

# AGENDA

## DEL NORTE SOLID WASTE MANAGEMENT AUTHORITY CITY OF CRESCENT CITY COUNTY OF DEL NORTE STATE OF CALIFORNIA

**Crescent Fire Protection District Meeting Room  
255 West Washington Blvd.  
Crescent City, CA**

**Special Session**

**Tuesday April 01, 2014**

**3:00 PM**

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The Solid Waste Management Authority of the City of Crescent City and the County of Del Norte, State of California, is now meeting in Regular Session. Only those items that indicate a specific time will be heard at the assigned time. All items may be taken out of sequence to accommodate public and staff availability.

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All documents referred to in this agenda are available at the Office of the Del Norte Solid Waste Management Authority at 1700 State Street in Crescent City, between the hours of 8 A.M. and 5 P.M. Monday through Friday OR online at [www.recycledelnorte.ca.gov](http://www.recycledelnorte.ca.gov)

For more information call 465-1100 or email [dnswwma@recycledelnorte.ca.gov](mailto:dnswwma@recycledelnorte.ca.gov)

**3:00 PM CALL MEETING TO ORDER**

**PLEASE NOTE: The Board will hold closed Sessions (if scheduled and necessary) at the end of the open portion of the meeting.**

**PUBLIC COMMENTS:**

**3:00 PM ANY MEMBER OF THE PUBLIC MAY ADDRESS THE SOLID WASTE MANAGEMENT AUTHORITY ON ANY MATTER ON OR OFF THE AGENDA. After receiving recognition from the Chair, please give your name and address for the record. Comments will be limited to three minutes.**

**1. GENERAL SOLID WASTE AUTHORITY MATTERS**

- 1.1 Discussion and possible action regarding comments, questions, and input related R3 Consulting Group's 'Draft Report Assessment of the Del Norte Solid Waste Management Authority.' \*\*
- 1.2 Discussion and possible authorization of payment of claim to R3 Consulting Group for Invoice 7261 in the amount of \$16,930.00 \*\*
- 1.3 Discussion and possible authorization of claim to R3 Consulting Group for Invoice 7281 in the amount of \$8,068.75 \*\*

**\*\* Asterisks next to Agenda Item indicates an associated attachment**



# Del Norte Solid Waste Management Authority

1700 State Street, Crescent City, CA 95531

Phone (707) 465-1100 Fax (707) 465-1300

## Staff Report

**Date:** 28 March 2014  
**To:** Commissioners of the Del Norte Solid Waste Management Authority  
**From:** Tedd Ward, M.S. – Acting Director / Program Manager   
Del Norte Solid Waste Management Authority

**Attachments:**

1. Memo from Authority legal counsel Martha Rice regarding Option # 4
2. Authority Treasurer's Report
3. Correspondence with regulatory agencies regarding R3's Draft Report
4. R3 Consulting Group's Draft Report Assessment of the Del Norte Solid Waste Management Authority, dated March 21, 2014
5. Current delineation of Permit & Monitoring Activities at the Crescent City Landfill
6. Del Norte Solid Waste Management Authority Internal Fiscal Controls
7. 'Cash Handling Policies and Procedures for the Transfer Station Scale House Facility' RHR Smith & Company
8. Pledge of Revenue Agreement
9. Authority Staff Comments regarding R3's Draft Report
10. Del Norte Solid Waste Management Authority Code of Ethics and Conduct for Board Commissioners and Members Appointed to Commissioners and Committees

**File Number:** 130101 – Assessment of the Authority  
**Topic:** Comments regarding the Draft Report Assessment of the Del Norte Solid Waste Management Authority

**Summary / Analysis:** In overview, the R3 draft report reached some very significant positive conclusions:

1. The Del Norte Solid Waste Management Authority, as a single Joint Powers Authority serving both Del Norte County and the City of Crescent City, is the most efficient entity for managing solid waste related functions in Del Norte County. (page 12)
2. Current Authority staff has the experience and expertise to effectively handle required solid waste management functions. (page 17)
3. The Del Norte County Transfer Station is well run and well maintained by Hambro/WSG, and R3 had no suggestions for operational improvements. (page 21)
4. Authority staff is meeting all regulatory requirements in a timely and comprehensive manner. (page 19)
5. It is unlikely that any reasonable alternative structure to the JPA would result in a significantly lower cost to ratepayers. (pages 13 & 26)

28 March 2014 1 Printed on >30% post-consumer recycled paper  
I:\Tedd\DNSWMAAssessment\Sent to R3 Draft\20140328 Staff Comments R3 for DNSWMA Board FINAL.docm

A Joint Powers Authority of  
the City of Crescent City and County of Del Norte  
& member, North Coast Recycling Market Development Zone

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This draft Assessment report also includes four Options regarding staffing, including the options to maintain current management and staffing levels. The draft report does not (nor were R3 under contract to) present adequately detailed supporting analysis to justify any 'Options' presented for changing staffing.

Staff agrees with R3 that JPAs are very different and very difficult to compare because they have different responsibilities. We also agree with R3 that the Authority's set of responsibilities is *unique*. R3 based their main argument for the elimination of Authority staff positions on comparisons to other agencies which, to the extent of our knowledge, seem to have very different responsibilities.

For example, they compare the Authority to Sonoma's JPA. Sonoma's JPA does not own or operate any facilities, operate any scalehouse or gates, or collect any receipts. Sonoma's JPA does not manage a landfill site, has no responsibility for garbage at all, and no responsibilities for franchise procurement, negotiation or management. Nonetheless currently Sonoma employs: an Executive Director, a Department Analyst, one Program Manager for Household Hazardous Waste, another for Education, another for Education/Planning (currently vacant) and one Senior Office Assistant for a total of 6 FTEs plus legal counsel.

Sonoma's JPA programs include countywide waste planning and education, household hazardous waste, composting, and wood waste recycling. Fully two thirds of their staff time is spent on planning and education. Comparing DNSWMA to this JPA is like comparing apples to oranges.

Furthermore, Sonoma's JPA has the same number of staff positions as they did 10 years ago, whereas the Authority permanently eliminated a position during that same period.

R3 also notes that the Authority is most like the Humboldt Waste Management Authority (HWMA), but there are significant differences in that comparison also. Like DNSWMA, HWMA is responsible for numerous contracts related to waste and recycling, but none of those contracts are for collections. Both agencies have closure/post closure responsibilities for one landfill, though admittedly the issues surrounding their landfill are significantly more complicated and their hazardous waste programs are more convenient and comprehensive. Both DNSWMA and HWMA staff one Transfer Station gate/scale house and receipts 358 days a year. In addition, however, DNSWMA is responsible for operating two outlying transfer stations with receipts whereas HWMA is not. Regardless of population size or volume, both agencies must staff those gate houses during posted hours.

Unlike DNSWMA -- HWMA does **not** negotiate any franchise agreements, and

they are **not** responsible for regional agency AB9393 reporting requirements, though they do handle similar reporting for Humboldt County, plus the cities of Eureka and Rio Dell. The other cities in Humboldt have their own city staff address these program and reporting requirements. Regardless of population size or volume, these tasks take a certain amount of staff time.

HWMA has 9 FTE core staff plus 4.5-5 FTE staff on the gate/scale house, plus additional staff to address landfill and household hazardous waste programs for a total of 18 FTE comparable staff positions. This comparison breaks down quickly, however, because these employees are responsible for additional facilities beyond those sketched here, and HWMA has a total of 35 employees. They are much larger and enjoy certain economies of scale. As far as any comparison goes, DNSWMA has 4 FTE core staff positions at present (including the vacant Director position), and 6 part-time gate/scale staff, for a total of 7-8 FTE staff positions. This can be compared to HWMA's 18 employees with similar responsibilities.

Staff acknowledges that this comparison is not complete or definitive. This additional information is provided only to indicate the depth of information needed to avoid an apples-to-oranges style comparison, and that each JPA has a substantially different set of responsibilities. While it may not be worthwhile or cost-effective to develop comprehensive information in an effort to compare agencies with inherently different responsibilities, neither should Board decisions rely upon comparisons based only on the number of partners, population, and volume.

R3 acknowledges that ***"...the question 'What are the appropriate management and administrative staffing levels for the Authority' was not specifically asked and regardless cannot be definitively answered at this point."*** Staff agrees with this statement. The draft report specifically acknowledges that Options #2 and #4 require further analysis and/or legal opinion. Under Option #2, it is not at all clear how R3 can present an Option for permanent reduction in Authority staff – cutting the number of core positions in half - while claiming that this would be 'Status Quo.' Option #3 would also depend on some yet-to-be-produced analysis justifying the consolidation of the Executive Director and Program Manager positions prior to enactment.

In addition to the Options presented, the text of the draft Assessment report also includes the following suggestions:

1. *"Now is an appropriate time for the Commissioners to set a clear direction for the Authority over the next 5 to 10 years,..."* (page 1)
2. *"Authority Commissioners and management staff undertake an annual business planning process ..."* (page 2)
3. *"...that a complete independent review of those (administrative) functions be conducted."* (page 18)
4. *"To support efficient and effective monitoring of the Authority's contracts*

*with Hambro or Recology R3 recommends the creation of a compliance checklist that includes all objective contractual requirements and due dates, as applicable, for each contract.” (page 20)*

Staff believe these suggestions merit further discussion and analysis. A central issue to analysis of the first suggestion is how the Authority Board might review and adopt medium and long-range plans or objectives when each of the Authority Commissioners is appointed annually. Though the Authority could pay for a consultant to assist with the development of a 5 or 10 year strategic plan, the following year a new Authority Board of Commissioners could abandon that plan and adopt a completely new plan the following year. For this reason, the first amended Joint Powers Agreement adopted in 2012 clearly describes the Authority's Purposes for existence, and the associated Work Plan is reviewed annually by the Board of Commissioners as it is renewed.

The other suggestions listed above should be analyzed with respect to potential benefits to the community and the Authority and the costs for implementation of each.

Additional detailed comments on the draft report are presented in the documents attached to this Staff Report.

**Recommendation:** That the Authority Board takes the following actions:

- 1. Direct staff to submit this entire report to R3 Consulting Group by 16 April 2014 so R3 can address these comments to produce a final report.**
- 2. Provide additional direction to staff regarding any additional questions or comments that should be submitted to R3 regarding this draft.**
- 3. Direct Authority staff to work with the County Personnel Department to develop and prepare an additional Option related to Authority staffing for consideration by the Board before taking action to accept or regarding the contents of the final Assessment Report.**
- 4. Approve payment of R3 Invoice 7261 in the amount of \$16,930.** If approved, R3 would have \$10,344, or 30% of the original project budget, to complete this work.
- 5. Approve payment of R3 Invoice 7281 in the amount of \$8,068.75.** If approved in addition to invoice 7261, R3 would have \$2,275, or 6.8% of the original project budget to complete this work.

Staff requests additional time to complete and compile comments to allow time to prepare a draft budget for FY 14/15 for presentation at the next regular Authority meeting to be held on April 9th. The final Assessment report should be available for discussion at the May or June Authority meeting.

**Background:** The R3 Consulting Group had a short period of time to complete the depth of analysis requested by the Authority. Similarly, Authority staff had less than a week to review this document and draft comments for the Board's consideration. Considering the importance and complexity of issues being addressed in this draft report, staff believe that additional factual and numerical information should be presented to the Board justifying all recommendations to enact changes to the Authority, providing comparison to all reasonable alternative courses of action, and a description of related actions and predictable costs associated with implementing such options or recommendations.

**Alternatives:** 1. The Board could take action to provide further direction to R3 regarding the drafting of the Director (or Solid Waste Manager) job description included in Appendix G, as this document is not particularly useful at this point. In its current form it cannot be used for hiring without substantial preliminary work delegating or contracting current responsibilities. It also incorrectly presumes the Authority Board has already adopted or endorsed Option #2 presented in the Draft report.

2. The Board could accept this R3 Draft report without comment. Such action would make this document the final report without further information, modification or analysis. Staff does not recommend this action as there is significant additional information provided in these comments that should be incorporated or addressed within a final report for the Board's consideration at a future meeting.

**Fiscal Impact:** Should the Board act on any of the options or recommendations in this report, there could be significant fiscal impact, in planning and preparing for such structural changes, in implementing such changes, in shifting annual operational costs, and in potential future costs associated with permits, consultant and contractor expenses, and potential enforcement actions. As acknowledged by the consultants, the current draft does not provide adequate analysis to assess these potential risks or costs.

## **Related Issues:**

### **1. Costs of continuing studies**

The R3 Draft report clearly recommends additional analysis before acting on any of the Options presented. There would be a cost for the additional analysis - for additional consulting expenses, for staff analysis of further reports, and for costs or lost opportunities as this agency continues to be understaffed.

### **2. Reducing staff increases costs for contractors**

Since the retirement of the former Director, Authority expenses for legal counsel,

Treasurer, County services, and consultants have all increased without any associated improvements in services to the community. This situation can be anticipated to continue until it is addressed.

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## MEMORANDUM

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TO: DNSWMA BOARD OF COMMISSIONERS

FR: MARTHA D. RICE, LEGAL COUNSEL

DT: APRIL 1, 2014

RE: R3 Draft Report Recommendation Regarding Staffing, Option #4 Contract Scale House Staffing to the Private Sector

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### A. BACKGROUND

The Authority issued an RFP for an Assessment of the Del Norte Solid Waste Management Authority. As part of the assessment, the Authority posed a number of specific questions for which it sought answers. One of those questions was the following,

“Is this JPA the most effective and efficient entity for managing solid waste in Del Norte County? If not, what alternatives (including replacement by private enterprise) would likely result in more efficient and effective management and direction of required solid waste-related functions?”

### B. R3 RECOMMENDATION

The response to the question from R3 in the Draft Report Executive Summary is the following,

“Yes, the Authority is the most effective and efficient entity for managing solid waste in Del Norte County.”

As part of the Executive Summary response to this question, R3 noted that the Authority has few documented objected standards to serve as a basis for directing the Authority’s long term efforts and assessing the Authority’s performance. R3 recommends that the board establish medium and long range goals and objectives for the Authority. Due to the lack of established goals and objectives, R3 states that it cannot provide a definitive answer as to appropriate administrative and management staffing levels. Ultimately, R3 sets forth four staffing options for the board to consider moving forward.

Option #1 is to maintain the current management and administrative staffing levels. Option #2 is to reduce management and administration staffing levels to support the status quo. Option #3 is to contract out the executive director position. Option #4 is to contract out the scale house staffing to the private section. It is Option #4 that I feel I must comment upon from a legal standpoint.

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## C. CONCERNS REGARDING OPTION #4

Option #4 entails taking what are currently public sector jobs and handing them over to the private sector. There are two serious legal issues implicated with this course of action. The first issue is the recent court action that raises the question of whether it is legally permissible to take a non-specialized public job (such as gate attendant) and contract it out to a private entity. The second issue is one of making sure that the legal limitations of the contract providing for gate attendant services are understood.<sup>1</sup>

### 1. Privatizing Public Jobs

In August of 2012, a three-judge panel of the 4<sup>th</sup> Appellate District of California issued an opinion on privatization, which it variously referred to as “outsourcing” or “contracting out.” *Cost Mesa City Employees Ass’n v. City of Costa Mesa* (4<sup>th</sup> Dist. 2012) 209 Cal.App.4<sup>th</sup> 298. A city-employee association sued the City of Costa Mesa, challenging the City’s plan to privatize a vast array of city services. Prior to a trial on the merits, the Court held that a preliminary injunction would issue to halt the implementation of the City’s plan while the lawsuit proceeded.

The Court held that the employees had a reasonable possibility of prevailing over the City because of two sections of the Government Code, referred to in the following quote:

In our view, [Gov’t Code] sections 53060 and 37103 are actually quite germane to the plan in that they limit a city’s right to contract with private entities. By implication, and as interpreted over the years, the statutes generally prohibit a city from contracting with a private entity for nonspecial services. *Costa Mesa*, 209 Cal.App.4<sup>th</sup> at 315-316.

These two sections referenced by the Court read as follows:

#### **§ 53060. Contracting with persons for special services**

The legislative body of any public or municipal corporation or district may contract with and employ any persons for the furnishing to the corporation or district special services and advice in financial, economic, accounting, engineering, legal, or administrative matters if such persons are specially trained and experienced and competent to perform the special services required.

The authority herein given to contract shall include the right of the legislative body of the corporation or district to contract for the issuance and preparation of payroll checks.

The legislative body of the corporation or district may pay from any available funds such compensation to such persons as it deems proper for the services rendered. (Emphasis added.)

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<sup>1</sup> A third, non-legal issue, with privatizing the gate attendant staff, is that the Authority would lose the opportunity to use gate attendants for administrative clerical support, another recommendation from R3.

**§ 37103. Contracts for special services and advice; Compensation** The legislative body may contract with any specially trained and experienced person, firm, or corporation for special services and advice in financial, economic, accounting, engineering, legal or administrative matters. (Emphasis added.)

It may pay such compensation to these experts as it deems proper.

The Court of Appeal did not decide the merits of the *Costa Mesa* case, but a fair interpretation is that the opinion set the stage for a victory by the employees, which will severely restrict the ability of cities (and DNSWMA) to contract out basic services. The case is still pending before the Orange County Superior Court and is not expected to be heard until 2015.

## 2. *I-Bank Obligation and Qualified Management Contracts*

The second legal issue concerns the I-Bank “loan” from the State.<sup>2</sup> So long as the I-Bank obligation remains outstanding, any contract for gate attendant services must meet the criteria for a “qualified management contract” under IRS regulations. The point of a qualified management contract is to prevent a publicly-financed facility from being used to turn a profit for a private company. IRS Revenue Procedure 97-13, as modified by IRS Revenue Procedure 2001-39, governs management and service contracts between a governmental unit and a for-profit service provider where the public facility has been financed by tax-exempt bonds.

Public facilities financed by tax-exempt bonds cannot support what is referred to as “private business use.” IRS Regulation 1.141-3 defines what constitutes a private business use. Generally a contract for services results in a private business use of the property if compensation is based, in whole or in part, on a share of net profits from the operation of the facility. A contract will also be deemed to create a private business use of property if the service provider is treated as the lessee or owner of the financed property. If the contract for gate attendant services is neither of the above types of contract, then it must be evaluated under the IRS Revenue Procedure 97-13, as modified. The procedure requires that the contract be one for a fixed periodic fee<sup>3</sup>, adjustable only by a specific, objective, external standard such as the Consumer Price Index, and with a maximum term of 15 years. This may be possible from a logistical standpoint, but it is important when evaluating the options to understand what type of contract is allowed under the regulations.

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<sup>2</sup> The I-Bank obligation is a financing arrangement with the California Infrastructure and Economic Development Bank (“I-Bank”), which is structured as a series of leases. The construction of the transfer station was financed through the Infrastructure State Revolving Fund Program (“ISRF”) which issues ISRF Program bonds from time-to-time to support the program.

<sup>3</sup> A fixed periodic fee means a stated dollar amount for services rendered for a specified period of time.

Richard D Taylor, C.P.A.  
4300 Kings Valley Rd  
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(707) 464-9636

## Treasurer's Report

Date: March 28, 2014  
To: Del Norte Solid Waste Management Authority Board  
From: Richard D. Taylor, DNSWMA Treasurer / Controller  
Ted Ward, DNSWMA Acting Director / Program Manager  
Subject: R3 Consulting Group's Draft Report Assessment of the Del Norte  
Solid Waste Management Authority

Having served as Authority Treasurer / Controller for over twenty years, in my opinion the creation of a single Management Analyst position to replace the '2.5 full time equivalent administrative staff positions' would reduce the number of cash controls currently in place and would increase the potential for errors and/or theft in accounting for Authority revenues and tracking budgets and expenses.

First, it is important to recognize that the Authority actually has only one administrative staff position with daily financial and administrative responsibilities - the Administrative Assistant. The Account Clerk is not administrative, and has no management oversight responsibilities. Refuse Site Attendant Keith Estes has been cross-training to assist with accounting duties so these functions as well as cash controls can be maintained when other staff have a family emergency, are on sick leave or vacation. This approach does not adversely impact the budget too much as Refuse Site Attendant and entry level account clerk positions are on the same pay scale.

It is worth remembering that one of the Authority's top priorities is to have all facilities open during posted hours. The Del Norte County Transfer Station is open 358 days each year, the Klamath Transfer Station is open 110 days each year, and the Gasquet Transfer Station is open 65 days each year. Part of how the Authority accomplishes this is to have every member of staff - including both the Administrative Assistant and Account Clerk - potentially available to work as a Refuse Site Attendant to cover breaks, lunches, or to fill in for unexpected absences.

There was a time when the Authority relied upon a single Administrative Assistant to provide accounting, invoicing, and clerking functions. This was, however, the same period which in retrospect has raised concerns about how the Authority accounted for checks with insufficient funds, and how changing safe balances were documented. This approach to staffing would put the Authority in the same (potentially vulnerable) position that it was in previously with only one person controlling all of the Authority's cash flow.

The Financial Accounting Standards Board has set Generally Accepted Accounting Standards since 1973, and these standards include internal controls that are designed to deter and detect potential employee fraud, find clerical errors. One of these internal controls for Generally Accepted Accounting Standards is 'separation of duties,' with at least two different individuals – one counting the money and making deposits and another recording the accounts. This was one of the reasons I supported the Authority's actions to separate these duties when the Account Clerk position was first proposed to the Authority Board in 2009. Though the County Auditor does provide additional accounting services, they neither reconcile receipts to deposits, process charge account payments, nor allocate revenues and expenses to accounts.

