recon & Development Note 2.000% Due 01/26/2022	10,000,000.00	Various 1.99%	10,006,350.00 10,001,024.42	101.91 0.21%	10,191,220.00 86,111.12	1.56% 190,195.58	Aaa / NR AAA	1.07 1.05
4581X0CZ9	Inter-American Dev Bank Note 1.750% Due 09/14/2022	6,500,000.00	Various 2.65%	6,249,655.00 6,406,848.88	102.67 0.18%	6,673,842.50 33,809.02	1.02% 266,993.62	Aaa / AAA AAA	1.70 1.68
459058JB0	Intl. Bank Recon & Development Note 0.625% Due 04/22/2025	6,245,000.00	04/15/2020 0.70%	6,220,831.85 6,224,193.68	100.97 0.40%	6,305,326.70 7,480.99	0.96% 81,133.02	Aaa / AAA NR	4.31 4.24
459058JL8	Intl. Bank Recon & Development Note 0.500% Due 10/28/2025	6,920,000.00	10/21/2020 0.52%	6,912,180.40 6,912,458.75	100.19 0.46%	6,932,947.32 6,055.00	1.06% 20,488.57	Aaa / AAA AAA	4.83 4.76
TOTAL Supranational				42,847,805.45	0.30%	43,663,881.54	6.67%	Aaa / AAA	2.03
		43,135,000.00	1.66%	43,008,564.60		231,460.51	655,316.94	Aaa	2.00

US Treasury

9127963W7	US Treasury Bill 0.085% Due 02/04/2021	15,000,000.00	12/29/2020 0.09%	14,998,725.00 14,998,795.83	99.99 0.09%	14,998,795.83 0.00	2.28% 0.00	P-1 / A-1+ F-1+	0.10 0.10
912828T34	US Treasury Note 1.125% Due 09/30/2021	7,000,000.00	Various 1.88%	6,757,914.08 6,962,471.21	100.75 0.12%	7,052,773.00 20,120.19	1.08% 90,301.79	Aaa / AA+ AAA	0.75 0.74
912828T67	US Treasury Note 1.250% Due 10/31/2021	6,000,000.00	12/13/2016 1.92%	5,813,691.98 5,968,321.36	100.93 0.13%	6,055,782.00 12,845.30	0.92% 87,460.64	Aaa / AA+ AAA	0.83 0.83
912828U65	US Treasury Note 1.750% Due 11/30/2021	7,000,000.00	12/28/2016 2.06%	6,900,492.20 6,981,560.32	101.48 0.13%	7,103,362.00 10,769.23	1.08% 121,801.68	Aaa / AA+ AAA	0.92 0.91
912828V72	US Treasury Note 1.875% Due 01/31/2022	3,000,000.00	02/27/2017 1.84%	3,004,814.74 3,001,057.74	101.89 0.13%	3,056,718.00 23,539.40	0.47% 55,660.26	Aaa / AA+ AAA	1.08 1.07
912828J76	US Treasury Note 1.750% Due 03/31/2022	5,000,000.00	04/25/2017 1.85%	4,976,383.94 4,994,043.50	102.03 0.12%	5,101,560.00 22,355.77	0.78% 107,516.50	Aaa / AA+ AAA	1.25 1.23
912828XW5	US Treasury Note 1.750% Due 06/30/2022	5,000,000.00	07/25/2017 1.86%	4,973,454.25 4,991,962.54	102.43 0.13%	5,121,680.00 241.71	0.78% 129,717.46	Aaa / AA+ AAA	1.50 1.49
912828L24	US Treasury Note 1.875% Due 08/31/2022	6,000,000.00	09/27/2017 1.92%	5,987,832.60 5,995,892.32	102.90 0.13%	6,173,904.00 38,225.14	0.94% 178,011.68	Aaa / AA+ AAA	1.67 1.63
912828L57	US Treasury Note 1.750% Due 09/30/2022	16,000,000.00	Various 1.98%	15,822,656.25 15,938,448.94	102.82 0.13%	16,451,872.00 71,538.46	2.51% 513,423.06	Aaa / AA+ AAA	1.75 1.72
912828M80	US Treasury Note 2.000% Due 11/30/2022	8,000,000.00	12/22/2017 2.25%	7,907,500.00 7,964,130.56	103.58 0.13%	8,286,560.00 14,065.93	1.26% 322,429.44	Aaa / AA+ AAA	1.92 1.88
912828N30	US Treasury Note 2.125% Due 12/31/2022	5,000,000.00	01/24/2018 2.44%	4,926,562.50 4,970,274.33	103.98 0.13%	5,199,025.00 293.51	0.79% 228,750.67	Aaa / AA+ AAA	2.00 1.97
9128284D9	US Treasury Note 2.500% Due 03/31/2023	10,000,000.00	Various 2.75%	9,887,265.63 9,948,811.09	105.30 0.14%	10,529,690.00 63,873.63	1.61% 580,878.91	Aaa / AA+ AAA	2.25 2.19

Holdings Report

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CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
912828R69	US Treasury Note 1.625% Due 05/31/2023	5,000,000.00	05/30/2018 2.67%	4,757,226.56 4,883,000.75	103.57 0.14%	5,178,320.00 7,142.86	0.79% 295,319.25	Aaa / AA+ AAA	2.41 2.37
912828U57	US Treasury Note 2.125% Due 11/30/2023	15,000,000.00	Various 2.53%	14,723,632.81 14,833,459.00	105.73 0.15%	15,859,575.00 28,021.98	2.42% 1,026,116.00	Aaa / AA+ AAA	2.92 2.84
91282CBA8	US Treasury Note 0.125% Due 12/15/2023	6,500,000.00	12/29/2020 0.17%	6,491,367.19 6,491,383.18	99.88 0.16%	6,492,382.00 379.46	0.99% 998.82	Aaa / AA+ AAA	2.96 2.95
912828V80	US Treasury Note 2.250% Due 01/31/2024	7,500,000.00	Various 2.27%	7,491,503.91 7,494,522.88	106.39 0.17%	7,979,295.00 70,618.20	1.22% 484,772.12	Aaa / AA+ AAA	3.08 2.97
912828W48	US Treasury Note 2.125% Due 02/29/2024	10,000,000.00	04/24/2019 2.32%	9,911,718.75 9,942,475.12	106.13 0.18%	10,613,280.00 72,203.04	1.62% 670,804.88	Aaa / AA+ AAA	3.16 3.06
912828WJ5	US Treasury Note 2.500% Due 05/15/2024	7,000,000.00	06/10/2019 1.91%	7,193,046.88 7,131,915.37	107.76 0.19%	7,543,046.00 22,720.99	1.15% 411,130.63	Aaa / AA+ AAA	3.37 3.25
912828XX3	US Treasury Note 2.000% Due 06/30/2024	5,000,000.00	07/12/2019 1.88%	5,028,710.94 5,020,218.08	106.25 0.21%	5,312,695.00 276.24	0.81% 292,476.92	Aaa / AA+ AAA	3.50 3.40
912828WU0	US Treasury Inflation Index Note 0.125% Due 07/15/2024	11,404,744.00	Various 0.22%	11,292,956.76 11,365,063.67	107.07 (1.80%)	12,210,797.13 6,585.59	1.86% 845,733.46	Aaa / AA+ AAA	3.54 3.56
912828YH7	US Treasury Note 1.500% Due 09/30/2024	14,000,000.00	Various 1.72%	13,859,296.88 13,889,843.08	104.71 0.24%	14,660,072.00 53,653.85	2.24% 770,228.92	Aaa / AA+ AAA	3.75 3.64
9128283J7	US Treasury Note 2.125% Due 11/30/2024	16,500,000.00	Various 1.76%	16,783,886.72 16,724,378.57	107.29 0.25%	17,703,345.00 30,824.18	2.70% 978,966.43	Aaa / AA+ AAA	3.92 3.77
912828ZL7	US Treasury Note 0.375% Due 04/30/2025	12,000,000.00	Various 0.38%	11,998,515.63 11,998,665.33	100.36 0.29%	12,043,596.00 7,707.19	1.83% 44,930.67	Aaa / AA+ AAA	4.33 4.29
91282CAM3	US Treasury Note 0.250% Due 09/30/2025	6,500,000.00	10/16/2020 0.32%	6,477,656.25 6,478,571.27	99.62 0.33%	6,475,371.50 4,151.79	0.99% (3,199.77)	Aaa / AA+ AAA	4.75 4.71
91282CBC4	US Treasury Note 0.375% Due 12/31/2025	7,000,000.00	12/29/2020 0.38%	6,999,453.13 6,999,453.43	100.08 0.36%	7,005,467.00 72.51	1.07% 6,013.57	Aaa / AA+ AAA	5.00 4.95
TOTAL US Treasury		216,404,744.00	1.61%	214,966,265.58 215,968,719.47	0.07%	224,208,963.46 582,226.15	34.18% 8,240,243.99	Aaa / AA+ Aaa	2.63 2.58
TOTAL PORTFOLIO		632,352,583.81	1.80%	632,986,846.50 633,352,660.24	0.22%	655,005,456.04 2,623,087.03	100.00% 21,652,795.80	Aa1 / AA+ Aaa	2.62 2.44
TOTAL MARKET VALUE PLUS ACCRUALS						657,628,543.07			

Holdings Report

As of December 31, 2020

Orange County Sanitation District Liquid - Account #10282

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
Agency									
313385AD8	FHLB Discount Note 0.160% Due 01/04/2021	1,500,000.00	04/30/2020 0.16%	1,498,340.00 1,499,980.00	100.00 0.16%	1,499,980.00 0.00	0.66% 0.00	P-1 / A-1+ F-1+	0.01 0.01
313385AX4	FHLB Discount Note 0.073% Due 01/22/2021	9,000,000.00	12/28/2020 0.07%	8,999,543.75 8,999,616.75	100.00 0.07%	8,999,616.75 0.00	3.99% 0.00	P-1 / A-1+ F-1+	0.06 0.06
313385BL9	FHLB Discount Note 0.085% Due 02/04/2021	9,000,000.00	12/29/2020 0.09%	8,999,213.75 8,999,277.50	99.99 0.09%	8,999,277.50 0.00	3.99% 0.00	P-1 / A-1+ F-1+	0.10 0.10
TOTAL Agency		19,500,000.00	0.09%	19,497,097.50 19,498,874.25	0.09%	19,498,874.25 0.00	8.64% 0.00	Aaa / AAA Aaa	0.07 0.07
Corporate									
89114QBX5	Toronto Dominion Bank Note 2.550% Due 01/25/2021	1,750,000.00	05/06/2020 0.56%	1,774,762.50 1,752,268.32	100.12 0.76%	1,752,080.75 19,337.50	0.78% (187.57)	Aa1 / AA- AA	0.07 0.07
494368BF9	Kimberly-Clark Note 3.875% Due 03/01/2021	750,000.00	05/14/2020 0.66%	768,877.50 753,880.74	100.53 0.66%	754,007.25 9,687.50	0.34% 126.51	A2 / A NR	0.16 0.17
69371RN93	Paccar Financial Corp Note 2.800% Due 03/01/2021	600,000.00	09/08/2020 0.25%	607,086.00 602,488.54	100.34 0.74%	602,052.00 5,600.00	0.27% (436.54)	A1 / A+ NR	0.16 0.17
037833AR1	Apple Inc Note 2.850% Due 05/06/2021	1,155,000.00	05/08/2020 0.44%	1,182,327.30 1,164,515.08	100.81 0.50%	1,164,387.84 5,029.06	0.52% (127.24)	Aa1 / AA+ NR	0.35 0.35
89236TBJ3	Toyota Motor Credit Corp Note 2.750% Due 05/17/2021	1,500,000.00	09/28/2020 0.28%	1,523,295.00 1,513,834.59	100.90 0.35%	1,513,563.00 5,041.67	0.67% (271.59)	A1 / A+ A+	0.38 0.38
808513AW5	Charles Schwab Corp Callable Note Cont 4/21/2021 3.250% Due 05/21/2021	1,385,000.00	05/26/2020 0.47%	1,419,472.65 1,396,560.95	100.90 0.31%	1,397,399.91 5,001.39	0.62% 838.96	A2 / A A	0.39 0.31
TOTAL Corporate		7,140,000.00	0.45%	7,275,820.95 7,183,548.22	0.53%	7,183,490.75 49,697.12	3.20% (57.47)	A1 / A+ A+	0.26 0.24
Money Market Fund FI									
31846V567	First American Govt Obligation MMKT Class-Z	10,599,075.52	Various 0.03%	10,599,075.52 10,599,075.52	1.00 0.03%	10,599,075.52 0.00	4.70% 0.00	Aaa / AAA AAA	0.00 0.00
TOTAL Money Market Fund FI		10,599,075.52	0.03%	10,599,075.52 10,599,075.52	0.03%	10,599,075.52 0.00	4.70% 0.00	Aaa / AAA Aaa	0.00 0.00
Negotiable CD									
78012UVJ1	Royal Bank of Canada Yankee CD 1.000% Due 02/19/2021	1,500,000.00	04/20/2020 1.00%	1,500,000.00 1,500,000.00	100.12 0.17%	1,501,732.50 10,625.00	0.67% 1,732.50	P-1 / A-1+ F-1+	0.14 0.14

Holdings Report

As of December 31, 2020

Orange County Sanitation District Liquid - Account #10282

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
55380TMD9	MUFG Bank Yankee CD 0.240% Due 04/21/2021	2,500,000.00	12/21/2020 0.24%	2,500,000.00 2,500,000.00	100.00 0.24%	2,500,000.00 183.33	1.11% 0.00	P-1 / A-1 F-1	0.30 0.30
TOTAL Negotiable CD		4,000,000.00	0.53%	4,000,000.00	0.21%	10,808.33	1,732.50	Aaa / AA+ AA+	0.24 0.24
Supranational									
459058FH1	Intl. Bank Recon & Development Note 1.375% Due 05/24/2021	1,000,000.00	06/19/2020 0.22%	1,010,570.00 1,004,511.97	100.45 0.24%	1,004,489.00 1,413.19	0.45% (22.97)	Aaa / AAA AAA	0.39 0.40
TOTAL Supranational		1,000,000.00	0.22%	1,004,511.97	0.24%	1,413.19	(22.97)	Aaa / AAA Aaa	0.39 0.40
US Treasury									
912796UC1	US Treasury Bill 0.149% Due 01/28/2021	58,250,000.00	Various 0.15%	58,193,363.48 58,243,479.69	99.99 0.15%	58,243,479.69 0.00	25.81% 0.00	P-1 / A-1+ F-1+	0.08 0.08
912796XE4	US Treasury Bill 0.126% Due 02/25/2021	10,000,000.00	Various 0.13%	9,991,378.33 9,998,075.00	99.98 0.13%	9,998,075.00 0.00	4.43% 0.00	P-1 / A-1+ F-1+	0.15 0.15
912828WR7	US Treasury Note 2.125% Due 06/30/2021	8,000,000.00	Various 0.12%	8,118,398.44 8,079,193.78	100.99 0.14%	8,079,376.00 469.61	3.58% 182.22	Aaa / AA+ AAA	0.50 0.50
9128287A2	US Treasury Note 1.625% Due 06/30/2021	19,000,000.00	Various 0.10%	19,180,937.51 19,143,300.56	100.74 0.14%	19,141,018.00 852.91	8.48% (2,282.56)	Aaa / AA+ AAA	0.50 0.50
912828S27	US Treasury Note 1.125% Due 06/30/2021	27,000,000.00	12/28/2020 0.09%	27,141,328.14 27,139,011.30	100.50 0.12%	27,135,000.00 839.10	12.02% (4,011.30)	Aaa / AA+ AAA	0.50 0.50
912828WY2	US Treasury Note 2.250% Due 07/31/2021	8,000,000.00	Various 0.12%	8,144,296.88 8,098,575.69	101.23 0.15%	8,098,128.00 75,326.08	3.62% (447.69)	Aaa / AA+ AAA	0.58 0.58
912828S76	US Treasury Note 1.125% Due 07/31/2021	43,000,000.00	Various 0.10%	43,267,968.77 43,256,528.08	100.59 0.12%	43,251,937.00 202,438.84	19.25% (4,591.08)	Aaa / AA+ AAA	0.58 0.58
912828YC8	US Treasury Note 1.500% Due 08/31/2021	9,000,000.00	12/28/2020 0.09%	9,084,726.56 9,083,689.09	100.92 0.11%	9,082,971.00 45,870.17	4.04% (718.09)	Aaa / AA+ AAA	0.67 0.66
TOTAL US Treasury		182,250,000.00	0.12%	183,122,398.11 183,041,853.19	0.14%	183,029,984.69 325,796.71	81.24% (11,868.50)	Aaa / AAA Aaa	0.38 0.38
TOTAL PORTFOLIO		224,489,075.52	0.13%	225,504,962.08 225,327,863.15	0.14%	225,317,646.71 387,715.35	100.00% (10,216.44)	Aaa / AAA Aaa	0.33 0.33
TOTAL MARKET VALUE PLUS ACCRUALS						225,705,362.06			

Holdings Report

As of December 31, 2020

OC SAN Lehman Exposure - Account #10284

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
Common Stock									
SLHOPNTA4	Lehman Brothers, Inc Open Position Long Exposure 0.000% Due 12/31/2020	60,641.49	11/21/2014 0.00%	57,842.64 57,842.64	0.42 0.00%	25,621.03 0.00	46.80% (32,221.61)	NR / NR NR	0.00 0.00
TOTAL Common Stock		60,641.49	0.00%	57,842.64	0.00%	25,621.03 0.00	46.80% (32,221.61)	NR / NR NR	0.00 0.00
Corporate									
525ESCIB7	Lehman Brothers Note-Defaulted 0.000% Due 01/24/2021	600,000.00	09/19/2008 0.00%	318,131.38 318,131.38	1.12 0.00%	6,720.00 0.00	12.28% (311,411.38)	NR / NR NR	0.07 0.00
525ESCOY6	Lehman Brothers Note-Defaulted 0.000% Due 10/22/2049	2,000,000.00	09/18/2008 0.00%	1,025,037.05 1,025,037.05	1.12 0.00%	22,400.00 0.00	40.92% (1,002,637.05)	NR / NR NR	28.83 0.00
TOTAL Corporate		2,600,000.00	0.00%	1,343,168.43 1,343,168.43	0.00%	29,120.00 0.00	53.20% (1,314,048.43)	NR / NR NR	22.19 0.00
TOTAL PORTFOLIO		2,660,641.49	0.00%	1,401,011.07 1,401,011.07	0.00%	54,741.03 0.00	100.00% (1,346,270.04)	NR / NR NR	11.80 0.00
TOTAL MARKET VALUE PLUS ACCRUALS						54,741.03			



Section 5 | Transactions

Transaction Ledger

As of December 31, 2020

Orange County Sanitation District Long Term - Account #10268

September 30, 2020 through December 31, 2020

Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
ACQUISITIONS										
Purchase	10/19/2020	91282CAM3	6,500,000.00	US Treasury Note 0.25% Due: 09/30/2025	99.656	0.32%	6,477,656.25	848.21	6,478,504.46	0.00
Purchase	10/28/2020	459058JL8	6,920,000.00	Intl. Bank Recon & Development Note 0.5% Due: 10/28/2025	99.887	0.52%	6,912,180.40	0.00	6,912,180.40	0.00
Purchase	10/30/2020	00440EAS6	2,000,000.00	Chubb INA Holdings Inc Note 3.15% Due: 03/15/2025	110.187	0.78%	2,203,740.00	7,875.00	2,211,615.00	0.00
Purchase	11/12/2020	3135G06G3	8,255,000.00	FNMA Note 0.5% Due: 11/07/2025	99.642	0.57%	8,225,447.10	0.00	8,225,447.10	0.00
Purchase	11/25/2020	06417MMB8	5,000,000.00	Bank of Nova Scotia Houston Yankee CD 0.28% Due: 11/24/2021	100.000	0.28%	5,000,000.00	0.00	5,000,000.00	0.00
Purchase	12/30/2020	9127963W7	15,000,000.00	US Treasury Bill 0.085% Due: 02/04/2021	99.992	0.09%	14,998,725.00	0.00	14,998,725.00	0.00
Purchase	12/30/2020	91282CBA8	6,500,000.00	US Treasury Note 0.125% Due: 12/15/2023	99.867	0.17%	6,491,367.19	334.82	6,491,702.01	0.00
Purchase	12/31/2020	91282CBC4	7,000,000.00	US Treasury Note 0.375% Due: 12/31/2025	99.992	0.38%	6,999,453.13	0.00	6,999,453.13	0.00
Subtotal			57,175,000.00				57,308,569.07	9,058.03	57,317,627.10	0.00
Security Contribution	10/31/2020	912828WU0	36,504.00	US Treasury Inflation Index Note 0.125% Due: 07/15/2024	100.000		36,504.00	13.39	36,517.39	0.00
Security Contribution	11/30/2020	912828WU0	16,432.00	US Treasury Inflation Index Note 0.125% Due: 07/15/2024	100.000		16,432.00	7.70	16,439.70	0.00

Transaction Ledger

As of December 31, 2020

Orange County Sanitation District Long Term - Account #10268

September 30, 2020 through December 31, 2020

Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
Security Contribution	12/31/2020	912828WU0	5,200.00	US Treasury Inflation Index Note 0.125% Due: 07/15/2024	100.000		5,200.00	2.99	5,202.99	0.00
Subtotal			58,136.00				58,136.00	24.08	58,160.08	0.00
TOTAL ACQUISITIONS			57,233,136.00				57,366,705.07	9,082.11	57,375,787.18	0.00
DISPOSITIONS										
Sale	10/19/2020	912828N89	6,000,000.00	US Treasury Note 1.375% Due: 01/31/2021	100.355	1.71%	6,021,328.13	17,934.78	6,039,262.91	28,484.65
Sale	10/22/2020	912828L99	6,500,000.00	US Treasury Note 1.375% Due: 10/31/2020	100.035	1.77%	6,502,285.16	42,501.70	6,544,786.86	2,950.34
Sale	11/10/2020	3135G0F73	7,500,000.00	FNMA Note 1.5% Due: 11/30/2020	100.079	1.87%	7,505,925.00	50,000.00	7,555,925.00	7,352.99
Subtotal			20,000,000.00				20,029,538.29	110,436.48	20,139,974.77	38,787.98
Maturity	11/01/2020	64971M5E8	1,400,000.00	New York NY TE-REV 4.075% Due: 11/01/2020	100.000	4.08%	1,400,000.00	0.00	1,400,000.00	0.00
Maturity	11/17/2020	3137EAEK1	5,000,000.00	FHLMC Note 1.875% Due: 11/17/2020	100.000		5,000,000.00	0.00	5,000,000.00	0.00
Subtotal			6,400,000.00				6,400,000.00	0.00	6,400,000.00	0.00
TOTAL DISPOSITIONS			26,400,000.00				26,429,538.29	110,436.48	26,539,974.77	38,787.98

Transaction Ledger

As of December 31, 2020

Orange County Sanitation District Liquid - Account #10282

September 30, 2020 through December 31, 2020

Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
ACQUISITIONS										
Purchase	10/14/2020	912828WR7	5,000,000.00	US Treasury Note 2.125% Due: 06/30/2021	101.426	0.12%	5,071,289.06	30,604.62	5,101,893.68	0.00
Purchase	10/27/2020	9128287A2	5,000,000.00	US Treasury Note 1.625% Due: 06/30/2021	101.016	0.12%	5,050,781.25	26,273.78	5,077,055.03	0.00
Purchase	10/27/2020	912828S76	5,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.758	0.13%	5,037,890.63	13,451.09	5,051,341.72	0.00
Purchase	10/30/2020	9128287A2	4,000,000.00	US Treasury Note 1.625% Due: 06/30/2021	101.008	0.12%	4,040,312.50	21,548.91	4,061,861.41	0.00
Purchase	11/30/2020	9128287A2	5,000,000.00	US Treasury Note 1.625% Due: 06/30/2021	100.898	0.09%	5,044,921.88	33,780.57	5,078,702.45	0.00
Purchase	11/30/2020	9128287A2	5,000,000.00	US Treasury Note 1.625% Due: 06/30/2021	100.898	0.09%	5,044,921.88	33,780.57	5,078,702.45	0.00
Purchase	12/21/2020	55380TMD9	2,500,000.00	MUFG Bank Yankee CD 0.24% Due: 04/21/2021	100.000	0.24%	2,500,000.00	0.00	2,500,000.00	0.00
Purchase	12/28/2020	313385AX4	9,000,000.00	FHLB Discount Note 0.073% Due: 01/22/2021	99.995	0.07%	8,999,543.75	0.00	8,999,543.75	0.00
Purchase	12/29/2020	313385BL9	9,000,000.00	FHLB Discount Note 0.085% Due: 02/04/2021	99.991	0.09%	8,999,213.75	0.00	8,999,213.75	0.00
Purchase	12/29/2020	912828S27	9,000,000.00	US Treasury Note 1.125% Due: 06/30/2021	100.523	0.09%	9,047,109.38	50,074.73	9,097,184.11	0.00
Purchase	12/29/2020	912828S27	9,000,000.00	US Treasury Note 1.125% Due: 06/30/2021	100.523	0.09%	9,047,109.38	50,074.73	9,097,184.11	0.00
Purchase	12/29/2020	912828S27	9,000,000.00	US Treasury Note 1.125% Due: 06/30/2021	100.523	0.09%	9,047,109.38	50,074.73	9,097,184.11	0.00
Purchase	12/29/2020	912828S76	9,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.605	0.10%	9,054,492.19	41,545.52	9,096,037.71	0.00
Purchase	12/29/2020	912828YC8	9,000,000.00	US Treasury Note 1.5% Due: 08/31/2021	100.941	0.09%	9,084,726.56	44,751.38	9,129,477.94	0.00
Purchase	12/30/2020	912828S76	6,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.605	0.09%	6,036,328.13	27,880.43	6,064,208.56	0.00
Purchase	12/30/2020	912828S76	9,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.605	0.09%	9,054,492.19	41,820.65	9,096,312.84	0.00

Transaction Ledger

As of December 31, 2020

Orange County Sanitation District Liquid - Account #10282

September 30, 2020 through December 31, 2020

Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
Purchase	12/30/2020	912828S76	9,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.605	0.09%	9,054,492.19	41,820.65	9,096,312.84	0.00
Purchase	12/30/2020	912828S76	5,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.605	0.09%	5,030,273.44	23,233.70	5,053,507.14	0.00
Subtotal			123,500,000.00				124,245,007.54	530,716.06	124,775,723.60	0.00
TOTAL ACQUISITIONS			123,500,000.00				124,245,007.54	530,716.06	124,775,723.60	0.00
DISPOSITIONS										
Maturity	10/08/2020	912796TN9	5,000,000.00	US Treasury Bill 0.113% Due: 10/08/2020	100.000		5,000,000.00	0.00	5,000,000.00	0.00
Maturity	10/13/2020	313384K57	6,500,000.00	FHLB Discount Note 0.12% Due: 10/13/2020	100.000		6,500,000.00	0.00	6,500,000.00	0.00
Maturity	10/15/2020	46625HHU7	1,160,000.00	JP Morgan Chase Note 4.25% Due: 10/15/2020	100.000		1,160,000.00	0.00	1,160,000.00	0.00
Maturity	10/22/2020	9127962S7	5,000,000.00	US Treasury Bill 0.109% Due: 10/22/2020	100.000		5,000,000.00	0.00	5,000,000.00	0.00
Maturity	11/03/2020	00440EAT4	500,000.00	Chubb INA Holdings Inc Callable Note Cont 10/3/2020 2.3% Due: 11/03/2020	100.000		500,000.00	0.00	500,000.00	0.00
Maturity	11/05/2020	912796TP4	5,000,000.00	US Treasury Bill 0.1% Due: 11/05/2020	100.000		5,000,000.00	0.00	5,000,000.00	0.00
Maturity	11/23/2020	89233GLP9	1,500,000.00	Toyota Motor Credit Discount CP 0.26% Due: 11/23/2020	99.915		1,500,000.00	0.00	1,500,000.00	0.00
Maturity	11/24/2020	313384Q77	4,800,000.00	FHLB Discount Note 0.12% Due: 11/24/2020	100.000		4,800,000.00	0.00	4,800,000.00	0.00
Maturity	12/14/2020	92826CAB8	500,000.00	Visa Inc Callable Note Cont 11/14/2020 2.2% Due: 12/14/2020	100.000		500,000.00	0.00	500,000.00	0.00

Transaction Ledger

As of December 31, 2020

Orange County Sanitation District Liquid - Account #10282

September 30, 2020 through December 31, 2020

Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
Maturity	12/31/2020	912796TY5	5,000,000.00	US Treasury Bill 0.136% Due: 12/31/2020	100.000		5,000,000.00	0.00	5,000,000.00	0.00
Subtotal			34,960,000.00				34,960,000.00	0.00	34,960,000.00	0.00
TOTAL DISPOSITIONS			34,960,000.00				34,960,000.00	0.00	34,960,000.00	0.00

Transaction Ledger

As of December 31, 2020

Orange County Sanitation District Consolidated - Account #10283

September 30, 2020 through December 31, 2020

Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
ACQUISITIONS										
Purchase	10/14/2020	912828WR7	5,000,000.00	US Treasury Note 2.125% Due: 06/30/2021	101.426	0.12%	5,071,289.06	30,604.62	5,101,893.68	0.00
Purchase	10/19/2020	91282CAM3	6,500,000.00	US Treasury Note 0.25% Due: 09/30/2025	99.656	0.32%	6,477,656.25	848.21	6,478,504.46	0.00
Purchase	10/27/2020	9128287A2	5,000,000.00	US Treasury Note 1.625% Due: 06/30/2021	101.016	0.12%	5,050,781.25	26,273.78	5,077,055.03	0.00
Purchase	10/27/2020	912828S76	5,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.758	0.13%	5,037,890.63	13,451.09	5,051,341.72	0.00
Purchase	10/28/2020	459058JL8	6,920,000.00	Intl. Bank Recon & Development Note 0.5% Due: 10/28/2025	99.887	0.52%	6,912,180.40	0.00	6,912,180.40	0.00
Purchase	10/30/2020	00440EAS6	2,000,000.00	Chubb INA Holdings Inc Note 3.15% Due: 03/15/2025	110.187	0.78%	2,203,740.00	7,875.00	2,211,615.00	0.00
Purchase	10/30/2020	9128287A2	4,000,000.00	US Treasury Note 1.625% Due: 06/30/2021	101.008	0.12%	4,040,312.50	21,548.91	4,061,861.41	0.00
Purchase	11/12/2020	3135G06G3	8,255,000.00	FNMA Note 0.5% Due: 11/07/2025	99.642	0.57%	8,225,447.10	0.00	8,225,447.10	0.00
Purchase	11/25/2020	06417MMB8	5,000,000.00	Bank of Nova Scotia Houston Yankee CD 0.28% Due: 11/24/2021	100.000	0.28%	5,000,000.00	0.00	5,000,000.00	0.00
Purchase	11/30/2020	9128287A2	5,000,000.00	US Treasury Note 1.625% Due: 06/30/2021	100.898	0.09%	5,044,921.88	33,780.57	5,078,702.45	0.00
Purchase	11/30/2020	9128287A2	5,000,000.00	US Treasury Note 1.625% Due: 06/30/2021	100.898	0.09%	5,044,921.88	33,780.57	5,078,702.45	0.00
Purchase	12/21/2020	55380TMD9	2,500,000.00	MUFG Bank Yankee CD 0.24% Due: 04/21/2021	100.000	0.24%	2,500,000.00	0.00	2,500,000.00	0.00
Purchase	12/28/2020	313385AX4	9,000,000.00	FHLB Discount Note 0.073% Due: 01/22/2021	99.995	0.07%	8,999,543.75	0.00	8,999,543.75	0.00
Purchase	12/29/2020	313385BL9	9,000,000.00	FHLB Discount Note 0.085% Due: 02/04/2021	99.991	0.09%	8,999,213.75	0.00	8,999,213.75	0.00
Purchase	12/29/2020	912828S27	9,000,000.00	US Treasury Note 1.125% Due: 06/30/2021	100.523	0.09%	9,047,109.38	50,074.73	9,097,184.11	0.00
Purchase	12/29/2020	912828S27	9,000,000.00	US Treasury Note 1.125% Due: 06/30/2021	100.523	0.09%	9,047,109.38	50,074.73	9,097,184.11	0.00

Transaction Ledger

As of December 31, 2020

Orange County Sanitation District Consolidated - Account #10283

September 30, 2020 through December 31, 2020

Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
Purchase	12/29/2020	912828S27	9,000,000.00	US Treasury Note 1.125% Due: 06/30/2021	100.523	0.09%	9,047,109.38	50,074.73	9,097,184.11	0.00
Purchase	12/29/2020	912828S76	9,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.605	0.10%	9,054,492.19	41,545.52	9,096,037.71	0.00
Purchase	12/29/2020	912828YC8	9,000,000.00	US Treasury Note 1.5% Due: 08/31/2021	100.941	0.09%	9,084,726.56	44,751.38	9,129,477.94	0.00
Purchase	12/30/2020	9127963W7	15,000,000.00	US Treasury Bill 0.085% Due: 02/04/2021	99.992	0.09%	14,998,725.00	0.00	14,998,725.00	0.00
Purchase	12/30/2020	912828S76	6,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.605	0.09%	6,036,328.13	27,880.43	6,064,208.56	0.00
Purchase	12/30/2020	912828S76	9,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.605	0.09%	9,054,492.19	41,820.65	9,096,312.84	0.00
Purchase	12/30/2020	912828S76	9,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.605	0.09%	9,054,492.19	41,820.65	9,096,312.84	0.00
Purchase	12/30/2020	912828S76	5,000,000.00	US Treasury Note 1.125% Due: 07/31/2021	100.605	0.09%	5,030,273.44	23,233.70	5,053,507.14	0.00
Purchase	12/30/2020	91282CBA8	6,500,000.00	US Treasury Note 0.125% Due: 12/15/2023	99.867	0.17%	6,491,367.19	334.82	6,491,702.01	0.00
Purchase	12/31/2020	91282CBC4	7,000,000.00	US Treasury Note 0.375% Due: 12/31/2025	99.992	0.38%	6,999,453.13	0.00	6,999,453.13	0.00
Subtotal			180,675,000.00				181,553,576.61	539,774.09	182,093,350.70	0.00
Security Contribution	10/31/2020	912828WU0	36,504.00	US Treasury Inflation Index Note 0.125% Due: 07/15/2024	100.000		36,504.00	13.39	36,517.39	0.00
Security Contribution	11/30/2020	912828WU0	16,432.00	US Treasury Inflation Index Note 0.125% Due: 07/15/2024	100.000		16,432.00	7.70	16,439.70	0.00

Transaction Ledger

As of December 31, 2020

Orange County Sanitation District Consolidated - Account #10283

September 30, 2020 through December 31, 2020

Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
Security Contribution	12/31/2020	912828WU0	5,200.00	US Treasury Inflation Index Note 0.125% Due: 07/15/2024	100.000		5,200.00	2.99	5,202.99	0.00
Subtotal			58,136.00				58,136.00	24.08	58,160.08	0.00
TOTAL ACQUISITIONS			180,733,136.00				181,611,712.61	539,798.17	182,151,510.78	0.00
DISPOSITIONS										
Sale	10/19/2020	912828N89	6,000,000.00	US Treasury Note 1.375% Due: 01/31/2021	100.355	1.71%	6,021,328.13	17,934.78	6,039,262.91	28,484.65
Sale	10/22/2020	912828L99	6,500,000.00	US Treasury Note 1.375% Due: 10/31/2020	100.035	1.77%	6,502,285.16	42,501.70	6,544,786.86	2,950.34
Sale	11/10/2020	3135G0F73	7,500,000.00	FNMA Note 1.5% Due: 11/30/2020	100.079	1.87%	7,505,925.00	50,000.00	7,555,925.00	7,352.99
Subtotal			20,000,000.00				20,029,538.29	110,436.48	20,139,974.77	38,787.98
Maturity	10/08/2020	912796TN9	5,000,000.00	US Treasury Bill 0.113% Due: 10/08/2020	100.000		5,000,000.00	0.00	5,000,000.00	0.00
Maturity	10/13/2020	313384K57	6,500,000.00	FHLB Discount Note 0.12% Due: 10/13/2020	100.000		6,500,000.00	0.00	6,500,000.00	0.00
Maturity	10/15/2020	46625HHU7	1,160,000.00	JP Morgan Chase Note 4.25% Due: 10/15/2020	100.000		1,160,000.00	0.00	1,160,000.00	0.00
Maturity	10/22/2020	9127962S7	5,000,000.00	US Treasury Bill 0.109% Due: 10/22/2020	100.000		5,000,000.00	0.00	5,000,000.00	0.00
Maturity	11/01/2020	64971M5E8	1,400,000.00	New York NY TE-REV 4.075% Due: 11/01/2020	100.000	4.08%	1,400,000.00	0.00	1,400,000.00	0.00
Maturity	11/03/2020	00440EAT4	500,000.00	Chubb INA Holdings Inc Callable Note Cont 10/3/2020 2.3% Due: 11/03/2020	100.000		500,000.00	0.00	500,000.00	0.00

Transaction Ledger

As of December 31, 2020

Orange County Sanitation District Consolidated - Account #10283

September 30, 2020 through December 31, 2020

Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
Maturity	11/05/2020	912796TP4	5,000,000.00	US Treasury Bill 0.1% Due: 11/05/2020	100.000		5,000,000.00	0.00	5,000,000.00	0.00
Maturity	11/17/2020	3137EAEK1	5,000,000.00	FHLMC Note 1.875% Due: 11/17/2020	100.000		5,000,000.00	0.00	5,000,000.00	0.00
Maturity	11/23/2020	89233GLP9	1,500,000.00	Toyota Motor Credit Discount CP 0.26% Due: 11/23/2020	99.915		1,500,000.00	0.00	1,500,000.00	0.00
Maturity	11/24/2020	313384Q77	4,800,000.00	FHLB Discount Note 0.12% Due: 11/24/2020	100.000		4,800,000.00	0.00	4,800,000.00	0.00
Maturity	12/14/2020	92826CAB8	500,000.00	Visa Inc Callable Note Cont 11/14/2020 2.2% Due: 12/14/2020	100.000		500,000.00	0.00	500,000.00	0.00
Maturity	12/31/2020	912796TY5	5,000,000.00	US Treasury Bill 0.136% Due: 12/31/2020	100.000		5,000,000.00	0.00	5,000,000.00	0.00
Subtotal			41,360,000.00				41,360,000.00	0.00	41,360,000.00	0.00
TOTAL DISPOSITIONS			61,360,000.00				61,389,538.29	110,436.48	61,499,974.77	38,787.98
Other Transactions										
Cash Capital Distribution	10/01/2020	525ESCIB7	0.00	Lehman Brothers Note-Defaulted Due: 01/24/2021	0.000		472.22	0.00	472.22	0.00
Cash Capital Distribution	10/02/2020	525ESCOY6	0.00	Lehman Brothers Note-Defaulted Due: 10/22/2049	0.000		1,568.51	0.00	1,568.51	0.00
Subtotal			0.00				2,040.73	0.00	2,040.73	0.00
TOTAL Other Transactions			0.00				2,040.73	0.00	2,040.73	0.00

Transaction Ledger

As of December 31, 2020

OC SAN Lehman Exposure - Account #10284

September 30, 2020 through December 31, 2020

Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
Other Transactions										
Cash Capital Distribution	10/01/2020	525ESCIB7	0.00	Lehman Brothers Note-Defaulted Due: 01/24/2021	0.000		472.22	0.00	472.22	0.00
Cash Capital Distribution	10/02/2020	525ESCOY6	0.00	Lehman Brothers Note-Defaulted Due: 10/22/2049	0.000		1,568.51	0.00	1,568.51	0.00
Subtotal			0.00				2,040.73	0.00	2,040.73	0.00
TOTAL Other Transactions			0.00				2,040.73	0.00	2,040.73	0.00

Important Disclosures

As of December 31, 2020

2020 Chandler Asset Management, Inc, An Independent Registered Investment Adviser.

Information contained herein is confidential. Prices are provided by IDC, an independent pricing source. In the event IDC does not provide a price or if the price provided is not reflective of fair market value, Chandler will obtain pricing from an alternative approved third party pricing source in accordance with our written valuation policy and procedures. Our valuation procedures are also disclosed in Item 5 of our Form ADV Part 2A.

Performance results are presented gross-of-advisory fees and represent the client's Total Return. The deduction of advisory fees lowers performance results. These results include the reinvestment of dividends and other earnings. Past performance may not be indicative of future results. Therefore, clients should not assume that future performance of any specific investment or investment strategy will be profitable or equal to past performance levels. All investment strategies have the potential for profit or loss. Economic factors, market conditions or changes in investment strategies, contributions or withdrawals may materially alter the performance and results of your portfolio.

Index returns assume reinvestment of all distributions. Historical performance results for investment indexes generally do not reflect the deduction of transaction and/or custodial charges or the deduction of an investment management fee, the incurrence of which would have the effect of decreasing historical performance results. It is not possible to invest directly in an index.

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This report is provided for informational purposes only and should not be construed as a specific investment or legal advice. The information contained herein was obtained from sources believed to be reliable as of the date of publication, but may become outdated or superseded at any time without notice. Any opinions or views expressed are based on current market conditions and are subject to change. This report may contain forecasts and forward-looking statements which are inherently limited and should not be relied upon as indicator of future results. Past performance is not indicative of future results. This report is not intended to constitute an offer, solicitation, recommendation or advice regarding any securities or investment strategy and should not be regarded by recipients as a substitute for the exercise of their own judgment.

Fixed income investments are subject to interest, credit and market risk. Interest rate risk: the value of fixed income investments will decline as interest rates rise. Credit risk: the possibility that the borrower may not be able to repay interest and principal. Low rated bonds generally have to pay higher interest rates to attract investors willing to take on greater risk. Market risk: the bond market in general could decline due to economic conditions, especially during periods of rising interest rates.

Ratings information have been provided by Moody's, S&P and Fitch through data feeds we believe to be reliable as of the date of this statement, however we cannot guarantee its accuracy.

Security level ratings for U.S. Agency issued mortgage-backed securities ("MBS") reflect the issuer rating because the securities themselves are not rated. The issuing U.S. Agency guarantees the full and timely payment of both principal and interest and carries a AA+/Aaa/AAA by S&P, Moody's and Fitch respectively.

ICE BAML 3-Month US Treasury Bill Index

The ICE BAML US 3-Month Treasury Bill Index is comprised of a single issue purchased at the beginning of the month and held for a full month. At the end of the month that issue is sold and rolled into a newly selected issue. The issue selected at each month-end rebalancing is the outstanding Treasury Bill that matures closest to, but not beyond, three months from the rebalancing date. (Index: GOO1. Please visit www.mlindex.ml.com for more information)

ICE BAML 1-5 Yr US Corp/Govt Rated AAA-A Index

The ICE BAML US Issuers 1-5 Year AAA-A US Corporate & Government Index tracks the performance of US dollar denominated investment grade debt publicly issued in the US domestic market, including US Treasury, US agency, foreign government, supranational and corporate securities. Qualifying securities must be issued from US issuers and be rated AAA through A3 (based on an average of Moody's, S&P and Fitch). In addition, qualifying securities must have at least one year remaining term to final maturity and less than five years remaining term to final maturity, at least 18 months to final maturity at point of issuance, a fixed coupon schedule and a minimum amount outstanding of \$1 billion for US Treasuries and \$250 million for all other securities. (Index: BV10. Please visit www.mlindex.ml.com for more information)

ICE BAML US 1-5 Yr US Corp/Govt Rated AAA-BBB Index

The ICE BAML 1-5 Year US Corporate & Government Index tracks the performance of US dollar denominated investment grade debt publicly issued in the US domestic market, including US Treasury, US agency, foreign government, supranational and corporate securities. Qualifying securities must have an investment grade rating (based on an average of Moody's, S&P and Fitch). In addition, qualifying securities must have at least one year remaining term to final maturity and less than five years remaining term to final maturity, at least 18 months to final maturity at point of issuance, a fixed coupon schedule and a minimum amount outstanding of \$1 billion for US Treasuries and \$250 million for all other securities. (Index: BVA0. Please visit www.mlindex.ml.com for more information)

Rating Agency Comparisons

A summary of investment grade ratings are listed below. More complete descriptions of Moody's and Standard & Poor's ratings are included in the following pages.

Quality/Grade	Moody's	Standard & Poor's	Fitch
Best Quality	Aaa	AAA	AAA
High Quality	Aa1 Aa2 Aa3	AA+ AA AA-	AA+ AA AA-
Upper Medium Grade	A1 A2 A3	A+ A A-	A+ A A-
Medium Grade	Baa1 Baa2 Baa3	BBB+ BBB BBB-	BBB+ BBB BBB1

Moody's - Investment Grade

"Aaa" - Bonds rated Aaa are judged to be of the best quality. They carry the smallest degree of investment risk. Interest payments are protected by a large or by an exceptionally stable margin and principal is secure. While the various protective elements are likely to change, such changes as can be visualized are most unlikely to impair the fundamentally strong position of such issues.

"Aa" - Bonds which are rated Aa are judged to be of high quality by all standards. Together with the Aaa group they comprise what are generally known as high grade bonds. They are rated lower than the best bonds because margins of protection may not be as large as in Aaa securities or fluctuation of protective elements may be of greater amplitude or there may be other elements present which make the long-term risks appear somewhat larger than in Aaa securities.

"A" - Bonds which are rated A possess many favorable investment attributes and are to be considered as upper medium grade obligations. Factors giving security to principal and interest are considered adequate, but elements may be present which suggest a susceptibility to impairment sometime in the future.

"Baa" - Bonds which are rated Baa are considered as medium grade obligations; i.e., they are neither highly protected nor poorly secured. Interest payments and principal security appear adequate for the present but certain protective elements may be lacking or may be characteristically unreliable over any great length of time. Such bonds lack outstanding investment characteristics and in fact have speculative characteristics as well.

Bonds in the Aa, A, and Baa are also assigned "1", "2", or "3" based on the strength of the issue within each category. Accordingly, "A1" would be the strongest group of A securities and "A3" would be the weakest A securities.

Ba, B, Caa, Ca, and C - Bonds that possess one of these ratings provide questionable protection of interest and principal ("Ba" indicates some speculative elements; "B" indicates a general lack of characteristics of desirable investment; "Caa" represents a poor standing; "Ca" represents obligations which are speculative in a high degree; and "C" represents the lowest rated class of bonds). "Caa", "Ca" and "C" bonds may be in default.

Standard and Poor's - Investment Grade

AAA - Debt rated "AAA" has the highest rating assigned by S&P. Capacity to pay interest and repay principal is extremely strong.

AA - Debt rated "AA" has a very strong capacity to pay interest and repay principal and differs from the highest rated issues only in small degree.

A - Debt rated "A" has a strong capacity to pay interest and repay principal although it is somewhat more susceptible to the adverse effects of changes in circumstances and economic conditions than debt in higher rated categories.

BBB - Debt rated "BBB" is regarded as having an adequate capacity to pay interest and repay principal. Whereas it normally exhibits adequate protection parameters, adverse economic conditions or changing circumstances are more likely to lead to a weakened capacity to pay interest and repay principal for debt in this category than in higher rated categories.

Standard and Poor's - Speculative Grade Rating

Debt rated "BB", "B", "CCC", "CC" and "C" is regarded as having predominantly speculative characteristics with respect to capacity to pay interest and repay principal. "BB" indicates the least degree of speculation and "C" the highest. While such debt will likely have some quality and protective characteristics these are outweighed by major uncertainties or major exposures to adverse conditions.

BB - Debt rated "BB" has less near-term vulnerability to default than other speculative issues. However, it faces major ongoing uncertainties or exposure to adverse business, financial, or economic conditions which could lead to inadequate capacity to meet timely interest and principal payments. The "BB" rating category is also used for debt subordinated to senior debt that is assigned an actual or implied "BBB" rating.

B - Debt rated "B" has a greater vulnerability to default but currently has the capacity to meet interest payments and principal repayments. Adverse business, financial, or economic conditions will likely impair capacity or willingness to pay interest and repay principal. The "B" rating category is also used for debt subordinated to senior debt that is assigned an actual or implied "BB" or "BB" rating.

CCC - Debt rated "CCC" has a currently identifiable vulnerability to default, and is dependent upon favorable business, financial, and economic conditions to meet timely payment of interest and repayment of principal. In the event of adverse business, financial, or economic conditions, it is not likely to have the capacity to pay interest and repay principal. The "CCC" rating category is also used for debt subordinated to senior debt that is assigned an actual or implied "B" or "B" rating.

CC - The rating "CC" typically is applied to debt subordinated to senior debt that is assigned an actual or implied "CCC" debt rating.

C - The rating "C" typically is applied to debt subordinated to senior debt which is assigned an actual or implied "CCC" debt rating. The "C" rating may be used to cover a situation where a bankruptcy petition has been filed, but debt service payments are continued.

CI - The rating "CI" is reserved for income bonds on which no interest is being paid.

D - Debt rated "D" is in payment default. The "D" rating category is used when interest payments or principal payments are not made on the date due even if the applicable grace period has not expired, unless S&P believes that such payments will be made during such grace period. The "D" rating also will be used upon the filing of a bankruptcy petition if debt service payments are jeopardized.

Plus (+) or Minus (-) - The ratings from "AA" to "CCC" may be modified by the addition of a plus or minus sign to show relative standing within the major rating categories.

NR - Indicates no rating has been requested, that there is insufficient information on which to base a rating, or that S&P does not rate a particular type of obligation as a matter of policy.

January 31, 2021

STAFF REPORT

Mid-Year Certificates of Participation (COP) Report for the Period Ended December 31, 2020

Summary

The Orange County Sanitation District (Sanitation District) began issuing Certificates of Participation (COPs) in 1990. These COPs were a part of our long-term financing plan that included both variable interest rate and traditional fixed rate borrowing. Following are the current outstanding debt issues of the Sanitation District:

In May 2010, the Sanitation District issued \$80 million of fixed rate BABs, Series 2010A at a true interest cost of 3.68 percent for the issue.

In December 2010, the Sanitation District issued \$157 million of fixed rate BABs, Series 2010C at a true interest cost of 4.11 percent for the issue.

In October 2011, the Sanitation District issued \$147.595 million of fixed rate COPs, Series 2011A refunding a portion of the Series 2000 variable rate debt and a portion of the Series 2003 fixed rate debt. The true interest cost for the issue is 2.61 percent.

In March 2012, the Sanitation District issued \$100.645 million of fixed rate COPs, Series 2012A refunding the Series 2003 fixed rate debt. The true interest cost for the issue is 3.54 percent.

In August 2012, the Sanitation District issued \$66.395 million of fixed rate COPs, Series 2012B refunding the Series 2000 variable rate debt. The true interest cost for the issue is 1.50 percent.

With the issuance of Series 2012B, there remains no variable interest rate COPs at the Sanitation District.

In August 2014, the Sanitation District issued \$85.09 million of fixed rate COPs, Series 2014A, refunding a portion of Series 2007B debt. The true interest cost for the issue is 2.34 percent.

In February 2015, the Sanitation District issued \$127.51 million of fixed rate COPs, Series 2015A, refunding \$152.99 million of the Series 2007B debt. The true interest cost for the issue is 3.30 percent.

In March 2016, the Sanitation District issued \$145.88 million of fixed rate CANs, Series 2016A, refunding \$162.78 million of the Series 2009A fixed rate debt. The true interest cost for the issue is 3.02 percent.

In February 2017, the Sanitation District issued \$66.37 million of fixed rate COPs, Series 2017A, refunding \$91.885 million of the Series 2007A debt. The true interest cost for the issue is 2.55 percent.

In November 2018, the Sanitation District issued \$102.2 million of fixed rate CANs, Series 2018A, refunding the Series 2016B CANs. The true interest cost for the issue is 2.02 percent.

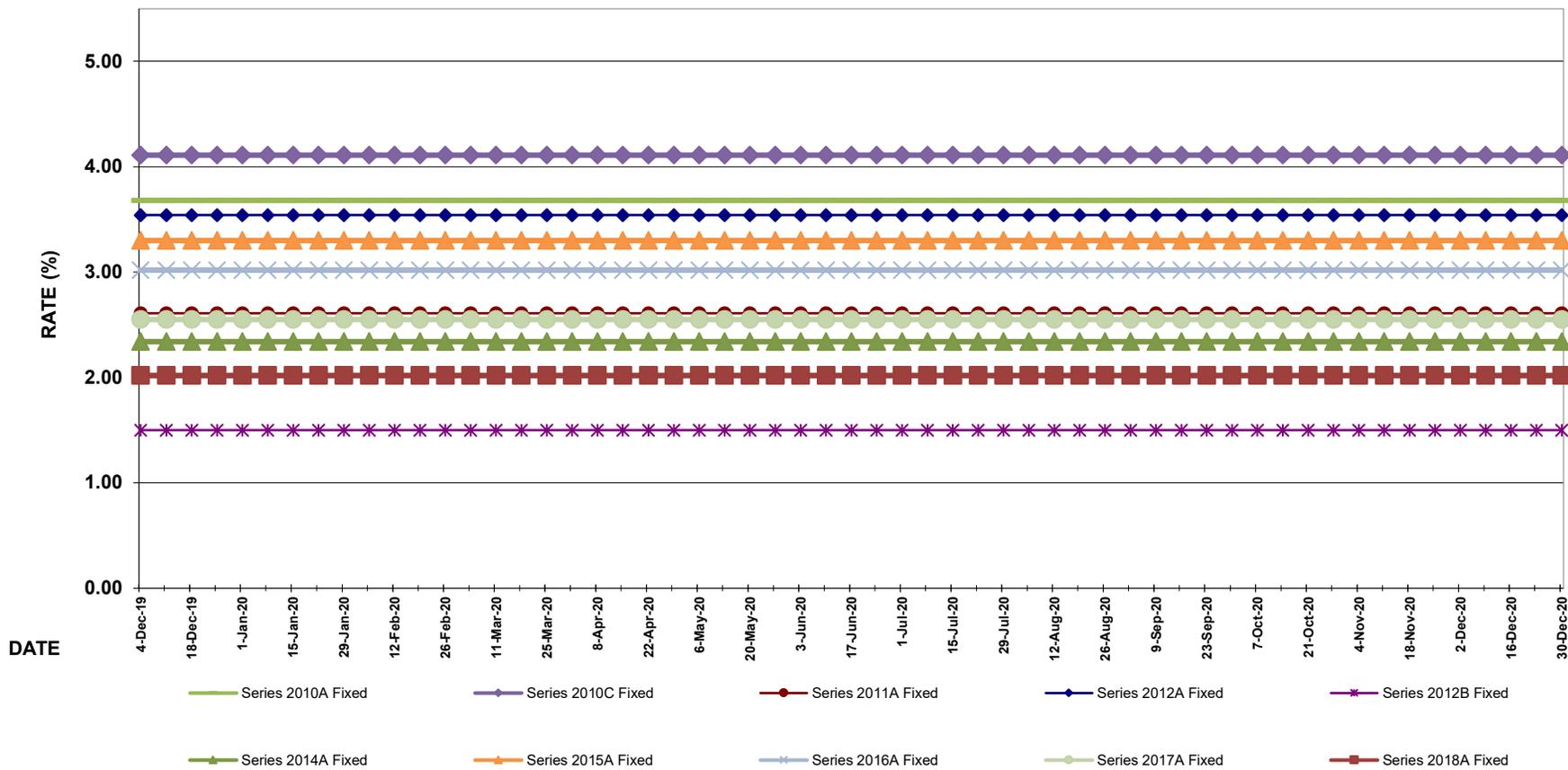
Additional Information

The graph entitled, "COP Rate History Report," shows the various fixed interest rates of the Sanitation District's ten debt issues.

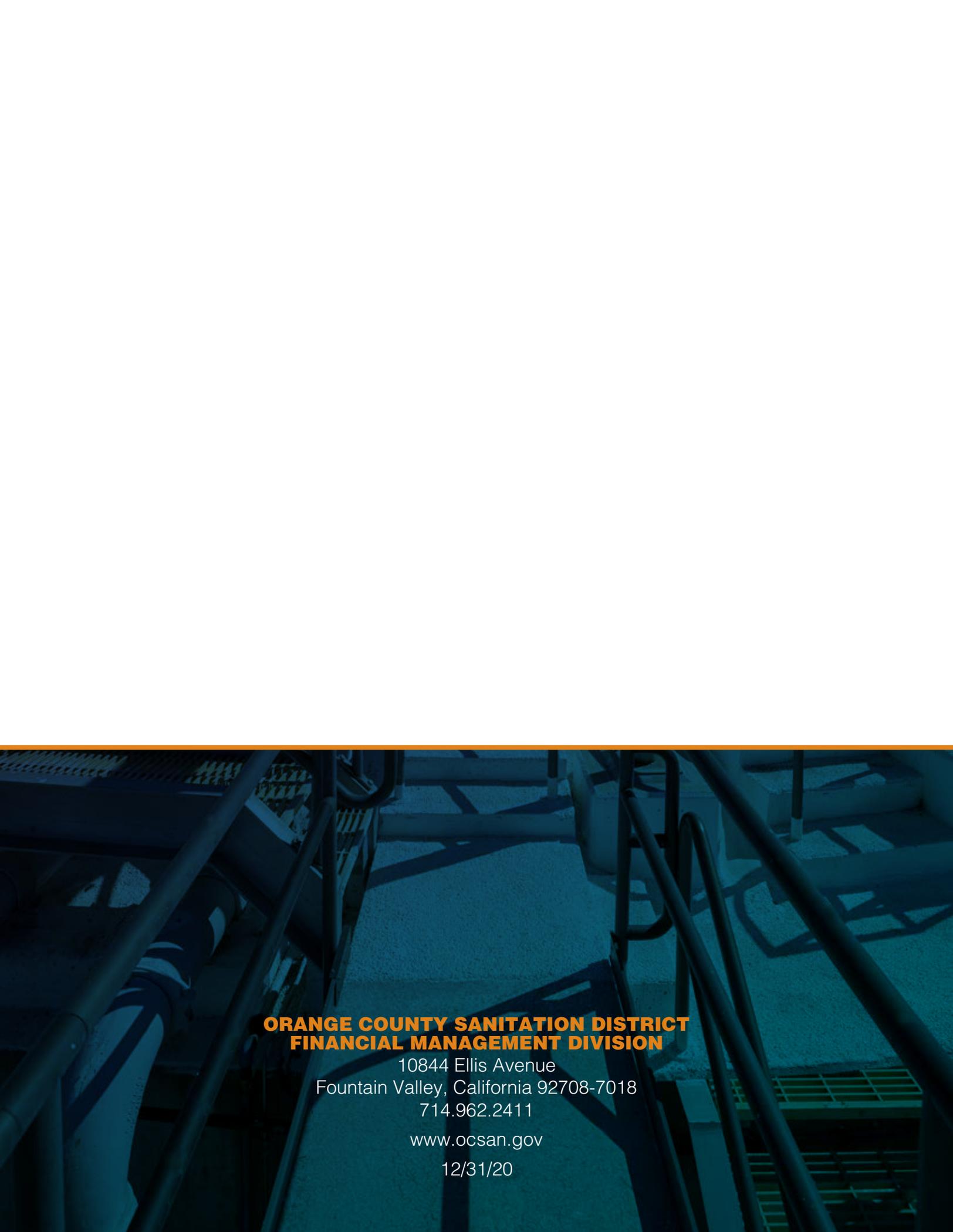
Attachment

1. Graph - COP Rate History Report

COP RATE HISTORY REPORT DECEMBER 2020



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**ORANGE COUNTY SANITATION DISTRICT
FINANCIAL MANAGEMENT DIVISION**

10844 Ellis Avenue
Fountain Valley, California 92708-7018
714.962.2411

www.ocsan.gov

12/31/20



ADMINISTRATION COMMITTEE

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1490

Agenda Date: 2/24/2021

Agenda Item No: 12.

FROM: James D. Herberg, General Manager
Originator: Lorenzo Tyner, Assistant General Manager

SUBJECT:

BUSINESS ANALYSIS SERVICES FOR RESOURCE PROTECTION DIVISION

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

- A. Award a Professional Consultant Services Agreement to EEC Environmental, Inc. for Pretreatment Program Consulting Services, for the procurement of Business Analysis services to document Resource Protection division business processes, Specification No. CS-2020-1167BD, for a total amount not to exceed \$385,625; and
- B. Approve a contingency in the amount of \$38,563 (10%).

BACKGROUND

Historically, the Pretreatment Program work process, documentation, and data management were automated using computer applications developed in-house by the Orange County Sanitation District's (Sanitation District) Information Technology (IT) division. In 2016, the Sanitation District implemented a vendor-customized commercial off-the-shelf (COTS) application based on the in-house application. During this COTS implementation, hundreds of the Pretreatment Program processes were automated, including management of over 200,000 data points each year. However, the COTS application is not currently configured to support all of the needed work processes and new regulatory requirements. Consequently, the automation has become outdated and difficult to restore.

RELEVANT STANDARDS

- Comply with environmental permit requirements
- Ensure the public's money is wisely spent
- Maintain a culture of improving efficiency to reduce the cost to provide the current service level or standard
- Protect OC San assets

PROBLEM

The Sanitation District has the need to document and update business processes to meet State and Federal environmental regulations and electronic data submittal requirements, while maximizing effective automation of the Pretreatment Program. The existing COTS application is out of date and requires excessive staff time and effort.

PROPOSED SOLUTION

Procure the services of a consultant to gather information, research current regulations, and document Pretreatment Program business processes to restore effective work process automation.

TIMING CONCERNS

Electronic data submittal requirements from the USEPA will become effective on 12/21/2025. The proposed business analysis effort is the first step leading to the selection, development, and implementation of a new automated application.

RAMIFICATIONS OF NOT TAKING ACTION

A decision not to award the Business Analysis services would result in continued lack of documentation of business processes, potential compliance issues, and the inability to provide highly automated software.

PRIOR COMMITTEE/BOARD ACTIONS

September 2013 - Approved a Professional Services Agreement with enfoTech & Consulting, Inc., Specification CS-2012-525BD, for Implementation of a Commercial-off-the-shelf Pretreatment Information Management System, for an amount not to exceed \$749,993; first year technical support and maintenance for the amount of \$65,266; and approved a contingency of \$81,526 (10%).

ADDITIONAL INFORMATION

On July 13, 2020, the Sanitation District issued a Request for Proposal (RFP) for Business Analysis services; the RFP closed on September 15, 2020. The Sanitation District received a single response from EEC Environmental, Inc. A panel consisting of three Sanitation District staff reviewed and ranked the proposal. Individual scoring was the chosen method of evaluation for this procurement. Members of the team performed an independent review of the proposal and later met as a group with the buyer to discuss their preliminary scores and discuss any questions/concerns they had. The proposal was evaluated based on the following criteria:

CRITERION	WEIGHT
1. Qualifications & Experience of Firm	25%
2. Proposed Staffing & Project Organization	20%
3. Work Plan	25%
4. Presentation/Interview	10%

5. Cost	20%
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The vendor was invited for an interview. The interview was conducted on October 8, 2020. Following the interview, the evaluation team scored the firm based on both the proposal and interview using the evaluation criteria and weighting listed above. The proposal was accompanied by a sealed cost proposal. The cost proposal was opened and negotiated.

Based on these results, staff recommends selection of EEC Environmental, Inc. for the procurement of Business Analysis services to document Resource Protection division business processes for a total amount not to exceed \$385,625. The term of this Agreement will begin upon effective date of Notice to Proceed.

CEQA

N/A

FINANCIAL CONSIDERATIONS

This request complies with authority levels of the Sanitation District's Purchasing Ordinance. This item has been budgeted. (FY2020-21 and FY2021-22 Budget, Section 6, Page 36, Line item: Professional & Contractual Services).

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Professional Consultant Services Agreement

PROFESSIONAL CONSULTANT SERVICES AGREEMENT
Pretreatment Program Consulting Services
Specification No. CS-2020-1167BD

THIS AGREEMENT is made and entered into as of the date fully executed below, by and between Orange County Sanitation District, with a principal place of business at 10844 Ellis Avenue, Fountain Valley, CA 92708 (hereinafter referred to as "OCSD") and EEC Environmental with a principal place of business at 1 City Boulevard West, Suite 1800, Orange, CA 92868 (hereinafter referred to as "Consultant") collectively referred to as the "Parties".

WITNESSETH

WHEREAS, based on Consultant's expertise and experience, OCSD desires to temporarily engage Consultant to provide Pretreatment Program Consulting Services "Services" as described in Exhibit "A"; and

WHEREAS, Consultant submitted its Proposal, dated September 15, 2020; and

WHEREAS, on February 24, 2021, the Board of Directors of OCSD, by minute order, authorized execution of this Agreement between OCSD and Consultant; and

WHEREAS, OCSD has chosen Consultant to conduct Services in accordance with Ordinance No. OCSD-52.

NOW, THEREFORE, in consideration of the mutual promises and mutual benefits exchanged between the Parties, the Parties mutually agree as follows:

1. Introduction

1.1 This Agreement and all exhibits hereto (called the "Agreement") is made by OCSD and the Consultant. The terms and conditions herein exclusively govern the purchase of Services as described in Exhibit "A".

1.2 Exhibits to this Agreement are incorporated by reference and made a part of this Agreement as though fully set forth at length herein.

Exhibit "A" Scope of Work

Exhibit "B" Proposal submitted September 15, 2020 and
Best and Final Offer submitted January 11, 2021

Exhibit "B-1" Sub-Milestone Costs submitted January 11, 2021

Exhibit "C" Acknowledgement of Insurance Requirements

Exhibit "D" OCSD Contractor Safety Standards

Exhibit "E" Human Resources Policies

1.3 In the event of any conflict or inconsistency between the provisions of this Agreement and any of the provisions of the exhibits hereto, the provisions of this Agreement shall in all respects govern and control.

1.4 This Agreement may not be modified, changed, or supplemented, nor may any obligations hereunder be waived or extensions of time for performance granted, except by written instrument signed by both Parties.

1.5 The various headings in this Agreement are inserted for convenience only and shall not affect the meaning or interpretation of this Agreement or any section or provision hereof.

- 1.6 The term “days”, when used in the Agreement, shall mean calendar days, unless otherwise noted as workdays.
- 1.7 The term “workday”. Workdays are defined as all days that are not Saturday, Sunday, or OCSD observed holidays. OCSD review periods shall not include OCSD observed holidays.
- 1.8 OCSD holidays (non-working days) are as follows: New Year’s Day, Lincoln’s Birthday, Presidents’ Day, Memorial Day, Independence Day, Labor Day, Veterans Day, Thanksgiving Day, Day after Thanksgiving, Christmas Eve, and Christmas Day.
- 1.9 Work Hours: All work with OCSD staff shall be scheduled Monday through Thursday, between the hours of 7:00 a.m. and 4:30 p.m. Pacific Time. OCSD will not pay for travel time.
- 1.10 Consultant shall provide OCSD with all required premiums and/or overtime work at no charge beyond the total amount of the Agreement.
- 1.11 Except as expressly provided otherwise, OCSD accepts no liability for any expenses, losses, or action incurred or undertaken by Consultant as a result of work performed in anticipation of purchases of said services by OCSD.
2. **Scope of Work** Subject to the terms of this Agreement, Consultant shall perform the Services identified in the Scope of Work, Exhibit “A”. Consultant warrants that all of its Services shall be performed in a competent, professional, and satisfactory manner.
3. **Modifications to Scope of Work** Requests for modifications to the Scope of Work hereunder can be made by OCSD at any time. All modifications must be made in writing and signed by both Parties. A review of the time required for the modification will be made by OCSD and the Agreement period adjusted accordingly.
4. **Compensation** Compensation to be paid by OCSD to Consultant for the Services provided under this Agreement shall be a total amount not to exceed Three Hundred Eighty-five Thousand, Six Hundred Twenty-five Dollars (\$385,625.00).
5. **California Department of Industrial Relations (DIR) Registration and Record of Wages**
 - 5.1 To the extent Consultant’s employees and/or subconsultants who will perform work for which Prevailing Wage Determinations have been issued by the DIR and as more specifically defined under Labor Code Section 1720 et seq, Consultant and subconsultants shall comply with the registration requirements of Labor Code Section 1725.5. Pursuant to Labor Code Section 1771.4, the work is subject to compliance monitoring and enforcement by the DIR.
 - 5.2 The Consultant and subconsultants shall maintain accurate payroll records and shall comply with all the provisions of Labor Code Section 1776, and shall submit payroll records to the Labor Commissioner pursuant to Labor Code 1771.4(a)(3). Penalties for non-compliance with the requirements of Section 1776 may be deducted from progress payments per Section 1776.
 - 5.3 Pursuant to Labor Code Section 1776, the Consultant and subconsultants shall furnish a copy of all certified payroll records to OCSD and/or general public upon request, provided the public request is made through OCSD, the Division of Apprenticeship Standards, or the Division of Labor Standards Enforcement of the Department of Industrial Relations.
 - 5.4 The Consultant and subconsultants shall comply with the job site notices posting requirements established by the Labor Commissioner per Title 8, California Code of Regulation Section 16461(e).