While some private businesses may choose to not follow such Generally Accepted Accounting Standards, I generally do not support this public agency violating these standards. I do not concur with this course of action without a comprehensive analysis acknowledging this concern and considering alternatives that might reduce the Authority's potential exposure to theft, kiting, or other potential financial malfeasance. R3's draft report did not provide such analysis. I suspect the County Auditor and our external auditor Smith and Newell may also have similar concerns.

If all administrative and accounting staff were combined as suggested in R3's draft report, this single Management Analyst would need to be available every day of every week if the Authority is expected to make daily deposits, prepare cash for station operations, pay bills, receive payments, and track accounts in a timely manner. Any absences of this individual associated with illness, vacations, or other issues would immediately and directly adversely affect the fiscal functions, oversight and operations of the Authority. If this Management Analyst were to quit, retire, die, or become disabled, it is not at all clear to me who would train the replacement or how that transition would be managed.

For example, if Administrative Assistant Isabel Valdez had not trained Refuse Site Attendant Keith Estes to assist with the Authority's accounts, her absence in recent weeks would have resulted in not having claims paid on time and possibly would have delayed invoicing and statements. (Though Keith is being cross-trained, we are careful to always have two different people verifying tills and accounts.) If there was a single Management Analyst fulfilling all financial functions, daily deposits of gate receipts would be delayed any time that person might be absent. Board members may recall that delayed deposits previously were occurring during the same periods with only a single financial person and which have led to current concerns about the Authority's accounts. It is also our policy now to promptly deposit cash and other receipts. This is being checked and verified by myself and can be verified with County Auditor records.

In Appendix G, the draft Job Description for the Solid Waste Manager includes new accounting duties - that should not be the responsibility of either the Director or Program Manager positions – to 'maintain and reconcile scale house bank funds; makes deposits of daily receipts.' It is not clear to me if this is their effort to maintain a separation of duties, but in my observations the current Acting Director / Program Manager does not

have time available to fulfill such additional daily responsibilities without significantly reducing the time available for other duties.

Regarding R3's suggestion that transfer station gate staff should do clerical work, this 'separation of duties' generally limits their activities to filing, answering phones, custodial duties, and non-financial data entry as appropriate. I have observed over the past year that several gate staff are already doing these things during a limited portion of their workdays, though their first work priority is to staff the gates.

The draft report also repeated criticisms I have heard before that the Authority is too reliant on paper recordkeeping, and I feel this information is not current. On March 1st, the main computer at the Del Norte County Transfer Station scalehouse died and the Acting Director and Shawn Slater worked through the weekend to get all systems back up and running. Though the scales were still working, this situation resulted in paper receipts being handwritten for that Saturday, Sunday and part of Monday. This is the first time in the past year and a half that I have seen paper records used in the Authority office. Accounting and bookkeeping at the Authority is done electronically unless computer systems are not available, such as in Gasquet and Klamath, or when these systems are down for repair, such as we saw that weekend.

In working with the Acting Director over the past year addressing the Authority's financial issues, and in the creation of stricter fiscal controls, I consulted with the Authority's external auditing firm Smith & Newell, and they suggested we consider the 'Cash Handling Policies and Procedures for the Transfer Station Scale House Facility' which I have attached. I felt this level of detail was a bit overwhelming and not really appropriate for the Authority's size of operation. I worked with the Acting Director to develop the 'Del Norte Solid Waste Management Authority Internal Fiscal Controls' which is also attached. We felt that a bullet list like this would be more practical for everyone to discuss and follow, and a better fit for the Authority's situation. If need be, I can work with the Acting Director to develop more detailed descriptions of each of these controls.

As part of these fiscal controls, during the past year, there have been three unannounced cash counts of the Authority's accounts. For each of these surprise cash counts, the Authority's records matched their finances to the penny. Two of these cash counts were performed by the County Auditor, and one by the external auditing firm Smith & Newell.

The Authority uses the County's accounting system. The County Auditor provides the Treasurers Report on a modified accrual basis (cash) monthly. The QuickBooks accounting system is already paid for and installed. Our intent is for the Authority to produce a monthly accrual-basis report that better suits an enterprise with significant accounts receivable and accounts payable. Some Commissioners over the past few years have requested the kind of information that such an accrual system could provide. Once in place, since most of the information would already be entered into the QuickBooks system it would be relatively easy to produce an accrual-basis monthly report. Though the Authority maintains a general ledger with an audit trail (as it is the County's records

that are subjected to the annual audit) the QuickBooks system will augment and complement that system. QuickBooks could be updated to QuickBooks Enterprise or some other system if this approach proves advantageous. The County and Authority QuickBooks systems would run concurrently and any differences between the Authority's and County's systems could be readily identified and reconciled.

The same external auditing firm (currently Smith & Newell) audits both the County and the Del Norte Solid Waste Management Authority. Since the Authority uses the County Auditor to produce its financial reports on June 30<sup>th</sup>, the County accrues the receivables and the payables of the Authority, makes any adjusting entries and produces the financial statements that are then audited by the outside auditor. The County's modified accrual system then tracks the Authority's accounts receivable for three months. So, the July, August and September financial statements from the County are not on a cash basis or an accrual basis, but on a modified accrual basis.

The County's system is designed to ensure that budgets are not over spent, and to protect against theft or errors, and it meets those needs well. An accrual system of accounting is designed to give the user of the financial statement a snap shot of where the entity is, on a certain day by matching all revenues against all expenses. I have asked for many years if the County could add the account receivables and the account payables to its cash basis reports. This additional reporting doesn't fit with the County system. Currently each month, we include a list of the accounts receivable and payable in the Authority's monthly agenda packets.

The Authority's budgeting process starts this month. I suggest that the Authority Board direct staff to develop a budget consistent with the current staffing structure until these issues can be resolved. I am confident the Acting Director has the skills needed to draft and manage the Authority's budget, and I will work with him to create a budget to meet the agencies needs.

*Richard Taylor*

Tedd Ward

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**From:** Morrison, Gina@Waterboards [Gina.Morrison@waterboards.ca.gov]  
**Sent:** Wednesday, March 05, 2014 11:52 AM  
**To:** 'Tedd Ward'  
**Cc:** Henriouille, Diana@Waterboards; Leland, David@Waterboards  
**Subject:** RE: Questions regarding Administration of the Crescent City Landfill

Hi Tedd,

Given the timeframe you need this information in, this Informal email is the best I can provide for you and the committee.

First off, Appendix B of the report indicates that Cover Design, Drainage and Erosion Control, Gas Monitoring and Control, Post-closure Land Use, Slope Stability, Construction Quality Assurance are only under the purview of CalRecycle/LEA; however they are all regulated by the RWQCB as well.

Any change in responsibility for the facility will require, at a minimum, an update to the Form 200 and the storm water Notice of Intent for the landfill, and an update to the storm water Notice of Intent for the transfer station. The WDR itself may not be updated for some time, but annual fees are invoiced in accordance with the Form 200, not the WDRs.

Changes to the Pledges of Revenue for the landfill will depend on the wording as to responsibilities and who was signatory. I believe it has been DNSWMA, so all the Pledges will probably need to be updated. These pledges need to reflect the responsible party, and if DNSWMA is no longer on the permits, DNSWMA cannot be the responsible party.

The same comment applies to the post-closure maintenance plan. If the plan states that DNSWMA is in charge of something they are not in charge of anymore, the documents must be updated to accurately reflect who is in charge of things. These documents must be submitted to RWQCB, as well as to CalRecycle/LEA.

If sampling responsibility is being shifted to someone else, we would need to have information showing that the new party has been trained to properly collect and handle environmental samples prior to their conducting any sampling. Reporting will continue to require a PE or CEG to sign off and stamp the report. This means that person is responsible for the oversight of the personnel obtaining the data used in the reports. We may reject reports if the sampling is questionable.

If responsibility for the landfill is shifted to only the County, the County would be responsible for everything as far as the Regional Water Board is concerned, even if DNSWMA continued to do work for the County. Any violations, fees, or legal actions would be taken against the County, the named responsible party.

To keep any changes from affecting the current rating appeal, the County should be added to the sign-off of the final results report. That way we know that the potential new "operator" has also vetted the information submitted.

Whatever the parties decide behind the scene does not change the responsible parties to the RWQCB, until the correct and signed paperwork is submitted to and accepted by RWQCB staff.

Once the course of action has been decided, please feel free to contact me regarding specifics.

3/5/2014

Gina

**From:** Tedd Ward [<mailto:tedd@recycledelnorte.ca.gov>]  
**Sent:** Friday, February 28, 2014 1:35 PM  
**To:** [Beatrice.Poroli@CalRecycle.ca.gov](mailto:Beatrice.Poroli@CalRecycle.ca.gov); 'Byrne, JoAnne@CalRecycle'; Morrison, Gina@Waterboards; 'Houawa Moua'  
**Cc:** 'Heidi Kunstal'; 'Yekta, Gino'  
**Subject:** Questions regarding Administration of the Crescent City Landfill  
**Importance:** High

Greetings Beatrice, JoAnne, Houawa & Gina:

The Del Norte Solid Waste Management Authority has hired R3 Consulting Group to provide an Assessment of this agency.

The draft report from R3 can be viewed here:  
<http://www.recycledelnorte.ca.gov/wp/wp-content/uploads/2013/12/Del-Norte-County-Draft-Report-021914.pdf>

Among their recommendations on page 16 (page 20 of the pdf) are that all management, maintenance, monitoring and reporting responsibilities currently administered by the Del Norte Solid Waste Management Authority related to the Crescent City Landfill revert to Del Norte County.

Could you please provide answers to the following questions so the Authority Board is aware of the associated potential impacts of pursuing such a course of action?:

1. What actions would the Authority need to take to document shifting all responsibility for permits, maintenance, monitoring and reporting to Del Norte County?
2. Would such action require any revisions to the Post-Closure Maintenance Plan or other permits related to the Crescent City Landfill?
3. What actions would the LEA need to take to process and document such changes in responsibility?
4. Would such action also require changes to the Pledge of Revenue Agreement, as this facility is administered by the Del Norte Solid Waste Management Authority?
5. Would such changes to permits and associated documents need to be completed before Del Norte County took full responsibility for the landfill, or could the paperwork follow the action?
6. If Del Norte County became both owner of the landfill property and completely responsible for monitoring and maintenance of this facility, if there was any violation in future, would not Del Norte County be completely responsible for addressing such violations and any associated fines?
7. Could such action impact the Authority's current appeal of Threat / Complexity rating and the associated Waste Discharge Requirement fee, and if so, how?
8. Do you have any other comments relevant to the Options presented in this report?

Thanks for your time and consideration. I would be happy to provide any additional background information you might require.

Our agenda publication deadline for the next Authority meeting is March 6 at noon. If you have answers or comments to the above questions and do not have time for a written response, please call me before that time.

Thanks again,

Tedd Ward, M.S.  
Acting Director / Program Manager  
Del Norte Solid Waste Management Authority  
707-465-1100

3/5/2014

Spencer Fine, Integrated Waste Management Specialist for CalRecycle provided the following answers:

Could you please provide answers to the following questions so the Authority Board is aware of the associated potential impacts of pursuing such a course of action?

1. What actions would the Authority need to take to document shifting all responsibility for education and public information to Recology Del Norte, as described in the Countywide Integrated Waste Management Plan and updated through the annual reporting process?
  - Actions regarding the responsibility for education and public information are a local jurisdiction decision.
  - The Authority can contact Spencer either via email or phone call as to who the contact will be at Recology and provide an overview of what Recology will be responsible for.
  - Each year the EAR is completed, the Authority and Recology need to coordinate to ensure all information relating to education and public information is reported on via the EAR.
  
2. Would the Authority remain responsible for coordination, oversight and monitoring of such outreach activities for reporting under the Electronic Annual Report, or could Recology do that also? Could there be any issues or conflicts associated with a contractor both providing public outreach on behalf of a public agency and reporting on those activities?
  - The ultimate responsibility in terms of reporting via the EAR is the Authority. However, the Authority can grant Recology 'EAR editor' security rights and list Recology as a contact. Then CalRecycle would provide Recology with a webpass. Recology would be able to add/make edits in the EAR, even to the same note field as the Authority staff, up until the time the EAR is submitted. The EAR tracks who makes a change/addition and what is changed based upon the webpass name. Spencer could assist you with explaining how to grant Recology EAR access.
  - We are not aware of any issues or conflicts associated with a contractor providing public outreach on behalf of a public agency and reporting on those activities. Many jurisdictions give access rights to contractors, their haulers, etc.
  - We would recommend the Authority staff coordinate with Recology (or any other contractor) to ensure activities are being accurately reported each year via the EAR.

3. For the Oil Payment Programs and the Division of Recycling grants are there any limitations or restrictions on having private contractors provide outreach and public education?
  - If the private contractor has delegated authority (either through a resolution or through the local jurisdictions own delegating policy method) to provide outreach and public education by the jurisdiction, the contractor is able to perform these tasks on behalf of the jurisdiction.
  - Specifically per question 3 - For Oil Payment Programs (OPP), there are no restrictions for private contractors to be involved in providing outreach/public education, as long as the OPP funds are paying for their involvement in used oil/filter focused activities. Similarly, for Division of Recycling (DOR) BCRF programs, as long as the activities relate to CRV containers.
  
4. Are you aware of examples of any other rural California communities similar to Del Norte that contract out all of their education and public outreach activities? If so, how effective would you consider their programs? Do you think the Authority Board could anticipate savings or additional costs from such an approach in a rural community?
  - CalRecycle is not in a position to comment on the relative effectiveness or anticipated savings/costs associated with having a contractor implement the education and public outreach activities. We can supply an example of another rural California community, Yuba/Sutter, that contracts out their education and public outreach. Yuba/Sutter (YS) Regional Waste Authority contracts with Recology to manage all education and public outreach activities, as well as manage the Transfer/HHW station. If you need us to research if there are other rural communities doing this, please let us know.
  
5. Would you have any concerns about a private contractor being responsible for outreach related to programs and services that that contractor does not provide (e.g. Recology would be in the position of promoting household battery recycling, fluorescent bulb recycling, and the household hazardous waste collection event, though they have no role in delivering those services)?
  - We would not have any concerns if the outreach related programs are being implemented. To ensure the programs are effectively implemented, the Authority would need to ensure there is coordination by Recology and any other applicable programs, such as HHW, to

**From:** Byrne, JoAnne@CalRecycle [mailto:JoAnne.Byrne@CalRecycle.ca.gov]  
**Sent:** Friday, February 28, 2014 2:19 PM  
**To:** Tedd Ward  
**Cc:** Castle, Richard@CalRecycle; Adams, Garth@CalRecycle  
**Subject:** RE: Questions regarding Administration of the Crescent City Landfill

Hi Tedd,  
Answer to number 4 & 5 (Financial Assurances)  
Yes, the Pledge of Revenue Agreement would require amending to reflect County of Del Norte as the operator. And yes, it must be completed and fully executed BEFORE the change. I will be happy to assist with the revision and expedite it through the approval process. Touch base next week.  
Have a nice weekend!  
JoAnne Byrne  
FAU

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**From:** Tedd Ward [tedd@recycledelnorte.ca.gov]  
**Sent:** Friday, February 28, 2014 1:35 PM  
**To:** Poroli, Beatrice@CalRecycle; Byrne, JoAnne@CalRecycle; 'Morrison, Gina@Waterboards'; 'Houawa Moua'  
**Cc:** 'Heidi Kunstal'; Yekta, Gino@CalRecycle  
**Subject:** Questions regarding Administration of the Crescent City Landfill

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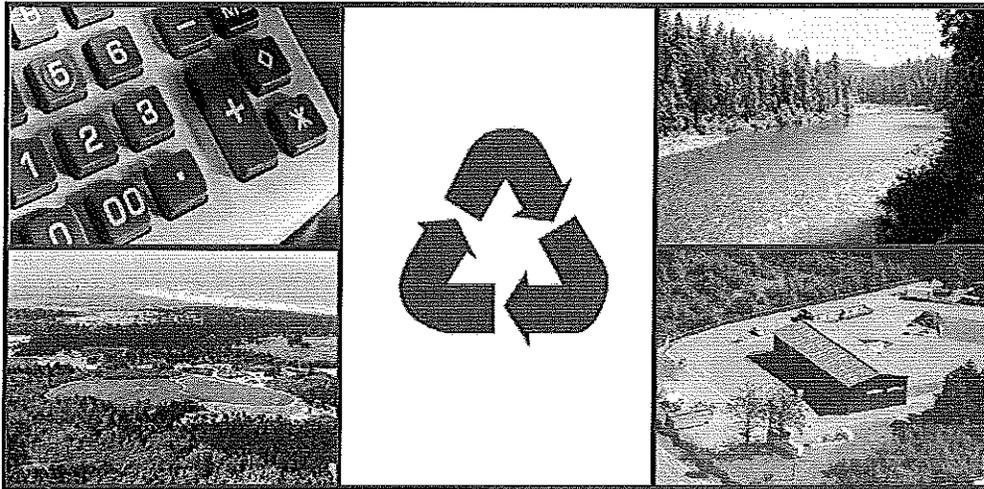
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Thanks again,

Tedd Ward, M.S.  
Acting Director / Program Manager  
Del Norte Solid Waste Management Authority  
707-465-1100

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Waste Management Authority**



**Submitted to:**

**Del Norte Solid Waste Management  
Authority**



**March 21, 2014**

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## Acknowledgement

We wish to acknowledge both the staff and Commissioners of the Del Norte Solid Waste Management Authority, as well as the staff from Del Norte County and the City of Crescent City that provided input and supported our review. In particular we wish to acknowledge the efforts on the Authority's Program Manager, Tedd Ward. Mr. Ward provided R3 Consulting Group with a significant amount of information and input that was critical to our review.

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### Appendices

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Appendix D	Regulatory Requirements Overview
Appendix E	Executive Director and Project Manager Activities
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Appendix G	Solid Waste Manager Job Description

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## Executive Summary

The Del Norte Solid Waste Management Authority (DNSWMA or Authority) is the most effective entity for managing solid waste in Del Norte County. Through the JPA structure, the County and City are able to share the benefits of critical infrastructure, share the liability for the closed Crescent City Landfill and realize economies of scale on a number of levels. It is unlikely that any reasonable alternative structure to the JPA would result in a significantly lower cost to the ratepayers, if any, for a similar level of management oversight. There is, however, opportunity and potential to restructure how the Authority functions to provide for more efficient and cost effective use of staff and other resources.

While the Authority is the most effective entity for managing solid waste in the County it has few documented objective standards to serve as a basis for directing the Authority's long term efforts and assessing the Authority's performance. Clearly a major objective of the Authority is to comply with all applicable regulatory requirements and it has done a good job in that respect. There have been relatively few regulatory issues over the past 5 years and where such issues have arisen, staff has effectively addressed them to the satisfaction of the regulatory agencies. Beyond that however it is not clear what the Authority's long range strategic priorities are (e.g., developing cutting edge programs, achieving a diversion rate consistent with the State's 2020 75 percent diversion goal,<sup>1</sup> increase diversion by 10 percent by 2020, maintain current diversion rate and existing programs and services, reduce costs, etc.).

Authority management staff develop annual Work Priorities (see Appendix A for the Fiscal Year 2013-2014 Work Priorities) which are regularly reviewed by Authority Commissioners and that provide a general framework for organizing short term and ongoing management and staff activities. However, those annual priorities are developed without the benefit of clearly defined long range strategic priorities and associated goals and objectives. While Authority Commissioners have input on the annual Work Priorities that are established, they too are faced with providing such input without clear long range goals and objectives that are consistent from Board to Board over time.

We recommend that the Authority not be disbanded and continue to serve as the primary agency responsible for managing solid waste in the County. We also suggest that now is an appropriate time for the Commissioners to set a clear direction for the Authority over the next 5 to 10 years, clearly establish short,

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<sup>1</sup> The Authority's 2012 State reported diversion rate was 55 percent.

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medium and long range goals and objectives and determine appropriate management and administrative staffing levels to support the long range goals and objectives that are established.

We also suggest that the Authority Commissioners and management staff undertake an annual business planning process that would provide a mechanism and forum for reviewing, among other things, opportunities for cost savings and potential changes to programs, services and functions to support the specific short, medium and long range goals and objectives that are established.

For this project, R3 was tasked with answering a specific set of questions that the Authority identified. While there were a number of questions specific to Staffing and the Executive Director Position, the question: *"What are appropriate management and administrative staffing levels for the Authority"* was not specifically asked and regardless cannot be definitively answered that at this point. The appropriate level of management and administrative staffing levels for the Authority is dictated in part by what it is the Authority wants to accomplish over the next 5 to 10 years and beyond. Given that such specific medium and long range goals and objectives have not been clearly established we offer the following possible staffing scenarios. There are various other staffing scenarios that the Authority could also consider. Which option is best depends in part on the long range solid waste management goals and objectives that the Authority establishes, as well as staffing related policy goals. Regardless of which option is ultimately selected, available opportunities to restructure how the Authority functions to provide for more efficient and cost effective use of staff and other resources should be pursued.

### **Option #1    Maintain    Current    Management    and Administrative Staffing Levels**

Based on our analysis and professional judgment this level of staffing provides management capacity sufficient to support a high level of solid waste management related activities well above simply maintaining current programs and services (e.g., continued involvement with Extended Producer Responsibility at the State level, significant active development of new and/or cutting edge programs and/or facilities to increase diversion etc.). If the Authority determines that its long range objectives are more modest (e.g., maintaining its current diversion level and existing programs and services), we suggest that it does not need to staff both an Executive Director and Program Manager position.