6. Payment and Invoicing

6.1 OCSD shall pay, net thirty (30) days, upon receipt and approval, by OCSD's Project Manager or designee, of itemized invoices submitted for Sub-milestones completed in accordance with Exhibit "A" and Exhibit "B-1". OCSD, at its sole discretion, shall be the determining party as to whether the Sub-milestones have been satisfactorily completed.

6.2 Invoices shall be emailed by Consultant to OCSD Accounts Payable at APStaff@OCSD.com and "INVOICE" with the Purchase Order Number and CS-2020-1167BD shall be referenced in the subject line.

7. Audit Rights Consultant agrees that, during the term of this Agreement and for a period of three (3) years after its termination, OCSD shall have access to and the right to examine any directly pertinent books, documents, and records of Consultant relating to the invoices submitted by Consultant pursuant to this Agreement.

8. Commencement and Term The Services provided under this Agreement shall be completed within 730 calendar days from the effective date of the Notice to Proceed.

9. Extensions The term of this Agreement may be extended only by written instrument signed by both Parties.

10. Performance Time is of the essence in the performance of the provisions hereof.

11. Termination

11.1 OCSD reserves the right to terminate this Agreement for its convenience, with or without cause, in whole or in part, at any time, by written notice from OCSD. Upon receipt of a termination notice, Consultant shall immediately discontinue all work under this Agreement (unless the notice directs otherwise). OCSD shall thereafter, within thirty (30) days, pay Consultant for work performed (cost and fee) to the date of termination. Consultant expressly waives any claim to receive anticipated profits to be earned during the uncompleted portion of this Agreement. Such notice of termination shall terminate this Agreement and release OCSD from any further fee, cost or claim hereunder by Consultant other than for work performed to the date of termination.

11.2 OCSD reserves the right to terminate this Agreement immediately upon OCSD's determination that Consultant is not complying with the Scope of Work requirements, if the level of service is inadequate, or any other default of this Agreement.

11.3 OCSD may also immediately terminate for default of this Agreement in whole or in part by written notice to Consultant:

- if Consultant becomes insolvent or files a petition under the Bankruptcy Act; or
- if Consultant sells its business; or
- if Consultant breaches any of the terms of this Agreement; or
- if total amount of compensation exceeds the amount authorized under this Agreement.

11.4 All OCSD property in the possession or control of Consultant shall be returned by Consultant to OCSD on demand, or at the termination of this Agreement, whichever occurs first.

12. Indemnification and Hold Harmless Provision Consultant shall assume all responsibility for damages to property and/or injuries to persons, including accidental death, which may arise out of or be caused by Consultant's services under this Agreement, or by its subconsultant(s) or by anyone directly or indirectly employed by Consultant, and whether such

damage or injury shall accrue or be discovered before or after the termination of the Agreement. Except as to the sole active negligence of or willful misconduct of OCSD, Consultant shall indemnify, protect, defend and hold harmless OCSD, its elected and appointed officials, officers, agents and employees, from and against any and all claims, liabilities, damages or expenses of any nature, including attorneys' fees: (a) for injury to or death of any person or damage to property or interference with the use of property, arising out of or in connection with Consultant's performance under the Agreement, and/or (b) on account of use of any copyrighted or uncopied material, composition, or process, or any patented or unpatented invention, article or appliance, furnished or used under the Agreement, and/or (c) on account of any goods and services provided under this Agreement. This indemnification provision shall apply to any acts or omissions, willful misconduct, or negligent misconduct, whether active or passive, on the part of Consultant or anyone employed by or working under Consultant. To the maximum extent permitted by law, Consultant's duty to defend shall apply whether or not such claims, allegations, lawsuits, or proceedings have merit or are meritless, or which involve claims or allegations that any of the parties to be defended were actively, passively, or concurrently negligent, or which otherwise assert that the parties to be defended are responsible, in whole or in part, for any loss, damage, or injury. Consultant agrees to provide this defense immediately upon written notice from OCSD, and with well qualified, adequately insured, and experienced legal counsel acceptable to OCSD. This section shall survive the expiration or early termination of the Agreement.

13. **Insurance** Consultant and all subconsultants shall purchase and maintain, throughout the life of this Agreement and any periods of warranty or extensions, insurance in amounts equal to the requirements set forth in the signed Acknowledgement of Insurance Requirements, Exhibit "C". Consultant shall not commence work under this Agreement until all required insurance is obtained in a form acceptable to OCSD, nor shall Consultant allow any subconsultant to commence service pursuant to a subcontract until all insurance required of the subconsultant has been obtained. Failure to maintain required insurance coverage shall result in termination of this Agreement.
14. **Key Personnel** Personnel, as provided in Exhibit "B", are considered "key" to the work under this Agreement and will be available for the term of the Agreement. No person designated as key under this Agreement shall be removed or replaced without prior written consent of OCSD. If OCSD asks Consultant to remove a person designated as key under this Agreement, Consultant agrees to do so immediately regardless of the reason, or the lack of reason, for OCSD's request. Consultant shall assign only competent personnel to perform services pursuant to this Agreement.
15. **Confidentiality and Non-Disclosure**
 - 15.1 Consultant acknowledges that in performing the Services hereunder, OCSD may have to disclose to Consultant orally and in writing certain confidential information that OCSD considers proprietary and has developed at great expense and effort.
 - 15.2 Consultant agrees to maintain in confidence and not disclose to any person, firm, or corporation, without OCSD's prior written consent, any trade secret or confidential information, knowledge or data relating to the products, process, or operation of OCSD.
 - 15.3 Consultant further agrees to maintain in confidence and not to disclose to any person, firm, or corporation any data, information, technology, or material developed or obtained by Consultant during the term of this Agreement.

15.4 Consultant agrees as follows:

- To use the confidential information only for the purposes described herein; to not reproduce the confidential information; to hold in confidence and protect the confidential information from dissemination to and use by anyone not a party to this Agreement; and to not use the confidential information to benefit itself or others.
- To restrict access to the confidential information to its Consultant or personnel of Consultant who (1) have a need to have such access and (2) have been advised of and have agreed in writing to treat such information in accordance with the terms of this Agreement.
- To return all confidential information in Consultant's possession upon termination of this Agreement or upon OCSD's request, whichever occurs first.
- To hold in confidence information and materials, if any, developed pursuant to the Services hereunder.

15.5 The provisions of this section shall survive termination or expiration of this Agreement and shall continue for so long as the material remains confidential.

16. Ownership of Documents All drawings, specifications, reports, records, documents, memoranda, correspondence, computations, and other materials prepared by Consultant, its employees, subconsultants, and agents in the performance of this Agreement shall be the property of OCSD and shall be promptly delivered to OCSD upon request of OCSD's Project Manager or designee, or upon the termination of this Agreement, and Consultant shall have no claim for further employment or additional compensation as a result of the exercise by OCSD of its full rights of ownership of the documents and materials hereunder. Any use of such completed documents for other projects and/or use of incomplete documents without specific written authorization by the Consultant will be at OCSD's sole risk and without liability to Consultant. Consultant shall ensure that all its subconsultants shall provide for assignment to OCSD of any documents or materials prepared by them.

17. Ownership of Intellectual Property

17.1 Consultant agrees that all designs, plans, reports, specifications, drawings, schematics, prototypes, models, inventions, and all other information and items made during the course of this Agreement and arising from the Services (hereinafter referred to as "New Developments") shall be and are assigned to OCSD as its sole and exclusive property.

17.2 Consultant agrees to promptly disclose to OCSD all such New Developments. Upon OCSD's request, Consultant agrees to assist OCSD, at OCSD's expense, to obtain patents or copyrights for such New Developments, including the disclosure of all pertinent information and data with respect thereto, the execution of all applications, specifications, assignments, and all other instruments and papers which OCSD shall deem necessary to apply for and to assign or convey to OCSD, its successors and assigns, the sole and exclusive right, title and interest in such New Developments. Consultant agrees to obtain or has obtained written assurances from its employees and contract personnel of their agreement to the terms hereof with regard to New Developments and confidential information.

17.3 Consultant warrants that Consultant has good title to any New Developments, and the right to assign New Developments to OCSD free of any proprietary rights of any other party or any other encumbrance whatever.

17.4 The originals of all computations, drawings, designs, graphics, studies, reports, manuals, photographs, videotapes, data, computer files, and other documents prepared or caused to be prepared by Consultant or its subconsultants in connection with these Services shall be delivered to and shall become the exclusive property of OCSD. OCSD may utilize these documents for OCSD applications on other projects or extensions of this project, at its own risk.

18. No Solicitation of Employees

18.1 Consultant agrees that it shall not, during the term of this Agreement and for a period of one (1) year immediately following termination of this Agreement, or any extension hereof, call on, solicit, or take away any of the employees whom Consultant became aware of as a result of Consultant's Services to OCSD.

18.2 Consultant acknowledges that OCSD's employees are critical to its business and OCSD expends significant resources to hire, employ, and train employees. Should Consultant employ or otherwise engage OCSD's employees during the term of this Agreement and for a period of one (1) year following termination of this Agreement, Consultant will pay OCSD fifty percent (50%) of the former employee's most recent annual salary earned at OCSD to accurately reflect the reasonable value of OCSD's time and costs. This payment is in addition to any other rights and remedies OCSD may have at law.

19. Independent Contractor Capacity

19.1 The relationship of Consultant to OCSD is that of an independent contractor and nothing herein shall be construed as creating an employment or agency relationship.

19.2 Consultant shall act independently and not as an officer or employee of OCSD. OCSD assumes no liability for Consultant's action and performance, nor assumes responsibility for taxes, funds, payments or other commitments, implied or expressed, by or for Consultant.

19.3 Consultant shall not be considered an agent of OCSD for any purpose whatsoever, nor shall Consultant have the right to, and shall not, commit OCSD to any agreement, contract or undertaking. Consultant shall not use OCSD's name in its promotional material or for any advertising or publicity purposes without expressed written consent.

19.4 Consultant shall not be entitled to any benefits accorded to those individuals listed on OCSD's payroll as regular employees including, without limitation, worker's compensation, disability insurance, vacation, holiday or sick pay. Consultant shall be responsible for providing, at Consultant's expense, disability, worker's compensation or other insurance as well as licenses and permits usual or necessary for conducting the Services hereunder.

19.5 Consultant shall be obligated to pay any and all applicable Federal, State and local payroll and other taxes incurred as a result of fees hereunder. Consultant hereby indemnifies OCSD for any claims, losses, costs, fees, liabilities, damages or penalties suffered by OCSD arising out of Consultant's breach of this provision.

19.6 Consultant shall not be eligible to join or participate in any benefit plans offered to those individuals listed on OCSD's payroll as regular employees. Consultant shall remain ineligible for such benefits or participation in such benefit plans even if a court later decides that OCSD misclassified Consultant for tax purposes.

20. Licenses, Permits Consultant represents and warrants to OCSD that it has obtained all licenses, permits, qualification and approvals of whatever nature that are legally required to engage in this work. Any and all fees required by Federal, State, County, City and/or municipal laws, codes and/or tariffs that pertain to work performed under the terms of this Agreement will be paid by Consultant.

21. Consultant's Representations In the performance of duties under this Agreement, Consultant shall adhere to the highest fiduciary standards, ethical practices and standards of care and competence for their trade/profession. Consultant agrees to comply with all applicable Federal, State and local laws and regulations.

- 22. Familiarity with Work** By executing this Agreement, Consultant warrants that: 1) it has investigated the work to be performed; 2) it has investigated the site of the work and is aware of all conditions there; and 3) it understands the facilities, difficulties and restrictions of the work under this Agreement. Should Consultant discover any latent or unknown conditions materially differing from those inherent in the work or as represented by OCSD, it shall immediately inform OCSD of this and shall not proceed, except at Consultant's risk, until written instructions are received from OCSD.
- 23. Right to Review Services, Facilities, and Records**
- 23.1 OCSD reserves the right to review any portion of the Services performed by Consultant under this Agreement, and Consultant agrees to cooperate to the fullest extent possible.
- 23.2 Consultant shall furnish to OCSD such reports, statistical data, and other information pertaining to Consultant's Services as shall be reasonably required by OCSD to carry out its rights and responsibilities under its agreements with its bondholders or noteholders and any other agreement relating to the development of the project(s) and in connection with the issuance of its official statements and other prospectuses with respect to the offering, sale, and issuance of its bonds and other obligations.
- 23.3 The right of OCSD to review or approve drawings, specifications, procedures, instructions, reports, test results, calculations, schedules, or other data that are developed by Consultant shall not relieve Consultant of any obligation set forth herein.
- 24. Force Majeure** Neither party shall be liable for delays caused by accident, flood, acts of God, fire, labor trouble, war, acts of government or any other cause beyond its control, but said party shall use reasonable efforts to minimize the extent of the delay. Work affected by a Force Majeure condition may be rescheduled by mutual consent or may be eliminated from the Agreement.
- 25. Severability** If any section, subsection, or provision of this Agreement, or any agreement or instrument contemplated hereby, or the application of such section, subsection, or provision is held invalid, the remainder of this Agreement or instrument in the application of such section, subsection or provision to persons or circumstances other than those to which it is held invalid, shall not be affected thereby, unless the effect of such invalidity shall be to substantially frustrate the expectations of the Parties.
- 26. Waiver** The waiver of either party of any breach or violation of, or default under, any provision of this Agreement, shall not be deemed a continuing waiver by such party of any other provision or of any subsequent breach or violation of this Agreement or default thereunder. Any breach by Consultant to which OCSD does not object shall not operate as a waiver of OCSD's rights to seek remedies available to it for any subsequent breach.
- 27. Remedies** In addition to other remedies available in law or equity, if the Consultant fails to make delivery of the goods or Services or repudiates its obligations under this Agreement, or if OCSD rejects the goods or Services or revokes acceptance of the goods or Services, OCSD may (1) terminate the Agreement; (2) recover whatever amount of the purchase price OCSD has paid, and/or (3) "cover" by purchasing, or contracting to purchase, substitute goods or Services for those due from Consultant. In the event OCSD elects to "cover" as described in (3), OCSD shall be entitled to recover from Consultant as damages the difference between the cost of the substitute goods or Services and the Agreement price, together with any incidental or consequential damages.

28. **Governing Law** This Agreement shall be governed by and interpreted under the laws of the State of California and the Parties submit to jurisdiction in Orange County, in the event any action is brought in connection with this Agreement or the performance thereof.
29. **Environmental Compliance** Consultant shall, at its own cost and expense, comply with all Federal, State, and local environmental laws, regulations, and policies which apply to the Consultant, its sub-consultants, and the Services, including, but not limited to, all applicable Federal, State, and local air pollution control laws and regulations.
30. **Attorney's Fees** If any action at law or inequity or if any proceeding in the form of an Alternative Dispute Resolution (ADR) is necessary to enforce or interpret the terms of this Agreement, the prevailing party shall be entitled to reasonable attorney's fees, costs and necessary disbursements in addition to any other relief to which it may be entitled.
31. **Dispute Resolution**
- 31.1 In the event of a dispute as to the construction or interpretation of this Agreement, or any rights or obligations hereunder, the Parties shall first attempt, in good faith, to resolve the dispute by mediation. The Parties shall mutually select a mediator to facilitate the resolution of the dispute. If the Parties are unable to agree on a mediator, the mediation shall be conducted in accordance with the Commercial Mediation Rules of the American Arbitration Agreement, through the alternate dispute resolution procedures of Judicial Arbitration through Mediation Services of Orange County ("JAMS"), or any similar organization or entity conducting an alternate dispute resolution process.
- 31.2 In the event the Parties are unable to timely resolve the dispute through mediation, the issues in dispute shall be submitted to arbitration pursuant to California Code of Civil Procedure, Part 3, Title 9, Sections 1280 et seq. For such purpose, an agreed arbitrator shall be selected, or in the absence of agreement, each party shall select an arbitrator, and those two (2) arbitrators shall select a third. Discovery may be conducted in connection with the arbitration proceeding pursuant to California Code of Civil Procedure Section 1283.05. The arbitrator, or three (3) arbitrators acting as a board, shall take such evidence and make such investigation as deemed appropriate and shall render a written decision on the matter in question. The arbitrator shall decide each and every dispute in accordance with the laws of the State of California. The arbitrator's decision and award shall be subject to review for errors of fact or law in the Superior Court for the County of Orange, with a right of appeal from any judgment issued therein.
32. **Damage to OCSD's Property** Any OCSD property damaged by Consultant will be subject to repair or replacement by Consultant at no cost to OCSD.
33. **OCSD Contractor Safety Standards** OCSD requires Consultant and its subconsultants to follow and ensure their employees follow all Federal, State and local regulations as well as OCSD Contractor Safety Standards while working at OCSD locations. If during the course of the Agreement it is discovered that OCSD Contractor Safety Standards do not comply with Federal, State or local regulations, then the Consultant is required to follow the most stringent regulatory requirement at no additional cost to OCSD. Consultant and all of its employees and subconsultants, shall adhere to all applicable OCSD Contractor Safety Standards attached hereto in Exhibit "D" and the Human Resources Policies in Exhibit "E".
34. **Freight (F.O.B. Destination)** Consultant assumes full responsibility for all transportation, transportation scheduling, packing, handling, insurance, and other services associated with delivery of all products deemed necessary under this Agreement.

35. **Assignments** Consultant shall not delegate any duties nor assign any rights under this Agreement without the prior written consent of OCSD. Any such attempted delegation or assignment shall be void.
36. **Conflict of Interest and Reporting**
- 36.1 Consultant shall at all times avoid conflicts of interest or appearance of conflicts of interest in performance of this Agreement.
- 36.2 Consultant affirms that to the best of its knowledge there exists no actual or potential conflict between Consultant's families, business or financial interest or its Services under this Agreement, and in the event of change in either its private interests or Services under this Agreement, it will raise with OCSD any question regarding possible conflict of interest which may arise as a result of such change.
37. **Third Party Rights** Nothing in this Agreement shall be construed to give any rights or benefits to anyone other than OCSD and Consultant.
38. **Non-Liability of OCSD Officers and Employees** No officer or employee of OCSD shall be personally liable to Consultant, or any successor-in-interest, in the event of any default or breach by OCSD or for any amount which may become due to Consultant or to its successor, or for breach of any obligation of the terms of this Agreement.
39. **Authority to Execute** The persons executing this Agreement on behalf of the Parties warrant that they are duly authorized to execute this Agreement and that by executing this Agreement, the Parties are formally bound.
40. **Read and Understood** By signing this Agreement, Consultant represents that it has read and understood the terms and conditions of the Agreement.
41. **Entire Agreement** This Agreement constitutes the entire agreement of the Parties and supersedes all prior written or oral and all contemporaneous oral agreements, understandings, and negotiations between the Parties with respect to the subject matter hereof.
42. **Notices** All notices under this Agreement must be in writing. Written notice shall be delivered by personal service or sent by registered or certified mail, postage prepaid, return receipt requested, or by any other overnight delivery service which delivers to the noticed destination and provides proof of delivery to the sender. Any facsimile notice must be followed within three (3) days by written notice. Rejection or other refusal to accept or the inability to deliver because of changed address for which no notice was given as provided hereunder shall be deemed to be receipt of the notice, demand or request sent. All notices shall be effective when first received at the following addresses:

OCSD: Jackie Lagade, Principal Buyer
Orange County Sanitation District
10844 Ellis Avenue
Fountain Valley, CA 92708-7018

Consultant: John Shaffer, CEO/Principal
EEC Environmental
1 City Boulevard West, Suite 1800
Orange, CA 92868

Each party shall provide the other party written notice of any change in address as soon as practicable.

IN WITNESS WHEREOF, intending to be legally bound, the Parties hereto have caused this Agreement to be signed by the duly authorized representatives.

ORANGE COUNTY SANITATION DISTRICT

Dated: _____

By: _____
David John Shawver
Chair, Board of Directors

Dated: _____

By: _____
Kelly A. Lore
Clerk of the Board

Dated: _____

By: _____
Ruth Zintzun
Purchasing & Contracts Manager

EEC ENVIRONMENTAL

Dated: _____

By: _____

Print Name and Title of Officer

IRS Employer's I.D. Number



LEGISLATIVE AND PUBLIC AFFAIRS
COMMITTEE

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1485

Agenda Date: 2/24/2021

Agenda Item No: 13.

FROM: James D. Herberg, General Manager

SUBJECT:

PUBLIC AFFAIRS STRATEGIC PLAN FOR FISCAL YEARS 2020-2022 MIDYEAR UPDATE

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

Receive and file the Public Affairs Strategic Plan for Fiscal Years 2020 - 2022 Midyear Update.

BACKGROUND

The Orange County Sanitation District's (Sanitation District) Public Affairs Office is responsible for creating, organizing, and disseminating all internal and external communication. The primary objective of the Public Affairs team is to deliver messages that are accurate, transparent, and designed to foster trust and confidence. Results from the Communications Audit presented in March 2020 were used in the development of the Strategic Plan. The Communications Audit helped clarify the path moving forward and identify opportunities for the Public Affairs Office to explore. An integrated Public Affairs Strategic Plan is essential to effectively manage the variety of audiences we serve.

RELEVANT STANDARDS

- Build brand, trust, and support with policy makers and community leaders
- Maintain collaborative and cooperative relationships with regulators, stakeholders, and neighboring communities
- Make it easy for people to understand OC San's roles and value to the community
- Maintain influential legislative advocacy and a public outreach program

PROBLEM

There are various initiatives and messages that the Public Affairs Office must share with our internal and external stakeholders for continued operation and efficiency of the Sanitation District. The messaging must be consistent, concise, and thoroughly planned to be efficient and effective.

PROPOSED SOLUTION

The current Public Affairs Strategic Plan includes goals, objectives, strategies, and tactics to execute the various messages and efforts set forth by the Sanitation District. The plan will be in place for two

years, with annual updates provided to the Legislative and Public Affairs Committee.

PRIOR COMMITTEE/BOARD ACTIONS

July 2020 - Approved the Public Affairs Strategic Plan for Fiscal Years 2020-2022.

ADDITIONAL INFORMATION

Six-Month Public Affairs Highlights:

- Created and launched new logo and name for the Sanitation District.
- Secured an outside consultant to conduct a third-party audit of the Sanitation District's Construction Outreach Program.
- Launched a virtual tour program, successfully hosted 17 tours reaching over 1,000 people.
- Obtained a .gov domain website increasing the security of the site.
- Received nine awards.
- Had over 100 posts on each social media platform.
- Distributed Outreach Toolkits to our Member Agencies to help with the Sanitation District's messaging.
- Held virtual State of the District event with over 200 attendees.
- Participated in 19 speaking engagements.
- Distributed 20 construction notifications reaching over 20,000 people.

FINANCIAL CONSIDERATIONS

All items included in the Public Affairs Strategic Plan FY 2020-2022 are budgeted in the FY 2020-2022 Budget.

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Public Affairs Strategic Plan FY 2020-2022
- Communications Audit Report Executive Summary, February 2020
- Presentation



PUBLIC AFFAIRS

STRATEGIC PLAN

Fiscal Years 2020-21 and 2021-2022



Introduction

The Orange County Sanitation District's (OCSD) Public Affairs Office (PAO) is responsible for creating, organizing, and disseminating all internal and external communication. The primary objective of our Public Affairs team is to deliver messages that are accurate, transparent, and designed to foster public trust and confidence. An integrated Public Affairs Strategic Plan is essential to deal effectively with the variety of audiences we serve.

The Public Affairs staff provides services and tools and implements programs to meet the communication needs of several audiences for OCSD. This includes planning and implementing media relations; website and intranet site content; construction outreach; elected officials, and government relations; internal communications, education, and outreach; and graphic development.

The Public Affairs Office has created a Strategic Plan for Fiscal Years 2020 - 2022. This Plan is developed based upon the principles of OCSD's Mission of protecting public health and the environment and will support the implementation of OCSD's Strategic Plan. This Plan offers a vision to unify our communication efforts and focus resources to achieve the greatest impact and greatest results.

This plan was created amidst the COVID-19 pandemic thus resulting in modifications to the goals and objectives. Much of what is planned and created by this group is based on external factors and therefore outside of our control. The Public Affairs Office will follow the guidance set forth by Management and the Board of Directors to carry out OCSD's messaging and support our member agencies.

Background Information

The Orange County Sanitation District represents 20 cities, 4 special districts and a portion of the unincorporated County of Orange. This area represents a community of 2.6 million people with approximately 550,000 customer accounts.

Unlike most public agencies where there is direct contact with customers, at the Orange County Sanitation District, billing occurs through the County of Orange property tax bills. Therefore, the Sanitation District, must work through other means to communicate with the public and the rate payers.

We have a 25-member Board of Directors, and over 600 employees within six departments with various goals and objectives. While these groups work independently on a variety of projects, the goal of the Public Affairs Office is to provide support and messaging that is consistent throughout the agency so that we are one voice, representing the same overall goals, and portraying the same brand.

While there are many challenges with serving such a large and diverse customer base, there are also great opportunities working through the strategies laid out in this Plan.

Public Affairs Team

The division is staffed with six full-time employees and overseen by the Manager.

Jennifer Cabral, Administration Manager

Daisy Covarrubias, Principal Public Affairs Specialist

Rebecca Long, Senior Public Affairs Specialist

Kelly Newell, Public Affairs Specialist

Belen Carrillo, Public Affairs Specialist

Gregg Deterding, Graphics Designer

Cheryl Scott, Administrative Assistant

Each of these staff members carry out specific functions to meet the communication goals and objectives laid out in this Plan.

Situation Analysis

- There is a global pandemic occurring which has shifted the way we operate and perform our mission of protecting public health and the environment. As we learn to navigate the recovery phase and move into new social distancing norms, our communication efforts will be modified accordingly to meet the needs of the agency, community, and workforce.
- Due to COVID-19, close to 50 percent of staff is working remotely. The uncertainty of the pandemic creates unknown future work conditions for staff. These circumstances impact the ability and method of communicating and reaching employees, thus alternative communication techniques must be explored and implemented.
- OCSD is in the third year of a five-year rate program, with a scheduled 1.2 percent increase in fees to take effect July 1. Due to the economic impacts of COVID-19 the rate increase for Fiscal Year 2020-2021 will be delayed with no significant financial impacts to OCSD operations.
- There could potentially be a significant turnover of board members in 2020. Succession management and onboarding for the board members is critical for the success of this agency.

- During the COVID-19 pandemic, OCSD has sustained its operational, planning, and preparation efforts to ensure there is no lapse in service today or in the future. As an essential service, OCSD has continued to execute the Capital Improvement Program (CIP) to keep the regional projects on schedule that are enhancing our entire service area. In Fiscal Year 2020-2021 OCSD is on track to bid and issue \$500 million of construction contracts for over 35 projects.

Mission

The Public Affairs Office is committed to communicating information about OCSD in a timely, accurate and accessible way to the employees, the Board of Directors, our member agencies, the public, and the news media.

- We are committed to open, honest, clear, and respectful two-way communication with our audiences.
- We are dedicated to informing others about how OCSD serves the public and protects the environment.
- We are committed to outstanding customer service by responding to requests quickly and efficiently.
- We are dedicated to teamwork and collaboration as well as being creative and taking the initiative to be out in front of issues.

Audiences

This Public Affairs Plan focuses largely on four primary audiences.

- Internal
 - Board of Directors
 - Executive Management Team
 - Employees
 - Retirees
- The Public
 - Ratepayers
 - Member Agencies
 - Residents, Businesses, Commuters Impacted by OCSD Construction
 - OCSD Neighbors in Fountain Valley and Huntington Beach
 - Schools and Students
 - Tour Groups

- Industry
 - Water/Wastewater Agencies
 - Trade Organizations
 - Trade Media
- Influential Public
 - Local, State, and Federal Elected Officials
 - Environmental Groups
 - Local Media

Agency Key Messages

- OCSD is committed to protecting public health and the environment by providing effective wastewater collection, treatment, and recycling.
- OCSD is more than a wastewater treatment facility, we are a resource recovery facility making use of all our byproducts.
- OCSD is dedicated to exceeding wastewater quality standards used for resource recovery.
- OCSD is committed to proper planning to ensure that the public's money is wisely spent.
- OCSD's assets are monitored and evaluated regularly to ensure top performance and timely replacement.
- OCSD values communicating our mission and strategies with those we serve and all other stakeholders.
- OCSD will provide reliable, responsive, and affordable services in line with our customer needs and expectations is a top priority for OCSD.
- OCSD focuses on creating the best possible workforce where safety, productivity, customer service, and training are a top priority.
- OCSD has worked very hard to create an integrated planning environment which begins with the expectations of its Board of Directors and flows down to the work product of each employee. We have worked hard to assure our staff members are communicating and providing transparent services to each other in support of the plan.

- OCSD has developed an integrated Planning/Asset Management system that allows for intentional, thoughtful decision making to maintain current operations while adding resilience and meeting new challenges.
- OCSD has an organizational structure with informal relationships between employees that allow for collaboration toward common goals.

Public Affairs' Goals for Fiscal Year 2020/21 and 2021/22

1. Optimize communication with our internal audience including those operating in the field with limited time to access online communication.
2. Continue to build OCSD's reputation as infrastructure leaders in the wastewater and resource recovery industry.
3. Cultivate relationships with traditional and social media journalists and influencers to promote OCSD's programs and initiatives.
4. Enhance OCSD's image and branding by utilizing proper messaging in external communication pieces such as OCSD's website, presentation, digital media, and advertising. Maintain a positive experience and image for our visitors.
5. Identify and implement avenues for education and outreach within OCSD's service area to further promote OCSD as a resource recovery agency, promote OCSD's mission and promote career opportunities within the wastewater industry.
6. Develop and implement outreach programs that will engage the communities affected by OCSD construction projects.
7. Participate in proactive engagement in legislative advocacy efforts that could impact OCSD and the wastewater industry.
8. Monitor, track, and apply for grants available and that make business sense to OCSD.
9. Ensure that local elected officials, member agencies, stakeholders, and OCSD Board Members are actively engaged in the work of OCSD.
10. Ensure the Public Affairs Office serves as the primary spokesperson for OCSD during normal business and crisis scenarios and facilitates the dissemination of information.
11. Ensure the General Manager and Assistant General Managers are supported with information necessary to communicate to the varied OCSD audiences.

To achieve these goals, the Public Affairs Office presents the following strategies and tactics, along with the primary staff assigned to that area. While individual staff members are the key contacts for each of the goals, the team works collectively and collaboratively, reflecting our core values. Our staff recognizes the key role we play at OCSD, not only communicating

information, but also teaching and consulting others and serving as a resource to our Board of Directors, employees, the wastewater industry, and our member agencies.

As we navigate through the pandemic recovery efforts, the team will follow this plan, and make necessary modifications to effectively communicate OCSD's strategic direction. Flexibility is implemented into this plan to deal with the dynamic situation we are all in.

Public Affairs Strategies and Tactics

1. Category: Employee Communications

Program Manager: Rebecca Long,

Program Coordinator/Support: Kelly Newell, Belen Carrillo, Gregg Deterding, and Cheryl Scott

Goal (what): Optimize communication with our internal audience including those operating in the field with limited time to access online communication.

Objective (measure): Create employee engagement by utilizing the identified communication methods to share agency wide messages. Increase the availability of employee communications by five percent based on previous plan's goals.

Strategy (why): We value open and honest communication with our employees. PAO is committed to various efforts aimed at keeping OCSD employees informed about important topics, increasing the overall quality of communications to our employees while tying the business aspects of the agency with the human-interest side.

Tactics (how):

- Keep information on MyOCSD homepage current, relevant, and useful for OCSD employees by working with the various Departments to gather information that should be shared.
- On a regular basis, staff will continue to support various departments with their communication and outreach needs.
- PAO will produce six *Pipeline* newsletters per year with a goal of circulation by the third week of the publication month.
- PAO will track Volunteer Incentive Program (VIP) points for all participating employees and coordinate the VIP appreciation celebration.
- Create employee recognition and celebratory events throughout the year that comply with new social distancing guidelines, may include small in-person gatherings and virtual events. To include but not limited to the Annual Holiday Lunch, the Harvest Festival, and VIP Celebration, etc.

- Continue with the Honor Walk program which acknowledges retired staff and past Board Members for their contribution to OCSD. The recognition event will be hosted every other year starting in 2021.
- Write and coordinate the *3 Things to Know* email blast to be distributed to all staff each Monday.
- Produce monthly *Digester* bulletin.
- Coordinate and produce two Town Hall meetings (live and/or pre-recorded) to keep employees informed and engaged.
- Host organizational awareness lunch-n-learns monthly to keep staff informed about agency programs and initiatives.
- Research and identify an agency-wide digital message system to provide messages in staff areas across both plants and the Mt. Langley office space. Implementation to occur in Fiscal Year 2021-2022.

2. Category: Industry Experts

Program Manager: Daisy Covarrubias

Program Coordinator/Support: Kelly Newell, Gregg Deterding, and Cheryl Scott

Goal (what): Establish and solidify OCSD's reputation as infrastructure leaders in the wastewater and resource recovery industry.

Objective (measurable): Increase participation in strategic organizations through conferences, networking activities and awards by five percent.

Strategy (why): To build positive public perception and confidence among our various audiences.

Tactics (how):

- Encourage participation and presentation in conferences.
- Encourage and support award application submittals.
- Publicize and coordinate award acceptance logistics.
- Track all awards won by OCSD by keeping a master list.
- Track and promote staff abstract's and publications.

3. Category: Media Relations

Program Managers: Daisy Covarrubias and Rebecca Long

Program Coordinators: Kelly Newell, Belen Carrillo, Gregg Deterding, and Cheryl Scott

Goal (what): Cultivate relationships with traditional and social media journalists and influencers.

Objective (measurement): Increase media coverage with positive stories about OCSD.

Strategy (why): While a presence in the community is important to putting a face on our agency, media (traditional and social) is equally important with a broader reach and a more direct line of communication.

Tactics (how):

- Annually update media list to stay current and fresh.
- Develop a press kit to be online and interactive.
- Build a calendar of news release topics of interest to the public and stakeholders.
- Invite media for a facility tour (virtual or small group).
- Develop media strategies for important events, decisions, or actions.
e.g. CIP Campaign (see details in Category 6: Capital and Maintenance Outreach)
- Conduct media training for Board leadership, EMT and key staff members.
- Generate weekly (3-5 times) social media posts about the good things happening at OCSD with focus on OCSD's accomplishments and mission.
- Continue with social media campaigns #OCSDatWork, #What2Flush, and those currently supporting ongoing efforts.

4. Category: Agency Branding and Messaging

Program Manager: Daisy Covarrubias

Program Coordinators/Support: Gregg Deterding, Kelly Newell, and Cheryl Scott

Goal (what): Enhance OCSD's image and branding by utilizing proper messaging in external communication pieces such as OCSD's website, presentations, digital media and advertising, which includes maintaining a positive experience for OCSD visitors.

Objective (measure): Launch a rebranding campaign for a new logo and a modified name over the next two fiscal years. Update collateral material, signage, website, social media accounts, and promotional material as appropriate and as it is used. Include in messaging that OCSD's official name remains Orange County Sanitation District. Maintain the lobby(s) current and informative with relevant information, i.e. displays, awards case, etc.

Strategy (why): A cohesive voice, message, look, and feel are critical to the public perception that an organization holds with its community. A positive and pleasant in-person experience reinforces OCSD's culture and Core Values as well as showcasing OCSD as industry leaders, and a well-run organization, leaving behind the stigma of typical government agencies.

Tactics (how):

- Update and maintain the corporate identity manual to provide guidance on use of the logo, name, use of fonts, and graphics.
- Keep website current with informative news stories posted weekly.
- Provide presentations, consultation, and advice on the branding and image of OCSD.
- Develop new key messages focused on new branding logo and name.
- Develop new collateral materials around the key messages.
- Incorporate OCSD's messaging and branding into all external presentations.
- Explore advertising options to inform public of agency efforts and role in economic development.
- Fulfill all requests for graphics, photos, and logos.
- Conduct second phase of community poll to determine name recognition and reach.
- Develop an online community newsletter for digital distribution within our service area to increase awareness of OCSD, our programs, and initiatives.
- Develop a branding plan for the new Headquarters Building.
- Maintain the lobby wall in the Administration Building at Plant No. 1 and the Operations Center at Plant No. 2 with OCSD's current branding and messaging.
- Rotate flags on light poles along Street Parkway on a biennial basis.
- Keep the award display cabinet up to date by rotating awards.
- Keep the retiree display in the Administration Building hallway up to date. On an annual basis collect the names of the retirees and update the display board.
- Maintain and coordinate the installation of Honor Walk bricks on a biennial basis.
- Display collateral material in a neatly and organized manner displayed with current and relevant information.

5. Category: Educational Outreach

Program Manager: Rebecca Long

Program Coordinators/Support: Kelly Newell, Belen Carrillo, Gregg Deterding, and Cheryl Scott

Goal (what): Identify and implement avenues for education and outreach within OCSD's service area to promote OCSD's mission and vision.

Objective (measurement): Create and identify new educational opportunities including virtual events and webinars to promote and educate the community on OCSD's work and the essential service provided.

Strategies (why): To further promote OCSD as a resource recovery agency, promote OCSD's mission and promote career opportunities within the wastewater industry.

Tactics (how):

- Execute the Inside the Outdoors contract for Fiscal Year 2020-2021 to continue OCSD's educational program including the Sewer Science program to 500 students within Orange County and introduce them to OCSD's pilot virtual tour program.
- Implement virtual tour program in lieu of physical tours of the plant which are temporarily suspended due to COVID-19. An estimated 1,000 participants will take part in the virtual tour program per year.
- Evaluate the participation of community events due to COVID-19 restrictions. Once events are rescheduled within OCSD's service area, participation will be evaluated to determine safety for staff, and overall impact and reach.
- Continue to encourage and promote the Volunteer Incentive Program to have a pool of staff that volunteer for events and speaking engagements that OCSD participates in.
- Expand OCSD's speaker's bureau to provide a wider set of speakers available.
- Create a Public Service Announcement (PSA) Contest – work with local colleges and high schools in our service area to create a promotional PSA for OCSD on a biennial basis. Obtain a minimum of 20 individual and/or group entries.
- Implement a Wastewater 101 Academy for our ratepayers, fellow agencies, and influential public to showcase OCSD operations and initiatives. Host a minimum of four (4) sessions per cycle.
- Research and obtain a Mobile Educational Unit utilize at public events that helps generate greater understanding of the wastewater process and OCSD's messaging.

6. Category: Capital and Maintenance Outreach

Program Managers: Daisy Covarrubias and Tanya Chong from Engineering,
Program Coordinators/Support: Belen Carrillo, Kelly Newell, Gregg Deterding, and Cheryl Scott

Goal (what): Develop and implement outreach programs that will engage the communities affected by OCSD construction projects.

Objective (measurement): Develop, implement, and provide outreach support for over 20 capital projects scheduled to break ground in fiscal years 2020/2021 and 2021/2022 within 12 cities.

Strategy (why): Form a positive presence in the community prior to the start of construction projects or maintenance activities that is personal and proactive. Provide impacted community with information ahead of construction activities. Inform them of the benefits and need for the project to gain support and understanding of the necessary construction.

Tactics (how):

- Proactively offer briefings and community meetings to impacted neighborhoods, civic groups, businesses, schools, churches, and other institutions within the project area on an as needed basis.
- Launch CIP Campaign to highlight the efforts of the program and the financial contributions to the local economy.
- Explore the option of placing advertising pieces in communities/areas impacted by construction.
- Respond to inquiries within a 24-hour period.
- Provide project description and notifications to impacted residents at least two weeks before construction begins.
- Update collateral materials, fact sheets and website with current construction information on an as needed basis.
- Maintain ongoing communications with city staff and Board Members on current and upcoming construction outreach projects in affected cities.
- Maintain ongoing communications with impacted residents within the project area through collateral material (e.g., flyers, door hangers, emails, text alerts, social media posts, etc.).
- Measure customer satisfaction through a construction outreach survey to be distributed at the close of construction programs.

7. Category: Legislative Affairs

Program Manager: Rebecca Long

Program Coordinator/Support: Kelly Newell, Gregg Deterding, and Cheryl Scott

Goal (what): Proactive engagement in legislative advocacy efforts that could impact OCSD and the wastewater industry.

Objective (measure): Continue positive relationships with local, state, and federal officials through facility tours, meetings, and bill tracking as stated in the Legislative Plan.

Strategy (why): Legislative advocacy is an important aspect of our business. Having relationships and being actively involved, providing input and OCSD's perspective on potential legislature can and does directly affect OCSD and our business.

The Public Affairs Office is responsible for executing the Board approved Legislative Plan, which is updated on an annual basis. In addition, staff is responsible for tracking state and federal legislation, managing the Sanitation District's legislative advocates, and seeking appropriations and grants.

Tactics (how):

- Develop and implement Annual Legislative Plan in the second quarter of each fiscal year.
- Track bills and maintain a priority list of key legislation.
- Provide regular updates to the Legislative and Public Affairs Committee on state and federal matters.
- Host legislative tours.
- Engage in Advocacy Days in Sacramento and Washington DC twice a year.
- Take positions on bills that could affect OCSD or the industry.
- Work with industry organizations on state and federal issues to ensure OCSD's positions are communicated.
- Partner with industry organizations to co-host virtual events and activities.
- Manage the legislative advocates' contracts and facilitate regular communication between lobbyists, staff, and the Board of Directors.

8. Category: Grants Coordination

Program Manager: Rebecca Long

Program Coordinator/Support: Kelly Newell, Gregg Deterding, and Cheryl Scott

Goal (what): Monitor, track, and apply for grants available to OCSD.

Objective (measure): Apply and obtain grants for qualified OCSD projects and programs.

Strategy (why): Outside funding is important in moving OCSD projects and programs forward. With ongoing attention to government spending, it is vital for OCSD to apply for and secure grants to offset costs when available.

Tactics (how):

- Apply for two grants a year based on availability.
- Develop Grant Policy during fiscal year 2020-2021.
- Research grant opportunities and report out to the Legislative and Public Affairs Committee.
- Seek appropriations and grants and provide support to other divisions seeking grant funding.
- Secure letters of support.
- Publicize grant awards received.
- Create and measure outcomes.

9. Category: Local Government Affairs

Program Manager: Daisy Covarrubias

Program Coordinators/Support: All PAO staff

Goal (what): Ensure that local elected officials, member agencies, stakeholders, and OCSD Board Members are actively engaged in the work of OCSD.

Objective (measure): Provide at least two communication tools per month.

Strategy (why): Keeping OCSD's influential public engaged in OCSD's projects and accomplishments are critical to the support and success of our agency.

Tactics (how):

- Provide Board of Director's with speaking points following every OCSD board meeting that can be used when reporting back to their respective councils and community groups.
- Facilitate an orientation for new Board members.
- Develop and keep a current list of monthly informational presentations.
- Maintain an informational presentation video library for the Board of Directors on key agency topics.
- Provide regular reports to the Legislative and Public Affairs Committee.
- Develop OCSD's Annual Report.
- Publish a *Five Minutes Per Month*, each month.
- Coordinate presentations to each member agency.
- Participate in government affairs committees.
- Invite new council members within OCSD's service area to take a tour of OCSD.
- Create and distribute quarterly outreach tool kits for member agency PIOs to help them easily share and disseminate information about OCSD.
- Host a "State of the District" event for influential leaders throughout the infrastructure and water/wastewater industry, including virtual option.

10. Category: Crisis Management

Program Manager: Rebecca Long

Program Coordinators/Support: All PAO Staff

Goal: Ensure the Public Affairs Office serves as the primary spokesperson for OCSD during normal business and crisis scenarios and facilitates the dissemination of information.

Objective: Ensure that the PIOs in the PAO can respond in a crisis. Provide a crisis communication training course every two years by an outside consultant and an annual refresher course by staff.

Strategy: It is imperative during a crisis that OCSD be proactive and provide clear and effective messaging to employees, public, and the media.

Tactics (how):

- Maintain an updated crisis communication plan including regular briefings with staff to identify possible issues and responses.
- Maintain and update PAO's Continuity of Operations Plan (COOP).
- Work with Risk and Safety Management on Public Affairs' role in an emergency, including our role via the Integrated Emergency Response Plan.
- Ensure proper procedures are in place for Board, employees, and public notification.
- Maintain updated contact lists for resource, member, and partnering agencies to coordinate and assist during crisis.
- Develop protocols on everyday PAO tasks to facilitate the operations of the group in a time of crisis.

11. Category: General Manager Support

Program Manager: Daisy Covarrubias

Program Coordinators/Support: All PAO Staff

Goal: Ensure the General Manager and Assistant General Managers are supported with information necessary to communicate to the varied OCSD audiences.

Objective: Develop monthly communication pieces on behalf of the General Manager. Ensure General Manager (or designee) is participating and involved in promoting OCSD's initiatives.

Strategy: Collaborate with the General Manager to prepare communication and messaging that reflects the mission and vision of OCSD.

Tactics (how):

- Assist the General Manager and the Assistant General Managers with keeping the Board Members informed and up to date with OCSD activities.
- Assist in the development of the General Manager's Monthly Report.
- Develop talking points for Board and Committee meetings.
- Develop material and speaking points for presentations and speaking engagements.
- Support the development of the OCSD Strategic Plan.
- Assist in the development of the General Managers Annual Work Plan.

- Manage *Ask the GM* questions submitted.
- Coordinate and support VIP tours guided by General Manager and Assistant General Managers.

Closing Comments

This plan is a broad outline of the Public Affairs Office program. As new issues arise, new functions and duties will evolve as well. The role of the Public Affairs Office is to stay ahead of issues, be responsive and flexible to meet the needs of the agency. We will adjust our program accordingly.

Appendix

- A. Highlights of Performance Results from Fiscal Years 2018/2019 -2019/2020
- B. Public Affairs Portfolio Fiscal Year 2019/2020

Appendix A: Highlights of Performance Results from FY 2018/2019 and 2019/2020

- Over 75 construction outreach pieces distributed regarding specific CIP projects reaching over 155,0000 people
- 800 internal communications publications: 3 Things to know email, Digester, Pipeline and MyOCSD
- 11 internal events
- 18 published news releases
- Over 30 articles mentioning and/or focusing on OCSD
- 1,350 Social Media posts reaching over 400,000 people
- 85 Website posts
- 17 Community Events reaching nearly 12,000 people
- 54 Speaking Engagements (8 career days)
- 283 Tours reaching approximately 4,534 guests
- 1,700 students reached via Sewer Science Program
- 22 Agency Awards Received
- 2 State of the District events reaching 215 guests
- 2 grants were successfully applied for and received totaling \$42,000 for Headquarters Project and Tour Signage
- 40 legislative bills monitored and tracked
- 4 Federal Position letters and 12 State Position letters issued
- Governor agreed with 2 of our bills/positions:
 - SB 212: Jackson. Solid waste: pharmaceutical and sharps waste stewardship.
 - SB 1440: Hueso. Energy: biomethane: biomethane procurement

New Tactics Introduced

- Member Agency Outreach Toolkit
- Board Member Speaking Points
- Virtual Town Hall
- Orange County Polling
- Communications Audit
- Paid Advertisement – OC Register Water Insert
- Regional Outreach Program (CIP)
- Tour signage



Public Affairs Division
10844 Ellis Avenue
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Communications Audit Report Executive Summary

February 2020

Submitted by Ryder Todd Smith

Jon Barilone

Bria Balliet

Karen Villaseñor



TRIPLEPI SMITH

marketing • technology • public affairs

Executive Summary

The Orange County Sanitation District engaged Tripepi Smith to objectively review OCSD's internal and external Communications tactics prior to forming the Public Affairs Strategic Plan for FY 2020-2022. Tripepi Smith made these determinations through a combination of methods, such as: interviewing key stakeholders, weighing OCSD's practices against local government communication best practices, and quantitative data analysis of message Reach and Engagement.

Compared to other California public agencies Tripepi Smith has assessed, the Orange County Sanitation District has one of the most centralized and organized Communications processes. A single team, with defined roles, produces and/or approves all internal and external communication content. OCSD also has clear policies that outline expectations for staff when it comes to producing communication content and interacting with both internal and external audiences. The OCSD Brand/Style Guide is a particularly advanced best practice.

Tripepi Smith's recommendations generally center on:

- Technical optimizations for the District's website and social media sites;
- Expanding the reach of external communications and targeting public agency audience;
- Producing more engaging content for external audiences;
- Consistently measuring content reach and engagement to inform future strategy.

Overall, OCSD's internal communication efforts are solid in terms of quantity, quality and readership. A key question for OCSD's leadership to consider now is: how much do you want to 'publicize' the District's services and programs through external communication efforts? There appears to be tension between wanting to remain 'out of sight, out of mind' and producing more modern, innovative content that will engage various stakeholders in OCSD's service area.

Communications Observations

General

- OCSD splits its communications efforts between its internal audiences (employees, Board of Directors, executive management team) and external audiences (ratepayers, elected officials, community leaders, etc.).
- Several Public Affairs Office (PAO) staff centrally control execution of all internal and external communications. Anecdotally speaking, staff feels they allocate equal time to internal and external communications.
- Staff does not archive all external or internal communications in a single, central location, though the MyOCSD SharePoint intranet houses many internal pieces.
- Tripepi Smith perceived a gap in effective communications from Plant No. 1 to Plant No. 2. Some Plant No. 2 employees expressed they do not feel they receive the same communication level as employees at Plant No. 1. Part of the difference is due to Plant 2 employees' ability to check their work computers as often as office-based employees at Plant 1.
 - OCSD is constructing a new headquarters across the street from the current Administration Building. This could exacerbate the perceived issue of lack of communication between operations and management staff.
- In the world of social media, public agencies have to compete for attention with the world's largest brands. The PAO would like to focus on producing more content (especially video) that is fun and inventive to capture external audiences better.

Strategy & Policy

- OCSD had an established Public Affairs Strategic Plan from July 2016 to June 2018 but did not produce a plan for 2018-2020. Staff intends to develop the next Strategic Plan for July 2020 to June 2022.
- OCSD directs the majority of external communications toward elected officials and specific neighborhood groups that are close to CIP projects. As of this writing, there is no emphasis or strategy on how to consistently reach all 2.6 million residents in OCSD's service area.
 - As a result, OCSD does not advertise on any social media platforms, regularly write Press Releases, or pitch stories to local media.
- OCSD has three communications-related policies: the OCSD Policies and Procedures Unified Communications Policy, the OCSD Social Media Policy, and the OCSD Personnel Policies Wireless/Electronic Communications (WEC) Policy.
- OCSD has a Brand/Style Guide, which is a best practice for public agencies. The PAO ensures all branding is consistent on all OCSD collateral.

Website (ocsd.com)

- OCSD has an external-facing website at ocsd.com. Granicus hosts the website, which operates on the Vision Content Management System.

- OCSD does not have an established Website Governance Policy that dictates who is responsible for what content and technical features of the site. However, all staff who have Editing privileges understand that the PAO must approve all content.
- The website has an SSL certificate, which is a best practice. It does not have an American with Disabilities Act (ADA) Notice.
- The IT Department has installed Google Analytics on the site, but staff does not regularly view these analytics for reporting or strategic planning purposes.

Social Media

- Public Affairs Specialist Kelly Newell is OCSD's primary social media manager.
- Graphics Designer Gregg Deterding and OCSD interns assist with developing photo and video content for social media.
- OCSD's LinkedIn Page has the largest audience of all OCSD social media platforms (2,578 Followers), but the Page is not active.
- Staff provides a brief social media report to the Legislative & Public Affairs Committee every month. Data includes number of posts, reach and impressions for each platform.
- Anecdotally speaking, few OCSD employees like/follow or engage with OCSD on social media. There is an untapped opportunity for staff to share content with their friends and family that highlights OCSD's mission, vision and values.

Media/Press

- OCSD's Unified Communications Policy spells out that all media inquiries should flow to/through the Public Affairs Office; employees know and follow this directive.
- OCSD does not regularly write Press Releases or pitch stories to local media.
- OCSD has a media list with contact information for several media outlets including radio, television, print and Vietnamese/Spanish outlets. Interns maintain and update this list, though the frequency is unclear.
- OCSD uses Meltwater to monitor media mentions. Administration Manager Jennifer Cabral receives all reports.

Direct Communications

- OCSD uses Constant Contact for email marketing (Five Minutes Per Month, and a Biosolids Newsletter). As of this writing, there are 2,139 subscribers for Five Minutes Per Month while the Biosolids Newsletter purposely has under 500 subscribers.
- OCSD does not email all internal publications directly to employees. 3 Things to Know is currently the only publication PAO delivers to all employee inboxes. Others may route through supervisors/managers or be on display at OCSD facilities.
- OCSD prints many internal communication pieces onsite, such as Digester, SafetyGrams, Safe Bulletins, and Pipeline.
- Employees receive emergency notifications via email, office phones and OCSD-issued mobile phones through the Send Word Now system.

Summarized Recommendations

NOTE: Tripepi Smith offers specific Action Items for each of these Recommendations in the full version of the Communications Audit Report.

1 – Establish Relationships with Public Information Officers in Orange County

City and county public information officers (PIOs) are responsible for providing information to a city's and/or county's constituents. PIOs typically have established processes for effectively communicating with their constituents. Considering OCSD's external audience includes approximately 2.6 million Orange County residents, OCSD would benefit substantially from forming relationships with PIOs in Orange County who could assist in disseminating OCSD information to their shared audience.

2 - Leverage Additional Communications Platforms

OCSD's LinkedIn Page has the largest audience (2,578 Followers) of all OCSD-managed social media accounts, but the Page is not currently active. Additionally, 659 LinkedIn Users list OCSD as their employer. OCSD should consider leveraging LinkedIn in their social media strategy. Additionally, OCSD should take advantage of digital screens/signage throughout the OCSD facilities to reach staff and visitors to campus.

3 – Consistently Analyze Available Metrics

OCSD should consider regularly analyzing and reporting on available website and social media data. Staff currently provides a social media metrics report to the Legislative & Public Affairs Committee but could expand this report. By consistently analyzing OCSD's website and social media data, OCSD staff can gather insights to use in improving its communications efforts.

4 – Increase Video Content

Across all digital platforms, video tends to be the most engaging content. OCSD should consider increasing production of video content that resonates with its audiences and helps disseminate information in an eye-catching way.

5 – Improve the ocsd.com Website

Search engine optimization on ocsd.com can help OCSD better reach its audience through the ocsd.com website. There are also multiple Vision Content Management System features to enable to improve website administration and user experience. OCSD should consider completing the steps below to improve the website.

6 – Optimize Internal Communications

The Public Affairs Office creates several internal communications pieces to keep employees updated. OCSD should consider combining, rescheduling and updating content on certain communications to ensure they reach employees effectively and efficiently.

7 – Improve Communications with Field Level Employees

The Public Affairs Office’s internal communications pieces may not always reach field level employees as consistently as they reach office staff.

8 – Optimize External Communications

The Public Affairs Office has several opportunities to enhance its external communications strategy. However, these recommendations operate under the assumption that OCSD is comfortable with drawing more attention to itself, its services, its infrastructure, and its staff.

9 – Take Inventory of Communications Collateral

Old communications collateral may spread outdated information about OCSD. The Public Affairs Office should consider taking inventory of all internal and external collateral to ensure all communications are up to date.

Conclusion

Compared to other California public agencies Tripepi Smith has assessed, the Orange County Sanitation District has one of the most centralized and organized Communications processes. A single team, with defined roles, produces and/or approves all internal and external communication content. OCSD also has clear policies that outline expectations for staff when it comes to producing communication content and interacting with both internal and external audiences. The OCSD Brand/Style Guide is a particularly advanced best practice.

Overall, OCSD’s internal communication efforts are solid in terms of quantity, quality and readership. A key question for OCSD’s leadership to consider now is: how much do you want to ‘publicize’ the District’s services and programs through external communication efforts? There appears to be tension between wanting to remain ‘out of sight, out of mind’ and producing more modern, innovative content that will engage various stakeholders in OCSD’s service area.

Thank you again for this opportunity to provide the Orange County Sanitation District with an objective third-party assessment of its communication efforts. Should you wish to further engage Tripepi Smith to execute on recommendations in this report, we are ready to assist.

Public Affairs Mid-Year Update

*Presented by:
Jennifer Cabral,
Administration Mgr.*

*Legislative and Public
Affairs Committee*

February 8, 2021



OC SAN
ORANGE COUNTY SANITATION DISTRICT

1

Public Affairs Office

What People Think We Do



What We Actually Do



2

2

Public Affairs Staff

Jennifer Cabral, Administration Manager

- Daisy Covarrubias, Principal Public Affairs Specialist
- Rebecca Long, Senior Public Affairs Specialist
- Kelly Newell, Public Affairs Specialist
- Belen Carrillo, Public Affairs Specialist
- Gregg Deterding, Graphic Designer
- Cheryl Scott, Administrative Assistant

Extension of Our Team

- Tanya Chong, Principal Staff Analyst (Engineering)
- VIPs

3

3

PAO Strategic Plan

EMPLOYEES EXPERTS MEDIA BRANDING EDUCATION



- Employee Lunch-n-Learn Sessions
- Digital Message System



- Speaking engagements
- Awards



- Media Training
- Press Releases



- New Logo
- Headquarter Branding Plan
- Community Newsletter



- Virtual Tour
- Wastewater 101 Academy
- Mobile Education Unit

4

4

PAO Strategic Plan

Mid-Year Update

EMPLOYEES



EXPERTS



MEDIA



BRANDING



EDUCATION





- 228 communication pieces
- Lunch-n-learn moved OCSD U
- 19 speaking engagement
- 9 awards
- 2 press release
- 19 articles
- 395 social media posts
- OC San logo
- 26 website post
- P2 Newsletter
- 17 tours
- 840 participants

5

5

PAO Strategic Plan

CONSTRUCTION



LEGISLATIVE



GRANTS



GOVT AFFAIRS



CRISIS



GM SUPPORT



- CIP Campaign
- Paid Advertisement

- Legislative Plan
- Track & monitor
- Letters of support/oppose

- Develop Policy
- Apply

- State of the District - Virtual
- New Council Member(s) Tour

- Response Plan
- Develop Protocols

- GM Monthly Report
- GM Work Plan
- Strategic Plan

6

6

PAO Strategic Plan

Mid-Year Update

CONSTRUCTION	LEGISLATIVE	GRANTS	GOVT AFFAIRS	CRISIS	GM SUPPORT
					
<ul style="list-style-type: none">• 24 Notifications• 3 Presentations• 2 Videos	<ul style="list-style-type: none">• 41 Leg. Bills• 1 Federal Letter• 6 State Letters• 2 Bill Agreements	<ul style="list-style-type: none">• Monitoring grants	<ul style="list-style-type: none">• SOTD – 140 guests• Annual Report• 2 Outreach Toolkits• 6 Board Member Speaking Points	<ul style="list-style-type: none">• COVID Response	<ul style="list-style-type: none">• 6 GM Report• GM Workplan• Midyear Report• Strategic Plan Update

7

7

Up Next

- Construction Outreach Audit
- OC Register Water Insert
- Educational Mobile Unit
- YES conference (OC Children’s Water Festival)
- Updating video library
- Digital signage throughout the facilities
- Media Training - delayed
- Community Newsletter
- City Council Members’ Tour

8

8

For more information

Visit us at: OCSan.gov
Follow us: [@OCSanDistrict](https://twitter.com/OCSanDistrict)



Also on... [in](https://www.linkedin.com/company/ocsan/) 



LEGISLATIVE AND PUBLIC AFFAIRS COMMITTEE

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1486

Agenda Date: 2/24/2021

Agenda Item No: 14.

FROM: James D. Herberg, General Manager

SUBJECT:

PUBLIC AFFAIRS UPDATE FOR THE MONTHS OF NOVEMBER 2020 THROUGH JANUARY 2021

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

Receive and file the Public Affairs Update for the months of November 2020 through January 2021.

BACKGROUND

Staff will provide an update on recent public affairs activities.

RELEVANT STANDARDS

- Maintain influential legislative advocacy and a public outreach program
- Build brand, trust, and support with policy makers and community leaders
- Maintain collaborative and cooperative relationships with regulators, stakeholders, and neighboring communities
- Listen to and seriously consider community input on environmental concerns

PROBLEM

The Orange County Sanitation District (Sanitation District) is well-recognized within the water/wastewater industry; however, as a regional provider without direct access to our customers there is opportunity to always expand knowledge or awareness within our service area of the important work we do to protect public health and the environment and the part they can have to protect our sewer lines, our treatment plants, and the quality of water we supply for the Groundwater Replenishment System.

PROPOSED SOLUTION

By providing tours, community outreach, education, and general communication via the Sanitation District's website, social media outlets, and direct mailings, we have the ability to educate the community, local agencies, and businesses on our messaging such as the What2Flush program, energy production, water recycling, biosolids, and our source control program. This, in turn, helps improve the quality of wastewater that is recycled or released to the ocean.

TIMING CONCERNS

N/A

RAMIFICATIONS OF NOT TAKING ACTION

If we do not educate the community, local agencies, and area businesses about the Sanitation District, we may not have the support necessary to deliver our mission.

PRIOR COMMITTEE/BOARD ACTIONS

N/A

ADDITIONAL INFORMATION**Current activities for the months of November 2020 through January 2021:****Virtual Tours**

Due to the COVID-19 pandemic, our in-person Plant tours are temporarily suspended. To continue engaging with the community and our stakeholders, staff conducts virtual tours of the Plant which has allowed participants an opportunity to remotely visit the Sanitation District and learn how we protect public health and the environment. For this reporting period, we held five virtual tours reaching over 200 people.

Plant No. 2 Neighborhood Newsletter Distributed

As part of the ongoing outreach efforts to keep our Plant No. 2 neighbors informed and engaged, the Fall issue of the Neighborhood Connection Newsletter was distributed in November. Over 1,400 residents in Huntington Beach, Costa Mesa, and Newport Beach receive this publication. The newsletter includes updates on the ongoing construction of the low flow pump station, the final expansion of the Groundwater Replenishment System, and the future construction of the new temperature-phased anaerobic digester facility. The current and previous issues are available on our website at www.ocsd.com/plant2.

Transition from OCSD to OC San

The rollout of the new logo and new name has begun. We anticipate the entire transition to be a two-year process. This will allow time to utilize the existing inventory of OCSD material that is in stock and only replacing items as the inventory is depleted or scheduled for replacement. The following are updates that have occurred:

- Updated signature block
- Electronic letterhead
- Updated templates
- New PowerPoint template
- Social media campaign
- Ocsan.gov website secured
- Updates to website

- Ocean Monitoring Vessel, Nerissa, branded
- Streetlight poles at Plant Nos.1 and 2

Awards:

- The Headquarters Complex received an award in the Unbuilt Green Category for the Architects Newspaper Awards. This is the first time we've received this award.
- For the 13th consecutive year, the Sanitation District has been awarded the Municipal Information Systems Association of California (MISAC) award. This award signifies that the Sanitation District met or exceeded MISAC standards.

Media Coverage:

Director of Engineering Kathy Millea and Dan Bunce with Brown and Caldwell were interviewed on the Sanitation District's Temperature Phased Anaerobic Digestion (TPAD) facility. A link to the article is in the Outreach Summary Report.

ATTACHMENTS

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Outreach and Media Summary Report November 2020 through January 2021
- Presentation

Outreach and Media Summary



November 2020 - January 2021

OC San Public Affairs Office

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ARTICLE SUMMARY.....	PAGE 16

Outreach Report November 2020 - January 2021

Date	Tours	Attendees	Tour Guide
11/12/2020	OC San Virtual Tour	38	Cortney Light
12/4/2020	CSUF Engineering Virtual Tour	10	Sam Choi
12/15/2020	OC San/ OCWD Joint Virtual Tour	90	Jim Herberg/Mike Markus
01/12/2021	Godinez High School	40	Deirdre Bingman
01/20/2021	New Employee Tour	20*	Pegah Behraven
Date	Speaking Engagements	Attendees	Presenter
11/16/2020	UCI AAEES Networking	20	Eros Yong
11/16/2020	Los Alamitos City Council Presentation	15	Kathy Millea
12/14/2020	Seal Beach City Council Presentation	15	Kathy Millea
12/15/2020	UCR World Water Day Presentation	50	Jim Herberg
1/14/2021	ACC-OC Presentation	15	Jim Herberg
01/21/2021	Construction Network CIP	50*	Brian Bingman/ Raul Cuellar
	*These events have not occurred at time of this report, therefore # of attendees is estimated.		
Project Area	Construction Outreach Notifications	# of People Reached	Website Posts and Text Alerts
Anaheim	6 notifications	7,800	5 website posts / 4 text alerts
Fullerton	2 notifications	2600	1 website post
Huntington Beach	1 newsletter	1400	
Westminster	2 notifications	13,065	4 website posts / 4 text alerts
External Communications	Distribution	# of People Reached	
5 Minutes Per Month	Two	600	
Board Member Talking Points	Three	75	
Member Outreach Toolkit	One	25	
Website Posts	7 posts	61 views	

Facebook	54 posts	9.5k people	
Twitter	59 tweets	16.5k people	
Instagram	43 posts	1.6k people	

Facebook Posts

Nov 2020- Jan 2021

Page Summary Last 28 days ↕

Export Data 

Results from Oct 28, 2020 - Nov 24, 2020

Note: Does not include today's data. Insights activity is reported in the Pacific time zone. Ads activity is reported in the time zone of your ad account.

■ Organic ■ Paid

Actions on Page

October 28 - November 24

2

Total Actions on Page ▲ 100%



Page Views

October 28 - November 24

184

Total Page Views ▼ 12%



Page Previews

October 28 - November 24

2

Page Previews ▲ 100%



Page Likes

October 28 - November 24

7

Page Likes ▲ 133%



Post Reach

October 28 - November 24

1,458

People Reached ▼ 10%



Story Reach

October 28 - November 24

Get Story Insights

See stats on how your Page's recent stories have performed.

[Learn More](#)

Recommendations

October 28 - November 24



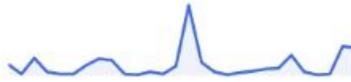
We have insufficient data to show for the selected time period.