**Option #2 Reduce Management and Administration Staffing Levels to Support Status Quo**

If the Authority's overall goal is to maintain regulatory compliance and existing programs and services (e.g., generally maintain the status quo), but otherwise focus on opportunities for cost savings, which was expressed as a general goal by a number of the Commissioners, we suggest that:

- The Executive Director and Program Manager positions be combined into a single full time Solid Waste Manager position. That position would assume the current responsibilities of those two separate positions. Based on our review, we believe that such a consolidation of responsibilities could be effectively achieved, although prior to doing so the Authority should review the job responsibilities of both of those positions, eliminate or defer non-essential tasks and delegate certain other required tasks to administrative staff, the County and/or Recology and Hambro/WSG (Hambro) where that can be done effectively to the benefit of the Authority.
- Combine the Administrative Assistant and Account Clerk staff positions into a single new Management Analyst position staffed with a person with administrative, financial and accounting skills. Conduct a full review of all administrative and accounting systems and streamline those systems, as appropriate. Maintain the 0.5 FTE Refuse Site Position which has been cross trained and is working out of class to assist with accounting and administrative duties and provide staff, vacation and sick coverage.<sup>2,3</sup>

<sup>2</sup> We would expect that this current part time position, or if necessary expanded to a full-time position with appropriate qualified staff, could provide any necessary technical support to the Solid Waste Manager, administrative support to the Management Analyst and provide staff, vacation and sick coverage, with result being a reduction from the current 4.5 FTE management and administrative positions to no more than 3.0 FTE management and administrative positions.

<sup>3</sup> While the issue of cash controls was removed from our scope of work, based on R3 project team staffs experience with similar issues in other JPAs we believe that our recommendation is viable without any reduced cash controls. This assumes that the Authority establishes and follows appropriate policies and procedures as discussed in Question # 2c.

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### **Option #3 Contract the Executive Director Position**

Same as Option #2, however the new Solid Waste Manager position would be a contract employee. This is not necessarily a potential cost issue as much as a staffing policy issue.

### **Option #4 Contract Scale House Staffing to the Private Sector**

Contract the operation of the transfer station scale houses to the private sector provided this can be done effectively with a net economic benefit to the Authority. This option could be incorporated as a component of each of the above three options.

**Note:** The recent court action (*Costa Mesa City Employees Assn' v. City of Costa Mesa*) raises the question of whether this option is legally permissible. We are not attorneys and cannot provide a legal opinion however we question whether the Costa Mesa decision applies to the Authority's pursuit of this option given the particulars of that case. Should the Authority wish to consider this option further it may wish to conduct additional legal review.

### **Placing Authority Employees under the Control of the City and/or County**

One option that we are not proposing is placing Authority staff under control of the County or City, or County and City jointly. Reference has been made to this option providing the opportunity for, among other things, increased accountability and supervision. While this may be true, the independence of the Authority could be compromised under such a structure. Perhaps more to the point, if there are concerns regarding the accountability and supervision of Authority staff that is the responsibility of, and should be addressed at the Authority Board level, and not "pushed off" to the City and/or County.

## Introduction

In September 1992 Del Norte County and the City of Crescent City entered into a Joint Powers Agreement (JPA), which created the Authority. The original "Purpose" of the Authority as stated in the JPA Agreement was as follows:

- A. Siting, licensing, developing, constructing, maintaining and operating DNSWA disposal sites, transfer facilities and equipment, materials recovery facilities, and/or sanitary landfills;
- B. Disposal of solid waste;
- C. Preparing and implementing a DNSWA Solid Waste Management Plan and Liquid Waste Management Options Plan which meets the requirement of the Act;
- D. Disposal of waste generated in the incorporated and unincorporated area of the County and the ability to grant franchises for waste hauling at its discretion;
- E. Exercising all other appropriate powers reasonably necessary to carry out the purpose of this agreement; and
- F. Closure of the Crescent City Landfill and maintenance, monitoring and remediation thereof.

The JPA Agreement was amended in 2012 and included the following updated "Purpose" of the Authority:

- A. Planning, siting, permitting, developing, constructing, maintaining, managing and providing gate attendants for public disposal sites, transfer stations, and/or sanitary landfills, and planning for and securing the services of necessary non-disposal processing facilities or other options related to recovering discarded resources and processing those materials to increase their value;
- B. Preparing, implementing, and providing related monitoring, reporting, updates and revisions for programs of a Regional Agency Integrated Waste Management Plan as required under the California Integrated Waste Management Act of 1989 as amended (California Public Resources Code commencing with section 40050), including programs related to used motor oil, oil filters, and household hazardous wastes and other materials and products banned from mixed waste disposal;
- C. Defining and monitoring the service standards for collections of discards in the incorporated and unincorporated area of County and the ability to grant franchises for waste hauling and/or collection and processing of mixed recyclable materials, in its discretion;
- D. Exercising all setting and controls on maximum rates to be charged to the public for discard collections services, and

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other appropriate powers reasonably necessary to carry out the purpose of this Agreement , including securing disposal capacity for Del Norte County residents, agencies and businesses as required under Public Resources Code sections 41701 and 41703;

- E. Developing, securing adoption, and implementing Ordinances and programs to control and prosecute illegal dumping and blight in Del Norte County associated with solid waste accumulation and storage; and
- F. Post-closure maintenance, monitoring, reporting and remediation related to the Crescent City Landfill as required by relevant Orders from the Regional Water Quality Control Board, North Coast Region, the California Department of Resources Recycling and Recovery (CalRecycle) and the North Coast Air Quality Management District.

There seems to be a general consensus that the Authority has effectively achieved its original Purpose as that related to developing the Del Norte Transfer Station and closing the Crescent City Landfill. It is also clear that the Authority has served a valuable function for the residents and businesses of the County. Among other things the Authority was a leader in the Zero Waste movement and is credited with drafting the first of its kind Zero Waste Plan in the country.<sup>4</sup> More recently the Authority has actively supported Extended Producer Responsibility (EPR) at both the local and state level. It started one of the first six EPR funded rural county pilot projects for carpet collection and also has producer-financed take-back programs for mercury thermostats and household batteries. The former Executive Director recently received the California Product Stewardship Council's "EPR Super Hero Award" for the most outstanding contributions of any individual to the EPR movement.

While the Authority has closed the Crescent City Landfill and constructed the DNSWA transfer station and has met its regulatory compliance requirements, Board Commissioners and others have raised questions over the past several years regarding the functions of the Authority and whether it should be restructured in some fashion (e.g., management placed under the County or City or County and City jointly) or perhaps completely disbanded. This issue was addressed by an ad hoc committee of the County Board of Supervisors and while considerable attention has been given to the question of if or how the Authority should be restructured or disbanded to date no action has been taken. In an effort to resolve this issue, the Authority engaged R3 Consulting

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<sup>4</sup> Source: Institute for Local Self-Reliance.

Group (R3) to prepare responses to a series of specific questions posed by the Authority Board of Commissioners to assess the relative effectiveness of the Authority's operations. This report provides R3's answers to those specific questions.

## Approach & Methodology

Our review and analysis included, but was not limited to the following:

- A Kick-Off Teleconference was held with the Interim Executive Director in late December 2013. Prior to the Kick-Off Teleconference and throughout the course of our review, the Authority gathered and provided a range of requested information to R3 in support of the Authority's assessment. That information included the Background Documents issued with the Authority's Request for Proposals. In addition, R3 requested, received and reviewed numerous other information, including the following documents:
  - Work Priorities Fiscal Year 2013-14;
  - Listing of Executive Director Activities; and
  - Listing of Program Manager Activities.
- R3 Project Team members conducted an onsite review in early January 2014. During the time onsite, R3 conducted interviews with the following Authority Commissioners and staff:
  - Commissioners (5);
  - Interim Executive Director/Program Manager;
  - Administrative Assistant;
  - Account Clerk; and
  - Refuse Site Attendants (2).
- R3 also interviewed the following parties:
  - Recology's General Manager and Recycling Coordinator;
  - Hambro Waste Solutions Group's Owner and General Manager;
  - County Administrative Officer, County of Del Norte;
  - City Manager, City of Crescent City;
  - Environmental Health Specialist, County of Del Norte;

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- Integrated Waste Management Specialists, CalRecycle (2);
- Water Resources Control Engineer, North Coast Regional Water Quality Control Board; and
- Managers of various other solid waste JPA's in California.
- R3 staff also:
  - Observed management and staff performance of various functions;
  - Toured the Del Norte Transfer Station and observed transfer facility and scale house operations;
  - Toured the closed Crescent City Landfill; and
  - Attended a special meeting of the Authority on January 22, 2014, to provide an opportunity for R3 to receive input from the general public regarding the Authority and R3's scope of services. A copy of comments received at that meeting is included in Appendix B.

## Report Organization

The following Questions and Answers section of our report is organized sequentially and provides responses to each of the specific questions posed by the Authority Board of Commissioners related to the following five (5) aspects of the Authority:

- Organizational Structure;
- Staffing;
- Day-to Day Operations;
- Director Position; and
- Potential Alternatives to the JPA.

## Questions and Answers

### 1 Organizational Structure

**Question:**

- a. How does the current JPA structure compare to inter-governmental solid waste management policy, management, and operational structures in equivalent California jurisdictions with equivalent solid waste management requirements?

**Answer:**

The Del Norte Solid Waste Management Authority (Authority) functions similar to that of other JPAs in the State of California (State) in many respects. It provides regional reporting services for its member agencies (like the 27 other CalRecycle approved regional agencies). It owns facilities like certain other JPAs (Humboldt, Lassen, Kings, South Bayside Waste Management Authority, Western Placer), and it is responsible for the management of collection system contracts (Central Contra Costa County, South Bayside Waste Management Authority).

Compared to other inter-governmental solid waste management agencies in California's smaller rural counties however, it is relatively unique. While 13 of the 23 counties in the State with populations less than 100,000 are CalRecycle approved Regional Agencies, like the Authority, most if not all of those JPAs do not own or operate facilities or have responsibility/liability for closed landfills. Those responsibilities/liabilities typically fall under the jurisdiction of the county. Additionally, the Authority's management and administrative staffing levels are more comparable to JPAs that serve significantly larger population bases and have a greater number of member agencies.

**Analysis:**

**Regional Agencies**

The Authority is a CalRecycle approved Regional Agency responsible for submitting annual reports, disposal reports, and other reporting data on behalf of its member agencies.<sup>5</sup> According to CalRecycle, there are twenty-eight approved regional agencies established throughout California (Appendix C). In addition, there

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<sup>5</sup> Per Public Resources Code (PRC) Section 40970, cities and counties are authorized to form "regional agencies," which are allowed to report CalRecycle program information and disposal numbers as one entity instead of by jurisdiction.

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are various solid waste management JPAs that are not CalRecycle approved regional agencies, including the Humboldt Waste Management Authority.

Although the organizational structure and functions of JPAs vary, for summary purposes, solid waste JPAs can be categorized into three groups, as follows:<sup>6</sup>

**Group One: AB 939 JPAs** – JPAs that primarily address the planning, implementation and/or reporting requirements mandated by AB 939, but do not own, operate or manage facilities. JPAs that fall under this category include Amador, Butte, Colusa, Glenn, San Benito, Siskiyou and Yuba-Sutter.

**Group Two: Facility Owners/Managers** – JPAs that own facilities, or manage facilities through contracts with either private sector providers or with county or city departments, but do not provide hands-on operations.

These JPAs may also perform AB 939 functions, but are more likely to have a dedicated budget and some staff, although some services may continue to be provided by member entities. Group Two JPAs include Marin, San Luis Obispo, Sonoma County, Lassen, Napa-Vallejo and Salinas Valley.

**Group Three: Facility Operators** - JPAs that operate disposal and/or diversion systems and facilities.

This group generally has the largest staff and budgets, and may contract for some services in addition to the operating responsibilities they have. The original purpose may be either AB 939 (Kings) or disposal system management (Humboldt). Group Three JPAs include Humboldt, Kings and Tehama.

The Authority generally falls within Group Two. However, the dividing lines between these groups is not always so clear cut, and the Authority does operate facilities like the Group Three JPA's. However, the facilities operated by the Group Three JPA's tend to be larger volume facilities (like the Del Norte Transfer Station, which the Authority owns but does not operate).

While solid waste JPAs are not uncommon, the majority of jurisdictions in the California do not belong to a CalRecycle approved regional agency or other solid waste JPA. Regional agencies however do tend to be more prominent in rural counties like Del Norte. Siskiyou, Shasta, Lassen, Tehama, Glenn, Butte, Colusa, and Yuba and Sutter counties all have CalRecycle

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<sup>6</sup> Source: Regional Agencies: A Summary of California Integrated Waste Management Joint Powers Authorities; Jim Greco Consulting Organization.

approved regional agencies. Of the 23 counties in the State with total populations of less than 100,000, 13 are members of a CalRecycle approved JPA.

While many of the JPAs in smaller counties like Del Norte are CalRecycle approved JPAs, unlike Del Norte most if not all of those JPAs do not own or operate any solid waste management facilities or have responsibility for the management of closed landfills. In those jurisdictions solid waste management facilities, including transfer stations and open and closed landfills are typically owned and operated by the county. Within the rural counties in the State, the Authority's ownership of the County's transfer stations and responsibility/liability for the closed Crescent City landfill is perhaps most consistent with the Humboldt Waste Management Authority, which owns (and operates) the Hawthorne Street Transfer Station and has responsibility/liability for the closed Cummings Road Landfill.<sup>7</sup>

#### **Authority Management and Administrative Staffing**

In terms of the staffing, the Authority is also relatively unique as compared to the many of the JPAs in the smaller counties in the State. Because those JPAs tend to have a more limited focus (e.g., regional reporting), there is no need for dedicated JPA staff, and county staff often fulfill the staffing needs of the JPA (e.g., Colusa, Glenn and Siskiyou counties).

In terms of staffing levels, the current staffing levels of the Authority are more consistent with the staffing levels in JPAs serving larger population bases. As currently structured, the Authority has two (2) full time management positions (Director and Program Manager/Clerk) and 2.5 full time equivalent (FTE) administrative positions (Administrative Assistant, Account Clerk, Part Time Account Clerk) for a total of 4.5 FTEs, serving two member agencies with a population base of approximately 30,000 residents.

For comparison purposes:

- The Sonoma County Waste Management Agency serves ten member agencies with a population base of approximately 490,000 residents, has five (5) FTE staff (Executive Director, Department Analyst, 2 Program Managers and an Agency Clerk);
- The Central Contra Costa Solid Waste Authority, which serves six member agencies with a population base of more than 165,000 residents, has six (6) FTE employees

<sup>7</sup> This comparison is only specific to the fact that both agencies own facilities and have responsibility/liability for closed landfills.

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# Assessment of the Del Norte Solid Waste Management Authority

(Executive Director, Executive Assistant, Administrative Assistant, 2 Program Managers and a Finance Manager.)

- The South Bayside Waste Management Authority (San Mateo County), which serves 12 member agencies with a population base of more than 370,000 residents, has eight (8) FTE staff<sup>8</sup> (Executive Director, Recycling Programs Manager, Office Manager, Environmental Education Coordinator, Environmental Education Associate, Contracts Manager, Finance Manager, Recycling Outreach and Sustainability Manager).

While the staffing levels of the Authority are more consistent with those in the larger JPA's discussed above, it is important to note that the Authority oversees the operation of the scale houses and scale house employees at its transfer stations. The above referenced JPA's do not have such staffing oversight responsibilities. For this reason, as well as others, the above comparisons should be considered for informational purposes only and are not intended to serve as any basis for assessing the reasonableness of the Authority's staffing levels. Any such assessment should be based on actual requirements and Board-established goals and objectives, rather than such general comparisons.

While staffing for many of the JPAs in the smaller counties in the State are provided through county employees, both Tehama County and Lassen County fill their JPA Executive Director positions with contract employees, as do other JPAs within the State, including the Sonoma County Waste Management Agency (referenced above) and the West Valley Solid Waste Management JPA in Santa Clara County.<sup>9</sup>

**Question:**

- b. Is this JPA the most effective and efficient entity for managing solid waste in Del Norte County? If not, what alternatives (including replacement by private enterprise) would likely result in more efficient and effective management and direction of required solid waste-related functions?**

**Answer:**

Yes, the Authority is the most effective and efficient entity for managing solid waste in Del Norte County.

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<sup>8</sup> Three (3) of these positions are specific to outreach and education.

<sup>9</sup> The West Valley JPA is comprised of the cities of Los Gatos, Saratoga, Monte Sereno, and Campbell,

**Analysis:**

The JPA structure provides an effective means for managing solid waste in Del Norte County and R3 does not recommend eliminating the Authority. In fact, based on our discussions with Authority Commissioners and City and County staff, we found that there was little interest in eliminating the JPA. There were, however, concerns expressed about, among other things, management and administration staffing levels, cost controls, current goals and objectives of the system and whether staff resources have been effectively focused and organized to minimize costs and increase revenues.

Through the JPA structure, the County and City are able to share the benefits of critical infrastructure, share the liability for the closed Crescent City Landfill and enjoy the benefits of economy of scales on a number of levels, including: regulatory compliance; regional reporting; program development, implementation and coordination; and management of contracted service providers. The Authority, rather than the City and County each separately having responsibility for various required functions, is the most effective method to achieve these benefits. If the Authority were dissolved the City and County, as partners to the Authority, would have to solve a number of significant related issues, potentially at considerable staff time and cost. Those issues include, but are not necessarily limited to: the assumption of liability for the closed Crescent City Landfill; post-closure landfill financial assurance; repayment of the "I-Bank" loan; and ownership of the transfer station.

**Question:**

- c. Would elimination of the JPA save the ratepayers money? If so, how? If not, why not?

**Answer:**

No. Given that the elimination of the JPA would require the City and County to independently assume the associated responsibilities it is unlikely that any reasonable alternative structure to the JPA would result in a lower cost to the ratepayers, if any, for a similar level of management oversight

**Note:** In terms of the total system revenue requirement associated with solid waste and recycling services in the County, Recology's expenses account for approximately 60 percent of the total revenue requirement, Hambro expenses account for approximately 26 percent and the Authority's expenses account for approximately 14 percent.

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### Analysis:

While eliminating the Authority would allow the portion of the transfer station tipping fee used to fund the Authority to be eliminated and lower the associated transfer station tip fee, the costs for Authority required services and functions would not be eliminated and would need to be assumed by the City and/or County and funded through other means (e.g., solid waste collection rates, general fund revenues). Additionally, the loss of economies of scale and the need for the City and County to duplicate certain Authority functions (e.g., AB 939 annual reporting requirements, program and contract management), would likely result in a net cost increase for those functions. Furthermore, as discussed above, eliminating the Authority would potentially require considerable staff time and cost to address the associated issues. As such, not only would we not expect that eliminating the Authority would result in any significant net savings to the rate-payers, it is certainly conceivable that there could be some level of a net cost increase and/or reduction in the quality of the functions currently performed by the Authority.

### Question:

- d. If the JPA were to be dissolved, what would be the most efficient entity (ies) to continue to meet the separate regulatory obligations of the City and County?

### Answer:

There are limited options available to the City and County to continue to meet the separate regulatory obligations if the Authority were to be dissolved. The most efficient option would be for the City and the County to arrange to jointly handle those Authority obligations where that can be done effectively (e.g., jointly contracting for franchised collection services), and separately handle those obligations that cannot be jointly handled (e.g., CalRecycle Annual Reporting). Responsibilities for the transfer station and landfill regulatory requirements would rest with the entity that ultimately assumed responsibility for those facilities.

Alternatively, the City could contract annual reporting and other City requirements to the County, if the County were willing to assume those responsibilities. This could provide economies of scale, essentially placing all required responsibilities under the County, rather than the Authority.<sup>10</sup> While such a "coordinated" structure would likely be more efficient than the County and City

<sup>10</sup> Alternatively the County could contract certain responsibilities to the City, the concept however is the same; having one entity responsible for the requirements of both entities.

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independently assuming all required obligations, such a coordinated structure is more effectively achieved by maintaining the Authority.

Question:

- e. Could the JPA function effectively in a manner similar to other Del Norte JPA's [i.e., Executive Director and part-time clerical staff, supported by contractors] [see Local Transportation Commission, Redwood Coast Transit Authority, and Airport Board]?

Answer:

Yes, and to some extent the use of some level of contractors and/or part time clerical staff may provide certain benefits, however, we recommend that primary core management and administrative staff be full time employees.

Analysis:

As discussed in the Executive Summary there are various staffing options that the Authority could pursue with the specifics depending in part on the Authority's long range goals and objectives. Based on our review there is appears to be significant potential for restructuring the current administrative functions to provide more efficient use of administrative staff. While we recommend that primary core administrative staff be full time employees, if the Authority finds that additional administrative staff resources or expertise is appropriate, hiring part time staff is certainly an option.

In terms of hiring contractors, we strongly recommend that the Authority review the current responsibilities of the Executive Director and Program Manager positions and consider contracting certain of those responsibilities to the County and or Recology and/or Hambro where that provides a net advantage to the Authority. As an example, the Program Manager currently has primary responsibility for collecting groundwater samples at the landfill and also landfill maintenance. We suggest that there may be a net benefit to the Authority, in terms of providing management staff with additional time to focus on management type activities, if some or all of these types of "technician level" requirements can be shifted to County staff. We understand that County staff already assists with groundwater sampling at the landfill and are simply suggesting that the Authority consider shifting that responsibility in total to the County. We are in no way suggesting that the County assume responsibility for regulatory compliance, which should remain with the Authority. We are only suggesting that the Authority evaluate the opportunity to "contract" certain required sampling to the County. Similarly, we suggest that

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having Authority management staff physically maintaining the landfill is not a good use of management staff time if that can be done more effectively by County staff to the Authority's benefit.

**Question:**

- f. If so, what functions would have to be performed by City or County staff?

**Answer:**

If the Authority were structured in a manner similar to other Del Norte JPAs there would not necessarily be any functions that would have to be performed by City or County staff. Presumably contactors could be utilized at a sufficient level to meet all required regulatory and/or other requirements. Alternatively, it may be more cost effective for the City and/or County to assume certain responsibilities using existing staff, rather than contracting for those services through the private sector (e.g., landfill maintenance and monitoring, annual reporting, etc.). Any such assumption of responsibilities by City and/or County staff would however require available staff with appropriate expertise to meet regulatory, technical or other responsibilities. Any such opportunities would need to be evaluated on a case-by-case basis.

**Question:**

- g. Is it likely that such a configuration could meet the current operational, regulatory, policy and reporting requirements as a savings [after contracting costs] to ratepayers?

**Answer:**

Such a configuration could meet the current operational, regulatory and policy and reporting requirements. However, it adds additional contract management responsibilities and provides less direct control. Whether or not that could be done at a savings to the ratepayers would depend on any number of factors, most notably the contracting cost. In any event, we would not expect that such a configuration would result in a significantly lower cost to the ratepayers, if any, for a similar level of operations and management oversight.

## 2 Staffing

**Question:**

- a. What mandatory solid waste management functions must be performed by the Authority considering current local, state and federal requirements?

**Answer:**

Appendix D provides a list of local, state and federal mandatory regulatory requirements that must be addressed by the Authority. Those requirements can generally be categorized as follows:

- CalRecycle AB 939/SB 1016<sup>11</sup> – CalRecycle requires jurisdictions to maintain a fifty percent (50%) diversion level and to implement and manage diversion programs.
- CalRecycle Required Programs – CalRecycle requires jurisdictions to implement and manage a Household Hazardous Waste (HHW) program, Mandatory Commercial and Multi-Family Recycling, and Construction and Demolition Recycling.
- Transfer Station – the State requires ground water and storm water testing and reporting. In addition, the County requires the preparation and submittal of a hazardous waste business plan and to coordinate with the County Department of weights and measures to calibrate and certify the accuracy of the scales.

Closed Landfill – The State requires a series of testing, monitoring, and reporting on a range of issue including groundwater, storm water and landfill gas. In addition, the Authority is required to maintain drainage and erosion control, slope stability, and site security.

**Question:**

- b. Does the Authority have the staff and expertise appropriate to complete these functions?

**Answer:**

Yes, Authority staff has appropriate experience and expertise to effectively handle the required solid waste management functions listed above and has done a good job in that respect. As discussed in the Executive Summary, there have been relatively few regulatory issues over the past 5 years and where such

<sup>11</sup> The California Integrated Waste Management Act of 1989 (AB 939) and the new per capita disposal measurement system (SB 1016) requires jurisdiction to divert fifty percent of its solid waste being disposed in landfill.

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issues have arisen, staff has effectively addressed them to the satisfaction of the regulatory agencies

**Question:**

- c. **Evaluation of staff workloads and duplication of tasks.**  
Please explain if duplication is necessary or unnecessary.

**Answer:**

There is no need for duplication of workloads among Authority staff however there is the need for cross-training among Authority staff for continuity during times of staff absences, illness or turnover.

Our review did find, however, that there appears to be significant manual data entry and redundant recordkeeping, management staff performing duties that may be more cost effectively performed by County staff (e.g., landfill maintenance and monitoring), and staff performing tasks that may be more effectively performed by Hambro (e.g., stormwater monitoring) or Recology (public education and outreach).

With respect to shifting certain management and staff responsibilities to the County and/or Hambro or Recology, we recommend that all management staff job responsibilities be reviewed after the Authority clearly establishes its long range goals and objectives. Non-essential tasks should be eliminated or deferred and other tasks delegated to administrative staff, the County and/or Recology and Hambro where that can be done effectively to the benefit of the Authority. Appendix E provides an accounting of the Executive Director and Program Manager job responsibilities (workloads) and the estimated associated time requirements that were provided to R3 as part of this engagement.

In terms of the Authority's administrative functions, we recommend that a complete independent review of those functions be conducted. We understand that at least one Board Commissioner has expressed a possible interest in spending time on-site observing and evaluating among other things, administrative functions, accounting and recordkeeping policies and procedures. We strongly support additional review and analysis of Authority management and administrative functions in support of identifying opportunities for improvement and better utilization of staff resources.

While the evaluation of cost controls was removed from our work scope, R3 found no evidence nor did any employee relate to us any type of system where cash control procedures were written down, verified or audited. It is normal and customary for there to be written rules that clearly outline standards for access,

authorizations, record keeping and verification, none of which currently exist to our knowledge. The lack of written procedures is a concern. We also question the appropriateness of using QuickBooks as the Authority's accounting system as it is not a general ledger system and does not have a functional audit trail. Effective cash controls is not a question of the number of staff, the operation could employ multiple clerks but still be vulnerable to errors if the system has no written procedures based on normal and customary practices with an accurate understanding of GAPP and GASB along with periodic review by outside auditors.

We suggest that the Authority and the County auditor consider housing the Authority's accounting functions with the County auditor including all deposit and banking duties. We suggest that doing so would effectively address cash control concerns and allow the Authority to significantly streamline its related administrative functions.

### 3 Day-to-Day Operations

**Question:**

- a. Are regulatory requirements being met in a timely and comprehensive manner?

**Answer:**

Yes, regulatory requirements are being met in a timely and comprehensive manner.

**Analysis:**

As part of our review, R3 interviewed CalRecycle, Local Enforcement Authority (LEA), and North Coast Regional Water Quality Control Board (Water Board) staff that have Authority oversight responsibilities and requested their assessment of the Authority's regulatory compliance. All of the entities interviewed reported that the Authority was meeting all major regulatory compliance requirements and that when regulatory issues have been identified Authority staff have been responsive and have addressed any such issues in a timely manner.

R3 also reviewed LEA/CalRecycle inspection reports for the past five (5) years (2009-2013) for the Authority's facilities. That review found the following:

- Crescent City Landfill – In 2013, the LEA/CalRecycle noted six (6) areas of concern related to the monitoring network and drainage and erosion control. In 2009 the LEA noted 4 areas of concerns related to drainage and erosion control and leachate control.

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- Del Norte Transfer Station – From 2009 to 2013, the LEA/CalRecycle found no violations or areas of concern.
- Gasquet Transfer Station – The LEA/CalRecycle reported two (2) areas of concern in November 2013 related to Litter Control and Vector, Bird, Animal Control. Other than that there were no violations or other areas of concern reported over the 5-year period.
- Klamath Transfer Station - The LEA/CalRecycle reported one (1) area of concern for Load Checking in 2012 and two areas of concern for Litter Control in 2009. Other than that, there were no violations or other areas of concern reported over the 5-year period.

Copies of the summary findings of the LEA/CalRecycle facility inspection reports are provided in Appendix F.

**Question:**

- b. Are the activities of the Franchisees and other contractors being evaluated and monitored to assure compliance with their respective contracts and regulatory requirements? If not, explain.**

**Answer:**

No, according to the Program Manager, the management of the Authority's contracts was the duty of the Executive Director and staff acknowledged that that the Hambro and Recology contracts are not being administered as actively as they should be since the Executive Director position has been vacant. With that said, R3's review did not identify any regulatory issues or major concerns or complaints regarding the level of service or performance of Hambro or Recology. Authority staff did indicate, however, that they communicate informally with Hambro and Recology at least twice each month and coordinate efforts on issues of common interest or concern.

**Analysis:**

Regular and ongoing management of the Hambro and Recology contracts should be a priority of the Authority. It should not, however, require a significant amount of staff time, particularly if the contractors are effectively meeting their contractual obligations as they appear to be doing. To support efficient and effective monitoring of the Authority's contacts with Hambro and Recology R3 recommends the creation of a compliance checklist that includes all objective contractual requirements and due dates, as applicable, for each contract. Copies of these checklists should be made available to both Hambro and Recology and Authority staff should hold regularly scheduled meetings (e.g., quarterly) with the

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contractors to review the status of all contractual requirements and other relevant contractual and solid waste management issues.

Question:

c. Are there any suggestions for improvements at the Transfer Station?

Answer:

Our review did not identify any obvious areas of the Transfer Station operations requiring improvement. We do recommend, however that the Authority actively work with both Hambro and Recology to identify areas where the resources of both of those contractors can be used to the advantage of the Authority and its ratepayers.

Analysis:

Based R3's review, the Del Norte Transfer Station appears to be well run and well maintained by Hambro. This finding is supported by fact that there have been no violations or areas of concerns reported by the LEA or CalRecycle for that facility for the past five years, as noted above. Authority staff has actively worked with Hambro to enhance transfer station operations including negotiated change orders with Hambro to, among other things, address issues such as universal waste processing, commercial fluorescent tubes, sharps management, carpet recycling and paint recovery through PaintCare.

While our review did not identify any obvious areas for improvements at the transfer station, both Hambro and Recology have valuable expertise that can be utilized by the Authority. This includes potentially taking on certain responsibilities that Authority staff currently handle (e.g., public education and outreach; stormwater monitoring), assuming any such actions would result in a net benefit to the Authority. We recommend that the Board invite both contractors to present cost saving ideas to the Board with the goal of improving service, reducing costs, increasing revenue and creating a framework for a long term 5 to 10 year Strategic Plan. This proposed "partnership" is intended to support enhanced operations and provide the Board and staff an opportunity to gain a better understanding of available contractor resources and how those resources might best be used to the advantage of the Authority and its ratepayers.

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**Question:**

- d. Is the Transfer Station Operations contract being managed in compliance with existing regulatory requirements? If not, explain.

**Answer:**

As noted in Questions 3b above, Authority staff acknowledged that the Hambro contract (and Recology contract) is not being managed/administered as effectively as it should be since the Executive Director position has been vacant. However, as noted in Questions 3a and 3c above, there have been no violations or areas of concerns reported by the LEA or CalRecycle for the Del Norte Transfer Station for the past five years (2009-2013), and our understanding is that there have been no other major regulatory issues related to that facility. As such, Hambro appears to be effectively managing its transfer station operations in compliance with existing regulatory requirements.

## 4 Director Position

**Question:**

- a. Should the Director position be filled as full time, or are there other staffing alternatives that would improve efficiencies while assuring compliance with legal obligations and responsiveness to the Commission?

**Answer:**

The Interim Executive Director appears to have done a good job managing both the Executive Director and Program Manager responsibilities since the departure of the former Executive Director, although admittedly, certain Executive Director responsibilities have been deferred, as documented in Appendix A). Whether or not the Director position should be filled as full time and how the Authority should structure its overall management and administrative staffing going forward is dependent on the Authority's specific goals and objectives, as discussed above.

If the Authority's overall goal is to maintain regulatory compliance and existing programs and services (e.g., generally maintain the status quo), but otherwise focus on opportunities for cost savings, which was expressed as a general goal by a number of the Commissioners, we recommend that the Executive Director and Program Manager positions be combined into a single full time Executive Director position. That position would assume the current responsibilities of those two separate positions. Based on our review, we believe that such a consolidation of responsibilities

could be effectively achieved, although prior to doing so the Authority should review the job responsibilities of both of those positions, eliminate or defer non-essential tasks and delegate certain other required tasks to administrative staff, the County and/or Recology and Hambro where that can be done effectively to the benefit of the Authority.

**Question:**

b. Creation of a job description for the Director.

**Answer:**

Refer to Appendix G.

**Question:**

c. Recommendation of an appropriate salary range for the Director based on the revised description

**Answer:**

We recommend a starting salary in the range of \$70,000 - \$80,000 for the Executive Director position, depending on qualifications. This recommendation is based in part on our review of the Authority's current salary for its Executive Director and Program Manager positions, salaries for Del Norte County department heads, salaries for contract JPA management positions in Tehama and Lassen counties and consideration of the responsibilities and span of control of that position.

**Analysis:**

The following are the current Authority management staff salaries:<sup>12</sup>

- Director – Vacant: \$69,521 (BL)
- Program Manager I/II Interim Director: \$67,863

The following is the Adjusted DNSWMA Director Payscale range for 2008 (the most recent data provided):

- Step A - \$69,521
- Step G - \$93,166

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<sup>12</sup> Source: DNSWMA Updated Payroll

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The following are 2011-2012 salaries for Del Norte County Appointed Department Heads.

Department Head	Biweekly and Annual Salaries	
	A	J
Building Maintenance	\$ 52,052	\$ 80,749
Director of Bar-O	\$ 58,682	\$ 91,026
Chief Probation Officer / Director of Child Support Services	\$ 64,740	\$ 100,412
Agricultural Commissioner	\$ 62,400	\$ 96,824
Director of Information Technology	\$ 63,270	\$ 98,152
Director of Community Development	\$ 81,926	\$ 127,088
Director of Health and Human Services	\$ 83,304	\$ 129,220
County Admin Officer	\$ 88,649	\$ 137,523
County Counsel	\$ 89,409	\$ 138,703

JPA management contract employee compensation for Tehama and Lassen counties is as follows:

- Tehama County/Red Bluff Landfill Management Agency Manager = \$81,444 annual salary plus benefits.
- Lassen County Authority Manager = \$85 per hour with no benefits (80 – 100 hours per month)<sup>13</sup>

## 5 Potential Alternatives to JPA

**Question:**

- a. What would be the best alternative for service delivery and solid waste management?

**Answer:**

As discussed in Question 1d above, if the Authority were eliminated the best alternative for service delivery and solid waste management would be for the City and the County to jointly arrange for handling certain Authority obligations (e.g., jointly contracting for franchised collection services) and separately handle those functions that cannot be jointly handled (e.g., CalRecycle Annual Reporting). However, as discussed above we do not believe this is a preferable alternative to the Authority and do not recommend it be pursued.

<sup>13</sup> The current manager is a licensed Civil Engineer.

**Question:**

- b. How would the members be assured that the mandated functions would be accomplished by this alternative? Consider necessary staffing and expertise to carry out the mandates previously the responsibility of the JPA.

**Answer:**

Under any alternative to the Authority, the City and County would be individually responsible for all mandated functions and would individually be responsible for assuring the mandated functions were effectively accomplished. This would require existing City and County staff to assume the previous responsibilities of the Authority, as applicable, or the hiring of additional qualified staff, if necessary.

**Question:**

- c. Who would be responsible for policy development, regulatory compliance and reporting, rate setting and enforcement?

**Answer:**

Both the City and the County would have separate responsibilities for regulatory compliance, reporting, rate setting and enforcement as applicable, unless they agreed to jointly coordinate certain of those activities where feasible.

**Question:**

- d. Who would be responsible for the cash management and accounting requirements and procedures?

**Answer:**

The responsibilities for cash management and accounting requirements and procedures would rest with whichever entity assumed responsibility for the operation of the transfer stations, which we assume would be the County.

**Question:**

- e. Would the City and the County be responsible for separate rate-setting and enforcement?

**Answer:**

Yes, unless they agreed to jointly coordinate those requirements.

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Question:

- f. If the Authority were to be dissolved, where should the Director's functions be carried out?

Answer:

The City and County would each need to assume the required tasks of the Authority and the Director's functions that would apply to their independent solid waste management systems.

Question:

- g. What would be the anticipated cost savings (if any) compared to the current JPA?

Answer:

As discussed above, given that the elimination of the JPA would require the City and County to independently assume the associated responsibilities it is unlikely that any reasonable alternative structure to the JPA would result in a significantly lower cost to the ratepayers, if any, for a similar level of management oversight. While we believe that there are potential operational efficiencies and cost savings that may be realized by the Authority through among other things, streamlining administrative functions and other activities, any such potential savings would likely be offset by the loss of economies of scale. In fact, as discussed above, given the potential costs associated with dissolution of the Authority it is certainly conceivable that there could be an associated cost increase.

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# Appendix A

Work Priorities Fiscal Year 2013-2014

R3





# Del Norte Solid Waste Management Authority

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## Del Norte Solid Waste Management Authority Work Priorities Fiscal Year 2013 - 2014

### Legend for symbols used:

- ☞ = Activity to be completed during FY 2013-2014
- ⊕ = Activity mandated by State or Federal Law, regulation or Authority-adopted plan or contract
- ☆ = Ongoing activity
- △ = Draft submitted, awaiting agency response
- ✓ = Activity completed for FY 2013-2014
- ☞ = Activity set to be completed during FY 2014-2015
- ? = Lower priority activity; addressed as time and capacity allows
- ⊗ = Activity deferred for FY 2013-14
- ♥ = Activity deferred until new Director is hired
- Ⓔ = Fiscal responsibility under guidance of Authority Treasurer

*This Work Priorities list is a living document, and items may be added as needed due to further direction from the Authority Board, new legislation or regulation, or agency action.*

Last Updated: Reviewed and adopted by Board consensus on 27 August 2013

### Mandated or Obligatory Ongoing or Future Activities:

#### 1. Del Norte County Transfer Station (TS) Facilities and Operations

- ☞ ⊕ ☆ Gather, compile, analyze, and report storm water runoff samples as required under the Industrial Stormwater Permit. After two to three years sample history, consult with RWQCB staff regarding possibly reducing monitoring requirements. (Ongoing)
- ☞ ⊕ ☆ Implement free TakeBack program for architectural coatings at the Del Norte County Transfer Station in coordination with PaintCare, Hambro/WSG, and Clean Harbors. (2013)
- ⊕ ☆ Revise the Transfer and Processing Report as necessary for new recovery activities, and/or management of materials banned from disposal or requiring special handling,

including architectural coatings. (Ongoing)

- ☞ Ⓞ☆ Procure and manage Household Hazardous Waste (HHW) Collection Event contractor and use Permanent Household Hazardous Waste (HHW) Facility at the Transfer Station for annual HHW Collection Event on 21 September 2013, as well as daily recycling of oil, filters, antifreeze, latex paint, televisions and computer monitors, and fluorescent tubes. (Ongoing)
- ☞ Ⓞ☆ Prepare and submit hazardous waste business plan to the County. (Annual)
- ☞ Ⓞ☆ Coordinate with the County Department of weights and measures to calibrate and certify the accuracy of the scales used at the Del Norte County Transfer Station. Repair scales as necessary. (Annual)
- ☞ Ⓞ☆ Prepare and submit the PCI compliance report to assure that measures are in place to protect customer credit and debit card information. (Annual)
- ? ⊗ Submit application, fees, print forms and conduct training necessary to provide public scale services at the Del Norte County Transfer Station. (Pending, deferred at present)

## 2. Crescent City Landfill Post-Closure Maintenance

- Ⓞ☆ Continue working with County staff to monitor gas wells, groundwater wells, surface water sampling points, and stormwater sampling points. Authority staff will continue to compile, summarize, and analyze data, prepare and submit required reports to the North Coast Regional Water Quality Control Board as required under Order 97-90 and the Industrial Storm Water permit. (Ongoing through 2035)
- Ⓞ☆ Continue landfill monitoring and maintenance. This includes semi-annual removal of deep-rooting plants and mowing of surface drainage structures. Over the post-closure maintenance period activities will also likely include repair to slopes, drainage structures, and grading to reduce ponding. (Ongoing through 2035)
- ☞ Ⓞ△ Prepare and submit solid waste facility permit renewal applications every five years or as activities at the landfill change. (Submitted in 2013; ongoing through 2035)
- ☞ Ⓞ△ Prepare and submit landfill gas heat capacity report and other documentation required by the North Coast Air Quality Management District (NCAQMD). The NCAQMD may impose additional requirements based on this report. (Submitted in 2013; ongoing through 2035)
- ✓ Ⓞ☆ Apply for reduction in the post-closure multiplier and prepare and submit annual

estimate of the post-closure financial liability associated with the Crescent City Landfill to CalRecycle (Annual; ongoing through 2035)

- ⊗☞☑ Conduct and report on constituent of concern monitoring of landfill groundwater every five years. (Submitted in 2009; ongoing through 2035)
- ⊗☑ Conduct and submit aerial survey of the landfill every five years to document any differential settlement. (Submitted in 2011; ongoing through 2035)

### **3. Collections Franchise and Collections System Management**

- ☑★ Staff, maintain and improve disposal and recycling facilities and services at the Klamath and Gasquet container sites (Ongoing).
- ☑★ Manage current Franchise Collections contract to ensure compliance with contract provisions and Service Standards. (Ongoing)
- ☞☑★ Continue to promote workplace recyclables collections, the California Commercial Recycling Mandate (AB341) with Recology Del Norte, recycling coordinators, the recyclables collection contractor (currently GH Outreach) and processors like Julindra Recycling. (Ongoing)
- ☑★ Coordinate collection events for Christmas trees, yard debris, household hazardous wastes, and other items or materials as opportunities arise (Ongoing)