Post Engagement

October 28 - November 24

394

Post Engagement ▼ 15%



Videos

October 28 - November 24

395

3-Second Video Views ▼ 47%



Page Followers

October 28 - November 24

8

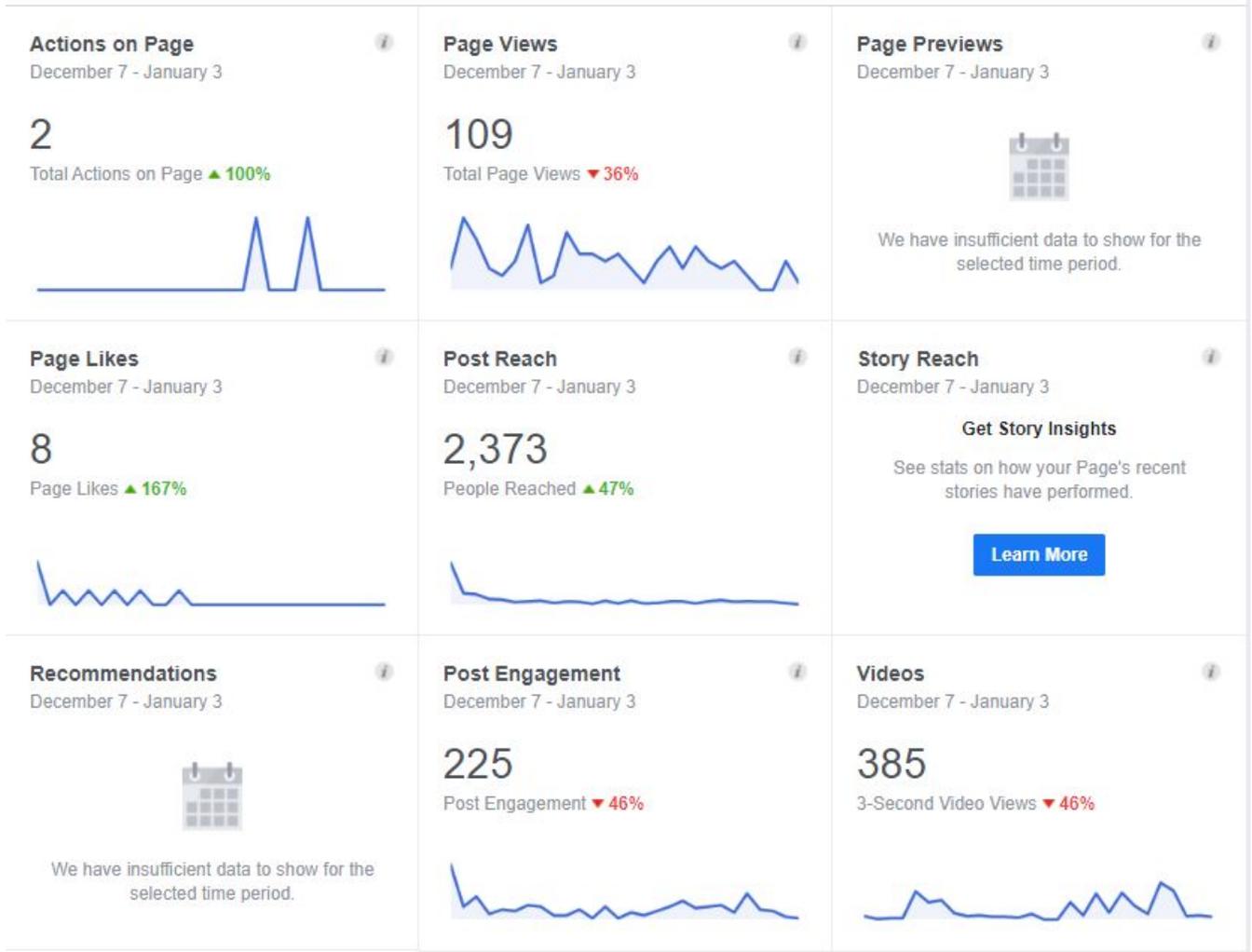
Page Followers ▲ 300%



Results from Dec 7, 2020 - Jan 3, 2021

Note: Does not include today's data. Insights activity is reported in the Pacific time zone. Ads activity is reported in the time zone of your ad account.

Organic Paid



Page Summary Last 28 days

Export Data

Results from Dec 16, 2020 - Jan 12, 2021

Note: Does not include today's data. Insights activity is reported in the Pacific time zone. Ads activity is reported in the time zone of your ad account.

Organic Paid

Actions on Page

December 16 - January 12

2

Total Actions on Page ▲ 100%



Page Views

December 16 - January 12

101

Total Page Views ▼ 28%



Page Previews

December 16 - January 12



We have insufficient data to show for the selected time period.

Page Likes

December 16 - January 12

4

Page Likes ▼ 43%



Post Reach

December 16 - January 12

687

People Reached ▼ 77%



Story Reach

December 16 - January 12

Get Story Insights

See stats on how your Page's recent stories have performed.

Learn More

Recommendations

December 16 - January 12



We have insufficient data to show for the selected time period.

Post Engagement

December 16 - January 12

153

Post Engagement ▼ 57%



Videos

December 16 - January 12

281

3-Second Video Views ▼ 48%



Page Followers

December 16 - January 12

4

Page Followers ▼ 43%



Reach: Organic / Paid Post Clicks Reactions, Comments &

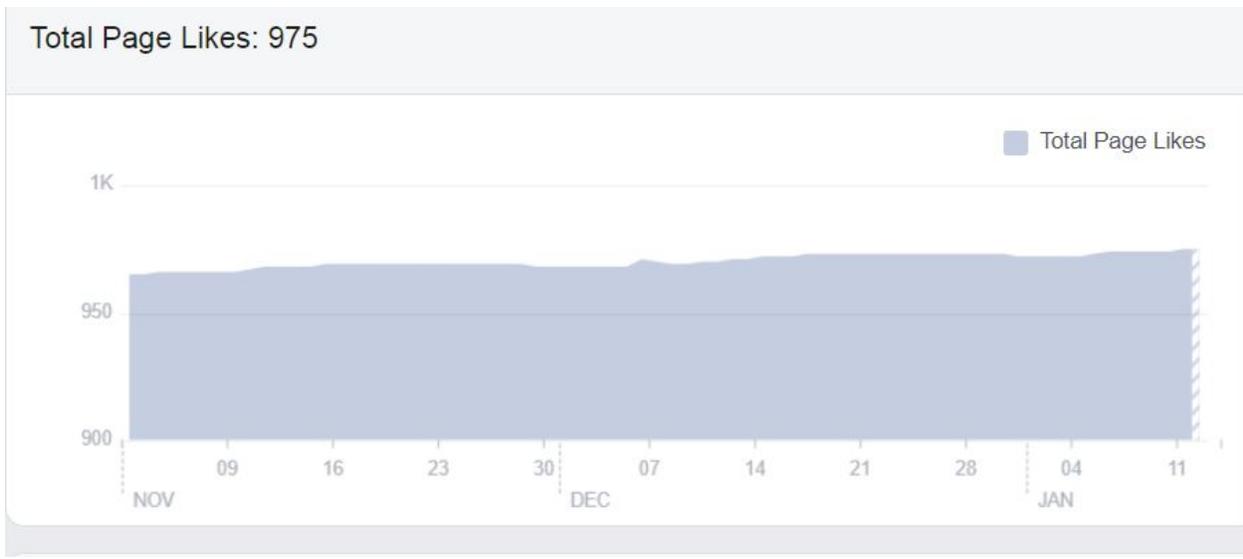
Published	Post	Type	Targeting	Reach	Engagement
01/13/2021 10:13 AM	 If there there's one thing nobody wants to see, it's a clogged pipe.			6	0 0
01/11/2021 10:44 AM	 A community coming together. On behalf of the County of Orange we			118	5 3
01/07/2021 9:45 AM	 Back in the 1990's we began installation of our Central Generation			143	1 5
01/05/2021 2:56 PM	 You should only flush the 3 P's: Pee, Poop, and Toilet Paper. This is the			215	4 9
01/01/2021 9:00 AM	 Happy New Year! We're ready to flow into 2021, we hope you are too!			116	0 7
12/31/2020 9:00 AM	 #1! Through everything that this year has brought we have managed to			91	5 1
12/30/2020 9:00 AM	 #2! New Year, New You? Well we wanted to start the year as OC San			105	12 7
12/29/2020 9:00 AM	 #3! We created a VIRTUAL TOUR! And what better way to end the year			63	1 1
12/28/2020 8:49 AM	 #4! Today marks our very last #MemberMonday and it's with			139	3 2
12/27/2020 10:57 AM	 Today starts our countdown to New Years! #5! This year we reached over			140	9 8
12/25/2020 9:00 AM	 Merry Christmas! From OC San to you. And because we are who we			117	10 8
12/24/2020 9:00 AM	 Our Administrative officer will be closed on Thursday, December 24			112	2 5
12/23/2020 12:59 PM	 For the 13th consecutive year, OC San has been awarded the			52	7 4
12/21/2020 9:00 AM	 The @cityofvp owns and operates a sanitary sewer system in			108	3 4
12/19/2020 10:47 AM	 On the Westminster Blvd. Sewer Project, this is near the Seal Beach			131	1 8

12/17/2020 2:37 PM		Construction Alert for City of Anaheim- Municipal Government			103		3 2	
12/16/2020 1:13 PM		It's been awhile since we had Wastewater Word Wednesday. So			90		1 2	
12/14/2020 3:00 PM		While the @cityoflapalma does not have any direct reuse of recycled			138		1 3	
12/14/2020 1:13 PM		Construction Alert for City of Anaheim- Municipal Government -			105		0 3	
12/13/2020 10:54 AM		Many of you know us as OCSD, but this year we made it official and will			74		2 8	
12/11/2020 1:00 PM		Friday FOG Fact: NEVER dump cooking fats, oils, and grease (FOG)			143		7 5	
12/10/2020 11:43 AM		Join in on Wednesday, Dec. 16 at 6 p.m. for our Board of Directors			55		0 1	
12/09/2020 1:28 PM		Apply to officially become a part of the OC San family. Go to			286		11 7	
12/07/2020 10:16 AM		The City of Seal Beach is home to one of our pump stations and also			1.8K		27 22	
12/04/2020 10:43 AM		Demo Day at OC San. Watch to learn more about the demo to			222		12 11	
12/02/2020 4:36 PM		Construction alert for City of Anaheim- Municipal Government.			112		1 2	
12/02/2020 12:26 PM		The Administration Committee meeting is scheduled for Wednesday,			79		0 0	
12/02/2020 10:46 AM		Register now! https://gcc02.safelinks.protection.outl			126		4 3	
11/30/2020 11:34 AM		Keeping our infrastructure in tip top shape is a priority. That's why next			120		0 1	
11/29/2020 11:24 AM		A good way to start the week, a message from our General Manager.			125		32 5	
11/28/2020 11:41 AM		It's #SmallBusinessSaturday, let's support the local business on State			123		0 2	
11/27/2020 7:14 AM		When we think of Black Friday we think FOG! Over time, the Fat, Oil			329		8 11	

11/26/2020 8:54 AM		Happy Thanksgiving. This Thursday we are thankful for you. A community			105		4 4	
11/24/2020 1:53 PM		Our Board of Director's represent the residents throughout our service			109		5 2	
11/24/2020 8:25 AM		It's Thanksgiving Week so we're sharing all the reasons we are			141		18 14	
11/23/2020 4:19 PM		City Government Page of La Habra, CA has always been a great partner.			163		6 8	
11/23/2020 3:54 PM		Orange County Sanitation District			30		0 22	
11/19/2020 10:49 AM		#WorldToiletDay brings awareness to sustainable sanitation, so we only			197		5 11	
11/18/2020 10:47 AM		We have a range of positions open right now, visit ocsd.com/jobs to view			223		7 5	
11/16/2020 3:02 PM		The City of Irvine City Hall is home to our friends the Irvine Ranch Water			378		2 7	
11/16/2020 11:54 AM		Be engaged! Join us this Wednesday for the Steering Committee at 5 p.m.			71		1 0	
11/16/2020 11:26 AM		Construction continues on State College Blvd. in City of Anaheim-			323		0 7	
11/11/2020 6:56 AM		Today we honor all who served our Country. Thank you from the Orange			671		59 69	
11/10/2020 5:28 PM		Now is the time! We are looking for the right person to join our team!			134		7 4	
11/10/2020 11:10 AM		Reminder: Our offices will be closed Wednesday, Nov. 11 in observance			95		0 1	
11/09/2020 1:26 PM		City of Cypress City Hall is home to Cypress College, a learning			129		3 3	
11/08/2020 10:19 AM		Trying to plan your monthly activities? Well we have one more to			130		2 5	
11/05/2020 9:27 AM		Coming up! The Administration Committee Meeting on Nov. 10 at 5			101		2 2	
11/04/2020 10:19 AM		Check it out! We have a new employment opportunity.			174		25 4	

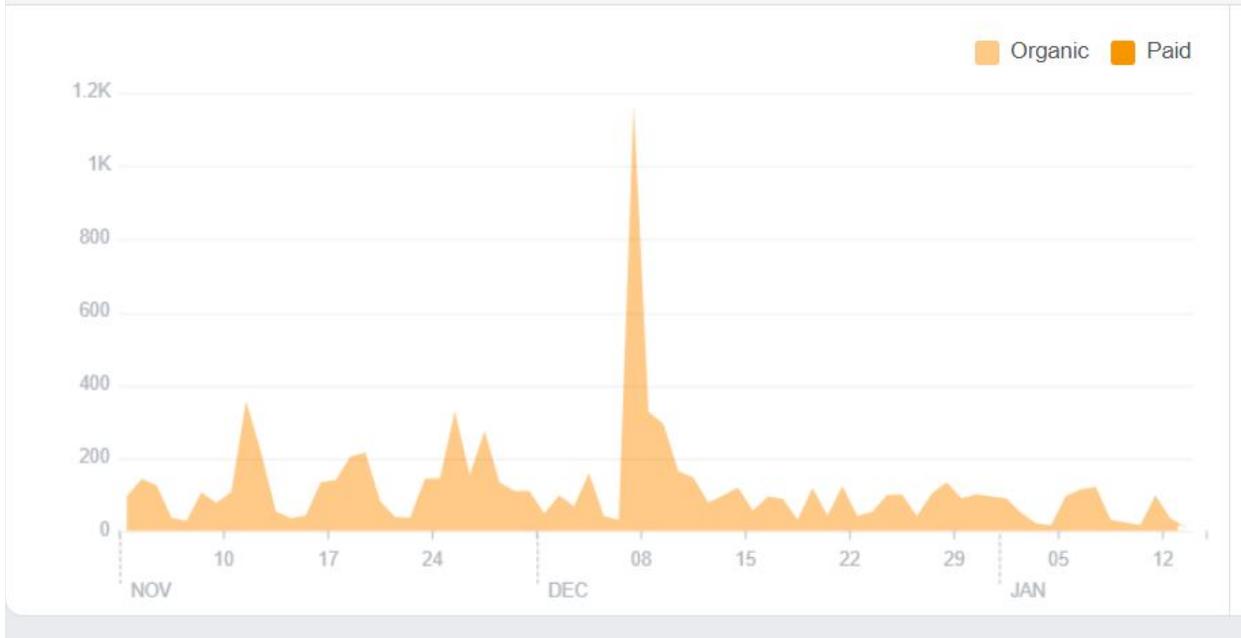
11/04/2020 9:27 AM	 Time for some #WastewaterWisdom. The OCSD collections system			134		4 5	
11/03/2020 3:47 PM	 In case you couldn't join, you can still go and watch! \$\$\$			99		6 2	
11/02/2020 5:10 PM	 This week's #MemberMonday takes us to the City of Orange. As a part of			115		2 3	
11/02/2020 8:53 AM	 Construction Alert for City of Anaheim- Municipal Government-			102		1 1	
11/02/2020 8:08 AM	 The Legislative and Public Affairs Committee Meeting will be held on			66		0 1	

Graphs of Page Likes, Post Reach and Total Views for November 2020- January 2021



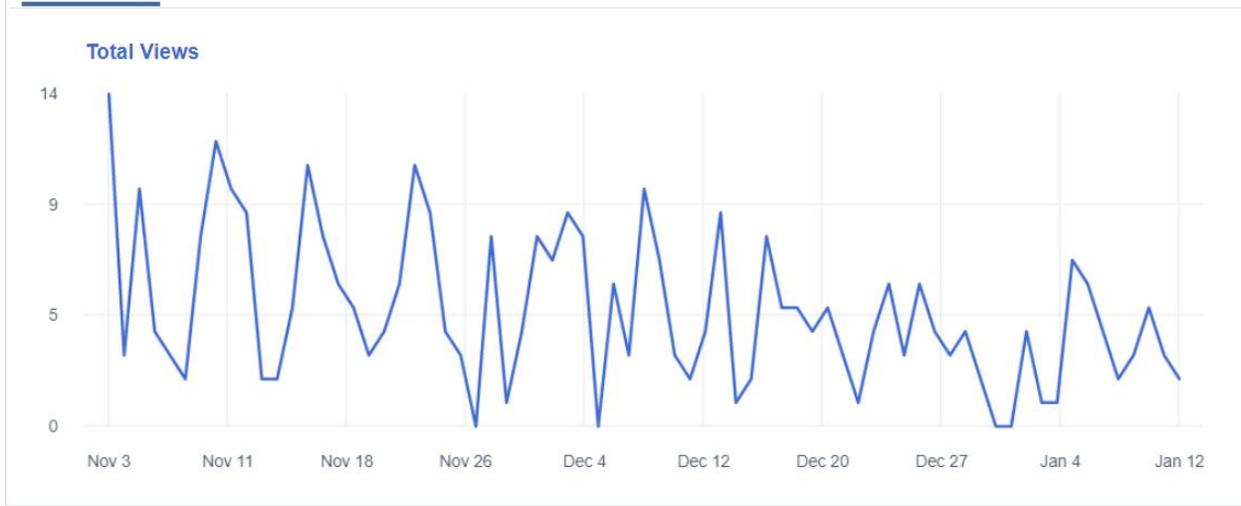
Post Reach

The number of people who saw any of your posts at least once. This metric is estimated.



Total Views

By Section



Twitter Posts
Nov 2020- Jan 2021

28 day summary with change over previous period



Jan 2021 • 12 days so far...

TWEET HIGHLIGHTS

Top Tweet earned 208 impressions

You should only flush the 3 P's: Pee, Poop, and Toilet Paper. This is the Way. #3Ps #What2Flush #thisistheway pic.twitter.com/JKpINlOLmU



1 retweet 1 like

[View Tweet activity](#)

[View all Tweet activity](#)

Top media Tweet earned 199 impressions

Happy New Year! We're ready to flow into 2021, we hope you are too! pic.twitter.com/vq3J542LO2



2 likes

[View Tweet activity](#)

[View all Tweet activity](#)

ADVERTISE ON TWITTER

Get your Tweets in front of more people

Promoted Tweets and content open up your reach on Twitter to more people.

[Get started](#)



JAN 2021 SUMMARY

Tweets 4	Tweet impressions 1,492
Profile visits 30	Mentions 1
New followers -1	

Top Follower followed by 1,994 people



Hannah Fry

@Hannahfry [FOLLOWS YOU](#)

Orange County reporter @latimes. Southern California native. Formerly @TheDailyPilot @ocregister Tips? hannah.fry@latimes.com

[View profile](#)

TWEET HIGHLIGHTS

Top Tweet earned 1,035 impressions

The City of Seal Beach is home to 1 of our pump stations & also where the Westminster Blvd. Sewer Project is taking place. Construction may not always be pleasant but upgrading our infrastructure is our top priority so we can provide continuous service. [#MemberMonday](#)
pic.twitter.com/9SPWP0TBRZ



🔗 2

[View Tweet activity](#)

[View all Tweet activity](#)

Top Follower followed by 370 people



EnsoGroupInc

@ensogroupinc [FOLLOWS YOU](#)

Your partner in energy management and savings.

[View profile](#)

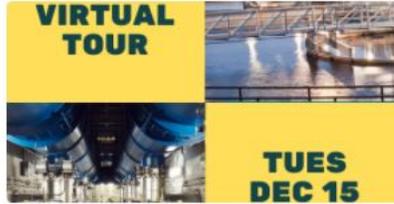
Top mention earned 31 engagements



Orange County Water District

@OCWDWaterNews · Dec 11

Interested in learning more about our operations? We're hosting a virtual tour w/[@OCSanDistrict](#) on 12/15. See our facilities up close and have your questions answered live by GMs Mike Markus and Jim Herberg. Space limited. Register at ow.ly/PRPt50CJIV9.
pic.twitter.com/llyVOFxnU6



🔗 3 ❤️ 3

[View Tweet](#)

Top media Tweet earned 542 impressions

Friday FOG Fact: NEVER dump cooking fats, oils, and grease (FOG) down the kitchen sink. They will clog your pipes & ours. FOG can be meat fats, lard, cooking oil, shortening, butter, and much more. Collect it and dump it in the trash. Visit What2Flush.com for more. [#FOG](#) [#W2F](#)
pic.twitter.com/w4fyXECyRi



🔗 5 ❤️ 4

DEC 2020 SUMMARY

Tweets
20

Tweet impressions
8,082

Profile visits
205

Mentions
7

New followers
7

TWEET HIGHLIGHTS

Top Tweet earned 642 impressions

The [@City_of_Irvine](#) is home to our friends the [@IRWDnews](#). OCSD currently receives sewage sludge from IRWD at Plant No. 1. This is scheduled to stop by 2021 when IRWD completes their own solids treatment facility. This is what some may call a sludgy solution. [#MemberMonday](#)
pic.twitter.com/whBzNpVv7k



↩ 1 ❤ 4

[View Tweet activity](#)

[View all Tweet activity](#)

Top Follower followed by 2,458 people



Amanda FencI, PhD

[@alfenci](#) [FOLLOWS YOU](#)

[@TAMU](#) post-doc | she/her | 🌱 on governance of [#water](#) [#adaptation](#), [#environmentaljustice](#) | alum [@ucdGEO](#) [@SEIresearch](#) [@TuftsUniversity](#)

[View profile](#)

Top mention earned 64 engagements



Jeff Mosher

[@Jeff4water](#) · Nov 2

WEBINAR: Exploring Careers in the Water and Wastewater Industry (especially for high school and college students) - Sponsored by the Orange County Water District
[@OCWDWaterNews](#) [@OCSanDistrict](#)
[@CarolloTweets](#) youtu.be/gOErIPf82YQ

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Top media Tweet earned 617 impressions

In the past 66 years we've learned, grown & become the agency you know...rich in history & innovation. We are thankful for our past and ready to embark on the future as OC San. New look, same great service. Our mission is & always will be to protect public health & the environment.
pic.twitter.com/Gj2IQc3YFC



❤ 4

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NOV 2020 SUMMARY

Tweets
25

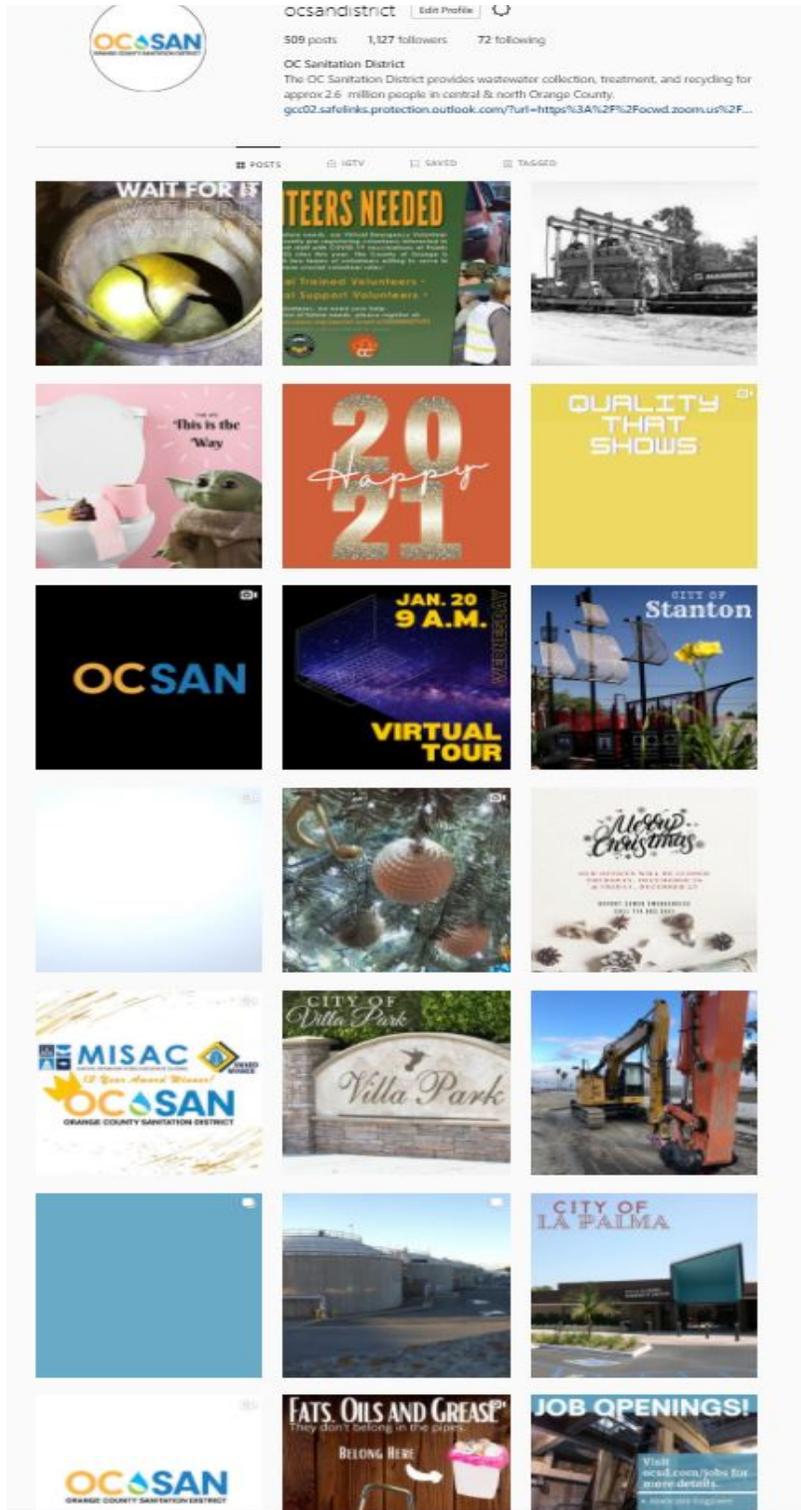
Tweet impressions
7,041

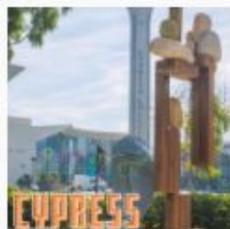
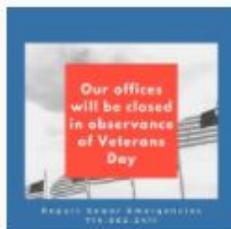
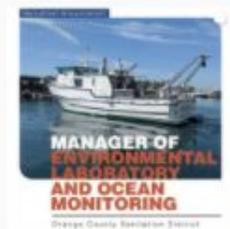
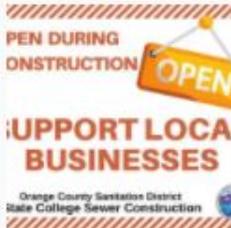
Profile visits
200

Mentions
11

New followers
16

**Instagram Posts
Nov 2020- Jan 2021**





OC San News Articles November 2020 - January 2021

Article	Date	Resource	Link
OneWater: Closing the Loop	30-Nov-20	Energy and Environmental Policy Analysis 2020	https://eepolicy2020.wordpress.com/2020/11/30/one-water-closing-the-loop/
OC Sanitation announces sewer rehabilitation for 2021	10-Dec-20	News Enterprise	https://event-newsenterprise.com/oc-sanitation-announces-sewer-rehabilitation-for-2021/
California county to benefit from temperature-phased anaerobic digestion facility	16-Dec-20	ASCE	https://source.asce.org/california-county-to-benefit-from-temperature-phased-anaerobic-digestion-facility/
La Palma swears in new members	17-Dec-20	News Enterprise	https://event-newsenterprise.com/la-palma-swears-in-new-
Here are the 2020 AN Best of Design	23-Dec-20	Architect Newspaper	https://www.archpaper.com/2020/12/here-are-the-2020-an-best-of-design-awards-winners-part-7/
After two terms, Mayor Murphy steps away from the public stage	5- Jan- 21	News Enterprise	https://event-newsenterprise.com/after-two-terms-mayor-murphy-steps-away-from-the-public-stage/
Chirco elected Mayor, Hasselbrink Mayor Pro-tem	5-Jan- 21	News Enterprise	https://event-newsenterprise.com/18072-2/

Public Affairs Update

Nov. 2020 – January 2021

Presented by:
Daisy Covarrubias,
Pr. Public Affairs Spec.

Legislative and
Public Affairs
Committee

February 8, 2021



1

What We Did

- Launched new logo and name
- Hosted 5 Virtual Tours
- Veterans Day video for employees
- Holiday ornaments to employees and Board
- 5 Minutes Per Month emails
- Plant No. 2 Neighborhood Newsletter
- Headquarters Building Update Video

Tours

5 tours / 198 guests

6 speaking engagements



Social Media

Twitter: 59 tweets / 16.5k impressions
 Facebook: 54 posts / 9.5k reach
 Instagram: 43 posts / 1.6k reach

2

What We Are Doing

- Construction Outreach Program Audit
- Plant No. 1 Neighborhood Newsletter
- Internal Communications
- COVID-19 Updates
- Outreach Toolkits
- Virtual Tours
- Logo Rollout



3

Awards

- Architects Newspaper Award
 - Unbuilt Green Category for the Headquarters Complex
- Municipal Information Systems Association of California (MISAC) award.



The Architect's Newspaper

4

4



LEGISLATIVE AND PUBLIC AFFAIRS
COMMITTEE

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1487

Agenda Date: 2/24/2021

Agenda Item No: 15.

FROM: James D. Herberg, General Manager

SUBJECT:

LEGISLATIVE AFFAIRS UPDATE FOR THE MONTHS OF NOVEMBER 2020 THROUGH JANUARY 2021

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

Receive and file the Legislative Affairs Update for the months of November 2020 through January 2021.

BACKGROUND

The Orange County Sanitation District's (Sanitation District) legislative affairs program includes advocating the Sanitation District's legislative interests; sponsoring legislation (where appropriate); and seeking Local, State, and Federal funding for projects and programs. Staff will provide an update on recent legislative and grant activities.

RELEVANT STANDARDS

- Maintain influential legislative advocacy and a public outreach program
- Build brand, trust, and support with policy makers and community leaders
- Maintain collaborative and cooperative relationships with regulators, stakeholders, and neighboring communities

PROBLEM

Without a strong advocacy program, elected officials may not be aware of the Sanitation District's mission, programs, and projects and how they could be impacted by proposed legislation.

PROPOSED SOLUTION

Continue to work with Local, State, and Federal officials to advocate the Sanitation District's legislative interests. Help to create/monitor legislation and grants that would benefit the Sanitation District, the wastewater industry, and the community as a whole. To assist in our relationship building activities, we will continue to reach out to our elected officials providing facility tours, one-on-one meetings, and trips to D.C. and Sacramento.

TIMING CONCERNS

N/A

RAMIFICATIONS OF NOT TAKING ACTION

If we do not work with Local, State, and Federal elected officials, legislation could be passed that negatively affects the Sanitation District and the wastewater industry as a whole. Additionally, a lack of engagement may result in missed funding opportunities.

ADDITIONAL INFORMATION

State:

The Legislature returned to Sacramento on January 11, 2021 to start the first year of the current two-year legislative session. The Legislature will be focused on introducing bills prior to the February 19 bill introduction deadline. Topics that are expected to dominate the Legislature's time in Sacramento this year include COVID-19 relief and response, climate resiliency, housing, homelessness, social equity, and police reform.

Federal:

At the end of 2020, congressional leaders reached agreement on a massive omnibus spending bill, COVID-19 relief package, renewal of the Water Resources Development Act, and authorization of renewable energy mandates. It is expected that the next relief package will focus on core infrastructure needs and climate/environmental issues.

FINANCIAL CONSIDERATIONS

N/A

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Federal Update - ENS Resources
- State Update - Townsend Public Affairs
- Grant Tracker 2021-2022
- Presentations



TO: Rebecca Long
FROM: Eric Sapirstein
DATE: January 18, 2021
SUBJECT: Washington Update

The past month has been one of historical transition as Congress completed action on an omnibus spending bill and a fourth COVID-19 relief bill that the president signed into law. The 117th Congress convened on January 3 when new members, including OC San's Representative Young Kim and Michelle Steel, were sworn into office. At the time of this writing, committee assignments had not been officially announced. Also, when Congress convened earlier in the month, it adopted rules governing the House that included extension of the Climate Crisis Committee, signaling a commitment to address climate policy in the coming year.

In the Senate, Vice President-elect Kamala Harris officially resigned her Senate seat, making California Secretary of State Alex Padilla the new California Senator. Padilla is filling his office with seasoned congressional staff. This action suggests he will start his Senate career with all speed. With the Georgia Senators expected to be sworn into office, along with Padilla, the Senate will be in Democrat control with a 50/50 split broken by Harris' vote as the Senate President. However, given the potential for division in both parties, it is unclear how often a Harris tie breaking vote would be necessary.

With the approaching Inauguration, the Biden Transition Team announced the selection of US Environmental Protection Agency's (USEPA's) senior leaders. North Carolina's Department of Environment leader, Michael Regan will become the Administrator. Janet McCabe, previously the Office of Air Assistant Administrator under President Obama, will serve as the Deputy Administrator; a position generally considered the day-to-day manager of the agency. The appointments signal a priority for enforcement of environmental mandates and the reinstatement of climate policy as a priority for the agency.

Omnibus and COVID-19 Relief

At the end of 2020, congressional leaders reached agreement on a massive omnibus spending bill, COVID-19 relief package, renewal of the Water Resources Development Act, and authorization of renewable energy mandates. The action means that the remainder fiscal year 2020 was funded at essentially current spending levels eliminating the potential for further program disruptions. Also, Congress and the White House reached an agreement to fund extensions of pandemic relief programs and in a new effort included a limited \$638 million to provide grants nationwide for the loss of ratepayers' payments to water and wastewater agencies because of economic and health impact of COVID-19.

President-Elect Releases Next Pandemic Response Package

President-elect issued the American Rescue Plan that he intends to work with Congress to pass expeditiously to reverse the pandemic's health and economic impacts. The plan builds upon the fourth package enacted into law in December that provided assistance to support arrearages related to utility services. Under the plan, a series of provisions could benefit OC SAN'S.

- **Emergency Rental Assistance Program**
Provides \$30 billion for direct emergency rental assistance payments to states and local governments with 200,000 residents or more. The plan envisions cities and states making payments directly to landlords or wastewater agencies on behalf of renters. If a landlord refuses to accept the rental assistance, cities and states can give assistance directly to the renter, who could then make payments to an agency.
- **Low-Income Household Drinking Water and Wastewater Emergency Assistance Program**
Provides an additional \$5 billion in grants to assist low-income households pay their water utility bills by providing grants to public water and wastewater agencies to reduce arrearages and to support needs to pay for water services. The funds will be made available to agencies through a new Low-Income Household Drinking Water and Wastewater Emergency Assistance Program that states can distribute via existing networks such as Low-Income Home Energy Assistance Program (LIHEAP).
- **Paid Mandatory Sick and Family Leave**
The Plan would provide for reimbursement of mandatory paid sick and family leave through September 30, 2021. This would enhance earlier efforts to simply provide tax credits to public agencies for the provision of leave. A maximum federal benefit of \$1,400 per month would be available.