### **4. Reuse, Recycling, and Composting**

- ☞☑★ Continue, as a rural regional agency, planning, monitoring and reporting programs, activities, and progress on per capita and per employee waste reduction targets under California Integrated Waste Management Act of 1989, as amended, and as administered by the California Department of Resources, Recovery, and Recycling (CalRecycle), including compliance with the California's Mandatory Commercial Recycling Law (AB341). (Ongoing)
- ☑★ Continue to promote and to make more convenient beverage container recycling using grant funds from the State agency responsible for beverage container recycling. (Annual and ongoing)
- ☑★ Continue to coordinate, enhance, and promote recycling of used oil, oil filters, and antifreeze using grants from the State agency responsible for oil recycling. (Annual and ongoing)

ongoing)

- ☞ ⓪☆ Establish and report on product stewardship programs for carpeting, paints and architectural coatings. (Ongoing)

## 5. Education and Public Outreach

- ☞ ⓪☆ Prepare outreach materials including print ads, radio ads, posters, public service announcements, posters, handouts and flyers, and collections billing inserts to promote program activities, events, and service changes. (Ongoing)
- ☞ ⓪☆ Prepare and disseminate information promoting the new TakeBack program for paints and architectural coatings at the Del Norte County Transfer Station (2013 and ongoing thereafter).
- ☆ Coordinate and support beach, river, and neighborhood cleanup activities. (Ongoing)
- ✓ ⓪☆ Promote waste prevention, reuse, composting and recycling through Fairs around Earth Day and the Del Norte County Fair. (Annual)
- ? ☆ Work cooperatively with the Humboldt Waste Management Authority for regional promotion of waste prevention, reuse, repair, composting, and recycling. (Ongoing)
- ? ☆ Provide timely analysis and/or recommendations for Board actions or letters regarding legislation and/or regulations which pertain to Authority activities or programs. (Ongoing)
- ⓪☆ Provide support to the Del Norte Solid Waste Task Force to promote waste reduction, reuse, composting, recycling, and related activities. (Monthly)
- ? ⓪☆ Continue to provide regular public Composting workshops as well as other presentations as requested. (Ongoing)
- ⓪☆ Continue to revise and update written materials and develop new materials promoting waste reduction, reuse, repair, composting, hazard reduction, and proper disposal. (Ongoing)
- ⓪☆ Update website as needed and upload meeting agenda and minutes. (Ongoing)

## 6. Budgets, Funding, and Fiscal Oversight

- 🌐★🗑️ Developing annual budgets, tracking expenditures and revenues accordingly. (Annual and ongoing)
- 🌐★🗑️ Preparing and submitting necessary reports related to post-employment retirement benefits funding. (Annual)
- 🌐★🗑️ Work with contractor to complete the annual agency audit report and respond according to recommendations and Board direction. (Annual)
- ★ Solicit, negotiate and administer Authority contracts as necessary. (Ongoing)
- 🗑️★ Apply for and administer additional grants to support local or regional programs as opportunities arise. (Ongoing)
- ★ Develop partnerships with Del Norte County and Crescent City departments to efficiently deliver services. (Ongoing)

## 7. Personnel and Staffing

- 🗑️🗑️★ Adhere to policies described in a Memorandum of Understanding with the Del Norte Solid Waste Management Authority Employees Association and update as needed. (Ongoing)
- 🗑️🗑️ Complete negotiations with Mid-management employees for a Memorandum of Understanding with the Del Norte Solid Waste Management Authority Employees Association and update as needed. (2013)
- 🌐★ Hire and train site attendants and relief workers for the Del Norte County Transfer Station, as well as the Gasquet and Klamath container sites. (Ongoing)
- 🌐★ Training staff through workshops, in-service training, monthly safety meetings, educational and/or on-line courses, and conferences. (Ongoing)

## 8. Recovery Infrastructure and Recycling Market Development

- 🗑️🌐★ Continue to participate in the North Coast Recycling Market Development Zone program to promote recycling market development technical assistance and promotion of services and financing opportunities. (Ongoing)

- ♥ ☆ Through the North Coast Cooperative for Recycling Infrastructure Development (Coop), support expansion of reuse, recycling, and compost processors and manufacturers in Del Norte and Humboldt counties to bolster regional markets for recovered materials. (Ongoing)
- ♥ ☆ Use the Coop as a forum for reducing overall program costs by sharing resources and personnel, or storing and consolidating recovered materials at public facilities as opportunities arise. (Ongoing)

## 8. Other Responsibilities and Activities

- ⊕ ☆ Provide collection and consolidation services as needed for public home-generated sharps drop-off points. (Ongoing)
- ⊕ ☆ Preparing, publishing, distributing agendas (under Chair's direction) and staff reports for monthly Authority meetings. (Monthly)
- ? ☆ Responding to public, government agency and tribe requests for information and reports. (Ongoing)
- ☆ Recording and responding to complaints regarding facility operations, collections services, or illegal dumping. (Ongoing)
- ☆ Obtain and maintain equipment, supplies and software for monitoring, reporting, servicing, outreach, and collection event activities. (Ongoing)
- ? ☆ Providing professional assessment and analysis of how other jurisdictions have addressed the issues and concerns identified by the Authority Board, including obtaining model requests for proposals, agreements and/or ordinances. (As needed)

## Priority Discretionary Activities for 2013-2014:

### 1. Del Norte County Transfer Station (TS) Facilities and Operations

- ? ☆ Work with Hambro/WSG to develop additional resource recovery options that can be integrated into TS operations at a cost which is less than disposal. (Ongoing)
- ? ☆ Work with Hambro/WSG and Recology Del Norte to assess and evaluate potential impacts associated with changes in Franchise solid waste, recyclables, and yard debris

collection services on transfer station operations and revenues. (Ongoing)

## 2. Collections Franchise and Collections System Management

- ? ☆ Evaluate possible modifications to the Collections Franchise and/or appropriate ordinances to complement the services at the Del Norte County Transfer Station and to expand, provide incentives, and document recovery. (Ongoing)
- ☞ ? ☆ Analyze, enhance, expand, develop and support one or more facilities capable of processing locally-generated organic materials for compost or energy production, in Del Norte or one of our adjacent counties. (Ongoing)

## 3. Crescent City Landfill Post-Closure Maintenance

- ☞ ☆ Install, document, and collect water samples from two new wells to be installed at the landfill to possibly demonstrate groundwater flow directions are such that water quality impacts associated with the landfill are unlikely to pose a threat to adjacent residential properties, justifying a reduction in the Threat/Complexity rating for this facility and thereby reduce the annual permit fee for the Waste Discharge Requirements issued by the North Coast Regional Water Quality Control Board (RWQCB). (2013-2014)
- ☆ Work with RWQCB in the development and revision of Waste Discharge Requirements and Monitoring and Reporting Program to analyze water historical quality monitoring information with the intent of reducing the expense of water quality monitoring during the post-closure maintenance period, which extends for at least 30 years after completion of phase 2 of landfill closure, until February 2036 (2014 or 2015?).
- ? ☆ Monitor development of laws and regulations pertaining to control of greenhouse and other landfill gas emissions. Research possible actions and funding sources as necessary and appropriate. (Ongoing)
- ☞ ☆ Procure landfill insurance. (2013)

## 4. Education and Public Outreach

- ☆ ? Work with and through the California Product Stewardship Council (CPSC) to promote and establish Extended Producer Responsibility and Take Back programs. (Ongoing)

- ☞☆? Advocate for legislative and regulatory initiatives extending producer responsibilities for end of life product management to reduce Authority costs for managing discards - especially hazardous materials, products or materials banned from disposal, or products or materials requiring special handling including sharps, fluorescent tubes and household batteries. (Ongoing)
- ☆? Continue outreach and public-private partnerships in support of Extended Producer Responsibility. (Ongoing)

## 5. Legislation, Ordinances, Plans and Enforcement

- ☞○☆? Administer Code Enforcement activities through a Code Enforcement Officer and Authority-related hearings through a Hearing Officer until such time as these functions are incorporated into relevant City and County Ordinances. (Ongoing)
- ☞○☆? Work with County and City Building and Planning Departments to establish forms and processes for Materials Management Plans to be incorporated as appropriate for construction and demolition permits in Del Norte County. (Ongoing)
- ☆? Review, consider and provide appropriate Authority-directed advocacy regarding bills being considered by the California Legislature (Ongoing)
- ☞☆ Under the Electronic Annual Report submitted annually to the California Department of Resources Recycling and Recovery (CalRecycle) incorporate Authority policies supporting producer and consumer financed product stewardship Take Back programs as described in Authority Resolution 2007-06. (2013).
- ☆? Prepare local ordinances, resolutions and agreements. Modify adopted plans as necessary to enact product stewardship and extended producer responsibility programs in Del Norte County for products which have been banned from mixed waste disposal by one or more State agency, including household hazardous wastes and universal wastes such as batteries, sharps, mercury devices, fluorescent tubes, and electronics. (Ongoing)

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# Appendix B

Public Workshop Comments

R3



January 28, 2014

R3 Consulting Group  
Roseville, CA

RE: DNSWMA COMMENTS

Dear Colleagues:

I want to go on record that we are extremely pleased with the service at the Transfer Station. We visit it frequently as 1) homeowners in the Hiouchi area with loads of green "waste" and construction debris due to home and garage remodeling projects and 2) as managers of a non-profit organization (Smith River Alliance) which owns a Ranch on the South Fork Smith River and organizes "river clean-up" projects in both the Smith River National Recreation Area and Redwood National and State Parks.

Additional comments for your consideration:

- If it's not broken, don't fix it.
- Keep our rates down and services up.
- We appreciate that the DNSWMA is locally managed. We want to control our own destiny.
- Waste is a resource and garbage and recycling services are a necessity.
- Illegal dumping is a serious problem on our public lands. We look forward to continuing work with staff + the community to find and use grant + other funding to create a rate structure + programs that encourage participation.
- We appreciate that the DNSWMA is in it for the community ---- not in it for the profit of a business.

END JAN 28 2014

Thank you very much for your consideration of these comments. Please feel free to contact me if you'd like to discuss any of the above.

BTW, Conservation Solutions, Inc. was a lead contractor in the 1990's who assisted the DNSWMA with the master planning and permitting which led to the successful closure and remediation of the landfill off of Sand Hill Road. The Smith River Alliance website can be found at [www.smithriveralliance.org](http://www.smithriveralliance.org).

Sincerely,

A handwritten signature in black ink, reading "Grant Werschull", with a long horizontal flourish extending to the right.

Grant Werschull, President  
Conservation Solutions, Inc.  
[grant@conservationsolutions.biz](mailto:grant@conservationsolutions.biz)

Grant Werschull and Patty McCleary, Executive Director Team  
Smith River Alliance  
Home office: 707 458-3586  
Grant cell/voice: 916 715-9898  
[www.smithriveralliance.org](http://www.smithriveralliance.org)  
[grant@smithriveralliance.org](mailto:grant@smithriveralliance.org)  
[patty@smithriveralliance.org](mailto:patty@smithriveralliance.org)

Statement by Elizabeth Henry  
Del Norte Solid Waste Authority  
Public Hearing  
January 28, 2014

I am Elizabeth Henry, a County resident. I want to tell you briefly why I am here. Though I have lived in Mendocino County and served on the Board of Supervisors for 8 years and was a founding member of the Solid Waste Authority there in 1990, it is Del Norte County where I really feel at home. My family moved to CC 60 years ago, in 1954, and built our family home on Pebble Beach Drive in 1957. I love this area and am concerned about what happens here.

I am here today to support keeping the current structure of the Solid Waste Authority, and to ask that the position of Director be filled as soon as possible. Some think that the job of the Authority is finished – the landfill is closed, the transfer station is built, and recycling is established. A lot of progress has been made since 1993 – what's left to do? The success story of the Solid Waste Authority was built from the ground up under the leadership of two talented and hard-working people, the dedicated staff that worked with them, and a supportive community and board. The 50% recycling requirement set by the State has been reached and hazardous waste collection and many innovative programs established. The Authority team is respected throughout the state and have advocated for rural communities by belonging to and leading state-wide organizations. That is why the forced retirement of the Director is so puzzling.

But we are here now. What needs to be done? I think the idea of dissolving the Authority has been dropped but privatization still looms. According to Commissioner Wilson's statement quoted in the Triplicate: "There might be some scenarios or alternatives that are a combination of partial privatization while keeping the Authority."

The only scenario meeting that description is to replace the Authority's administrative, program and support staff with independent contractors which is a recipe for failure and should not be implemented in any form. The appeal of employing an independent contractor is that many believe the contractor costs less because of savings to health insurance and retirement benefits. But contractors are also in the business of making money and may cost the same or more. What is certain is that the community will lose several long-term, good-paying jobs.

Independent contractors are usually hired for task-oriented, short term projects like what the R3 consultants are doing. Being under the direction of the Authority Board will not work for the long-term. According to California's common law test, "the most important factor is the right of the principle to control the manner and means of accomplishing a desired result. The more control the employer has, the more likely the worker is an employee, not an independent contractor." Using an independent contractor would create a murky situation with stiff penalties for misclassifying. I don't want to go further into the weeds with this right now, but will be happy to provide Commissioners with a copy of the article by Methven & Associates from which I am quoting.

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The future of effective and efficient solid waste handling and expansion of recycling opportunities depends on a committed staff who live in our community, who know its people and their values. The future requires a solid foundation on which success can be built, not the shifting sands of negotiated contracts.

My last point in support of the current structure of the Solid Waste Authority is to look at a similar joint powers agreement that created the Border Coast Airport Authority which runs and maintains the airport facility. With your safety in mind, would you rather have short-term independent contractors run the airport facility than the two long-term full-time employees of the Airport Authority.

The collection and handling of the solid waste stream requires not only proper disposition, but also a vision and plan for how to implement recycling, reduction and reuse programs for the long-term recycling with increased participation. That will only be achieved with an intact Authority and qualified staff, including a Director.

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**January 27, 2014**

**To: R3 Consulting Group**

**Re: Evaluating Del Norte Solid Waste Management Authority**

My home and property border the closed landfill. Due to my proximity to the unlined decaying garbage mound, I and my neighbors have monitoring wells in our backyards. Every few months, a technician from the DN Solid Waste Authority comes on to our properties to test for emissions in order to determine if any toxic substances have escaped the garbage mound; gases like methane that could dissolve and seep into our groundwater and wells. Thanks to the diligence of the Authority, which keeps me informed, the regular testing has so far reported only negative results for pollutants; I deeply appreciate that this level of responsibility being carried out by the Authority in order to protect me and fulfill the state's legal requirement to monitor/manage the site for 30 years.

In the years since the landfill property has been closed, it has acted as magnet for illegal activity. Although secured by a locked gate, vandals have accessed the property. I've had to report two fires set by trespassers. On a regular basis, illegal dirt bike or ATV riders cut landfill fences to access the landfill property and the state park dunes that border it. The covered mound itself could be damaged and ripped opened by this reckless activity if perpetrators were not stopped. Whenever I've called 911 there has been a 24/7 response from Authority staff who are on emergency duty. They either show up themselves or law enforcement arrives on the scene within minutes.

If the Authority is privatized, who is going to take on this enormous liability and monitoring responsibility for the remaining decades as required by the state? Management of our waste stream needs to remain public where there will be oversight and accountability and not decisions based on profit motive. The DNSWMA Board needs to recognize and continue the excellent standards and high degree of professional and quality service, security and vigilance that is currently being provided by the Authority for our community.

Sincerely,

Susan Calla  
660 Sand Hill Road  
Crescent City, CA 95531  
707) 465-6191

ENTD JAN 28 2014

Bill Lonsdale  
135 Maple Tree Lane  
Crescent City, CA 95531  
707-465-5964

8 October 2013

**Subject:** Comments And Suggestions on Potential Consultant Work

Chair and Members of the Board  
Del Norte County Solid Waste Management Authority  
1700 State Street  
Crescent City, CA 95531

Dear Chairman Bnea and Members of the Board,

1. This is to provide some comments and suggestions on the Consultation Proposal distributed at your Board's last meeting. While I'm certain that the RFP and conversations between the Board Sub-Committee and prospective Consultants must have covered most points outlined below -- and likely many more, these are respectfully offered in the event that some may have fallen by the wayside during the run-up to the Consultant Proposal recommendation.
2. The following inquiry areas are suggested for coverage under the key tasks outlined by the pending proposal. They are by no means all-inclusive. Rather, they are aimed at gaining information and evaluations which your Board might take into account in wrestling with the question of the Authority's future. Additionally, I hope that answering them will move us closer to the "ten-year projection" view proposed in July by Commissioner Wilson.
  - Evaluate and make recommendations regarding cash controls and procedures.
    - Have the problem(s) contributing to apparent past cash losses been identified and resolved satisfactorily?
    - Will current procedures avert similar losses in the future?
    - Are accounting controls sufficient to identify any future problems as they occur?
    - Should responsibility for accounting be divided between the Authority and County Staffs? If so, how should the division be done?
    - If the Authority is dissolved, where should subsequent cash management and accounting be done? Is sufficient alternative staffing and expertise to take over functions now performed by Authority Staff?
  - Evaluate and make recommendations regarding Authority staffing patterns and needs.
    - What mandatory solid waste management functions must be performed by either the Authority or any successor entity to keep the County in compliance with *current* local, state and federal requirements?
      - Is current Authority Staffing and expertise appropriate to these required functions? If not, what increase or decrease is recommended?
      - Does sufficient staffing and/or expertise exist at the County or City level to assume these required functions, should the Authority be dissolved? If not, what additions would be required?

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- Would elimination of the JPA arrangement save the tax-payers money? If so, how? If not, why not?
  - Could the JPA function effectively in a manner similar to other Del Norte JPA's [*i.e.*, Executive Director and part-time clerical staff, supported by contractors][*see* Local Transportation Commission, Redwood Coast Transit Authority, Airport Board]?
    - If so, what functions would have to be performed by City or County staff?
    - Is it likely that such a configuration could meet the current operational, regulatory, policy and reporting requirements at a savings [after contracting costs] to tax-payers and rate-payers?
  - Evaluate the Executive Director (ED) position and make recommendations regarding the recruitment and appointment of an ED.
    - Given the responsibilities identified elsewhere in the Consultants' review, what is an appropriate, competitive salary and benefit range for a future DNSWMA ED?
    - What qualifications, experience and personal qualities are required to perform Executive Director (ED) functions in the Authority as it is now configured?
    - Is it appropriate or feasible for a future DNSWMA ED to perform both executive and operational functions currently divided between the ED and DirOps positions?
      - If not, why not?
      - If so, how would each position be affected? What, if any, savings could be expected?
    - If the JPA were to be reconfigured to an entity similar to other Del Norte JPAs, what qualifications, experience and personal qualities are required to perform Executive Director (ED) functions in that reconfigured Authority?
    - Given the uncertainties posed by the current proposal to dissolve the Authority and "privatize" its operations, what are the prospects of recruiting a fully qualified, experienced ED? What are the prospects of recruiting from within the Authority?
  - Evaluate and make recommendations regarding the rural operations in the Klamath and Gasquet communities.
    - What, if any, problems or shortcomings exist in the Authority's "rural operations?"
    - Which of any problems or shortcomings can be resolved without significant additional cost to the Authority?
    - Can the Authority's "rural operations" be "privatized?" With what cost savings?
    - If the Authority's "rural operations" are "privatized" which local government entity [*i.e.*, the Authority, the County, or the private entity] would be responsible for regulatory compliance and reporting?
3. Additionally, to allay any suspicions of "Consultant bias" by any element(s) of the Public following your Board's deliberation, I respectfully recommend that your Board sound out the prospective consultants on the nature of their relationship -- past and present -- with the Humboldt Waste Management Authority (HWMA).
- Some who are in favor of dissolving the Authority may be concerned that the association of one prospective Consultant with the HWMA may have biased her in favor of a well-staffed JPA to handle complex regulatory, management, and compliance issues.

- Some who are in favor of keeping the Authority in being may be concerned that some adverse relationship of one prospective Consultant with her former employer (HWMA) may have biased her against a well-staffed JPA to handle complex regulatory, management, and compliance issues.
  - It would be useful for your Board to explore these possibilities, and to have some statement on the record that neither of these concerns is warranted.
4. Thank you for your kind consideration of these observations and suggestions.

Respectfully,

s/Bill Lonsdale

Bill Lonsdale  
135 Maple Tree Lane  
Crescent City, CA 95531  
707-465-5964

22 October 2013

**Subject:** Comments and Suggestions on Proposed Consultant RFP

Chair and Members of the Board  
Del Norte Solid Waste Management Authority  
1700 State Street  
Crescent City, CA 95531

Dear Chairman Enea and Members of the Board,

This is to provide comments and suggestions regarding the Draft RFP, *Assessment of the Del Norte Solid Waste Management Authority*, to be considered at your Board's 23 October Meeting. Specific comments are presented in the order of item appearance in the Draft.

**General.**

This Draft RFP represents a considerable improvement over its predecessor in terms of its specificity and comprehensiveness..

Nevertheless, the scope of the Draft RFP appears constrained to only evaluation of the current Authority structure and performance. It does not treat the potential effectiveness and costs of the various alternatives which have been proposed during your Board's deliberations to date.

As a consequence, the Consultant(s) are not called upon, specifically, to provide independently-developed information that would be necessary to inform a Board decision to adopt alternative(s) such as: (a) dissolution and transfer of functions to County and/or City Staffs, (b) dissolution and replacement by private enterprise(s), or (c) dissolution and replacement by a smaller, contractor-supported JPA structure similar to the Local Transportation Commission, Redwood Coast Transit Authority, or the Border Coast Regional Airport Authority.

If such information on alternatives were not developed under this RFP, and Board were disposed to consider these -- or other -- alternatives, then additional Consultant work might have to be done to support that decision making. That would entail another RFP, perhaps new Consultant(s) -- with a potential learning curve -- and more delay. It seems more efficient and cost effective to develop the full range of decision support data and information under a single Consultant engagement.

*Respectfully recommend* that this RFP be expanded to include evaluation of potential alternatives to the current Authority structure and operations -- either as part of the current Consultant work, or as an optional "Phase 2," should your Board wish to proceed with consideration of alternatives.

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**Cash Controls and Procedures.**

Service description provides good coverage of the current situation. However, it omits consideration of alternatives, if the Authority were to be reduced or dissolved.

*Respectfully recommend* that the following specification be included in this category, or incorporated in an optional "Phase 2" task description:

"If the Authority is dissolved or downsized, where should subsequent cash management and accounting be done? Is alternative staffing and expertise sufficient to take over functions now performed by Authority Staff?"

**Day-to-Day Operations.**

Service description provides good coverage of the current situation. However, it omits consideration of alternatives, if the Authority were to be reduced or dissolved.

*Respectfully recommend* that the following specification be included in this category, or incorporated in an optional "Phase 2" task description:

" Should the Authority be dissolved does sufficient staffing and/or expertise exist at the County or City level to assume landfill-, transfer station-, and collection oversight-related functions? If not, what additions to their staffing would be required?"

**Organizational Structure.**

Task description provides good coverage of the current situation. However, it omits consideration of alternatives, if the Authority were to be dissolved.

*Respectfully recommend* that the following specification be included in this category, or incorporated in an optional "Phase 2" task description:

"Does sufficient staffing and expertise exist at the County and/or City level to assume policy development, regulatory compliance/reporting, rate setting, and enforcement, should the Authority be dissolved? Would separate City and County regulations, reporting, rate-setting and enforcement be required?"

**Director Position.**

Task description provides good coverage of the current situation. However, it omits consideration of alternatives, if the Authority were to be dissolved.

*Respectfully recommend* that the following specification be included in this category, or incorporated in an optional "Phase 2" task description:

"If the Authority were to be dissolved, where should the Director's functions be carried out?"

**Small Volume Transfer Stations.**

Task description provides good coverage of the current situation, and the possibility that such operations might be privatized.

*No recommendation.*

**Additional Comment.**

Both "tax-payers" and "rate payers" are referenced in several areas of the RFP. Since most of the tasks referenced could affect both segments of the population, respectfully recommend that the terminology be standardized, except where the specific impact is on one segment.

Thank you for your considerations of these observations and suggestions.

Respectfully,

s/Bill Lonsdale

<http://www.triplicate.com/Opinion/Letters/Letters-to-the-Editor-June-6-2013>

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 e-mail this

## Letters to the Editor June 6, 2013

Written by Del Norte TriPLICATE Readers June 07, 2013 01:43 pm

### **For-profit trash disposal wouldn't save us money**

As a resident of Del Norte County, I am perplexed by some members of the Board of Supervisors wanting to dissolve the Del Norte Solid Waste Management Authority.

As someone who does not make much money, it's the only place I can afford to dispose of my trash, brush and other household items.

At this point in time the transfer station's rates are being regulated by the non-profit Waste Authority. If it were to become a 100 percent privatized "for-profit" business, the rates, which would be unregulated, would surely increase.

Three county supervisors said the rates would decrease if it became privatized. Please explain to me how this is possible. For-profit means for-profit, that's the bottom line. This would make it very difficult for many residents to afford to dispose of their trash.

I also feel that it may cause more illegal dumping around the county.

The authority and transfer station staff do an amazing job and I feel that dissolving the authority would ruin one of the few things that actually works well in this county.

I don't even understand why dissolving the authority is even an issue to begin with.

Something smells fishy to me. If it ain't broke, don't fix it!

*Mary Beth Sampson, Crescent City*

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 e-mail this

## Letters to the Editor June 6, 2013

Written by Del Norte Triplicate Readers June 07, 2013 01:43 pm

### **Privatizing authority is of questionable legality**

At the joint supervisors/City Council meeting on May 21, county Supervisor Roger Gitlin stated publicly that he had received a confidential memo from legal counsel regarding the possible legal implications of privatizing the Solid Waste Authority due to a Costa Mesa case.

As a layperson, the case seems quite simple. The Costa Mesa City Council attempted to privatize many services to allegedly save money. The employees' union filed a lawsuit stating that according to California Government Code, a city is prohibited from privatizing city services that are not considered special such as legal, financial or engineering services.

The court ruled in favor of the employees' union. It reached the California Supreme Court in November and the decision is now case law. This means that it serves as legal precedent (binding or persuasive) for any future cases in which a California general city attempts to privatize non-specialized city services.

The cost to Costa Mesa was great. The City Council spent \$700,000 in legal fees and was forced to withdraw all pink slips. The court prohibited the layoffs from going forward until the case was resolved. Unfortunately, a maintenance worker, Huy Pham ended his life by jumping off the City Hall building after receiving his layoff notice.

When the majority of Del Norte citizens are expressing satisfaction and support for the services provided by the Solid Waste Authority, when the Triplicate has provided the figures showing that we pay *less* per unit weight than Curry County and when employees have desperately expressed the stress they and their families are experiencing with this unending game over their livelihood, why are supervisors Gitlin and Michael Sullivan spending time looking into privatization when the entire legality of doing so is highly questionable?

I do not believe that Del Norte citizens want to spend the legal costs to be the first county/city in which this Costa Mesa precedent may be applied? Let's stop traumatizing our citizens and put this issue to rest.

*Genevieve Bannie, Crescent City*

Solid Waste Authority / R3 Public meeting  
1/28/2014

First a thank you to the JPA commissioners and board of supervisors for getting some professional help in answering your persistent questions about the role and performance of the DNSWMA. And to that professional help, R3, I want to share that this episode in Del Norte politics has been a big waste of supervisors, commissioners, and the publics time, and we have already lost one of our most effective and intelligent public employees when the prior director resigned under duress last summer. I hope you can bring this episode to a logical end.

I also want to share a perspective on what further privatization of the authority would mean to our community.

Firstly, just 14% of monies taken in by the city and county via the SWA are devoted to supporting the public jobs of running our solid waste management, the other 86% already goes to private companies, namely Recology Del Norte and Hambro Waste Solutions Group and their subcontractors and cooperating businesses. What is left to privatize? The remaining jobs that the Authority does with their small PUBLIC share of OUR solid waste bills are truly public service jobs that COULD NOT BE DONE by a private entity whose motive is profit not benefit of services to the community. Let me give some examples.

1) The old landfill off Sandhill road is still the counties responsibility and liability. Authority staff have done an excellent job for the county in closing the landfill and monitoring water quality around it, and also in creating a cooperative and clear communication with the state water quality control board to keep us from getting additional fines. What private company (other than more expensive consultants) is going to work for the benefit of the county and land owners around the old dump like this?

2) Authority staff negotiated the current contracts with private companies for pickup and hauling of our recycling and waste. An outcome of this is they secured the lowest residential hauling rates in the region, they required that the haulers, Recology, provide recycling pickup and meet waste reduction mandates, and they created a progressive rate reduction program for businesses so that businesses rates go down if they increase the recycling component of their waste stream. A private entity in whatever form is in the business to make money, not to look out for the county and community as the authority has been doing in developing these

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contracts. Basically our local government needs to keep control and keep responsibility for this public service.

3) There is a host of other services the Authority provides to our community that are above and beyond what a private company would do. These include

Hazardous waste roundup

Reduced rates for brush, lumber, metals, and some electronics in keeping with their reduced cost of disposal to the county and haulers .

A large and growing list of recyclable materials that are taken out of the waste stream.

Educational programs to our schools and community on recycling, composting, and conservation.

Thank you

  
Craig S Strong

Submitted by Rita Schmitt

**DEL NORTE COUNTY / DEL NORTE SOLID WASTE MANAGEMENT  
AUTHORITY**

**Range: 24**

**JOB TITLE: REFUSE SITE ATTENDANT**

**DESCRIPTION OF BASIC FUNCTION:**

To perform daily operational duties at Del Norte Solid Waste Management Authority facilities, including the prompt opening and closing of the site; documentation, calculation and collection of fees, reconciling and making the deposits of the fees at the end of each work day.

**ESSENTIAL DUTIES:** Essential job duties may include any of the following tasks, knowledge, skills and other characteristics. The list that follows is not intended as a comprehensive list; it is intended to provide a representative summary of the major duties and responsibilities. Incumbent(s) may not be required to perform all duties listed, and may be required to perform additional, position-specific tasks.

- Performs daily preparation of the site including unlocking gates, ensuring bins are available for use, and performs facility-specific closing procedures at the end of the workday.
- Provides verbal instructions and pre-printed materials to the public regarding services, charges and proper procedures at Authority facilities.
- Measures quantities or volumes of materials disposed.
- Operates computer, software, scales, printers, card slider, signature pad, and customer displays as provided to record, communicate, and document transactions.
- Calculates and collects fees based upon the quantities, produces receipts and prepares deposit documentation.
- Reconciles cash, checks, credit or debit cards, and charges with receipts at the end of each shift, supported by reports and completed forms.

Completes forms and files of relevant records for possible auditing and verifications at a later date.

- Ability to use digital measuring tape and do rapid calculations.
- Ability to control cash flow and make change.
- Ability to collect and secure daily receipts.

Ability to calculate, record and compile basic statistics pertaining to daily activities at Authority facilities.

Ability to sweep, mop, clean and maintain Authority facilities and clean up trash and/or spills as needed.

- Ability to interact with general public in a courteous manner.

May require:

- Ability to work as much as 10 or 11 hours one, two or three days a week during certain times of year.

Minimum Qualifications:

- Graduation from high school or sufficient formal and/or informal education at a level necessary for successful performance of duties supplemented with course work in mathematics.
- Possession of a valid California Driver's License.

This work consists of unskilled and semi-skilled duties at a journeyman level.

**RESPONSIBILITY:**

Employees in this classification receive direct supervision within a framework of standard policies and procedures. Errors in work or judgment could result in unsightly condition of refuse site, loss of time and money, safety hazards to the public, and/or poor community relations.

**PHYSICAL DEMANDS:**

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with a disability

to perform the essential functions.

- While performing the duties the employee is regularly required to sit, stand, walk, hear, see, talk, drive and use hands and fingers.

- The employee is occasionally required to reach with hands and arms, and to stoop, kneel or crouch.

The employee may be required to lift objects up to 40 pounds and to operate a crank to open and close refuse bins.

- The ability to operate a keyboard/computer, calculator, copier, facsimile machine and like equipment is required.

## Transfer Station Gate Attendant Training Checklist

Topic / Activity / Procedure
Daily Bag: contents, use
Opening Gates, keys, alarm codes, alan head wrench
Scale operation, zeroing
Setting Inbound and Outbound scales
Use of ScaleCom and Scale Management System software
Use of slider and X-Charge software for processing debit and credit cards
Truck Codes
Customer Codes
Customer numbers & Locations
Material Types
Price Lists and other handouts for customers
Charge Account Procedures - Who Can Charge / Changes / Closed Accounts
Use of Signature Pad
Receiving payment by check : To, Amount, Address, Signature
Entering cash received, counting back change
Getting more change when you need it
Regular tickets
Split tickets
Adding undeclared materials to a ticket
When to write down the weight just in case...
Directing customers to brush, TV, HHW, concrete, asphalt, clean wood
Approval process for charging to DNSWMA
Sharps, electronics, flo tubes, household batteries
Asbestos polioies and bags, concrete <18" no steel, soil acceptance
Reuse Table, Liability release forms
Lunch & break policies
If the computer stops working...
Directing traffic: gates & lights
If the line gets too long...
Walkie talkies: talking to HWSG
Putting Daily tickets in order
Day End Reports
Balancing cash at end of day - Completing Daily Reconciliation Form
Regular Backup throughout the day
Alarming, locking up, bag in the drop box, leaving
TS Operations & Gate memos
Talking with customers / Candy and Dog Treats
Advising customers on tarping loads, pets
When customer don't have \$\$ to pay
If customers have a complaint or make you uncomfortable
Who to call for backup, who else to call if you get no answer
Safety: Vests, trip hazards
Keeping the gatehouse work area clean
Soaking up oil spots on the scale
Emergency Procedures
Explanation of Personnel Policies
Vacation request procedures
Monthly scheduling procedure
Completing, signing, and turning in time cards
How you get paid and/or reimbursed
<b>Gasquet / Klamath Training:</b>
Checking your equipment before you drive
Company truck usage and mileage reimbursement
Opening the small transfer stations
Cranking the lids open on the bins
Measuring space used in each bin
Measuring customer's loads & calculating charges
Writing receipts
Balancing at the end of the day
Locking Up & Returning your bag to the office



# Appendix C

CalRecycle Approved Regional Agency Members

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## Regional Agency Members

### Geographic Area Descriptions

<u>REGIONAL AGENCY NAME</u>	<u>JURISDICTION NAME</u>	<u>YEAR JOINED</u>	<u>YEAR LEFT</u>
Amador County Integrated Solid Waste Management Agency (Active)	Amador City	1997	Present
	Amador-Unincorporated	1997	Present
	Ione	1997	Present
	Jackson	1997	Present
	Plymouth	1997	Present
	Sutter Creek	1997	Present
Butte County Regional Waste Management Authority (Active)	Biggs	1997	Present
	Butte-Unincorporated	1997	Present
	Gridley	2002	Present
	Paradise	1997	2007
Calaveras County Regional Agency (Active)	Angels Camp	2005	Present
	Calaveras-Unincorporated	2005	Present
Central Contra Costa Solid Waste Authority (CCCSWA) (Active)	Danville	2009	Present
	Lafayette	2009	Present
	Moraga	2009	Present
	Orinda	2009	Present
	Walnut Creek	2009	Present
Colusa County Regional Agency (Active)	Colusa	1995	Present
	Colusa-Unincorporated	1995	Present
	Williams	1995	Present
Consolidated Waste Management Authority (Active)	Dinuba	1997	Present
	Exeter	2002	Present
	Farmersville	2002	Present
	Lindsay	1997	Present
	Porterville	1997	Present
	Tulare	1997	Present
	Tulare-Unincorporated	2006	Present
	Visalia	1997	Present
	Woodlake	2002	2005
	Contra Costa/Ironhouse/Oakley Regional Agency (Disbanded)	Contra Costa-Unincorporated	2001
	Oakley	2001	2009
Del Norte Solid Waste Management Authority (Active)	Crescent City	1995	Present
	Del Norte-Unincorporated	1995	Present
Glenn County Waste Management Regional Agency (Active)	Glenn-Unincorporated	1995	Present

	Orland	1995	Present
	Willows	1995	Present
Imperial Valley Resource Management Agency (Active)	Brawley	2006	Present
	Calexico	2006	Present
	Calipatria	2006	Present
	El Centro	2006	Present
	Holtville	2006	Present
	Imperial	2006	Present
	Imperial-Unincorporated	2006	Present
	Westmorland	2006	Present
Inyo Regional Waste Management Agency (Active)	Bishop	1995	Present
	Inyo-Unincorporated	1995	Present
Kings Waste and Recycling Authority (Active)	Corcoran	1995	Present
	Hanford	1995	Present
	Kings-Unincorporated	1995	Present
	Lemoore	1995	Present
Lassen Regional Solid Waste Management Authority (Active)	Lassen-Unincorporated	1995	Present
	Susanville	1995	Present
Los Angeles Area Integrated Waste Management Authority (Active)	Artesia	2003	Present
	Beverly Hills	2003	Present
	Bradbury	2011	Present
	Duarte	2003	Present
	Hermosa Beach	2005	Present
	Hidden Hills	2003	Present
	Los Angeles	2003	Present
	Lynwood	2003	Present
	Manhattan Beach	2003	Present
	Palos Verdes Estates	2005	Present
	Pomona	2003	Present
	Rancho Palos Verdes	2003	Present
	Redondo Beach	2003	Present
	Rosemead	2003	Present
	Sierra Madre	2003	Present
	South Gate	2003	Present
	Torrance	2003	Present
Marin County Hazardous and Solid Waste Management Authority (Active)	Belvedere	1995	Present
	Corte Madera	1995	Present
	Fairfax	1995	Present
	Larkspur	1995	Present
	Marin-Unincorporated	1995	Present
	Mill Valley	1995	Present
	Novato	1995	Present
	Ross	1995	Present
	San Anselmo	1995	Present

	San Rafael	1995	Present
	Sausalito	1995	Present
	Tiburon	1995	Present
Merced County Solid Waste Regional Agency (Active)	Atwater	1995	Present
	Dos Palos	1995	Present
	Gustine	1995	Present
	Livingston	1995	Present
	Los Banos	1995	Present
	Merced	1995	Present
	Merced-Unincorporated	1995	Present
Sacramento County/City of Citrus Heights Regional Agency (Disbanded)	Citrus Heights	1997	2006
	Sacramento-Unincorporated	1997	2006
Salinas Valley Solid Waste Authority (Active)	Gonzales	2013	Present
	Greenfield	2013	Present
	King City	2013	Present
	Salinas	2013	Present
	Soledad	2013	Present
San Benito County Integrated Waste Management Regional Agency (Active)	Hollister	1995	Present
	San Benito-Unincorporated	1995	Present
	San Juan Bautista	1995	Present
San Luis Obispo County Integrated Waste Management Authority (Active)	Arroyo Grande	1997	Present
	Atascadero	1997	Present
	El Paso De Robles	2003	Present
	Grover Beach	1997	Present
	Morro Bay	1997	Present
	Pismo Beach	1997	Present
	San Luis Obispo	1997	Present
	San Luis Obispo-Unincorporated	1997	Present
Santa Barbara Regional Integrated Waste Mgmt. Reporting Authority (Active)	Goleta	2003	Present
	Santa Barbara-Unincorporated	2003	Present
Shasta County Waste Management Agency (Active)	Anderson	1999	Present
	Shasta Lake	1999	Present
	Shasta-Unincorporated	1999	Present
Sierra County Regional Agency (Active)	Loyalton	1995	Present
	Sierra-Unincorporated	1995	Present
Siskiyou County Integrated Solid Waste Management Regional Agency (Active)	Dorris	1995	Present
	Dunsmuir	1995	Present
	Etna	1995	Present
	Fort Jones	1995	Present
	Montague	1995	Present
	Mount Shasta	1995	Present

	Siskiyou-Unincorporated	1995	Present
	Tulelake	1995	Present
	Weed	1995	Present
	Yreka	1995	Present
Sonoma County Waste Management Agency (Active)	Cloverdale	1995	Present
	Cotati	1995	Present
	Healdsburg	1995	Present
	Petaluma	1995	Present
	Rohnert Park	1995	Present
	Santa Rosa	1995	Present
	Sebastopol	1995	Present
	Sonoma	1995	Present
	Sonoma-Unincorporated	1995	Present
	Windsor	1995	Present
Stanislaus County Regional Solid Waste Planning Agency (Active)	Ceres	2001	Present
	Hughson	2001	Present
	Newman	2001	Present
	Oakdale	2001	Present
	Patterson	2001	Present
	Riverbank	2001	Present
	Stanislaus-Unincorporated	2001	Present
	Turlock	2001	Present
	Waterford	2001	Present
Tehama County Sanitary Landfill Regional Agency (Active)	Corning	1995	Present
	Red Bluff	1995	Present
	Tehama	1995	Present
	Tehama-Unincorporated	1995	Present
Upper Valley Waste Management Agency (Active)	Calistoga	1995	Present
	St Helena	1995	Present
	Yountville	1995	Present
West Contra Costa Integrated Waste Management Authority (Active)	El Cerrito	1995	Present
	Hercules	1995	Present
	Pinole	1995	Present
	Richmond	1995	Present
	San Pablo	1995	Present
Yuba/Sutter Regional Waste Management Authority (Active)	Gridley	1995	2000
	Live Oak	1995	Present
	Marysville	1995	Present
	Sutter-Unincorporated	1995	Present
	Wheatland	1995	Present
	Yuba City	1995	Present
	Yuba-Unincorporated	1995	Present
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Data updated continuously.

Local Government Central, <http://www.calrecycle.ca.gov/LGCentral/>  
Contact: [LAMD@calrecycle.ca.gov](mailto:LAMD@calrecycle.ca.gov), (916) 341-6199

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# Appendix D

Regulatory Requirements Overview

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## REGULATORY REQUIREMENTS AND PROGRAMS

### CALRECYCLE OVERVIEW (AB 939/SB 1016)

- Annual Report – The annual report describes the progress the Authority has made in achieving the requirements of the Integrated Waste Management Act (AB 939) and the Per Capita Disposal Measurement Act of 2008 (SB 1016). The annual report includes the numbers used to calculate a per capita disposal rate plus all required supporting documentation and attachment of any required documentation to support changes to those numbers. It also includes a status report on planned and implemented solid waste diversion programs and facilities, as well as planned or implemented revisions to approved solid waste planning documents.
- Diversion Programs – DNSWMA is responsible for the implementation and management of the diversion programs outlined in CalRecycle-approved planning documents (such as the Source Reduction and Recycling Element or an Integrated Waste Management Plan).
- Jurisdiction Review – Every two or four years (depending on compliance status), CalRecycle reviews the progress of each jurisdiction towards the goals of the AB 939 and SB 1016.
- Five-Year Regional Agency Integrated Waste Management Plan Review – Regional Agencies are required to prepare and submit to CalRecycle a Regional Agency Integrated Waste Management Plan (RAIWMP) that includes the Source Reduction and Recycling Element (SRRE), Household Hazardous Waste Element, and Non-disposal Facility Element. The SRRE includes identifying the amount of landfill and/or transformation capacity necessary to dispose of solid waste that cannot be reduced at the source, recycled, or composted.
- Household Hazardous Waste Collection Information – California regulations mandate that each public agency responsible for household hazardous waste (HHW) management shall ensure the amount of material collected through their program during the preceding reporting period is reported to CalRecycle each year.