- **Occupational Safety and Health Administration (OSHA) Assistance**
The plan envisions the implementation of a COVID-19 OSHA protection standard to cover frontline essential works to protect workers from unsafe conditions and retaliation.
- **Support of State and Local Governments**
The plan envisions \$350 billion in emergency funding for state, local, and territorial governments to ensure that they are in a position to keep front line public workers on the job and paid.

Infrastructure

Once Congress completes action on the fifth COVID-19 relief package, it is expected to turn attention of a national infrastructure initiative that would likely merge core infrastructure needs with climate policy priorities. The positive outlook for infrastructure is grounded in a sense that a national infrastructure funding program could reverse the COVID-19 created economic challenges and create employment. The starting point of any package appears to be the Moving Forward Act that the House passed last year. This almost \$2 trillion bill placed a priority on funding the State Revolving Fund program as well as new programs to provide grants to help wastewater agencies adopt technologies that could modernize the treatment process.

The outlines of any infrastructure policy remains to be developed in the coming months. However congressional staff indicate that the latter part of spring could see Congress moving aggressively to pass a bill.

To: Orange County Sanitation District
From: Townsend Public Affairs, Inc.
Date: January 18, 2021
Subject: Legislative and Public Affairs Agenda Report

State Legislative Update

The Legislature returned to Sacramento on January 11, 2021 to start the first year of the current two-year legislative session. For the next month, the Legislature will be focused on introducing bills prior to the February 19 bill introduction deadline. Once bills are introduced in their respective houses, they must sit for 30 days before they can be acted on. The Legislature is expected to introduce upwards of 2,7000 bills before the deadline. A significant portion of these bills will be spot bills, which are bills with little or no substantive language. These bills will be amended as the legislative session continues to address various policy topics.

Topics that are expected to dominate the Legislature's time in Sacramento this year include COVID-19 relief and response, climate resiliency, housing, homelessness, social equity, and police reform.

Below are the upcoming relevant dates for the Legislature:

January 22 – Last day to submit bill requests to Legislative Counsel

February 19 – Bill introduction deadline

Governor's January Budget Proposal

On January 8, Governor Newsom released his January Budget proposal. The proposed budget is a \$227.2 billion fiscal blueprint that focuses on COVID-19 relief funding, economic strengthening and recovery, vaccine distribution, small business support, housing, homelessness, and education. The Governor's January Budget proposal kick-starts the process of budget hearings, subcommittee hearings, and other discussions leading up to the May Revise and then final Budget adoption by the Legislature prior to June 15.

As part of the January Budget proposal, the Governor and Department of Finance are projecting the State will have a current-year budget surplus of \$15 billion. This surplus is a result of higher than expected revenues in the budget year, as well as fewer people accessing state services than was anticipated.

The Governor is proposing to utilize most of those dollars to invest in the economic recovery of the State, as well as to combat the harmful effects of the COVID-19 pandemic. Since the budget surplus is anticipated to be one-time in nature, the Governor proposes to utilize the funds largely for one-time expenditures as opposed to ongoing spending that would need to be cut in a future budget.

Below are a few highlights of priority areas of the Budget proposal:

- **COVID-19 Relief:**
 - \$4.4B proposed in emergency response
 - \$2B for coronavirus testing
 - \$473M for contact tracing
 - \$372M for vaccine administration

- **Economic Recovery Package:**
 - \$4.5B proposed in economy recovery
 - \$1.1B immediate relief for small businesses
 - \$777M for California Jobs Initiative
 - \$353M for Workforce Development
 - \$300M for Deferred Maintenance
 - \$500M for Housing Development
 - \$1.5B for Zero-Emissions Vehicles

- **Golden State Stimulus**
 - \$2.4B total
 - \$600 direct payments to an estimated 4 million Californians
 - Extension of eviction moratorium enacted via AB 3088

- **Housing:**
 - The Budget includes \$500M for the Infill Infrastructure Grant Program to accelerate economic recovery through the creation of jobs and long-term housing development
 - \$500M for a third round of low income housing tax credits

- **Homelessness:**
 - \$1.75B in one time new investments
 - \$750M for competitive local government grants to purchase motels/hotels (Project Homekey Acquisitions)
 - \$750M in behavioral health continuum infrastructure available over 3 years for developing community mental health housing
 - \$250M for dedicated housing for vulnerable seniors

- **Climate Change:**
 - \$1B to support the Forest Management's Task Force's Wildlife and Forest Resilience Action Plan
 - \$248.6M for restoration of natural areas and ecosystems
 - \$183M for flood management
 - \$6.5M for coastal protection

Beginning this week, the Legislature will start to conduct Budget Committee hearings to receive a broad overview of the Governor's proposals. Additionally, the Administration will continue to develop trailer bill language, which will detail how various budget proposals would be implemented.

TPA will continue to keep the Orange County Sanitation District updated on the budget process, the status of those items identified as potential priority for the District, as well as the Legislature's response to the Governor's Budget proposal.

Priority Legislation

Although the legislative session just began, there are a few bills already introduced that TPA has preliminarily identified as priority bills for the District:

AB 59 (Gabriel) - Mitigation Fee Act: fees: notice and timelines

AB 59 would repeal Section 66022 of the Government Code, which establishes the 120-day statute of limitations for legal challenges to new or increased connection fees or capacity charges. Under current law, any legal challenges for water and sewer connection fee or capacity charge must be commenced within 120 days after a water or sewer agencies adopts or amends a fee. This bill would change the statute of limitations to begin once the agency actually charges the fee to the ratepayer.

AB 59 would also require local agencies that collect fees in excess of the amount needed to provide their specific services to reimburse the ratepayer for that amount as opposed to re-investing that excess into reducing rates.

AB 59 has been double referred to the Assembly Local Government Committee and the Assembly Housing and Community Development Committee.

SB 45 (Portantino) – Wildfire Prevention, Safe Drinking Water, Drought Preparation, and Flood Protection Bond Act of 2022

SB 45 would establish a \$5.5 billion general obligation bond that would appear on the November 2022 ballot. SB 45 would provide funding for a wide variety of natural resources and climate resilient projects including: wildfire prevention, safe drinking water and water quality, protecting fish, wildlife, and agriculture from Climate risks, and protecting coastal resources.

SB 45 is a re-introduction of SB 45 (Allen, 2018). This proposal and conversations around a climate focused bond were put on hold largely due to the COVID-19 pandemic. It is important to note that Governor Newsom's January budget request did not include a climate/natural resources bond.

Name of Grant/Loan	Synopsis of Grant/Loan	Amount of Grant/Loan	Amount Applying for	Applying Y/N	Project/Program	Reason	Match	Deadline	Category	Rcvd Grant/Financing Y/N
STATE										
Organics Grant Program	The Organics Grant Program is part of California Climate Investments, a statewide program that puts billions of cap-and-trade dollars to work reducing greenhouse gas emissions, strengthening the economy, and improving public health and the environment - particularly in disadvantaged and/or low-income communities. The Cap-and-Trade program also creates a financial incentive for industries to invest in clean technologies and develop innovative ways to reduce pollution. California Climate Investments projects include affordable housing, renewable energy, public transportation, zero-emission vehicles, environmental restoration, more sustainable agriculture, recycling, and much more. At least 35 percent of these investments are made in disadvantaged and low-income communities.	Application materials for FY 2020-21 will tentatively be available summer 2020.	TBD	Yes	Food-Waste Co-Digestion facility at Plant No.2 in Huntington Beach to accept up to 150 wet tons per day (wtpd) of pre-processed source separated organics.	We will review the possible funding opportunity to determine if it is a fit for the Sanitation District.	TBD	TBD	Energy/Recycling	No
CalOES Grant- Community Power Resiliency Allocation to Special Districts Program	The purpose of the Community Power Resiliency Allocation to Special Districts Program is to support California special districts with additional preparedness measures in response to power outage events. Of the \$50 million overall appropriation for Community Power Resiliency funding, \$20 million has been reserved for special district needs.	\$300,000	\$300,000	No	Portable Generators	We did not meet the requirements of the grant.	NA	10/30/2020	Renewable energy	No
Integrated Regional Water Management (IRWM) Grant Program	The Proposition 1 IRWM Grant Program, administered by DWR, provides funding for projects that help meet the long term water needs of the state, including: Assisting water infrastructure systems adapt to climate change; Providing incentives throughout each watershed to collaborate in managing the region's water resources and setting regional priorities for water infrastructure	TBD	NA	No	NA	TPA and OCSD are monitoring the grant program development from the Santa Ana Watershed Project Authority (SAWPA). Currently, Round 2 has yet to be announced. TPA and OCSD will continue to watch this and other matches.	50%	NA. Will return in 2021 for Round 2	Water	No
FEDERAL										
The Water Infrastructure Improvements Act (WIIN)	The Title XVI Water Reclamation and Reuse Projects funding opportunity allows for sponsors of water reclamation and reuse projects that are congressionally authorized or are eligible under section 4009(c) of the WIIN Act to request cost-shared funding for planning, design and/or construction of those Projects. Water reclamation and reuse projects provide improved efficiency, flexibility during water shortages and diversifies the water supply.	Reclamation is making up to \$20 million available for those projects authorized under the WIIN Act.	\$20 million	Pending Funding Opportunity Announcement (FOA)	Final Expansion of GWRS Headworks (P2-122)	The Sanitation District developed a proposal for last year that could be used as a basis for a new submittal.	\$20mm or 25% of project costs whichever is less.	6/28/2019	Water/ Infrastructure	Pending FOA
Stormwater and CSO Grant Program	USEPA is authorized to provide grants assistance of public agencies to control stormwater flows and CSO's. Funding through state awards. Total funding available is \$60 million nationwide but increased funding expected in next budget cycle or under infrastructure bill.	Funding cost-share is not identified in the law	TBD	TBD. We will monitor for possible funding opportunities/A	TBD	FY 2020 - \$28 million	Yes	Anticipate by July 2020	Water/ Infrastructure	USEPA published allocation formula with deadline for public comments 9/3/2020. Expect formal allocation to State within next two months.

Name of Grant/Loan	Synopsis of Grant/Loan	Amount of Grant/Loan	Amount Applying for	Applying Y/N	Project/Program	Reason	Match	Deadline	Category	Rcvd Grant/Financing Y/N
The Department of Energy (DOE), USBR and USEPA	The DOE's Office of Energy Efficiency is likely to continue to be funded by Congress to support such efforts as biogas, biosolids and green energy.	Through the WaterSmart program, USBR will issue solicitations for innovative approaches to managing water and water treatment through technology and processes for FY 2020 - \$60 million	TBD	TBD. We will monitor for possible funding opportunities	Project Funding Opportunity: Energy production to reduce costs of recycled water through innovative technologies. Innovative water monitoring technology that can produce efficient real time monitoring and data analysis, Biogas Management and Use Improvements.	We will review the possible funding opportunity to determine if it is a fit for the Sanitation District.	N/A	TBD	Energy/Water/Infrastructure	TBD
USEPA	Climate Resiliency	TBD	TBD	TBD	Anticipate that USEPA will issue FOA's to promote studies and plans to address resiliency needs and strategies	We will review the possible funding opportunity to determine if it is a fit for the Sanitation District.	Unclear	TBD	Climate	TBD
Other										
							Match	ongoing	Education	Yes
							No	03/18/19	Environment	Yes



ORANGE COUNTY SANITATION DISTRICT

Presented By:
Eric Sapirstein
ENS Resources, Inc.
February 8, 2021

ORANGE COUNTY SANITATION DISTRICT LAPA UPDATE

1

Key Federal Activities

Executive Branch

- 44 Plus Executive Orders
 - Climate
 - Environmental Justice
 - Buy American
- American Rescue Plan
- Appointments

Legislative Branch

- House and Senate Organize: Committee Assignments
- Covid Relief Assistance
- Impeachment Trial
- Budget Reconciliation

Key Priorities Following 100 Days (April 30)

- Fiscal Year 2022 Budget (February 22, 2021)
- Infrastructure
- Climate Resiliency
- Environmental Justice

Page 2

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Questions



Page 3



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OC SAN
ORANGE COUNTY SANITATION DISTRICT

TPA Presentation to:
**Orange County
Sanitation District**
February 8, 2021

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1



Agenda

- Legislative Calendar and Priorities
- Governor's January Budget
- 2021 Legislation

Slide 2

2

Legislative Calendar and Priorities

Slide 3

3

Legislative Calendar

- The Legislature returned to Sacramento on January 11, 2021
- First year of a brand new two-year session
 - Likelihood of a hybrid in-person / virtual model for the 2021 session
- Bill introduction deadline – February 19, 2021
- Last day for any bill to pass is September 10, 2021



Slide 4

4

Legislative Priorities

- *COVID-19 Response
- Wildfire Prevention
- *Climate Change
- Broadband Infrastructure
- Public Safety
- Social Justice
- Housing

* OC San Priorities

Slide 5

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Governor's January Budget

Slide 6

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Governor's January Budget

- The Governor's January Budget Proposal proposes expenditures of \$227.2 billion
- \$15.5 billion projected Budget surplus
 - Projected budget deficits beginning in 2022-23
- \$22 billion projected in reserves
- No additional proposed Cap and Trade funding for organics grants programs



Slide 7

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Governor's January Budget

- **COVID-19 Relief**
 - \$4.4B proposed in emergency response
 - \$2B for coronavirus testing
 - \$473M for contact tracing
 - \$372M for vaccine administration
- **Economic Recovery**
 - \$4.5B proposed in economy recovery
 - \$1.1B immediate relief for small businesses
 - \$777M for California Jobs Initiative
- **Climate Change**
 - \$1B to support the Forest Management's Task Force's Wildlife and Forest Resilience Action Plan
 - \$248.6M for restoration of natural areas and ecosystems
 - \$6.5M for coastal protection



Slide 8

8

California Budget Timeline

- **Late January – Early May:** Budget Subcommittees hold hearings on elements of Governor's January Budget Proposal
- **Mid-May:** Governor releases May Revise
- **Late-May – Early-June:** Budget Subcommittees meet to consider May Revise proposals and incorporate legislative priorities
- **Early-June:** Governor and Legislative Leaders finalize budget
- **June 15th:** Deadline for Legislature to approve final budget
- **July 1st:** Beginning of 2021-22 Fiscal Year

Slide 9

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2021 Legislation

Slide 10

10

Legislative Update

Bill	Description	OCSD Position	Status
AB 59 (Gabriel)	Would change the statute of limitations for rate protests through judicial proceedings. Would require that fees collected in an excess of the amount needed to provide a service be rebated to ratepayers.	TBD	Introduced. Referred to the Assembly Local Government and Housing and Community Development Committees.
AB 339 (Lee)	Would require a local agency to provide a call-in or internet-based service for public meetings that includes a closed captioning feature. Would also require that local agencies provide translation services at meetings for all languages that are spoken by 5 percent of the local agency's jurisdiction.	TBD	Introduced. Eligible to be heard on February 28.
SB 45 (Portantino)	Would create the Wildfire Prevention, Safe Drinking Water, Drought Preparation, and Flood Protection Bond Act of 2022. \$5.5 billion bond focused on climate resiliency, wildfire prevention, and water supply and quality.	TBD	Introduced. Referred to the Senate Governance and Finance and Natural Resources and Water Committees.

Slide 11

11



Thank You

Cori Takkinen
Southern California Senior Director
 CWilliams@townsendpa.com
www.townsendpa.com

Eric O'Donnell
Senior Associate
 EODonnell@townsendpa.com
www.townsendpa.com

Slide 12

12



STEERING COMMITTEE

Agenda Report

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

File #: 2021-1503

Agenda Date: 2/24/2021

Agenda Item No: 16.

FROM: James D. Herberg, General Manager

SUBJECT:

UPDATE TO THE ESTABLISHED RULES OF PROCEDURE FOR THE CONDUCT OF BUSINESS OF THE ORANGE COUNTY SANITATION DISTRICT

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

Adopt Resolution No. OC SAN 21-04 entitled, "A Resolution of the Board of Directors of the Orange County Sanitation District establishing Rules of Procedure for the Conduct of Business of the Orange County Sanitation District; and repealing Resolution No. OC SAN 21-01".

BACKGROUND

The Rules of Procedure are being updated to include changes to the times of the meetings of the Legislative and Public Affairs Committee. At the request of the Legislative and Public Affairs Committee Chairman, the Committee meeting times were reviewed due to schedule conflicts with members of the Committee. It was the consensus of the Committee to keep the meetings on the 2nd Monday of the month but to change the regular meeting start times to 4:30 p.m.; and to 4:00 p.m. for meetings held in April and July.

RELEVANT STANDARDS

- California Government Code Section 54950 et seq.
- Comply with transparency and communication requirements, including the Brown Act

PRIOR COMMITTEE/BOARD ACTIONS

January 2021 - Adopted Resolution No. OC SAN 21-01 entitled, "A Resolution of the Board of Directors of Orange County Sanitation District establishing Rules of Procedure for the Conduct of Business of the District; and repealing Resolution No. OCSD 19-19".

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Draft Resolution No. OC SAN 21-04 Rules of Procedure (Redline)
- Draft Resolution No. OC SAN 21-04 Rules of Procedure (Clean)

RESOLUTION NO. OC SAN ~~21-01~~21-04

A RESOLUTION OF THE BOARD OF DIRECTORS OF ORANGE COUNTY SANITATION DISTRICT ESTABLISHING RULES OF PROCEDURE FOR THE CONDUCT OF BUSINESS OF THE ORANGE COUNTY SANITATION DISTRICT, AND REPEALING RESOLUTION NO. ~~OCSD 19-19~~OC SAN 21-04

WHEREAS it is necessary to establish rules of procedure to facilitate the orderly handling of business to come before the Orange County Sanitation District Board of Directors and Standing, Steering, Special and Ad Hoc Committees.

NOW THEREFORE, the Board of Directors of the Orange County Sanitation District DOES HEREBY RESOLVE, DETERMINE AND ORDER:

Section 1: Rules of Procedure. That the following rules of procedure be adopted for the conduct of business of the Orange County Sanitation District (Sanitation District):

A. Regular Meetings. There shall be a regular monthly meeting of the Board of Directors of the Sanitation District on the fourth Wednesday of every month at 6:00 p.m., in the Administrative Offices of the Sanitation District, located at 10844 Ellis Avenue, Fountain Valley, California; provided, however, if the fourth Wednesday of the month falls upon a legal holiday, said monthly meeting shall be held on the next day thereafter, at the same time and place, unless the Board of Directors adjourns to a different date and time.

The Board of Directors may adjourn any regular, special or adjourned special meeting to a time and place certain, as specified in the order of adjournment.

B. Special Meetings. A special meeting of the Board of Directors may be called in either one of the following ways:

- (1) By the Chairperson of the Board of Directors; or
- (2) By the written request of a majority of the Steering Committee delivered to the Clerk of the Board.

The call or notice for special meeting shall be in writing and delivered electronically or by mail at least twenty-four (24) hours before the time of such meeting, as specified in the notice. Any notice deposited in the regular mail addressed to a Director at the address he or she has on file with the Clerk of the Board postage prepaid, sixty (60) hours in advance of any such meeting as specified in the notice, shall be presumed to have been delivered. If the notice is delivered electronically, the Clerk of the Board should use an electronic "read receipt" to ensure delivery. If a Director has not read the notice, the Clerk

will diligently attempt to contact the Director by telephone as soon as possible after the publication of the notice.

The call or notice shall specify the time and place of the special meeting, a description of the business to be transacted and copies of all pertinent material.

Such notice may be dispensed with as to any Director or Alternate Director who, at or prior to the time the meeting convenes, files with the Clerk of the Board a written waiver of notice. Such waiver may be given by facsimile or electronic mail. Such notice may also be dispensed with as to any member who is actually present at the meeting at the time it convenes. The Clerk of the Board shall diligently attempt to notify each Director personally of the time, place and purpose of said meeting, not less than twenty-four (24) hours before the time of said meeting.

The call or notice shall be posted in the administrative offices' public lobby and in a location freely accessible to the public at least twenty-four (24) hours prior to the special meeting.

C. Meetings Adjourned by Clerk of the Board. If at any regular, adjourned regular, special or adjourned special meeting there is not a quorum of Directors present, the Clerk of the Board may declare the meeting adjourned to a stated time and place and shall cause written notice of the adjournment to be given in the same manner as for a special meeting, unless such notice is waived as provided for in special meetings. Within twenty-four (24) hours after the time of the adjournment, a copy of the order or notice of adjournment shall be conspicuously posted on or near the door of the place where the meeting was held and, in a location, freely accessible to the public.

D. Notices to News Media. When any local newspaper of general circulation, radio or television station requests, in writing, notices of meetings of the Board of Directors, the Clerk of the Board shall thereafter, until receipt of a notice terminating said request, deliver notices of regular, regular adjourned and special adjourned meetings to such newspapers, radio or television stations. Delivery shall be made in the same manner as delivery is made to the Directors.

E. Conduct of Meetings.

(1) Procedural Rules. The procedural rules for debate and action shall be as set forth in Table 1, attached hereto and adopted herein by reference. Robert's Rules of Order shall not be applicable or govern the procedures for the conduct of Sanitation District business.

(2) Legal Officer. In any case of ambiguity or uncertainty in the interpretation or application of these Rules to any procedure, the presiding officer may direct such question for a ruling to the Board's General Counsel, who shall be the parliamentarian of the Board.

(3) Obtaining the Floor and Making Motions. Any member of the Board wishing to speak, or any member of the public wishing to address the Board, must first be recognized by the Chairperson. The Chairperson must recognize any member of the Board who seeks the floor when appropriately entitled to address the Board.

Any member of the Board, including the Chairperson, may bring a matter of business properly before the Board by making a motion. Any member, including the Chairperson, except the member making the motion, may second the motion. Once a motion is seconded, it may be opened for discussion and debate, in accordance with the procedures in Subsection (4) below.

(4) Rules for Discussion, Debate and Deliberation by the Board. The procedures for consideration and action on all matters to come before the Board shall be in compliance with the terms of this Section, as follows:

(a) Each item on the Agenda will be introduced in a form of a report by either the General Manager, a member of the Executive Management Team, General Counsel, Special Counsel, or the Clerk of the Board.

(b) Upon completion of the report, the Chairperson will allow for direct questions regarding the item, by Directors, each in turn, and in the order as selected by the Chairperson.

(c) Upon completion of the question period, the Chairperson will entertain a motion and second for consideration by the Board.

(d) Discussion among the Directors will follow. Each Director will be recognized to address the Board in the order selected by the Chairperson, with a five (5) minute time limit for each Member wishing to speak on the Agenda item, unless the time limit is waived by the Chairperson. Directors should limit comment to the subject matter, item, or motion currently being considered. There will be no interruptions of the Director who has been recognized. Attempted interruptions will be declared out-of-order, and the Director attempting to interrupt will be asked to remain silent until recognized.

(e) As an additional courtesy to everyone, repetition of comments will be discouraged in the interest of time and, at the discretion of the Chairperson, can be declared out-of-order.

(f) After each Member who wishes to speak has been recognized and completed their remarks, a single three (3) minute period of rebuttal will be allowed any Director, unless the time limit is waived by the Chairperson.

(g) If it appears to the Chairperson that any Director is pursuing a line of questioning or commentary due to lack of preparation or prior review with the Sanitation District's Staff, the Director's time will be declared to have been used up, and no further inquiry will be allowed.

(h) Upon adoption of a motion on an Agenda item, there will be no further discussion of that item.

(5) Decorum in Debate. All Members shall address their remarks to the Chairperson and confine them to the business then pending and subject to discussion before the Board, avoiding personalities and reflections upon anyone's motives.

(6) Closing or Limiting Debate. At all times, the Board shall endeavor to allow free and open debate among Members of the Board. However, in the discretion of the Chairperson, it may become necessary to close or limit debate, so that action can be taken by the Board. An order by the Chairperson closing or limiting the debate can only be set aside by a majority vote of the Board.

F. Quorum. A majority of the Directors shall constitute a quorum of the Board.

G. Chairperson and Vice Chairperson of the Board. A Chairperson and Vice Chairperson of the Board shall be elected by a majority vote of Directors at the regular meeting in June of each year and will assume office July 1st. The nominations for Chairperson and Vice Chairperson shall be made at the regular Board meeting in May of each year. Any person nominated for Chairperson shall be deemed to be nominated for Vice Chairperson in the event the person is not elected as Chairperson. Thereafter, the nominees shall prepare a statement setting forth their qualifications for the office sought. The statements should be forwarded to the Clerk of the Board who will in turn forward by electronic mail to the members of the Board of Directors with the Agenda and other meeting material for the June regular meeting. If only one individual is nominated for Chairperson at the regular Board meeting in May, that individual shall be deemed elected as Chairperson, no election shall be held in June, and the individual shall assume office July 1st. If only one individual is nominated for Vice Chairperson at the regular Board meeting in May, that individual shall be deemed elected as Vice Chairperson, no election shall be held in June, and the individual shall assume office July 1st.

The Chairperson and Vice Chairperson shall serve at the pleasure of a majority of the Directors. In the event the office of Chairperson becomes vacant due to resignation or retirement of the incumbent prior to the expiration of the regular term, the Vice Chairperson shall automatically succeed to the office of the Chairperson and shall continue to serve through the remainder of the regular term unless sooner removed by action of a majority of the Directors. In the event the office of Vice Chairperson becomes vacant prior to the expiration of the regular term, nominations, and the election of a Director to serve in that capacity shall be conducted at the next regular Board meeting. The person so elected shall serve the balance of the regularly scheduled term unless sooner removed as a result of action by a majority of the Directors.

The Chairperson shall not serve more than two consecutive one-year terms for which they have been elected to the office of Chairperson. The Vice Chairperson shall

not serve more than two consecutive one-year terms for which they have been elected to the office of Vice Chairperson.

H. Presiding Officer. The Chairperson of the Board shall preside during meetings of the Directors. In the absence of the Chairperson, the Vice Chairperson shall preside.

I. Clerk of the Board and Minutes. The Board of Directors shall have a person designated to serve as Clerk of the Board. The Clerk of the Board will be appointed to the position by the General Manager and shall report to the General Manager or their designee. The Clerk of the Board will be a regular full-time employee, subject to all the rules and policies applicable to all regular full-time employees. The Clerk of the Board shall attend all meetings of the Board of Directors, unless excused by the Chairperson, and shall prepare an accurate record of each meeting for submission to the Directors and subsequent approval at the following meeting; provided, however, that when an adjourned, special or special adjourned meeting of the Board of Directors immediately precedes a regular meeting, Minutes of said meeting shall be submitted for approval at the next meeting of the Board following said regular meeting.

In the preparation of Official Minutes of a meeting of the Board of Directors, the Clerk of the Board will not record the name of the Director who moves or who seconds the adoption of a motion or Resolution but will reflect the votes by name of each Director on each item brought before the Board.

In the absence of the Clerk of the Board, an Assistant Clerk of the Board shall be appointed to exercise the duties of the Clerk of the Board. Regular Business to Come Before the Board of Directors. Insofar as practicable, all items of business to be taken up at a regular meeting of the Board shall be submitted to the Clerk of the Board, who shall include the Agenda all such items submitted by Directors, the General Manager and General Counsel, and all formal communications. The General Manager, in consultation with the Board Chairperson and Board Vice Chairperson, shall determine agenda items for Sanitation District Board of Director Meetings. Directors should prepare in advance of meetings and be familiar with items on the agenda. Directors shall make a reasonable effort to meet with the General Manager or related staff before meetings to receive answers to questions regarding the agenda.

The Order of Business on the agenda for regular meetings of the Board of Directors shall be:

- i. Call to Order
- ii. Invocation and Pledge of Allegiance
- iii. Roll Call and Declaration of Quorum

- iv. Public Comment - Pursuant to the Brown Act, public comment will be allowed on items on the Board/Committee agendas at the beginning of the meeting either on agenda items or general comments within the subject matter jurisdiction of the Sanitation District. Public

comments are limited to no more than three minutes each. Individuals desiring to speak are encouraged to submit a request to speak card or place an eComment online to the Clerk of the Board.

- v. Special Presentations - Special presentations shall be scheduled as necessary in recognition of employee or Director service, or other requested presentations. Requests for special presentation must be submitted to the Clerk of the Board in writing in advance of the agenda publication deadline. The Clerk of the Board will coordinate the scheduling of presentations with the Board Chairperson.
- vi. Board Chairperson / General Manager Reports - The reports portion of the meeting provides the Chairperson and the General Manager the opportunity to briefly comment on Sanitation District business, operations, projects and other items of interest.
- vii. Public Hearings - Public Hearings may be required on certain items as prescribed by state or federal law. The regular time for public hearings is established by this resolution.
- viii. Elections – Annually or when deemed necessary.
- ix. Consent Calendar - Items on the Board/Committee Agenda which are considered to be of a routine nature by the General Manager shall be listed on the “Consent Calendar.” These items shall be approved, adopted, etc. by one motion of the Board and majority vote.

Directors may comment on Consent Calendar items or ask for minor clarifications without the need for pulling the item for separate consideration. Items requiring deliberation should be pulled for separate consideration.
- x. Receive and File - Items that require no action; and if no objection, the Chairperson may so order.
- xi. Committee Items – Items approved at the monthly Committee meetings are brought forward under each Standing Committee title on the agenda for Board approval. These items may be treated as a consent calendar by one motion of the Committee and majority vote.
- xii. Non-Consent – Items on the Board/Committee Agenda which have not been previously considered and require study, report or action.
- xiii. Information Items – Educational or Items of interest that require no

action.

- xiv. AB 1234 Disclosure Reports – This item allows Board members to provide a brief oral report regarding the disclosure of outside committees, conferences, training, seminars, et. Attended at the Agency's expense, per Government Code §53232.3(d).
- xv. Closed Session - During the course of conducting the business set forth on an agenda as a regular meeting, the Chairperson may convene the Board/Committee in closed session pursuant to Government Code Sections 54956.8, 54956.9, 54957 or 54957.6, as noted.

All written materials and verbal information regarding closed session items shall remain confidential. No member of the Board of Directors, employee of the Sanitation District, or any other person present shall disclose to any person the content or substance of any discussion which takes place in a closed session unless authorized by General Counsel and a majority of the Board of Directors.

- xvi. Other Business and communications or Supplemental agenda items – Prior to adjournment, the Board Chairperson will inquire if there is any other business to bring before the meeting.
- xvii. Board of Directors initiated items for a future meeting - This portion of the meeting allow Directors to request an agenda item for a future meeting. If the Board Chair or a majority of the body indicates support for the request at that time, then the item shall be placed on a future agenda. Upon support for the request, the Board of Directors/Committee will provide direction to staff on the information that is desired to be presented when the item is placed on a future agenda.

xviii. Adjournment

The Board Chairperson shall have the discretion to change the order of business.

The Clerk of the Board shall electronically mail to each Director a notice of such regular meetings, together with a proposed Agenda, not later than the Friday immediately preceding such regular meetings. Said Agenda, insofar as possible, shall include copies of Resolutions, except as hereafter provided, and a description of all matters to be considered, together with any additional pertinent material.

Agendas shall be posted in a location freely accessible to the public not less than seventy-two (72) hours in advance of the meeting.

Resolutions designated as “standard” and adopted by the Board of Directors from time to time, and approved as to form and content, need not be included with said Agenda; provided, however, that the information completing said standard Resolutions shall be set forth on the Agenda listing, and copies of said standard Resolutions shall be on file with the Clerk of the Board at the meeting time and place.

Items of business not known at the time the regular Agenda is electronically mailed as herein provided, may be considered as supplemental Agenda items; provided that all requirements of the Ralph M. Brown Act (California Government Code Sections 54950 et seq.) are satisfied.

No business, except with consent of two-thirds of the Directors present (a majority of Directors present for emergency actions), and only if permitted by the Ralph M. Brown Act, not appearing on the regular or supplemental Agendas may be brought before the Board of Directors.

The meeting Agenda shall provide for an opportunity for members of the public to address the Board on items on the Agenda and non-Agenda items of public interest. As determined by the Chairperson, speakers may be deferred until the specific Agenda item is taken for discussion, and remarks may be limited to three (3) minutes. Speakers on non-Agenda items may address only items that are within the subject matter jurisdiction of the Board of Directors. Time allotted for such presentations is limited to three (3) minutes or less. Total time allotted for all public input on each non-Agenda item is limited to thirty (30) minutes to one (1) hour, taking into consideration the number of persons filing a request to address the Board. However, time allotments may be waived by a majority vote of the Board.

K. Handling of Business and Voting. During the course of a Board meeting, routine matters listed on the Agenda for consideration will be referred to by Agenda Item Number only.

Voting on all Resolutions shall be by roll call, except if waived by unanimous voice vote, in which event, the Chairperson may order a unanimous ballot cast in favor of the motion or Resolution under discussion. The name of each Director shall be called only once.

On matters of considerable interest or on which there appears to be a controversy, the motion or Resolution shall be read by title or repeated by the Chairperson. The Chairperson shall thereafter call for discussion of the motion or Resolution, at which time any member may discuss the pending matter. Any person other than a Director present at the meeting may speak on the motion if recognized by the Chairperson. Sole discretion as to the extent of discussion outside of the membership of the Board shall rest with the Chairperson. At the close of discussion, the Chairperson may, at the Chairperson’s discretion, repeat the motion or Resolution pending, and thereafter, call for a vote.

The Clerk of the Board shall determine and state whether or not a motion or Resolution is adopted by roll call vote. On all other matters, the Chairperson shall determine the outcome of the voting.

L. Committees.

(1) Standing Committees.

(a) Steering Committee: There shall be a permanent Committee designated as the Steering Committee, comprised of the Chairperson of the Board, the Vice Chairperson of the Board, the Chairperson of each of the Standing Committees and two at-large members selected by the Chairperson of the Board. The Vice Chairperson of each of the three Standing Committees shall serve as the designated Alternate, in the absence or inability to serve by any Chairperson. In the absence or inability of any designated member of the Steering Committee to serve, his/her city/agency appointed Alternate Director may not serve in that member's absence.

The Committee shall conduct an annual performance evaluation of the General Manager and submit recommendations on their compensation to the Board of Directors. The Committee shall also review the General Manager's evaluation and compensation of the executive management employees, based on established criteria, and executive management's goals and objectives for the following year.

The Committee shall also conduct an annual performance evaluation of General Counsel and submit recommendations to the Board of Directors as provided by Resolution No. OCSD 12-03.

The Committee shall make recommendations to the Board of Directors on labor negotiations and other related activities as may be needed or appropriate.

The Committee shall also be authorized to assign new subjects of significant importance to the appropriate Standing Committee for study, evaluation and recommendation.

The Steering Committee shall meet on the fourth Wednesday of each month at 5:00 p.m. preceding the Board's meeting, or at the call of the Chairperson of the Board of Directors.

(b) Administration Committee: There shall be a permanent Administration Committee (Finance & Administrative Services, Environmental Services, and Human Resources) to advise the Staff and make recommendations on matters related to the financial, budgeting, administrative, environmental and personnel policies and programs of the Sanitation District.

The Committee shall review with the Staff the procedures for development, preparation and format of the annual budget and recommend appropriate change, and

counsel the Staff during the budget process to assure the proper interpretation and implementation of the Board's policies and that the desired procedures have been followed.

The responsibility for consideration and adoption of the Sanitation District budget rests with the Board of Directors.

The Committee shall periodically interview and recommend the selection of outside auditors. The Committee shall review the result of the annual audit of the Sanitation District's accounts with representatives of the outside audit firm, including any comments received recommending improvements. The Committee shall review management's response to these comments and make appropriate recommendations for implementation.

Periodically, the Committee shall recommend employment of an outside firm to audit internal control procedures to safeguard the assets of the Sanitation District.

The Committee shall interview and make recommendations on the employment of investment-banking firms, bond counsel and, if necessary or desired, financial advisors, to be used in connection with the Sanitation District's financing programs.

The Committee shall periodically coordinate recommendations on personnel audits of the Sanitation District's operations or segments of the operations on an as-needed basis.

The Committee shall make recommendations on personnel policies and procedures, insurers and coverage, procurement procedures and such other related activities as may be needed or appropriate.

The Committee shall also review issues pertaining to the Sanitation District's National Pollutant Discharge Elimination System (NPDES) Ocean Outfall Discharge Permit, including annual review of the contractor(s) performing the ocean monitoring and research programs required as a condition of said permit, and related issues regarding protection of the marine waters off metropolitan Orange County's coastline from impacts resulting from the Sanitation District's operations and discharge of treated wastewater.

The Chairperson of the Board of Directors shall appoint a Committee Chairperson and a Committee Vice Chairperson for the Administration Committee. The Committee Chairperson and Committee Vice Chairperson shall serve at the pleasure of the Chairperson of the Board of Directors.

The Administration Committee shall consist of thirteen members, as follows:

- (1) The Chairperson of the Board of Directors;
- (2) The Vice Chairperson of the Board of Directors;

- (3) The Committee Chair of the Administration Committee;
- (4) The Committee Vice Chair of the Administration Committee; and
- (5) Nine additional Directors appointed by the Chairperson of the Board of Directors.

Other than the Board Chairperson and the Board Vice Chairperson, no Director who serves on the Operations Committee shall be eligible to serve concurrently on the Administration Committee. In the absence of the Board Chairperson, his or her alternate Director may attend meetings of the Administration Committee.

The Administration Committee shall meet on the second Wednesday of each month at 5:00 p.m., or at the call of its Chairperson.

(c) Operations Committee: There shall be a permanent Committee designated the Operations Committee (Engineering and Operations & Maintenance). With the goal of compliance with all public health and environmental laws and regulations, the Operations Committee shall review and submit appropriate recommendations on the matters pertaining to the operation of the Sanitation District wastewater treatment process, including such matters as current and projected service/flow needs, level and quality of treatment, conservation, recycling and reuse activities and air quality issues.

The Committee shall also review matters pertaining to contractual arrangements by the Sanitation District to provide sewerage services to areas outside the Sanitation District's boundaries or approved spheres of influence.

The Committee shall review plans for the future needs of the Sanitation District, explore alternatives and make recommendations to the Board of Directors.

The Operations Committee shall also review and submit appropriate recommendations on matters pertaining to capital projects which address operational needs, including the selection of professional consulting services to assist in studying, planning and designing needed Sanitation District wastewater treatment systems and support facilities, including computerized systems, in accordance with the Board's established policies and procedures for procuring such services; the Committee shall further review construction projects for said facilities in accordance with applicable public works laws and Board policies. Said oversight shall include the contracts for professional services and public works construction projects and addenda or change orders thereto. In carrying out its responsibilities, the Committee shall receive advance notice and regular status reports on the projects from Staff, and monitor, visit and observe the Sanitation District wastewater systems operational functions and major capital construction projects.

The Chairperson of the Board of Directors shall appoint a Committee Chairperson and a Committee Vice Chairperson of the Operations Committee. The Committee Chairperson and Committee Vice Chairperson shall serve at the pleasure of the Chairperson of the Board of Directors.

The Operations Committee shall consist of fourteen members, as follows:

- (1) The Chairperson of the Board of Directors;
- (2) The Vice Chairperson of the Board of Directors;
- (3) The Committee Chair of the Operations Committee;
- (4) The Committee Vice Chair of the Operations Committee; and
- (5) Ten (10) additional Directors appointed by the Chairperson of the Board of Directors.

Other than the Board Chairperson and the Board Vice Chairperson, no Director who serves on the Administration Committee shall be eligible to serve concurrently on the Operations Committee. In the absence of the Board Vice-Chairperson, his or her Alternate Director may attend meetings of the Operations Committee.

The Operations Committee shall meet on the first Wednesday of each month at 5:00 p.m., or at the call of its Chairperson.

(d) Legislative and Public Affairs Committee: There shall be a permanent Committee designated as the Legislative and Public Affairs (LaPA) Committee.

The Committee shall review issues pertaining to the impact on ~~OCSD~~ the Sanitation District of legislative and regulatory proposals and submit appropriate recommendations on the matters.

The Committee shall also be responsible for overseeing the contractual arrangements with the Sanitation District's legislative advocates to provide advocacy services in Sacramento and Washington, D.C. In carrying out its responsibilities, the Committee shall receive regular status reports from the advocates and staff and monitor and recommend positions on legislative and regulatory proposals.

The Committee shall also review issues pertaining to the Sanitation District's public outreach, branding, and communications activities, evaluate alternatives and make recommendations to the Board of Directors.

The Chairperson of the Board of Directors shall appoint a Committee Chairperson and a Committee Vice Chairperson to the LaPA committee. The Committee Chairperson

and Vice Chairperson shall serve at the pleasure of the Chairperson of the Board of Directors.

The LaPA Committee shall consist of seven members, as follows:

- (1) The Chairperson of the Board of Directors
- (2) The Vice Chairperson of the Board of Directors
- (3) The Committee Chairperson of the LaPA Committee
- (4) The Committee Vice Chairperson of the LaPA committee
- (5) Three (3) additional Directors appointed by the Chairperson of the Board of Directors

The LaPA Committee shall meet on the second Monday of the months of February, March, May, September, and November at ~~12:00~~4:30 p.m. and the months of April and July at ~~3:30~~4:00 p.m. or at the call of its Chairperson.”

(2) Special and Ad Hoc Committees. In addition to the Standing Committees, the Chairperson of the Board of Directors, the Chairperson of a Standing Committee or a majority of the Directors, may appoint from time to time, Special or Ad Hoc Committees to study and report on specific matters. Such Committees shall be temporary in nature, and their assignments shall pertain to a current, specific issue. Upon completion of the assigned task, the Ad Hoc or Special Committee will be dissolved.

The Chairperson and Vice Chairperson of Special and Ad Hoc Committees shall be appointed by the Chairperson of the appointing authority.

Each Special and Ad Hoc Committee shall meet at the call of its Chairperson.

M. Alternate Directors: If a regular Director cannot attend a meeting of the Operations Committee, the Administration Committee or the full Board of Directors, the Director’s alternate may attend in place of his or her regular Director. An alternate Director may not, however, attend a meeting of any other Committee in the absence of his or her regular Director. An Alternate Director serving in place of a regular member shall not act as Chairperson or Vice Chairperson of the Board or any Committee, even if the absent regular member serves as Chairperson or Vice Chairperson of one of those bodies. If the regular Director and the Alternate Director are both unable to attend the meeting, the regular Director may request that the meeting be teleconferenced. The request may be approved, at the Board Chairperson’s discretion, provided that all requirements of the Ralph M. Brown Act (California Government Code Sections 54950 et seq.) are able to be satisfied.

N. Motion to Refer to a Standing Committee. Any Director at a Board or Committee meeting may move to have a policy or any other activity affecting the Sanitation District, or any one of the member Agencies, referred to a Standing Committee for study and report. This motion shall be a privileged motion, and when duly seconded, discussion thereof shall be limited to Directors only. Said motion shall receive an affirmative vote of a majority of the Directors for adoption.

O. All meetings of the Board of Directors shall be publicly available and recorded. The audio/video recording of any open and public meeting shall be subject to inspection pursuant to the California Public Records Act.

Section 2: Procedure for Consideration of Demands for Corrective Action.

A. Requirement of Written Demand. Prior to any person commencing a judicial action for injunction or mandamus to declare any action taken by the Board void because of failure to observe Brown Act requirements, such person must first serve upon the Clerk of the Board a written demand describing the alleged violation and demanding corrective action. Such demand must be served upon the Clerk of the Board within thirty (30) days of the complained of action. Failure to serve any such demand within this thirty (30) day period shall result in the loss of any right to challenge any action to have been taken in violation of Sections 54953, 54954.2 or 54956 of the California Government Code.

B. Consideration of Corrective Action. Upon receipt of such a demand, consideration of the demand shall immediately be placed on the Agenda for the next meeting of the Board of Directors. If the demand is received less than seventy-two (72) hours prior to the time set for the next meeting, the Board may determine that the notice constitutes the initiation of litigation, and that the need to take action on the threatened litigation arose subsequent to the posting of the Agenda and may consider it at that meeting pursuant to Section 1(J) above. A description of any item so placed on the Agenda shall include both consideration of the demand, and the possibility of corrective action, by the Board.

In considering such demands, the Board shall first determine, by motion, whether corrective action should be taken. If no motion to take corrective action is carried, the Clerk of the Board shall inform the demanding party in writing of the Board's decision not to cure or correct the challenged action.

C. Implementing Corrective Action. If a motion to take corrective action passes, the Chairperson may entertain a motion implementing corrective action. Any motion implementing corrective action shall address the concerns raised in the consideration of corrective action. The motion implementing corrective action may include a motion to rescind prior action taken, as appropriate. Passage of a motion to rescind invalidates prior action only as of the time of the passage of the motion, and not from the date of the initial action. A motion implementing corrective action resulting from a written demand is out-of-order if the action complained of (a) was in connection with the sale or issuance of notes, bonds or other evidence of indebtedness, or any contract,

agreement or incident thereto; or (b) gave rise to a contractual obligation upon which a party has, in good faith, detrimentally relied. In any event, the Board shall notify the party making the demand in writing of its decision to take corrective action and shall describe any corrective action taken. This notice shall be given to the demanding party as soon as possible after the meeting, but in no event more than thirty (30) days after receipt of the demand.

Section 4: Resolution No. ~~OCSD 19-19~~ OC SAN 21-01 is hereby repealed.

Section 5: This Resolution shall become effective immediately.

PASSED AND ADOPTED at a regular meeting of the Board of Directors held ~~January 27~~ February 24, 2021.

David John Shawver
Board Chairman

ATTEST:

Kelly A. Lore, MMC
Clerk of the Board

STATE OF CALIFORNIA)
) ss
COUNTY OF ORANGE)

I, Kelly A. Lore, Clerk of the Board of Directors of the Orange County Sanitation District, do hereby certify that the foregoing Resolution No. ~~OC-SAN 21-04~~ was passed and adopted at a regular meeting of said Board on the ~~27th~~ 24th day of ~~January~~ February 2021, by the following vote, to wit:

AYES:
NOES:
ABSTENTIONS:
ABSENT:

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the official seal of Orange County Sanitation District this ~~27th~~ 24th day of ~~January~~ February 2021.

Kelly A. Lore, MMC
Clerk of the Board of Directors
Orange County Sanitation District

TABLE 1

**BOARD PROCEDURES AND ORGANIZATION
SUMMARY OF MOTIONS**

A. PRIVILEGED MOTIONS

<i>Kind of Motion</i>	<i>Second Required</i>	<i>Debatable</i>	<i>Amendable</i>	<i>Vote Required</i>	<i>Purpose</i>
Adjourn	Yes	No	No	Majority	To end the meeting
To Take a Recess	Yes	No	No	Majority	To interrupt a meeting for a short time or to provide an intermission
Raise a Question of Privilege	No	No	No	None	To obtain action immediately in an emergency

**B. MAIN MOTION AND RELATED
SUBSIDIARY MOTIONS**

<i>Kind of Motion</i>	<i>Second Required</i>	<i>Debatable</i>	<i>Amendable</i>	<i>Vote Required</i>	<i>Purpose</i>
Main Motion	Yes	Yes	Yes	Majority	To introduce new business
Amend Main Motion	Yes	Yes	Yes	Majority	To modify or alter a motion
Substitute Motion	Yes	Yes	Yes	Majority	To replace the main motion entirely

Previous Question	Yes	No	No	Majority	To close debate on the main or amended motion immediately
Continue to a Certain Time	Yes	Yes	Yes	Majority	To defer action
To Table	Yes	No	No	Majority	To discontinue consideration until brought back by vote of the Board
Take a Motion from the Table	Yes	No	No	Majority	To bring before the group a motion previously tabled
Limit or Extend Limits of Debate	Yes	No	Yes	Majority	To limit or extend limits of debate
Refer to a Committee	Yes	Yes	Yes	Majority	To place business in hands of a Committee
Withdraw a Motion	No	No	No	None	To withdraw a motion before it is voted on
Reconsider	Yes	Yes	No	Majority must be by a Director who voted for the prevailing side on the original motion	To secure a new vote on a motion previously voted upon

**C. INCIDENTAL RULES
NON-RANKING**

<i>Kind of Motion</i>	<i>Second Required</i>	<i>Debatable</i>	<i>Amendable</i>	<i>Vote Required</i>	<i>Purpose</i>
Request to Suspend the Rules	Yes	No	No	Two-Thirds	To facilitate business ordinarily contrary to the rules of the organization
Override Order of the Chair	Yes	No	No	Majority	To have Board majority rule on the order
Point of Order	No	No	No	None	To enforce the rules of the organization

RESOLUTION NO. OC SAN 21-04

A RESOLUTION OF THE BOARD OF DIRECTORS OF
ORANGE COUNTY SANITATION DISTRICT
ESTABLISHING RULES OF PROCEDURE FOR THE
CONDUCT OF BUSINESS OF THE ORANGE COUNTY
SANITATION DISTRICT, AND REPEALING RESOLUTION
NO. OC SAN 21-01

WHEREAS it is necessary to establish rules of procedure to facilitate the orderly handling of business to come before the Orange County Sanitation District Board of Directors and Standing, Steering, Special and Ad Hoc Committees.

NOW THEREFORE, the Board of Directors of the Orange County Sanitation District DOES HEREBY RESOLVE, DETERMINE AND ORDER:

Section 1: Rules of Procedure. That the following rules of procedure be adopted for the conduct of business of the Orange County Sanitation District (Sanitation District):

A. Regular Meetings. There shall be a regular monthly meeting of the Board of Directors of the Sanitation District on the fourth Wednesday of every month at 6:00 p.m., in the Administrative Offices of the Sanitation District, located at 10844 Ellis Avenue, Fountain Valley, California; provided, however, if the fourth Wednesday of the month falls upon a legal holiday, said monthly meeting shall be held on the next day thereafter, at the same time and place, unless the Board of Directors adjourns to a different date and time.

The Board of Directors may adjourn any regular, special or adjourned special meeting to a time and place certain, as specified in the order of adjournment.

B. Special Meetings. A special meeting of the Board of Directors may be called in either one of the following ways:

- (1) By the Chairperson of the Board of Directors; or
- (2) By the written request of a majority of the Steering Committee delivered to the Clerk of the Board.

The call or notice for special meeting shall be in writing and delivered electronically or by mail at least twenty-four (24) hours before the time of such meeting, as specified in the notice. Any notice deposited in the regular mail addressed to a Director at the address he or she has on file with the Clerk of the Board postage prepaid, sixty (60) hours in advance of any such meeting as specified in the notice, shall be presumed to have been delivered. If the notice is delivered electronically, the Clerk of the Board should use an

electronic “read receipt” to ensure delivery. If a Director has not read the notice, the Clerk will diligently attempt to contact the Director by telephone as soon as possible after the publication of the notice.

The call or notice shall specify the time and place of the special meeting, a description of the business to be transacted and copies of all pertinent material.

Such notice may be dispensed with as to any Director or Alternate Director who, at or prior to the time the meeting convenes, files with the Clerk of the Board a written waiver of notice. Such waiver may be given by facsimile or electronic mail. Such notice may also be dispensed with as to any member who is actually present at the meeting at the time it convenes. The Clerk of the Board shall diligently attempt to notify each Director personally of the time, place and purpose of said meeting, not less than twenty-four (24) hours before the time of said meeting.

The call or notice shall be posted in the administrative offices’ public lobby and in a location freely accessible to the public at least twenty-four (24) hours prior to the special meeting.

C. Meetings Adjourned by Clerk of the Board. If at any regular, adjourned regular, special or adjourned special meeting there is not a quorum of Directors present, the Clerk of the Board may declare the meeting adjourned to a stated time and place and shall cause written notice of the adjournment to be given in the same manner as for a special meeting, unless such notice is waived as provided for in special meetings. Within twenty-four (24) hours after the time of the adjournment, a copy of the order or notice of adjournment shall be conspicuously posted on or near the door of the place where the meeting was held and, in a location, freely accessible to the public.

D. Notices to News Media. When any local newspaper of general circulation, radio or television station requests, in writing, notices of meetings of the Board of Directors, the Clerk of the Board shall thereafter, until receipt of a notice terminating said request, deliver notices of regular, regular adjourned and special adjourned meetings to such newspapers, radio or television stations. Delivery shall be made in the same manner as delivery is made to the Directors.

E. Conduct of Meetings.

(1) Procedural Rules. The procedural rules for debate and action shall be as set forth in Table 1, attached hereto and adopted herein by reference. Robert’s Rules of Order shall not be applicable or govern the procedures for the conduct of Sanitation District business.

(2) Legal Officer. In any case of ambiguity or uncertainty in the interpretation or application of these Rules to any procedure, the presiding officer may

direct such question for a ruling to the Board's General Counsel, who shall be the parliamentarian of the Board.

(3) Obtaining the Floor and Making Motions. Any member of the Board wishing to speak, or any member of the public wishing to address the Board, must first be recognized by the Chairperson. The Chairperson must recognize any member of the Board who seeks the floor when appropriately entitled to address the Board.

Any member of the Board, including the Chairperson, may bring a matter of business properly before the Board by making a motion. Any member, including the Chairperson, except the member making the motion, may second the motion. Once a motion is seconded, it may be opened for discussion and debate, in accordance with the procedures in Subsection (4) below.

(4) Rules for Discussion, Debate and Deliberation by the Board. The procedures for consideration and action on all matters to come before the Board shall be in compliance with the terms of this Section, as follows:

(a) Each item on the Agenda will be introduced in a form of a report by either the General Manager, a member of the Executive Management Team, General Counsel, Special Counsel, or the Clerk of the Board.

(b) Upon completion of the report, the Chairperson will allow for direct questions regarding the item, by Directors, each in turn, and in the order as selected by the Chairperson.

(c) Upon completion of the question period, the Chairperson will entertain a motion and second for consideration by the Board.

(d) Discussion among the Directors will follow. Each Director will be recognized to address the Board in the order selected by the Chairperson, with a five (5) minute time limit for each Member wishing to speak on the Agenda item, unless the time limit is waived by the Chairperson. Directors should limit comment to the subject matter, item, or motion currently being considered. There will be no interruptions of the Director who has been recognized. Attempted interruptions will be declared out-of-order, and the Director attempting to interrupt will be asked to remain silent until recognized.

(e) As an additional courtesy to everyone, repetition of comments will be discouraged in the interest of time and, at the discretion of the Chairperson, can be declared out-of-order.

(f) After each Member who wishes to speak has been recognized and completed their remarks, a single three (3) minute period of rebuttal will be allowed any Director, unless the time limit is waived by the Chairperson.

(g) If it appears to the Chairperson that any Director is pursuing a line of questioning or commentary due to lack of preparation or prior review with the Sanitation District's Staff, the Director's time will be declared to have been used up, and no further inquiry will be allowed.

(h) Upon adoption of a motion on an Agenda item, there will be no further discussion of that item.

(5) Decorum in Debate. All Members shall address their remarks to the Chairperson and confine them to the business then pending and subject to discussion before the Board, avoiding personalities and reflections upon anyone's motives.

(6) Closing or Limiting Debate. At all times, the Board shall endeavor to allow free and open debate among Members of the Board. However, in the discretion of the Chairperson, it may become necessary to close or limit debate, so that action can be taken by the Board. An order by the Chairperson closing or limiting the debate can only be set aside by a majority vote of the Board.

F. Quorum. A majority of the Directors shall constitute a quorum of the Board.

G. Chairperson and Vice Chairperson of the Board. A Chairperson and Vice Chairperson of the Board shall be elected by a majority vote of Directors at the regular meeting in June of each year and will assume office July 1st. The nominations for Chairperson and Vice Chairperson shall be made at the regular Board meeting in May of each year. Any person nominated for Chairperson shall be deemed to be nominated for Vice Chairperson in the event the person is not elected as Chairperson. Thereafter, the nominees shall prepare a statement setting forth their qualifications for the office sought. The statements should be forwarded to the Clerk of the Board who will in turn forward by electronic mail to the members of the Board of Directors with the Agenda and other meeting material for the June regular meeting. If only one individual is nominated for Chairperson at the regular Board meeting in May, that individual shall be deemed elected as Chairperson, no election shall be held in June, and the individual shall assume office July 1st. If only one individual is nominated for Vice Chairperson at the regular Board meeting in May, that individual shall be deemed elected as Vice Chairperson, no election shall be held in June, and the individual shall assume office July 1st.

The Chairperson and Vice Chairperson shall serve at the pleasure of a majority of the Directors. In the event the office of Chairperson becomes vacant due to resignation or retirement of the incumbent prior to the expiration of the regular term, the Vice Chairperson shall automatically succeed to the office of the Chairperson and shall continue to serve through the remainder of the regular term unless sooner removed by action of a majority of the Directors. In the event the office of Vice Chairperson becomes vacant prior to the expiration of the regular term, nominations, and the election of a Director to serve in that capacity shall be conducted at the next regular Board meeting.

The person so elected shall serve the balance of the regularly scheduled term unless sooner removed as a result of action by a majority of the Directors.

The Chairperson shall not serve more than two consecutive one-year terms for which they have been elected to the office of Chairperson. The Vice Chairperson shall not serve more than two consecutive one-year terms for which they have been elected to the office of Vice Chairperson.

H. Presiding Officer. The Chairperson of the Board shall preside during meetings of the Directors. In the absence of the Chairperson, the Vice Chairperson shall preside.

I. Clerk of the Board and Minutes. The Board of Directors shall have a person designated to serve as Clerk of the Board. The Clerk of the Board will be appointed to the position by the General Manager and shall report to the General Manager or their designee. The Clerk of the Board will be a regular full-time employee, subject to all the rules and policies applicable to all regular full-time employees. The Clerk of the Board shall attend all meetings of the Board of Directors, unless excused by the Chairperson, and shall prepare an accurate record of each meeting for submission to the Directors and subsequent approval at the following meeting; provided, however, that when an adjourned, special or special adjourned meeting of the Board of Directors immediately precedes a regular meeting, Minutes of said meeting shall be submitted for approval at the next meeting of the Board following said regular meeting.

In the preparation of Official Minutes of a meeting of the Board of Directors, the Clerk of the Board will not record the name of the Director who moves or who seconds the adoption of a motion or Resolution but will reflect the votes by name of each Director on each item brought before the Board.

In the absence of the Clerk of the Board, an Assistant Clerk of the Board shall be appointed to exercise the duties of the Clerk of the Board. Regular Business to Come Before the Board of Directors. Insofar as practicable, all items of business to be taken up at a regular meeting of the Board shall be submitted to the Clerk of the Board, who shall include the Agenda all such items submitted by Directors, the General Manager and General Counsel, and all formal communications. The General Manager, in consultation with the Board Chairperson and Board Vice Chairperson, shall determine agenda items for Sanitation District Board of Director Meetings. Directors should prepare in advance of meetings and be familiar with items on the agenda. Directors shall make a reasonable effort to meet with the General Manager or related staff before meetings to receive answers to questions regarding the agenda.

The Order of Business on the agenda for regular meetings of the Board of Directors shall be:

- i. Call to Order
- ii. Invocation and Pledge of Allegiance

- iii. Roll Call and Declaration of Quorum
- iv. Public Comment - Pursuant to the Brown Act, public comment will be allowed on items on the Board/Committee agendas at the beginning of the meeting either on agenda items or general comments within the subject matter jurisdiction of the Sanitation District. Public comments are limited to no more than three minutes each. Individuals desiring to speak are encouraged to submit a request to speak card or place an eComment online to the Clerk of the Board.
- v. Special Presentations - Special presentations shall be scheduled as necessary in recognition of employee or Director service, or other requested presentations. Requests for special presentation must be submitted to the Clerk of the Board in writing in advance of the agenda publication deadline. The Clerk of the Board will coordinate the scheduling of presentations with the Board Chairperson.
- vi. Board Chairperson / General Manager Reports - The reports portion of the meeting provides the Chairperson and the General Manager the opportunity to briefly comment on Sanitation District business, operations, projects and other items of interest.
- vii. Public Hearings - Public Hearings may be required on certain items as prescribed by state or federal law. The regular time for public hearings is established by this resolution.
- viii. Elections – Annually or when deemed necessary.
- ix. Consent Calendar - Items on the Board/Committee Agenda which are considered to be of a routine nature by the General Manager shall be listed on the “Consent Calendar.” These items shall be approved, adopted, etc. by one motion of the Board and majority vote.

Directors may comment on Consent Calendar items or ask for minor clarifications without the need for pulling the item for separate consideration. Items requiring deliberation should be pulled for separate consideration.
- x. Receive and File - Items that require no action; and if no objection, the Chairperson may so order.
- xi. Committee Items – Items approved at the monthly Committee meetings are brought forward under each Standing Committee title on the agenda for Board approval. These items may be treated as

a consent calendar by one motion of the Committee and majority vote.

- xii. Non-Consent – Items on the Board/Committee Agenda which have not been previously considered and require study, report or action.
- xiii. Information Items – Educational or Items of interest that require no action.
- xiv. AB 1234 Disclosure Reports – This item allows Board members to provide a brief oral report regarding the disclosure of outside committees, conferences, training, seminars, et. Attended at the Agency's expense, per Government Code §53232.3(d).
- xv. Closed Session - During the course of conducting the business set forth on an agenda as a regular meeting, the Chairperson may convene the Board/Committee in closed session pursuant to Government Code Sections 54956.8, 54956.9, 54957 or 54957.6, as noted.

All written materials and verbal information regarding closed session items shall remain confidential. No member of the Board of Directors, employee of the Sanitation District, or any other person present shall disclose to any person the content or substance of any discussion which takes place in a closed session unless authorized by General Counsel and a majority of the Board of Directors.

- xvi. Other Business and communications or Supplemental agenda items – Prior to adjournment, the Board Chairperson will inquire if there is any other business to bring before the meeting.
- xvii. Board of Directors initiated items for a future meeting - This portion of the meeting allow Directors to request an agenda item for a future meeting. If the Board Chair or a majority of the body indicates support for the request at that time, then the item shall be placed on a future agenda. Upon support for the request, the Board of Directors/Committee will provide direction to staff on the information that is desired to be presented when the item is placed on a future agenda.
- xviii. Adjournment

The Board Chairperson shall have the discretion to change the order of business.

The Clerk of the Board shall electronically mail to each Director a notice of such regular meetings, together with a proposed Agenda, not later than the Friday immediately preceding such regular meetings. Said Agenda, insofar as possible, shall include copies of Resolutions, except as hereafter provided, and a description of all matters to be considered, together with any additional pertinent material.

Agendas shall be posted in a location freely accessible to the public not less than seventy-two (72) hours in advance of the meeting.

Resolutions designated as "standard" and adopted by the Board of Directors from time to time, and approved as to form and content, need not be included with said Agenda; provided, however, that the information completing said standard Resolutions shall be set forth on the Agenda listing, and copies of said standard Resolutions shall be on file with the Clerk of the Board at the meeting time and place.

Items of business not known at the time the regular Agenda is electronically mailed as herein provided, may be considered as supplemental Agenda items; provided that all requirements of the Ralph M. Brown Act (California Government Code Sections 54950 et seq.) are satisfied.

No business, except with consent of two-thirds of the Directors present (a majority of Directors present for emergency actions), and only if permitted by the Ralph M. Brown Act, not appearing on the regular or supplemental Agendas may be brought before the Board of Directors.

The meeting Agenda shall provide for an opportunity for members of the public to address the Board on items on the Agenda and non-Agenda items of public interest. As determined by the Chairperson, speakers may be deferred until the specific Agenda item is taken for discussion, and remarks may be limited to three (3) minutes. Speakers on non-Agenda items may address only items that are within the subject matter jurisdiction of the Board of Directors. Time allotted for such presentations is limited to three (3) minutes or less. Total time allotted for all public input on each non-Agenda item is limited to thirty (30) minutes to one (1) hour, taking into consideration the number of persons filing a request to address the Board. However, time allotments may be waived by a majority vote of the Board.

K. Handling of Business and Voting. During the course of a Board meeting, routine matters listed on the Agenda for consideration will be referred to by Agenda Item Number only.

Voting on all Resolutions shall be by roll call, except if waived by unanimous voice vote, in which event, the Chairperson may order a unanimous ballot cast in favor of the motion or Resolution under discussion. The name of each Director shall be called only once.

On matters of considerable interest or on which there appears to be a controversy, the motion or Resolution shall be read by title or repeated by the Chairperson. The Chairperson shall thereafter call for discussion of the motion or Resolution, at which time any member may discuss the pending matter. Any person other than a Director present at the meeting may speak on the motion if recognized by the Chairperson. Sole discretion as to the extent of discussion outside of the membership of the Board shall rest with the Chairperson. At the close of discussion, the Chairperson may, at the Chairperson's discretion, repeat the motion or Resolution pending, and thereafter, call for a vote.

The Clerk of the Board shall determine and state whether or not a motion or Resolution is adopted by roll call vote. On all other matters, the Chairperson shall determine the outcome of the voting.

L. Committees.

(1) Standing Committees.

(a) Steering Committee: There shall be a permanent Committee designated as the Steering Committee, comprised of the Chairperson of the Board, the Vice Chairperson of the Board, the Chairperson of each of the Standing Committees and two at-large members selected by the Chairperson of the Board. The Vice Chairperson of each of the three Standing Committees shall serve as the designated Alternate, in the absence or inability to serve by any Chairperson. In the absence or inability of any designated member of the Steering Committee to serve, his/her city/agency appointed Alternate Director may not serve in that member's absence.

The Committee shall conduct an annual performance evaluation of the General Manager and submit recommendations on their compensation to the Board of Directors. The Committee shall also review the General Manager's evaluation and compensation of the executive management employees, based on established criteria, and executive management's goals and objectives for the following year.

The Committee shall also conduct an annual performance evaluation of General Counsel and submit recommendations to the Board of Directors as provided by Resolution No. OCSD 12-03.

The Committee shall make recommendations to the Board of Directors on labor negotiations and other related activities as may be needed or appropriate.

The Committee shall also be authorized to assign new subjects of significant importance to the appropriate Standing Committee for study, evaluation and recommendation.

The Steering Committee shall meet on the fourth Wednesday of each month at 5:00 p.m. preceding the Board's meeting, or at the call of the Chairperson of the Board of Directors.

(b) Administration Committee: There shall be a permanent Administration Committee (Finance & Administrative Services, Environmental Services, and Human Resources) to advise the Staff and make recommendations on matters related to the financial, budgeting, administrative, environmental and personnel policies and programs of the Sanitation District.

The Committee shall review with the Staff the procedures for development, preparation and format of the annual budget and recommend appropriate change, and counsel the Staff during the budget process to assure the proper interpretation and implementation of the Board's policies and that the desired procedures have been followed.

The responsibility for consideration and adoption of the Sanitation District budget rests with the Board of Directors.

The Committee shall periodically interview and recommend the selection of outside auditors. The Committee shall review the result of the annual audit of the Sanitation District's accounts with representatives of the outside audit firm, including any comments received recommending improvements. The Committee shall review management's response to these comments and make appropriate recommendations for implementation.

Periodically, the Committee shall recommend employment of an outside firm to audit internal control procedures to safeguard the assets of the Sanitation District.

The Committee shall interview and make recommendations on the employment of investment-banking firms, bond counsel and, if necessary or desired, financial advisors, to be used in connection with the Sanitation District's financing programs.

The Committee shall periodically coordinate recommendations on personnel audits of the Sanitation District's operations or segments of the operations on an as-needed basis.

The Committee shall make recommendations on personnel policies and procedures, insurers and coverage, procurement procedures and such other related activities as may be needed or appropriate.

The Committee shall also review issues pertaining to the Sanitation District's National Pollutant Discharge Elimination System (NPDES) Ocean Outfall Discharge Permit, including annual review of the contractor(s) performing the ocean monitoring and research programs required as a condition of said permit, and related issues regarding

protection of the marine waters off metropolitan Orange County's coastline from impacts resulting from the Sanitation District's operations and discharge of treated wastewater.

The Chairperson of the Board of Directors shall appoint a Committee Chairperson and a Committee Vice Chairperson for the Administration Committee. The Committee Chairperson and Committee Vice Chairperson shall serve at the pleasure of the Chairperson of the Board of Directors.

The Administration Committee shall consist of thirteen members, as follows:

- (1) The Chairperson of the Board of Directors;
- (2) The Vice Chairperson of the Board of Directors;
- (3) The Committee Chair of the Administration Committee;
- (4) The Committee Vice Chair of the Administration Committee; and
- (5) Nine additional Directors appointed by the Chairperson of the Board of Directors.