### CALRECYCLE REQUIRED PROGRAMS

- Mandatory Commercial and Multi-Family Recycling (AB 341) – Requires jurisdictions to implement a commercial solid waste recycling program that consists of education, outreach and monitoring of businesses, that is appropriate for each given jurisdiction and is designed to divert commercial solid waste from businesses, whether or not the jurisdiction has met the AB 939 diversion requirement.
- Construction and Demolition Annual Reporting Requirement (PRC Section 41821) – Requires jurisdictions to include in the annual report a summary of progress made in diversion of construction and demolition of waste material, including information on programs and ordinances implemented by the local government, and quantitative data, where available.
- House Hold Hazardous Waste Program – As part of the Annual Report, each jurisdiction shall summarize the progress toward reducing or eliminating household hazardous waste (HHW). The report shall address, but not is not necessarily limited to, implementation status of selected programs, efforts made to inform the public of HHW collections events or facilities, and any barriers that may prevent the reduction or elimination of HHW disposal.

## REGULATORY REQUIREMENTS AND PROGRAMS

### CALRECYCLE PAYMENT PROGRAMS

- City/County Payment Program – Pursuant to the California Beverage Container Recycling and Litter Reduction Act, CalRecycle distributes \$10,500,000 to eligible cities and counties specifically for beverage container recycling and litter cleanup activities.
- Used Oil Payment Program – Provides funding assistance to local governments in developing and maintaining an on-going used oil and used oil filter collection/recycling program for their communities.

### TRANSFER STATION

- Prepare and submit hazardous waste business plan to the County.
- Coordinate with the County Department of weights and measures to calibrate and certify the accuracy of the scales used at the Del Norte County Transfer Station.
- Prepare and submit the PCI compliance report to assure that measures are in place to protect customer credit and debit card information.

### LANDFILL POST-CLOSURE PERMITTING, MAINTENANCE, MONITORING, REPORTING AND FINANCIAL ASSURANCE

CalRecycle/LEA/RWQCB (PRC 43500 - 43510) – Requires financial assurance of the closure and post-closure maintenance of solid waste landfills. In addition, all operators of Class II and Class III municipal solid waste landfill facilities are required to prepare and file a preliminary closure plan, a post-closure maintenance plan, and a partial final or a final closure plan and post-closure maintenance plan at time of filing for a permit or revisions of project or permit review or renewal.

Regional Water Quality Control Board (RWQCB) and CalRecycle/LEA share responsibility in ensuring long term protection of air, water, and land from pollution due to the disposal of solid waste.

#### RWQCB

- Water Quality
- Ground and Surface Water Monitoring

#### CalRecycle/LEA

- Cover Design
- Drainage and Erosion Control
- Gas Monitoring and Control
- Post-closure Land Use
- Slope Stability
- Construction Quality Assurance
- Site Security
- Structure Removal
- Gas Monitoring in Structures

#### North Coast Air Quality Management District

- Prepare and submit landfill gas heat capacity report and other documentation required.

## **REGULATORY REQUIREMENTS AND PROGRAMS**

### **CALIFORNIA REGIONAL WATER QUALITY CONTROL BOARD NORTH COAST REGION: ORDER NO. 97-90**

- By January 15 of each year, the permittee shall submit an annual report to the Regional Waste Board. The report shall contain both tabular and graphical summaries of the monitoring data obtained during the previous year. The annual report shall also discuss compliance and corrective actions taken or planned which may be needed to bring the facility in full compliance.
- Quarterly volumes or weights of municipal solid waste that are discharged at the site shall be reported to the Regional Waster Bard.
- The water level shall be measured in each well (monitoring wells as described in the Evaluation/Detection Monitoring Program) to determine the groundwater gradient and direction at least semi-annually.
- Representative samples of groundwater from each well shall be collected semiannually on the same schedule as the groundwater gradient sampling.
- Storm water – samples shall be taken three times per year in November, January and March upon receipt of more than one-half inch of rain in a 24-hour period whenever the cumulative rainfall for the preceding seven days was less than one-half inch.
- Surface water – Location S-1, S-2, and S-3 will be sampled in November, January, March, and August.
- Leachate Monitoring – The landfill shall be inspected for leachate seeps monthly during the period October through April.
- General Inspections - The landfill shall be inspected at least monthly (during storm period the landfill shall be inspected at least once per week) during the period October through April for erosion, drainage problems, cover integrity and ponding on top of the landfill.

### **INDUSTRIAL STORM WATER GENERAL PERMIT**

- All facility operators must prepare, retain on site, and implement a Storm Water Pollution Prevention Plans (SWPPS). The SWPP has two major objectives: (1) to help identify the sources of pollution that affect the quality of industrial storm water discharges and authorized non-storm water discharges, and (2) to describe and ensure the implementation of BMPS to reduce or prevent pollutants in industrial storm water discharges and authorized non-storm water discharges.
- All Facility operators are required to:
  - Perform visual observation of storm water discharges and authorized storm water discharges; and
  - Collect and analyze sample of storm water discharges

### **LOCAL REQUIREMENTS**

- Planning, siting, permitting, developing, constructing, maintaining, managing and providing gate attendants for public disposal sites, transfer stations, and/or sanitary landfills, and planning for and securing the services of necessary non-disposal processing facilities or other options related to recovering discarded resources and processing those materials to increase their value;

## **REGULATORY REQUIREMENTS AND PROGRAMS**

- Preparing, implementing, and providing related monitoring, reporting, updates and revisions for programs of Regional Agency Integrated Waste Management Plan as required under the California Integrated Waste Management Act of 1989 as amended (California Public Resources Code commencing with section 40050), including programs related to used motor oil, oil filters, and household hazardous wastes and other materials and products banned from mixed waste disposal;
- Defining and monitoring the service standards for collections of discards in the incorporated and unincorporated area of County and the ability to grant franchises for waste hauling and/or collection and processing of mixed recyclable materials, in its discretion;
- Exercising all setting and controls on maximum rates to be charged to the public for discard collections services, and solid waste and recycling services in Del Norte County, and other appropriate powers reasonable necessary to carry out the purpose of this Agreement, including securing disposal capacity for Del Norte County residents, agencies, and businesses as required under Public Resources Code sections 41701 and 41703;
- Developing, securing adoption, and implementing Ordinance and programs to control and prosecute illegal dumping and blight in Del Norte County associated with solid waste accumulation and storage; and
- Post-closure maintenance, monitoring, reporting and remediation related to the Crescent City Landfill as required by relevant Orders from the Regional
- Comply with relevant provisions of laws and regulations pertaining to public meeting, ordinance adoption, and governmental operations of a public agency.

# Appendix E

Executive Director Activities  
Program Manager Activities

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# Staff Report

**Date:** 21 January 2014  
**To:** Colin Wallace, William Schoen & Sam Chandler of R3 Consultants  
**From:** Tedd Ward, M.S. – Acting Director / Program Manager  
 Del Norte Solid Waste Management Authority

Having sampled the former Director's Work Activities in a separate report, the following table indicates my best estimate of the approximate proportion of time he spent annually on the categories of activities I outlined in that prior report. Considering that there was little time for transition or training, I believe that it is likely that I have missed some activities of this position, as I continue to discover issues that the former Director formerly handled.

Work Focus Areas	Approx. % of Time	Activities	Comments
<p><b>Budget Planning, Administration &amp; Audits</b></p> <p style="text-align: center; font-size: 2em;"><b>22 %</b></p>		<p>Projecting budget changes for next fiscal year, draft budget for Authority review. Presenting budget for comment by City Council and DNC Supervisors, return to Authority for adoption. Projecting and monitoring expenditures by budget line. Setting and monitoring fiscal policies and controls as needed. Justifying fees, rates, and charges. Preparing budget transfers and modifications as needed. Seeking Board approval for claims over \$5K. Reviewing and signing claims and supporting documentation within budget and approval limits. Preparing and submitting accounts receivable and other forms for DNC Auditor's office. Reviewing unpaid balances, projecting anticipated revenues. Monthly reporting on revenues, comparing to projections. Preparing and submitting information associated with annual reconciliation of Authority's accounts with County Auditor and external auditor's requests and requirements. Directing staff procuring supplies and equipment so as to stay within budget limits. Preparing California Annual Compensation report. Funding and reporting as needed regarding Other Post Employment Benefits (OPEB). Contracting and preparing reports for annual external audits, and responding to any issues identified therein.</p>	<p>I have been working closely with the Authority Treasurer / Controller on budget and finance issues, but I am still learning. As the Authority records are on an accrual basis, and the County is on a modified cash basis, Commissioners have expressed frustration about the lack of timely fiscal information from the County regarding Authority revenues and expenditures. I am concerned that though I have much to learn on these issues, I have had little time to track income and expenses, and have not been able to project future expenses and income at all. I am concerned that budget tracking is not getting enough attention at this time. While the Authority Treasurer wants to help, budget management really must be done by one who understands the Authority's program needs. I have been working with Isabel and the Treasurer to establish and monitor additional cash control procedures and to move towards parallel accrual and cash accounting using Quickbooks, which I hope will enhance our fiscal management.</p>

Work Focus Areas	Approx. % of Time	Activities	Comments
<p><b>Personnel Direction, Management, Negotiation &amp; Reporting</b></p>	<p>22 %</p>	<p>Direction and management of staff to meet all program goals, objectives and deadlines, and to ensure smooth operation of three transfer stations and various special public service and outreach events. Setting staff schedules for all employees to assure coverage, lunch and breaks as required. Matching staffing to Board direction and regulatory requirements. Providing regular evaluations for the performance of each employee. Negotiating as needed with employee and/or union representatives. Completing personnel action forms. Working with DNC Personnel Department in hiring of new employees, review of job classifications to match DNC pay scales. Coordinating with County Personnel as needed to enable Authority staff to maintain information regarding and access to benefits, periodically confirming compliance with Worker's Comp coverage requirements, accuracy of payroll deductions. Completing incident reports and documentation when employees have a work-related injury. Coordinating attendance for staff and training meetings.</p>	<p>Scheduling is being done by Administrative Assistant Isabel Valdez. We generally work together on vacation requests and staff evaluations. Both Isabel and I work with DNC Personnel for new hires and when there are questions related to workers comp, benefits, or other personnel issues. I conduct nearly all staff and safety meetings. We have not yet had any worker injuries since the former Director's retirement.</p>
<p><b>Authority Board Communications &amp; Meetings</b></p>	<p>18 %</p>	<p>Meeting with Chair to set agenda. Coordinating with DNC and contractors for agenda reports and documents, producing or directing staff to produce reports as needed. Communicating with Commissioners as needed on upcoming items. Arranging for meeting, posting, printing and distributing agendas, attending meeting. Following up based on Board direction, directing filing of reports, minutes, resolutions, and ordinances. Review of minutes from prior meeting. Coordinating with legal counsel to follow legal and accepted meeting notice and procedural requirements and practices.</p>	<p>These duties have flowed entirely to me, though I am supported by our Recording Secretary, and Authority staff assists with the printing and assembly of the Board agenda binders. I am taking steps to distribute most agendas via iPads starting in April, in hopes that this will reduce the amount of time needed to print and distribute agendas.</p>

Work Focus Areas	Approx. % of Time	Activities	Comments
<p><b>Representing Authority in Interactions with other Agencies and Organizations</b></p>	<p><b>14%</b></p>	<p>Ensuring Authority compliance with laws, regulations, and satisfying (and/or negotiating with) regulatory agencies. Discussing alternative approaches toward compliance with oversight agencies (RWQCB, CalRecycle, AQMD, LEA, etc.), such as the current investigations to potentially reduce the WDR Fees imposed by the RWQCB. Communicating and meeting with member and advisory groups such as the Del Norte Solid Waste Task Force, ESJPA, CPSC, CAW, CRRRA, SWANA, etc. to remain informed regarding best available compliance practices and upcoming changes in law and regulation. Promoting Authority-supported policies like extended producer responsibility to reduce program costs and/or expand recovery services. Communicating Authority policies and actions, as well as City, County and tribal boards and departments.</p>	<p>These tasks have shifted completely to my responsibility, but I have little time available to communicate with out-of-County groups. Continuing affiliation with colleagues through ESJPA, CPSC, CRRRA, and SWANA improves staff training and awareness of policy and program alternatives, new regulatory requirements. Reduced interaction with these groups diminishes the capacity to address and comment on new recovery systems such as those administered by CARE or PaintCare. The Authority's active participation with CPSC has helped establish these programs and helped make them more practical for rural communities like Del Norte's.</p>
<p><b>Public and Press Relations &amp; Advertising</b></p>	<p><b>7%</b></p>	<p>Managing all advertising accounts (mostly DOC or oil grant funded) to promote Authority programs and activities, matching contracts with budgets, drafting outreach themes, messages, and media or venues. Producing public service announcements, ad copy, press releases, and guest editorials as needed. Acting as press officer for the agency, communicating with reporters on Authority-related issues and articles.</p>	<p>These tasks have shifted to my responsibility, but I have almost no time to conduct or manage the efficiency or effectiveness of our media outreach, which is primarily funded under DOC and OPP grants.</p>

Work Focus Areas	Approx. % of Time	Activities	Comments
<p><b>Contract Administration &amp; Negotiation – Insurance &amp; bonds</b></p>	<p><b>6 %</b></p>	<p>Translation of policy objectives, rates and fiscal controls, into written provisions in Service Standards, Scopes of Work, Requests for Proposals, Invitations to Bid, Contracts, Change Orders, Ordinances and Resolutions. Reviewing regular reports from contractors. Primary oversight of Transfer station(s) operations and Franchise Collections and contracts, as well as those for legal counsel, recording secretary, external Auditor and Treasurer services. Providing interpretation of contract provisions and rationale for Authority policies therein. Confirming that reporting, insurance and bond requirements of such agreements are current. Providing initial negotiation for Change Orders. Coordinating with legal counsel as needed for contract review and ratification.</p>	<p>These responsibilities have become completely mine. The need for time and focus on policies and language for contracts and change orders varies depending on circumstance and direction from the Board. I have not yet had time to review the compliance with contractor reporting, insurance and bond requirements of our agreements to determine if they are current.</p>
<p><b>Grants – DOC, OPP, HHW, Reuse, etc.</b></p>	<p><b>5 %</b></p>	<p>Securing DOC block grants and OPP grants through CalRecycle, including adoption of Authorizing Resolutions by the City, County and Authority. Reviewing Notifications of Funding Availability for competitive grants fitting the needs of the Authority. Directing approaches, strategies and resources as needed to secure, implement, and monitor grant-funded programs. Compiling and submitting reports, reimbursement requests, and associated documents as needed.</p>	<p>These responsibilities have become mine, though I have less time to work on these programs than I did prior to the Director's retirement. At this time, the Authority does not have adequate staff to apply for a competitive grant.</p>
<p><b>Facility &amp; Equipment Management – Financing, Maintenance &amp; Insurance</b></p>	<p><b>4 %</b></p>	<p>Directing staff to identify, select and procure equipment, a vehicle, supplies, and technology as needed. Planning and budgeting for maintenance, insurance, and inventory requirements as needed. Document depreciation expenses as required. Coordinating with Hambro/WSG regarding transfer station improvements, maintenance activities and priorities.</p>	<p>These responsibilities have become mine. I work closely with employee Chuck Steel regarding vehicle repair and maintenance, and with consultant Shawn Slater regarding technology and software. I have not yet documented depreciation expenses nor even reviewed our regular maintenance activities.</p>

Work Focus Areas	Approx. % of Time	Activities	Comments
<b>Ordinances, Code Enforcement, Community Cleanup and Blight Abatement</b>	<p style="text-align: center;">2 %</p>	Referring or responding to complaints regarding solid waste-related blight and illegal dumping. Coordinating cleanup efforts with Code Enforcement Officer, emphasizing compliance rather than penalties. Coordinating with volunteers and community groups for targeted and/or annual cleanups. Coordinating allocation of Authority-directed bin pulls for community cleanups. Facilitating community discussions regarding adopting or revising Authority Ordinances as needed.	DNSWMA has made few referrals to the Code Enforcement Officer in the past six months. Most recent activity on this issue has been driven by the Solid Waste Task Force, which appears very interested in repealing one or more of these Ordinances. Ordinances are also required for all new rates, such as those for certified weights should the Authority Board direct staff to provide public scale services.

The comments in the table above indicate in part how current staff have adapted since the retirement of the former Director, but I do not wish to imply that current staffing is adequate or sustainable. I intend to provide separate comments regarding appropriate staff responsibilities and cross-training, and current and potential alternative organizational structures.

## Staff Report

**Date:** 15 January 2014  
**To:** William Schoen, Sam Chandler & Colin Wallace  
R3 Consulting Group  
**From:** Tedd Ward, M.S. – Acting Director / Program Manager  
**Subject:** Director Activities during three sample weeks

You asked that I prepare a summary of my perception of the regular activities of the Director prior to his retirement, with approximate percentages of time devoted to each category of tasks over the course of a year. The mix of activities has varied week to week, seasonally, and year-to-year, and is subject to change based on the direction and priorities set by the Authority Board.

Though we had worked together for nearly 20 years, the former Director managed our work activities so neither Isabel nor I had overlap or cross-training on many of the former Director's activities. For a couple of examples, Mr. Hendrick managed all of our media accounts, and he would usually draft and record all radio ads, as well as providing interviews for reporters. Similarly, I have had virtually no dealings with any insurance company, and so I am unfamiliar with our levels of coverage, potential providers, or any comparisons that may have been made prior to contracting with our current insurers. Though these responsibilities have shifted to me, I lack the capacity with the Authority's current staffing to devote the same level of effort to these tasks. As there were less than 48 hours between the time I was informed of the former Director's immediate retirement and his departure, there was almost no time for training or preparation for this transition.

In an attempt to provide R3 with thorough information based on our records, I have been reviewing electronic files and e-mails from the former Director's computer during three sample weeks in the four months prior to the former Director's retirement. As Authority staff activities follow a monthly cycle related to our monthly Authority meetings, I selected three weeks that fall in the beginning, middle, and end of those months. Though I have also included an overview of the activities of the Director that would not necessarily result in a paper or electronic record, it is worth noting that not all of the Director's activities would be captured in these descriptions alone. Some

activities related to budget and rate setting are periodic and did not occur in the sample weeks, and others such as competitive grants or specialized contracts may not occur on a regular annual schedule. For these reasons, I have prepared a separate report of the Director's Work Breakdown in which I try to include a description of the annual and periodic activities in each of the Director's work areas.

To assist in this analysis, I have grouped the Director's activities into the following categories:

- Authority Board Communications and Meetings
- Budget Planning, Administration & Audits
- Personnel Management, Direction, Negotiation & Reporting
- Public and Press Relations and Advertising (promotions of used motor oil and beverage container recycling programs, household hazardous waste collection events, as well as community cleanups and solid waste related information)
- Representing Authority interests to other Agencies and Organizations
- Contract Administration and Negotiation - Insurance and Bonds
- Facility & Equipment Management - Financing, Maintenance & Insurance
- Ordinances, Code Enforcement, Community Cleanups and Blight Abatement
- Grants - DOC, OPP, HHW, Reuse, etc.