Other than the Board Chairperson and the Board Vice Chairperson, no Director who serves on the Operations Committee shall be eligible to serve concurrently on the Administration Committee. In the absence of the Board Chairperson, his or her alternate Director may attend meetings of the Administration Committee.

The Administration Committee shall meet on the second Wednesday of each month at 5:00 p.m., or at the call of its Chairperson.

(c) Operations Committee: There shall be a permanent Committee designated the Operations Committee (Engineering and Operations & Maintenance). With the goal of compliance with all public health and environmental laws and regulations, the Operations Committee shall review and submit appropriate recommendations on the matters pertaining to the operation of the Sanitation District wastewater treatment process, including such matters as current and projected service/flow needs, level and quality of treatment, conservation, recycling and reuse activities and air quality issues.

The Committee shall also review matters pertaining to contractual arrangements by the Sanitation District to provide sewerage services to areas outside the Sanitation District's boundaries or approved spheres of influence.

The Committee shall review plans for the future needs of the Sanitation District, explore alternatives and make recommendations to the Board of Directors.

The Operations Committee shall also review and submit appropriate recommendations on matters pertaining to capital projects which address operational needs, including the selection of professional consulting services to assist in studying, planning and designing needed Sanitation District wastewater treatment systems and support facilities, including computerized systems, in accordance with the Board's established policies and procedures for procuring such services; the Committee shall further review construction projects for said facilities in accordance with applicable public works laws and Board policies. Said oversight shall include the contracts for professional services and public works construction projects and addenda or change orders thereto. In carrying out its responsibilities, the Committee shall receive advance notice and regular status reports on the projects from Staff, and monitor, visit and observe the Sanitation District wastewater systems operational functions and major capital construction projects.

The Chairperson of the Board of Directors shall appoint a Committee Chairperson and a Committee Vice Chairperson of the Operations Committee. The Committee Chairperson and Committee Vice Chairperson shall serve at the pleasure of the Chairperson of the Board of Directors.

The Operations Committee shall consist of fourteen members, as follows:

- (1) The Chairperson of the Board of Directors;
- (2) The Vice Chairperson of the Board of Directors;
- (3) The Committee Chair of the Operations Committee;
- (4) The Committee Vice Chair of the Operations Committee; and
- (5) Ten (10) additional Directors appointed by the Chairperson of the Board of Directors.

Other than the Board Chairperson and the Board Vice Chairperson, no Director who serves on the Administration Committee shall be eligible to serve concurrently on the Operations Committee. In the absence of the Board Vice-Chairperson, his or her Alternate Director may attend meetings of the Operations Committee.

The Operations Committee shall meet on the first Wednesday of each month at 5:00 p.m., or at the call of its Chairperson.

(d) Legislative and Public Affairs Committee: There shall be a permanent Committee designated as the Legislative and Public Affairs (LaPA) Committee.

The Committee shall review issues pertaining to the impact on the Sanitation District of legislative and regulatory proposals and submit appropriate recommendations on the matters.

The Committee shall also be responsible for overseeing the contractual arrangements with the Sanitation District's legislative advocates to provide advocacy services in Sacramento and Washington, D.C. In carrying out its responsibilities, the Committee shall receive regular status reports from the advocates and staff and monitor and recommend positions on legislative and regulatory proposals.

The Committee shall also review issues pertaining to the Sanitation District's public outreach, branding, and communications activities, evaluate alternatives and make recommendations to the Board of Directors.

The Chairperson of the Board of Directors shall appoint a Committee Chairperson and a Committee Vice Chairperson to the LaPA committee. The Committee Chairperson and Vice Chairperson shall serve at the pleasure of the Chairperson of the Board of Directors.

The LaPA Committee shall consist of seven members, as follows:

- (1) The Chairperson of the Board of Directors
- (2) The Vice Chairperson of the Board of Directors
- (3) The Committee Chairperson of the LaPA Committee
- (4) The Committee Vice Chairperson of the LaPA committee
- (5) Three (3) additional Directors appointed by the Chairperson of the Board of Directors

The LaPA Committee shall meet on the second Monday of the months of February, March, May, September, and November at 4:30 p.m. and the months of April and July at 4:00 p.m. or at the call of its Chairperson.”

(2) Special and Ad Hoc Committees. In addition to the Standing Committees, the Chairperson of the Board of Directors, the Chairperson of a Standing Committee or a majority of the Directors, may appoint from time to time, Special or Ad Hoc Committees to study and report on specific matters. Such Committees shall be temporary in nature, and their assignments shall pertain to a current, specific issue. Upon completion of the assigned task, the Ad Hoc or Special Committee will be dissolved.

The Chairperson and Vice Chairperson of Special and Ad Hoc Committees shall be appointed by the Chairperson of the appointing authority.

Each Special and Ad Hoc Committee shall meet at the call of its Chairperson.

M. Alternate Directors: If a regular Director cannot attend a meeting of the Operations Committee, the Administration Committee or the full Board of Directors, the Director's alternate may attend in place of his or her regular Director. An alternate Director may not, however, attend a meeting of any other Committee in the absence of his or her regular Director. An Alternate Director serving in place of a regular member shall not act as Chairperson or Vice Chairperson of the Board or any Committee, even if the absent regular member serves as Chairperson or Vice Chairperson of one of those bodies. If the regular Director and the Alternate Director are both unable to attend the meeting, the regular Director may request that the meeting be teleconferenced. The request may be approved, at the Board Chairperson's discretion, provided that all requirements of the Ralph M. Brown Act (California Government Code Sections 54950 et seq.) are able to be satisfied.

N. Motion to Refer to a Standing Committee. Any Director at a Board or Committee meeting may move to have a policy or any other activity affecting the Sanitation District, or any one of the member Agencies, referred to a Standing Committee for study and report. This motion shall be a privileged motion, and when duly seconded, discussion thereof shall be limited to Directors only. Said motion shall receive an affirmative vote of a majority of the Directors for adoption.

O. All meetings of the Board of Directors shall be publicly available and recorded. The audio/video recording of any open and public meeting shall be subject to inspection pursuant to the California Public Records Act.

Section 2: Procedure for Consideration of Demands for Corrective Action.

A. Requirement of Written Demand. Prior to any person commencing a judicial action for injunction or mandamus to declare any action taken by the Board void because of failure to observe Brown Act requirements, such person must first serve upon the Clerk of the Board a written demand describing the alleged violation and demanding corrective action. Such demand must be served upon the Clerk of the Board within thirty (30) days of the complained of action. Failure to serve any such demand within this thirty (30) day period shall result in the loss of any right to challenge any action to have been taken in violation of Sections 54953, 54954.2 or 54956 of the California Government Code.

B. Consideration of Corrective Action. Upon receipt of such a demand, consideration of the demand shall immediately be placed on the Agenda for the next meeting of the Board of Directors. If the demand is received less than seventy-two (72) hours prior to the time set for the next meeting, the Board may determine that the notice constitutes the initiation of litigation, and that the need to take action on the threatened litigation arose subsequent to the posting of the Agenda and may consider it at that meeting pursuant to Section 1(J) above. A description of any item so placed on the

Agenda shall include both consideration of the demand, and the possibility of corrective action, by the Board.

In considering such demands, the Board shall first determine, by motion, whether corrective action should be taken. If no motion to take corrective action is carried, the Clerk of the Board shall inform the demanding party in writing of the Board's decision not to cure or correct the challenged action.

C. Implementing Corrective Action. If a motion to take corrective action passes, the Chairperson may entertain a motion implementing corrective action. Any motion implementing corrective action shall address the concerns raised in the consideration of corrective action. The motion implementing corrective action may include a motion to rescind prior action taken, as appropriate. Passage of a motion to rescind invalidates prior action only as of the time of the passage of the motion, and not from the date of the initial action. A motion implementing corrective action resulting from a written demand is out-of-order if the action complained of (a) was in connection with the sale or issuance of notes, bonds or other evidence of indebtedness, or any contract, agreement or incident thereto; or (b) gave rise to a contractual obligation upon which a party has, in good faith, detrimentally relied. In any event, the Board shall notify the party making the demand in writing of its decision to take corrective action and shall describe any corrective action taken. This notice shall be given to the demanding party as soon as possible after the meeting, but in no event more than thirty (30) days after receipt of the demand.

Section 4: Resolution No. OC SAN 21-01 is hereby repealed.

Section 5: This Resolution shall become effective immediately.

PASSED AND ADOPTED at a regular meeting of the Board of Directors held February 24, 2021.

David John Shawver
Board Chairman

ATTEST:

Kelly A. Lore, MMC
Clerk of the Board

STATE OF CALIFORNIA)
) ss
COUNTY OF ORANGE)

I, Kelly A. Lore, Clerk of the Board of Directors of the Orange County Sanitation District, do hereby certify that the foregoing Resolution No. OC SAN 21-04 was passed and adopted at a regular meeting of said Board on the 24th day of February 2021, by the following vote, to wit:

AYES:
NOES:
ABSTENTIONS:
ABSENT:

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the official seal of Orange County Sanitation District this 24th day of February 2021.

Kelly A. Lore, MMC
Clerk of the Board of Directors
Orange County Sanitation District

TABLE 1

**BOARD PROCEDURES AND ORGANIZATION
SUMMARY OF MOTIONS**

A. PRIVILEGED MOTIONS

<i>Kind of Motion</i>	<i>Second Required</i>	<i>Debatable</i>	<i>Amendable</i>	<i>Vote Required</i>	<i>Purpose</i>
Adjourn	Yes	No	No	Majority	To end the meeting
To Take a Recess	Yes	No	No	Majority	To interrupt a meeting for a short time or to provide an intermission
Raise a Question of Privilege	No	No	No	None	To obtain action immediately in an emergency

**B. MAIN MOTION AND RELATED
SUBSIDIARY MOTIONS**

<i>Kind of Motion</i>	<i>Second Required</i>	<i>Debatable</i>	<i>Amendable</i>	<i>Vote Required</i>	<i>Purpose</i>
Main Motion	Yes	Yes	Yes	Majority	To introduce new business
Amend Main Motion	Yes	Yes	Yes	Majority	To modify or alter a motion
Substitute Motion	Yes	Yes	Yes	Majority	To replace the main motion entirely

Previous Question	Yes	No	No	Majority	To close debate on the main or amended motion immediately
Continue to a Certain Time	Yes	Yes	Yes	Majority	To defer action
To Table	Yes	No	No	Majority	To discontinue consideration until brought back by vote of the Board
Take a Motion from the Table	Yes	No	No	Majority	To bring before the group a motion previously tabled
Limit or Extend Limits of Debate	Yes	No	Yes	Majority	To limit or extend limits of debate
Refer to a Committee	Yes	Yes	Yes	Majority	To place business in hands of a Committee
Withdraw a Motion	No	No	No	None	To withdraw a motion before it is voted on
Reconsider	Yes	Yes	No	Majority must be by a Director who voted for the prevailing side on the original motion	To secure a new vote on a motion previously voted upon

**C. INCIDENTAL RULES
NON-RANKING**

<i>Kind of Motion</i>	<i>Second Required</i>	<i>Debatable</i>	<i>Amendable</i>	<i>Vote Required</i>	<i>Purpose</i>
Request to Suspend the Rules	Yes	No	No	Two-Thirds	To facilitate business ordinarily contrary to the rules of the organization
Override Order of the Chair	Yes	No	No	Majority	To have Board majority rule on the order
Point of Order	No	No	No	None	To enforce the rules of the organization



STEERING COMMITTEE

Agenda Report

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

File #: 2021-1504

Agenda Date: 2/24/2021

Agenda Item No: 17.

FROM: James D. Herberg, General Manager

SUBJECT:

ESTABLISH BOARD OF DIRECTORS PROTOCOLS

GENERAL MANAGER'S RECOMMENDATION

RECOMMENDATION:

Adopt Resolution No. OC SAN 21-02 entitled, "A Resolution of the Board of Directors of the Orange County Sanitation District establishing Board of Directors Protocols".

BACKGROUND

At the request of the Orange County Sanitation District (Sanitation District) Board Chairman, the proposed Board of Directors protocols were designed to assist the Board of Directors, staff, and others by memorializing existing policies, successful procedures, and best practices for the conduct of business. The protocols are intended to be an instructive source of guidance so that accepted practices are identified and documented.

The protocols are intended to be consistent with all legal requirements applicable to the conduct of Sanitation District business. In the instance of any conflict with State or Federal law, or with the Sanitation District Ordinances, such State, Federal or Sanitation District Ordinance will take precedence. It is expected that the Board of Directors will renew these protocols periodically, in order to consider appropriate additions, deletions, and/or amendments.

RELEVANT STANDARDS

- California Government Code Section 54950 et seq.
- Comply with transparency and communication requirements, including the Brown Act

PRIOR COMMITTEE/BOARD ACTIONS

N/A

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Resolution No. OC SAN 21-02

RESOLUTION NO. OC SAN 21-02

A RESOLUTION OF THE BOARD OF DIRECTORS OF
ORANGE COUNTY SANITATION DISTRICT
ESTABLISHING BOARD OF DIRECTORS PROTOCOLS

WHEREAS it is desired to establish Protocols for the Orange County Sanitation District Board of Directors.

NOW THEREFORE, the Board of Directors of the Orange County Sanitation District DOES HEREBY RESOLVE, DETERMINE AND ORDER:

Section 1: Protocols. That the following Protocols be adopted for the Orange County Sanitation District (Sanitation District) Board of Directors:

1. PURPOSE

The purpose for establishing Sanitation District Board of Directors (Director) Protocols are to provide an effective environment for the Board of Directors to provide strong leadership.

The Protocols set forth herein are not intended to limit the inherent power and general legal authority of the Board of Directors.

2. BOARD ORGANIZATION

Newly-elected Directors will be sworn into office by the Clerk of the Board prior to the first regular Board of Directors/Committee meeting attended following their agency's appointment. Immediately upon appointment, all members are subject to the provisions of the Brown Act. Newly appointed members shall not be allowed to participate in any meeting prior to being sworn in.

3. MISCELLANEOUS PROCEDURES

3.1 BOARD INTERACTION WITH OTHER PUBLIC AGENCIES

3.1.1 If a Director appears before another governmental agency or organization representing the Sanitation District, the Director should support and advocate the official Sanitation District position on an issue, not a personal viewpoint.

3.1.2 Directors should be clear about which organizations they represent and inform the Board Chairperson and the Board of Directors of their involvement.

3.2 BOARD INTERACTION WITH SANITATION DISTRICT STAFF

3.2.1 Requests for Staff Inquiry/Assistance

3.2.1.1 Questions for clarification, or to request additional information regarding an agenda item, should be directed to the Department Head, Assistant General Manager, or General Manager with a copy to the Clerk of the Board.

3.2.1.2 Directors should not direct Sanitation District staff to initiate any action, change a course of action, or any report that is significant in nature, nor should a Director initiate any project or study without the approval of a majority of the Steering Committee.

3.2.1.3 Requests to directly contact Sanitation District or Agency consultants, contractors, or outside legal counsel requesting information, research, or service should be directed to the General Manager.

3.3 UNDUE INFLUENCE ON SANITATION DISTRICT STAFF

3.3.1 Directors shall not attempt to influence the Sanitation District staff in the awarding of contracts, the selection of consultants, and the processing of permits during the solicitation process or prior to recommendation to the Board of Directors.

3.3.2 Sanitation District staff may support political candidates, but all such activities must be conducted away from the workplace. Directors should not solicit any type of political support (financial contributions, display of posters or lawn signs, name on support lists, etc.) from Sanitation District staff.

3.4 COMPLAINTS REGARDING PERFORMANCE OF STAFF

Any concerns by a member of the Board of Directors over the behavior or performance of a Sanitation District employee should be

directed to the General Manager privately for discretion and to ensure the concern is resolved.

3.5 USE OF BOARD ROOM

The Clerk of the Board is responsible for maintaining a calendar on the use of the Board Room. Use of the Board Room by the Sanitation District Board of Directors, Committees, and other advisory bodies shall take precedence over any other group or agency. Favorable consideration shall be given to other governmental agencies, tours, and non-profit groups. No events of a commercial nature shall be allowed. No admission shall be charged. Regularly scheduled meetings by other agencies and groups shall be discouraged. When a question arises regarding permission for any group to use the facility, the Administration Manager or their designee shall have authority to make the final decision.

4. COMMUNICATIONS

4.1 PROCESSING OF MAIL

The Clerk of the Board shall open, and date stamp all mail addressed to the Board of Directors. Such mail shall be electronically distributed by the Clerk of the Board to the Board Chairperson and subsequently to each Director. Correspondence addressed to the Board Chairperson which requires a response from staff shall be copied to all Directors.

4.2 COMPLAINT PROCESS

All complaints directed to the Board Chairperson or the Board of Directors shall be forwarded to the General Manager and the Clerk of the Board for tracking purposes. The General Manager and Board Chairperson shall provide direction for responding to the complaint and the Clerk of the Board will coordinate the response.

4.3 GENERAL BOARD COMMUNICATION

Directors should be aware that the insecurity of written notes, voicemail messages, and email and text/instant messaging technology allow words written or said to be distributed without approval. All such correspondence should be treated as potentially "public" communication subject to inspection pursuant to the California Public Records Act.

4.4 REPRESENTATION AT CEREMONIAL FUNCTIONS

The Board Chairperson shall represent the Board of Directors at ceremonial functions. Should an individual Director, other than the Board Chairperson, be asked to make a ceremonial presentation or to attend an event on behalf of the Board, the Director should redirect the request to the Board Chairperson. The Board Chairperson may, at their own discretion, ask another Director to represent the Sanitation District at the function.

The Clerk of the Board maintains guidelines for issuing resolutions or certificates of commendation; congratulations, recognition, and condolences to be presented at meetings and ceremonial functions. Upon a request for acknowledgement, the Board Chairperson and the General Manager will determine if approval should be granted and notify the Clerk of the Board to proceed.

4.4 RESPONDING TO MEDIA INQUIRIES

The General Manager and the Sanitation District's Administration Manager are the official spokespersons for the Sanitation District's position on routine and high-profile issues.

For purposes of consistency, if an individual Director is contacted by the media directly, the Director should notify and refer the media to the General Manager or Sanitation District's Administration Manager prior to responding directly.

Section 2: This Resolution shall become effective immediately.

PASSED AND ADOPTED at a regular meeting of the Orange County Sanitation District Board of Directors held February 24, 2021.

David John Shawver
Board Chairman

ATTEST:

Kelly A. Lore, MMC
Clerk of the Board

APPROVED AS TO FORM:

Bradley R. Hogin
General Counsel

STATE OF CALIFORNIA)
) ss
COUNTY OF ORANGE)

I, Kelly A. Lore, Clerk of the Board of Directors of the Orange County Sanitation District, do hereby certify that the foregoing Resolution No. OC SAN 21-02 was passed and adopted at a regular meeting of said Board on the 24th day of February 2021, by the following vote, to wit:

AYES:
NOES:
ABSTENTIONS:
ABSENT:

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the official seal of Orange County Sanitation District this 24th day of February 2021.

Kelly A. Lore, MMC
Clerk of the Board of Directors
Orange County Sanitation District



BOARD OF DIRECTORS

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1505

Agenda Date: 2/24/2021

Agenda Item No: CS-1

FROM: James D. Herberg, General Manager

SUBJECT:

CONFERENCE WITH LEGAL COUNSEL RE ANTICIPATED LITIGATION - GOVERNMENT CODE SECTION 54956.9(D)(4)

RECOMMENDATION: Convene in Closed Session:

Number of Potential Cases: 1

Potential initiation of eminent domain litigation regarding property owned by Bayside Village Marina LLC.

BACKGROUND

During the course of conducting the business set forth on this agenda as a regular meeting of the Board, the Chairperson may convene the Board in closed session to consider matters of pending real estate negotiations, pending or potential litigation, or personnel matters.

Reports relating to (a) purchase and sale of real property; (b) matters of pending or potential litigation; (c) employment actions or negotiations with employee representatives; or which are exempt from public disclosure under the California Public Records Act, may be reviewed by the Board during a permitted closed session and are not available for public inspection. At such time the Board takes final action on any of these subjects, the minutes will reflect all required disclosures of information.

RELEVANT STANDARDS

- Government Code Sections 54956.8, 54956.9, 54957, or 54957.6, as noted

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Memoranda from General Counsel

MEMORANDUM

TO: Hon. Chair and Members of the Orange County Sanitation District Board of Directors

FROM: Bradley R. Hogin, Esq.
General Counsel

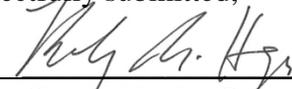
DATE: February 16, 2021

RE: Closed Session Items

The Board of Directors desires to hold a closed session on February 24, 2021 for the purpose of conferring with its legal counsel regarding anticipated litigation. Based on existing facts and circumstances, the Committee is deciding whether to initiate litigation against another party. The closed session will be held pursuant to the authority of California Government Code Section 54956.9(d)(4).

The facts and circumstances are as follows. The District is planning to construct the Bay Bridge Pump Station and Force Mains Rehabilitation Project. In connection with the project, the District has prepared an environmental impact report. The adjacent property owner sent a letter to the District dated February 2, 2021. The letter essentially threatens to file suit against the District challenging the environmental impact report.

Respectfully submitted,

By: 
Bradley R. Hogin, General Counsel



BOARD OF DIRECTORS

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

Agenda Report

File #: 2021-1506

Agenda Date: 2/24/2021

Agenda Item No: CS-2

FROM: James D. Herberg, General Manager

SUBJECT:

CONFERENCE WITH LEGAL COUNSEL RE ANTICIPATED LITIGATION - GOVERNMENT CODE SECTION 54956.9(D)(2)

RECOMMENDATION: Convene in Closed Session:

Number of Potential Cases: 1

Significant exposure to litigation: threatened CEQA litigation regarding environmental impact report for Bay Bridge Pump Station Project.

BACKGROUND

During the course of conducting the business set forth on this agenda as a regular meeting of the Board, the Chairperson may convene the Board in closed session to consider matters of pending real estate negotiations, pending or potential litigation, or personnel matters.

Reports relating to (a) purchase and sale of real property; (b) matters of pending or potential litigation; (c) employment actions or negotiations with employee representatives; or which are exempt from public disclosure under the California Public Records Act, may be reviewed by the Board during a permitted closed session and are not available for public inspection. At such time the Board takes final action on any of these subjects, the minutes will reflect all required disclosures of information.

RELEVANT STANDARDS

- Government Code Sections 54956.8, 54956.9, 54957, or 54957.6, as noted

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Memoranda from General Counsel

MEMORANDUM

TO: Hon. Chair and Members of the Orange County Sanitation District Board of Directors

FROM: Bradley R. Hogin, Esq.
General Counsel

DATE: February 16, 2021

RE: Closed Session Items

The Board of Directors desires to hold a closed session on February 24, 2021 for the purpose of conferring with its legal counsel regarding anticipated litigation. Based on existing facts and circumstances, the Committee is deciding whether to initiate litigation against another party. Existing facts and circumstances reflect a significant exposure to litigation against the District. The closed session will be held pursuant to the authority of California Government Code Section 54956.9(d)(2).

The facts and circumstances are as follows. The District is planning to construct the Bay Bridge Pump Station and Force Mains Rehabilitation Project. In order to construct the project, the District must acquire certainly property and easements adjacent to the current pump station. Negotiations with the property owner have proven unsuccessful, so the District Board must meet to consider possible initiation of an eminent domain action.

Respectfully submitted,

By: 
Bradley R. Hogin, General Counsel



BOARD OF DIRECTORS

Agenda Report

Administration Building
10844 Ellis Avenue
Fountain Valley, CA 92708
(714) 593-7433

File #: 2021-1507

Agenda Date: 2/24/2021

Agenda Item No: CS-3

FROM: James D. Herberg, General Manager

SUBJECT:

CONFERENCE WITH LEGAL COUNSEL RE ANTICIPATED LITIGATION - GOVERNMENT CODE SECTION 54956.9(D)(2)

RECOMMENDATION: Convene in Closed Session:

Number of Potential Cases: (1)

Significant exposure to litigation: Claim of Raul Palazuelos.

BACKGROUND

During the course of conducting the business set forth on this agenda as a regular meeting of the Board, the Chairperson may convene the Board in closed session to consider matters of pending real estate negotiations, pending or potential litigation, or personnel matters.

Reports relating to (a) purchase and sale of real property; (b) matters of pending or potential litigation; (c) employment actions or negotiations with employee representatives; or which are exempt from public disclosure under the California Public Records Act, may be reviewed by the Board during a permitted closed session and are not available for public inspection. At such time the Board takes final action on any of these subjects, the minutes will reflect all required disclosures of information.

RELEVANT STANDARDS

- Government Code Sections 54956.8, 54956.9, 54957, or 54957.6, as noted

ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website (www.ocsan.gov) with the complete agenda package:

- Memoranda from General Counsel

MEMORANDUM

TO: Hon. Chair and Members of the Orange County Sanitation District Board of Directors

FROM: Bradley R. Hogin, Esq.
General Counsel

DATE: February 16, 2021

RE: Closed Session Items

The Board of Directors desires to hold a closed session on February 24, 2021 for the purpose of conferring with its legal counsel regarding anticipated litigation. Based on existing facts and circumstances, existing facts and circumstances reflect a significant exposure to litigation against the District. The closed session will be held pursuant to the authority of California Government Code Section 54956.9(d)(2).

The facts and circumstances are as follows. On January 19, 2021, the District received a claim from Raul Palazuelo, a district employee. Mr. Palazuelos's claim seeks damages and asserts causes of action for racial discrimination; racial harassment; retaliation for reporting discrimination and harassment; and failure to prevent harassment, discrimination and retaliation in violation of the Fair Employment and Housing Act (Government Code sections 12940 et seq.) ("FEHA"). Also asserted is a claim for violation of Labor Code section 1102.5 which is California's whistleblower protection statute.

Respectfully submitted,

By: 
Bradley R. Hogin, General Counsel

ORANGE COUNTY SANITATION DISTRICT COMMON ACRONYMS

ACWA	Association of California Water Agencies	LOS	Level Of Service	RFP	Request For Proposal
APWA	American Public Works Association	MGD	Million Gallons Per Day	RWQCB	Regional Water Quality Control Board
AQMD	Air Quality Management District	MOU	Memorandum of Understanding	SARFPA	Santa Ana River Flood Protection Agency
ASCE	American Society of Civil Engineers	NACWA	National Association of Clean Water Agencies	SARI	Santa Ana River Interceptor
BOD	Biochemical Oxygen Demand	NEPA	National Environmental Policy Act	SARWQCB	Santa Ana Regional Water Quality Control Board
CARB	California Air Resources Board	NGOs	Non-Governmental Organizations	SAWPA	Santa Ana Watershed Project Authority
CASA	California Association of Sanitation Agencies	NPDES	National Pollutant Discharge Elimination System	SCADA	Supervisory Control And Data Acquisition
CCTV	Closed Circuit Television	NWRI	National Water Research Institute	SCAP	Southern California Alliance of Publicly Owned Treatment Works
CEQA	California Environmental Quality Act	O & M	Operations & Maintenance	SCAQMD	South Coast Air Quality Management District
CIP	Capital Improvement Program	OCCOG	Orange County Council of Governments	SOCWA	South Orange County Wastewater Authority
CRWQCB	California Regional Water Quality Control Board	OCHCA	Orange County Health Care Agency	SRF	Clean Water State Revolving Fund
CWA	Clean Water Act	OCSD	Orange County Sanitation District	SSMP	Sewer System Management Plan
CWEA	California Water Environment Association	OCWD	Orange County Water District	SSO	Sanitary Sewer Overflow
EIR	Environmental Impact Report	OOBS	Ocean Outfall Booster Station	SWRCB	State Water Resources Control Board
EMT	Executive Management Team	OSHA	Occupational Safety and Health Administration	TDS	Total Dissolved Solids
EPA	US Environmental Protection Agency	PCSA	Professional Consultant/Construction Services Agreement	TMDL	Total Maximum Daily Load
FOG	Fats, Oils, and Grease	PDSA	Professional Design Services Agreement	TSS	Total Suspended Solids
gpd	gallons per day	PFAS	Per- and Polyfluoroalkyl Substances	WDR	Waste Discharge Requirements
GWRS	Groundwater Replenishment System	PFOA	Perfluorooctanoic Acid	WEF	Water Environment Federation
ICS	Incident Command System	PFOS	Perfluorooctanesulfonic Acid	WERF	Water Environment & Reuse Foundation
IERP	Integrated Emergency Response Plan	POTW	Publicly Owned Treatment Works	WIFIA	Water Infrastructure Finance and Innovation Act
JPA	Joint Powers Authority	ppm	parts per million	WIIN	Water Infrastructure Improvements for the Nation Act
LAFCO	Local Agency Formation Commission	PSA	Professional Services Agreement	WRDA	Water Resources Development Act

ORANGE COUNTY SANITATION DISTRICT GLOSSARY OF TERMS

ACTIVATED SLUDGE PROCESS – A secondary biological wastewater treatment process where bacteria reproduce at a high rate with the introduction of excess air or oxygen and consume dissolved nutrients in the wastewater.

BENTHOS – The community of organisms, such as sea stars, worms, and shrimp, which live on, in, or near the seabed, also known as the benthic zone.

BIOCHEMICAL OXYGEN DEMAND (BOD) – The amount of oxygen used when organic matter undergoes decomposition by microorganisms. Testing for BOD is done to assess the amount of organic matter in water.

BIOGAS – A gas that is produced by the action of anaerobic bacteria on organic waste matter in a digester tank that can be used as a fuel.

BIOSOLIDS – Biosolids are nutrient rich organic and highly treated solid materials produced by the wastewater treatment process. This high-quality product can be recycled as a soil amendment on farmland or further processed as an earth-like product for commercial and home gardens to improve and maintain fertile soil and stimulate plant growth.

CAPITAL IMPROVEMENT PROGRAM (CIP) – Projects for repair, rehabilitation, and replacement of assets. Also includes treatment improvements, additional capacity, and projects for the support facilities.

COLIFORM BACTERIA – A group of bacteria found in the intestines of humans and other animals, but also occasionally found elsewhere, used as indicators of sewage pollution. E. coli are the most common bacteria in wastewater.

COLLECTIONS SYSTEM – In wastewater, it is the system of typically underground pipes that receive and convey sanitary wastewater or storm water.

CERTIFICATE OF PARTICIPATION (COP) – A type of financing where an investor purchases a share of the lease revenues of a program rather than the bond being secured by those revenues.

CONTAMINANTS OF POTENTIAL CONCERN (CPC) – Pharmaceuticals, hormones, and other organic wastewater contaminants.

DILUTION TO THRESHOLD (D/T) – The dilution at which the majority of people detect the odor becomes the D/T for that air sample.

GREENHOUSE GASES (GHG) – In the order of relative abundance water vapor, carbon dioxide, methane, nitrous oxide, and ozone gases that are considered the cause of global warming (“greenhouse effect”).

GROUNDWATER REPLENISHMENT SYSTEM (GWRS) – A joint water reclamation project that proactively responds to Southern California’s current and future water needs. This joint project between the Orange County Water District and OCSD provides 70 million gallons per day of drinking quality water to replenish the local groundwater supply.

LEVEL OF SERVICE (LOS) – Goals to support environmental and public expectations for performance.

N-NITROSODIMETHYLAMINE (NDMA) – A N-nitrosamine suspected cancer-causing agent. It has been found in the GWRS process and is eliminated using hydrogen peroxide with extra ultra-violet treatment.

NATIONAL BIOSOLIDS PARTNERSHIP (NBP) – An alliance of the NACWA and WEF, with advisory support from the EPA. NBP is committed to developing and advancing environmentally sound and sustainable biosolids management practices that go beyond regulatory compliance and promote public participation to enhance the credibility of local agency biosolids programs and improved communications that lead to public acceptance.

PER- AND POLYFLUOROALKYL SUBSTANCES (PFAS) – A large group (over 6,000) of human-made compounds that are resistant to heat, water, and oil and used for a variety of applications including firefighting foam, stain and water-resistant clothing, cosmetics, and food packaging. Two PFAS compounds, perfluorooctanesulfonic acid (PFOS) and perfluorooctanoic acid (PFOA) have been the focus of increasing regulatory scrutiny in drinking water and may result in adverse health effects including developmental effects to fetuses during pregnancy, cancer, liver damage, immunosuppression, thyroid effects, and other effects.

PERFLUOROCTANOIC ACID (PFOA) – An ingredient for several industrial applications including carpeting, upholstery, apparel, floor wax, textiles, sealants, food packaging, and cookware (Teflon).

PERFLUOROCTANESULFONIC ACID (PFOS) – A key ingredient in Scotchgard, a fabric protector made by 3M, and used in numerous stain repellents.

PLUME – A visible or measurable concentration of discharge from a stationary source or fixed facility.

PUBLICLY OWNED TREATMENT WORKS (POTW) – A municipal wastewater treatment plant.

SANTA ANA RIVER INTERCEPTOR (SARI) LINE – A regional brine line designed to convey 30 million gallons per day of non-reclaimable wastewater from the upper Santa Ana River basin to the ocean for disposal, after treatment.

SANITARY SEWER – Separate sewer systems specifically for the carrying of domestic and industrial wastewater.

SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT (SCAQMD) – Regional regulatory agency that develops plans and regulations designed to achieve public health standards by reducing emissions from business and industry.

SECONDARY TREATMENT – Biological wastewater treatment, particularly the activated sludge process, where bacteria and other microorganisms consume dissolved nutrients in wastewater.

SLUDGE – Untreated solid material created by the treatment of wastewater.

TOTAL SUSPENDED SOLIDS (TSS) – The amount of solids floating and in suspension in wastewater.

ORANGE COUNTY SANITATION DISTRICT GLOSSARY OF TERMS

TRICKLING FILTER – A biological secondary treatment process in which bacteria and other microorganisms, growing as slime on the surface of rocks or plastic media, consume nutrients in wastewater as it trickles over them.

URBAN RUNOFF – Water from city streets and domestic properties that carry pollutants into the storm drains, rivers, lakes, and oceans.

WASTEWATER – Any water that enters the sanitary sewer.

WATERSHED – A land area from which water drains to a particular water body. OCSD's service area is in the Santa Ana River Watershed.