**General activities of the Director that did not result in electronic or written records:**

The notes on weekly activities describe those activities of the Director that have a paper or electronic record in the Authority's files for only the three weeks that I had reviewed. Many regular activities of the Director would not result in separate paper or electronic records during those weeks, but any of these could have occurred during the sample weeks, including the following:

- **Authority Board Communications and Meetings**
  - Drafting documents, reports, letters, or spreadsheets that are revised at a later date
  - Reviewing, editing and/or commenting on documents prepared by other Authority staff, legal counsel or contractors
- **Budget Planning, Administration & Audits**
  - Projecting expenses in various budget lines to manage grant budgets, draft future budgets or anticipate need for budget transfers
  - Acting as the fiscal watchdog for the agency, making sure that Authority resources and assets are used appropriately, and charges paid by the Authority are justified in budget, by Board approval, and documentation
  - Research and tracking of revenues and expenditures from Authority

- budget lines on the County intra net, and reconciling Authority and County records, and investigating discrepancies as appropriate
  - Investigations related to Authority revenues, franchise fees, customer accounts, and collections to assure that Authority revenues from Recology Del Norte are appropriate and justified
  - Making all necessary presentations to the City of Crescent City and the County of Del Norte regarding the annual budget, Authority Ordinances, or topics of overlapping concern or jurisdiction
- **Personnel Management, Direction, Negotiation & Reporting**
  - Conversations with Authority employees, agency representatives, and contractors about hours, scheduling, medical or personal issues, and personnel procedures
  - Managing staff tasks, priorities and workloads, directing use of additional contractors when needed such as for some computer support, recording secretary services, or forensic auditing
- **Public and Press Relations and Advertising**
  - Responding to customer questions or easily remedied complaints
- **Representing Authority interests to other Agencies and Organizations**
  - Non-conference call phone communications
  - Face to face meetings with Board members, City or County employees, agency representatives, contractors, or community groups like Rotary as needed or requested
- **Contract Administration and Negotiation - Insurance and Bonds**
  - Assuring that contract provisions regarding bonds, insurance, etc. continue to be met
- **Facility & Equipment Management - Financing, Maintenance & Insurance**
  - Responding to solicitations from suppliers or vendors, or comparison shopping for equipment or supplies
  - Assessing and balancing needs for maintenance at Gasquet and Klamath transfer station with budget constraints
  - Periodic inspections of all facilities
  - Assessing and balancing security and alarm needs at the Del Norte County Transfer Station with budget constraints
  - During periods when vacations or medical issues diminished staff availability, the former Director did on rare occasions serve as gate attendant at Gasquet or Klamath
- **Ordinances, Code Enforcement, Community Cleanup and Blight Abatement**

- In response to complaints regarding illegal dumping and blight abatement: Assessment and oversight of cleanup activities, and periodic approvals waiving disposal charges for volunteer cleanup efforts, frequently in coordination with code enforcement and law enforcement officials
- **Grants - DOC, OPP, HHW, Reuse, etc.**
  - Review of Notices of Funding availability regarding competitive grants for which – subject to Board direction and approval - the Authority could apply, to see if any such opportunities could enhance or expand existing, or establish future, programs or facilities

### **The Three Weeks Sampled:**

#### **Director Kevin Hendrick's work activities for 18-22 March 2013:**

- **Authority Board Communications and Meetings**
  - Oversaw the printing, assembly and distribution of the agendas and attachments for the Authority meeting of 26 March 2013,
    - <http://www.recycledelnorte.ca.gov/wp/wp-content/uploads/2011/10/130326-DNSWMA-Agenda1.pdf>
    - Reviewed Draft Minutes & all Financial/Treasurer's Reports
    - Reviewed and edited all staff reports prepared by the Program Manager
    - Prepared a report regarding Authority revenues
  - Produced a Staff Report regarding the selection of the Authority Public Commissioner
  - Prepared and had printed in the Del Norte Triplicate a notice regarding the application period for those interested in being appointed as the Authority Public Member
- **Budget Planning, Administration & Audits**
  - Reviewed Budget Instructions and Schedule from Del Norte County
  - Projected personnel changes for coming fiscal year
  - Reviewed budget for Hi-Tech Security, considered modifications
- **Personnel Management, Direction, Negotiation & Reporting**
  - Prepared work schedule for all employees for April 2013
  - Prepared staff report on potential longevity increase for Director
  - Projected personnel changes for coming fiscal year
  - Worked on case review for Worker's Comp case for Andrea Wadsworth
  - Arranged for Orientation training of Lisa Babcock and Keith Estes
- **Public and Press Relations and Advertising**
  - Coordinated production of ads related to Earth Arts Fair, one of the Authority's primary face-to-face outreach events
  - Coordinated art and T-shirt printing for Earth Arts Fair

- **Representing Authority interests to other Agencies and Organizations**
  - Communications regarding possible dates for Solid Waste Task Force meetings
  - Attended 3/21/13 meeting in Sacramento of the Environmental Services JPA of the Regional Council for Rural Counties
  - Participated in conference call for California Product Stewardship Council, for which Director Hendrick served as President
- **Contract Administration and Negotiation - Insurance and Bonds**
  - Reviewed Abandoned Vehicle Abatement Agreement (DNSWMA Board also serves as AVA Board)
  - Added Keith Estes to Authority's automotive insurance policy
- **Facility & Equipment Management - Financing, Insurance, and Maintenance**
  - Reviewed insurance coverage and cost estimates for wall repair after break-in at DNC Transfer station on 10 March 2013
  - Made second request for CARE collection of full carpet trailer

**Director Kevin Hendrick's work activities for 06-10 May 2013:**

- **Authority Board Communications and Meetings**
  - Communications related to items on May DNSWMA agenda
- **Budget Planning, Administration & Audits**
  - Submitted proposed Authority Budget to DNC Auditor
  - Updated report on Authority Revenue
  - Responded to notice that budget line 20237 was overdrawn
  - Submitted proposed FY 13/14 DNSWMA Budget
- **Personnel Management, Direction, Negotiation & Reporting**
  - Reviewed MOU from SEIU to cover Mid-Management Employees
- **Public and Press Relations and Advertising**
- **Representing Authority interests to other Agencies and Organizations**
  - Conferred with Program Manager regarding approach to responding to concerns expressed by Gino Yekta of CalRecycle re. erosion issues at Crescent City Landfill
  - Reviewed Pledge of Revenue Agreement for CalRecycle
  - Directed Program Manager to prepare a letter to CalRecycle requesting a reduction in the multiplier used to calculate post-closure liability for the Crescent City Landfill
  - Participated with California Product Stewardship Council conference call as President
  - Attended Solid Waste Task Force meeting of 09 May 2013
  - Participated in conference call regarding PaintCare contract negotiations and services with other members of the Environmental Services Joint Powers Authority of the Regional Council of Rural Counties

- **Contract Administration and Negotiation - Insurance and Bonds**
  - Reviewed Engagement letter with forensic auditor Don Scanlon
- **Facility & Equipment Management - Financing, Insurance, and Maintenance**
  - Met with DNC Engineer Jim Barnts, DNC Roads Dept. Director Jeff Daniels, LEAs Houawa Moua and Brian McNalley, and Program Manager Ward at the Crescent City Landfill to discuss repair strategies and financing
  - Reviewed erosion repair plan for Crescent City Landfill
  - Renewed office / general liability insurance with Redwoods / Leavitt
  - Coordinated removal of fallen trees at the Klamath Transfer Station
- **Ordinances, Code Enforcement, Community Cleanup and Blight Abatement**
  - Conferred with DNC Code Enforcement Officer (and Boy Scout Troop Master) Dave Mason re. WalMart Cleanup
  - Approved use of Authority-directed bin pulls to support 4<sup>th</sup> of July celebrations coordinated by the Chamber of Commerce
- **Grants - DOC, OPP, HHW, Reuse, etc.**
  - Communicated with CA Dept. of Conservation, Division of Recycling regarding payment delays associated with their grant programs

**Director Kevin Hendrick's work activities for 24-28 June 2013:**

- **Authority Board Communications and Meetings**
  - Authority Board meeting on 25 June 2013, minutes attached
- **Budget Planning, Administration & Audits**
  - Board meeting included presentation on the proposed FY 13/14 budget
  - Submitted budget revisions following DNSMWA meeting
  - Began planning for purchase of new server as Microsoft support for XP and other software will expire in April 2014
- **Personnel Management, Direction, Negotiation & Reporting**
  - Calculated contributions for Other Post-Employment Benefits (OPEB) for required reporting
- **Public and Press Relations and Advertising**
  - Directed production of and reviewed Authority advertisement in special supplement printed by the Del Norte TriPLICATE for the 4<sup>th</sup> of July activities
- **Representing Authority interests to other Agencies and Organizations**
  - Correspondence with DNC Maintenance Director Ed Fulton and Recology Del Norte regarding materials left outside streetside containers
  - Reviewed the stewardship plan submitted by the Carpet America Recovery Effort (CARE) regarding carpet recycling in California
- **Contract Administration and Negotiation - Insurance and Bonds**
  - Reviewed Hambro/WSG Bond
  - Arranged to present Authority Ordinance 2013-01 for consideration by the Crescent City Council and the Del Norte County Board of Supervisors

- **Facility & Equipment Management - Financing, Insurance, and Maintenance**
- **Ordinances, Code Enforcement, Community Cleanup and Blight Abatement**
  - Conferred with DNC Code Enforcement Officer Dave Mason regarding the closing of an account associated with a grant-funded project
- **Grants - DOC, OPP, HHW, Reuse, etc.**

## Staff Report

**Date:** 27 April 2012  
**To:** Kevin Hendrick, Director  
**From:** Tedd Ward, Program Manager  
**Subject:** Program Manager Activities

You asked that I prepare a summary of my regular activities as Program Manager for the Authority, with approximate percentages of time devoted to each category of tasks over the course of a year. The mix of activities can and does vary week to week, seasonally, and year-to-year, and is subject to your direction. As a reference, I have also attached the job description describing the duties of this position.

Work Focus Areas	Approximate % of Time	Activities
<b>Transfer Station</b> Operations, Computer & software maintenance, Safety, Permitting, Monitoring and Reporting, Stand-by and staffing	40 %	Assessment and troubleshooting of all computer, scale, internet, security and surveillance systems, credit card or software issues. Permit compliance and reporting to CalRecycle, DTSC, and the North Coast RWQCB. Stormwater monitoring. Staff safety procedures, training and monitoring. Operations contract oversight, negotiations, and change orders. Implementation of new or modified programs and procedures. Permit compliance and facility maintenance for Gasquet and Klamath Transfer Stations. Tonnage, rate, and customer analysis as required. Regular weekend stand-by duties and gate staffing as needed. Response to customer inquiries and complaints.
<b>Landfill Maintenance,</b> Repairs, Water sampling, Monitoring, Reporting, & Analysis	20 %	Sampling, analysis, and reporting of surface, storm, and ground water monitoring. Coordination with County staff assisting with collection of water samples. Landfill gas monitoring. Permit compliance and reporting to the NCRWQCB and CalRecycle. Maintenance troubleshooting, grading, and repairs as needed. Ordering supplies and coordinating annual vegetative maintenance. Annual liability assessments according to State formulas as part of annual Authority audit.

<b>Work Focus Areas</b>	<b>Approximate % of Time</b>	<b>Activities</b>
<b>Integrated Waste Management Act</b> Program development, Monitoring, Reporting and Compliance, Website maintenance, Outreach. Coordination and staffing of Annual HHW Event	<b>9 %</b>	Development of new programs as needed. Preparation and distribution of outreach materials (booklets, flyers and posters) and website updating. Support to Del Norte Solid Waste Task Force meetings and activities. Monitoring, analysis and annual reporting to CalRecycle. Coordination with and reporting to Local Enforcement Agent. Outreach activities at fairs, in classrooms, and at compost workshops. Contract management, coordination, staffing, and signing of manifests for Annual HHW Event. Monitoring and reporting to DTSC regarding hazardous waste management. Coordination with partners in North Coast Recycling Market Development Zone as needed.
<b>Grants</b> Applications, Activities and Reporting	<b>19% *</b>	Identification of grant opportunities supporting Authority programs or needs. Preparation of discretionary grant applications and resolutions, under Authority direction. Grant execution, and administration. Tracking expenditures, monitoring and reporting for used oil and container recycling programs, and other active discretionary grants.
<b>Authority-related Meetings, Analysis, Reports, and related activities</b>	<b>10 %</b>	Analysis and preparation of reports for Authority meetings. Research, explanation, analysis and strategies and for compliance with new requirements. Assist with preparation of minutes. Posting of agendas and minutes to website. Contract management and drafting of change orders, coordinated with legal counsel as needed. Legislative monitoring. Assist with drafting of annual work plan summarizing legislative requirements and standing Authority direction to staff. Drafting formal correspondence with oversight agencies as needed. Coordination with Code Enforcement Officer on enforcement actions related to Authority Ordinances.
<b>Collections</b> Planning, Coordination, Monitoring, Analysis, Change Orders	<b>2 %</b>	Administration of collections franchise including coordination with Authority direction and activities, negotiations, drafting of change orders, review of regular Franchise reports. Responding to customer inquiries and complaints.

\* This proportion of time is based on the analysis presented at the April 2012 Authority meeting. With the ending of the HD18-09-06 grant program, this proportion of time can be expected to be reduced in the coming year. As grant-related activities generally support compliance with the Integrated Waste Management Act, the proportion of time under that work focus area can also be expected to increase in the coming year.

# Staff Report

**Date:** 29 October 2009  
**To:** Kevin Hendrick, Director  
**From:** Tedd Ward, Program Manager

**Subject:** Work activities for the week of 24 October 2009 -01 November 2009

In response to your request for me to provide a list of activities of a 'typical work week,' the following is a list of my activities since 24 October 2009:

## **Saturday, 24 October 2009:**

Published in **the Daily Triplicate** , in their 'It's a Green Day' supplement, the following items I produced:

- Full page color ad, 'Signs of the Times'
- Guest Article: 'Stemming the Plastic Tide'
- Guest Article: 'Stuck with Sharps, Charged by Batteries'
  
- During 'It's a Green Day' DNSWMA booth administers surveys I produced, distributing sharps containers obtained through a grant I manage with the California Integrated Waste Management Board, distribute a variety of informational brochures and materials, most of which I produced.
  
- Set up slide show, equipment, etc.
- Presented slide show, talk, and demonstration of Backyard Composting
- Helped clean up DNSWMA booth and pack materials into boxes

## **Monday, 26 October 2009:**

- Finalized and sent via FTP site PowerPoint presentation on 'Transitional EPR Programs' to Sac State event coordinator for Used Oil /HHW Conference in Sacramento Nov 2-4
- Worked on text of presentation listed above
- Sent announcement that next Solid Waste Task Force meeting would likely be during the week of Nov 16-20 due to limited availability of some members and Veteran's Day
- Sent e-mail to California Product Stewardship Council that we received the Notice to Proceed on the \$400,000 HD18F grant from the California Integrated Waste Management Board (CIWMB)
- Reviewed minor revisions to \$360,000 contract with CPSC for administration of HD18F grant with CIWMB suggested by CPSC legal counsel.
- Spoke with customer regarding concern about interaction with gate attendant the previous Saturday.
- Met with Clean Harbors collection vehicle and driver, discussed collection of rancid container of teat relief and two buckets of grease collected during the prior HHW collection event. Signed chain of custody. Coodinated the entering of Clean Harbors customer data into gatehouse computer.
- Spoke with customer who visited our Green Day booth and wanted mail-back sharps snipper as a sharps container. I provided container (purchased under grant), and had customer complete survey.
- Spoke with customer who inquired about bulky item prices. They were DND residential customers, so I told them they could get those collected for no charge by calling DND and arranging for pick-up. Happy customer.

**Tuesday, 27 October 2009:**

- Observed that truck tires and wheels had been stolen from inoperative Authority truck parked at landfill.
- Worked with Shawn Slater to configure new computer to be used at gatehouse for wireless internet access.
- Drafted 'front end' of Request for Proposals package for Collections Franchise
- Revised Collections Service Standards based on meeting with Ad Hoc Franchise Committee

- Received phone call complaint of blight property on Childs. Completed complaint form and e-mailed to Code Enforcement Officer
- Sent e-mail to Creative Information Systems software company to schedule remote installation of Scale Management System software on new gatehouse computer, and to configure a credit/debit card system for use at gatehouse.
- Received and began review of information comparing Payware to PC Charge, two software modules for communicating between the credit/debit machine and the SMS scale software.
- Spoke with customer who claimed to have been given a cardboard box from the Safeway pharmacy as a sharps container. I provided customer with a sharps container, administered sharps survey.
- Reviewed invoices from Clean Harbors with Administrative Assistant
- I called Safeway, spoke with pharmacist and Faxed sharps letter for retailers. Safeway pharmacy faxed retailer survey in response, and assured me they were aware of the need to use FDA-approved sharps containers.
- Talked with another customer with a spouse with diabetes. Administered survey, provided sharps snipper, explained its use.

**Wednesday, 28 October 2009:**

- Discussed lobbying efforts with Director on product stewardship legislation. Informed Director about missing truck tires.
- Discussed conversation with customer on Monday with Director and Administrative Assistant
- Sent e-mail to legal counsel re. Proposal bonds as they might be used within the Franchise Collections RFP process.
- Set up spreadsheet for Justin to enter information from sharps surveys.
- Continued to draft 'front end' of Request for Proposals package for Collections Franchise, including spreadsheets to be used to numerically compare the value of different proposals
- Prepared Budget Revision 1 for HD18F based on changes to CPSC sub-contractors. Discussed budget this revision proposal with CPSC and CIWMB staff.
- Spoke with the California Highway Patrol about the potential for them to get paid for their used oil.

#### **Thursday, 29 October 2009:**

- Reviewed text from CPSC on budget revision 1 for HD18F
- On grant HD18F, sent budget revision request 1 to Elaine Novak of the CIWMB
- Began detailed log of daily activities per Director's request.
- Delivered two recycling containers to City Hall, collected the container they had been using from them
- Returned borrowed wheel barrow and compost bin to Crescent Elk Community garden.
- Spoke with Fair Director Hatfield and Janet Nelson regarding potential for grant funding for supplies, equipment, and containers which might be useful to the Fairgrounds. Informed them re. Bottles and cans grants available through the Department of Conservation, Division of Recycling as well as tire grants and oil grants funded by the CIWMB, and the raiding of these grant funds by the State during the last fiscal year. Also informed them of the elimination of the CIWMB and the movement of their functions to the Department of Resources.
- Received approval for budget revision 1 for HD18F grant from Elaine Novak of CIWMB. Forwarded related information to and from sub-contractors via e-mail.
- Spoke with Becky of WalMart. She asked if the DNCTS accepted household sharps in larger (1 gallon) containers. I said yes, and suggested that they offer pre-paid mail-back sharps snippers for their diabetic customers from [www.homesharpsdisposal.com](http://www.homesharpsdisposal.com), as our customers were saying they really liked those units.
- Received report that our phone message machine was not giving customers an opportunity to leave a message, and some of those customers were calling Del Norte Disposal.
- Prepared bottles and equipment for surface water sampling at landfill
- Observed damage to fence around landfill mound near former gatehouse. Gatehouse severely vandalized.
- Collected surface water samples at locations S-1, S-2B, and S-3 from Crescent City Landfill, and made arrangements for Josey's to deliver samples to Northcoast labs in Arcata.

#### **Friday, 30 October 2009:**

- Completed chain of custody for landfill surface water samples.
- Entered surface water sampling data in appropriate spreadsheet for future reports to Regional Water Quality Control Board.
- Returned call from Melissa McDowell (464-3675), a three-year resident who suggests that we have yard debris collection in new collections franchise. She also made a general complaint about landscapers who dump yard debris. I told her she could file a complaint if she wanted to. She also praised the layout and operation of the Transfer Station.
- Returned call from Beverly Craft (541-247-6121) and Delbert who had a couple boats and trailers to dispose. I explained that those were charged as mobile homes, need to be drained of fluids, with extra charges for appliances, tires, and bulky items. Spoke with Dave Mason, Code Enforcement Officer about the process to process licensed trailers. Consulted. [www.dmv.ca.gov](http://www.dmv.ca.gov) about same process. Net result is that the owner remains responsible for sending paperwork to DMV, as they are the ones who get license renewal notices.
- Wrote memo to gate staff to have gate attendants confirm that the owner has pink slip before accepting a licensed vehicle for processing. Revised memo after Director's review.
- Discussed Director's meeting with County Counsel and County Ad Hoc Committee.
- Preparation of documents requested in relation to County Ad Hoc Committee examining justification for continuation of Del Norte Solid Waste Management Authority.
- Returned call from Ambrose McCready of SCS Engineers re. new Federal EPA rule on monitoring and reporting greenhouse gases like methane from landfills. Requested e-mail of technical memo SCS Engineers has produced.
- Prepared materials and computer for Used Oil /HHW Conference and presentation in Sacramento Nov 2-4, 2009.

**Sunday 01 November 2009:**

- Drove rental car to Sacramento. Stayed at parent's house to save on hotel expenses.



# Appendix F

## Facility/Site Inspection Listings

- ✓ Crescent City Landfill
- ✓ Del Norte Transfer Station
- ✓ Gasquet Transfer Station
- ✓ Klamath Transfer Station

R3





**Facility/Site Inspection Listings: Crescent City Landfill (08-AA-0006)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: [Beatrice Poroli](#)

Phone Number: (916) 341-6411

[Search New Facility](#)

[Detail](#) [Inspection](#) [Enforcement](#) [Maps](#) [Documents](#)

County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte County

2013	Submit
------	--------

**01 Solid Waste Landfill**

Regulatory Status: Permitted Operational Status: Closed Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<a href="#">08/27/2013</a>	09/23/2013	LEA Periodic	20925-Perimeter Monitoring Network	Areas of Concern
<a href="#">06/24/2013</a>	07/02/2013	LEA Periodic	No Violations or Areas of Concern reported	
<a href="#">06/24/2013</a>	07/08/2013	CalRecycle Closed Sites	21180-Postclosure Maintenance	Areas of Concern
			20925-Perimeter Monitoring Network	Areas of Concern
<a href="#">05/01/2013</a>	05/28/2013	CalRecycle Focused	21150-Drainage and Erosion Control	Areas of Concern
<a href="#">03/28/2013</a>	04/19/2013	LEA Periodic	20820-Drainage and Erosion Control	Areas of Concern
			21145-Slope Stability	Areas of Concern

[Inspections Data Dictionary](#)

Last updated: Data updated continuously.



**Facility/Site Inspection Listings: Crescent City Landfill (08-AA-0006)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: [Beatrice Poroli](#)

Phone Number: (916) 341-6411

[Search New Facility](#)

[Detail](#) [Inspection](#) [Enforcement](#) [Maps](#) [Documents](#)

County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte County

2012	Submit
------	--------

**01 Solid Waste Landfill**

Regulatory Status: Permitted Operational Status: Closed Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<a href="#">10/25/2012</a>	03/26/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">10/25/2012</a>	03/25/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">09/04/2012</a>	03/25/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">09/04/2012</a>	03/26/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">06/21/2012</a>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">03/15/2012</a>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported

[Inspections Data Dictionary](#)

Last updated: Data updated continuously.

Last updated: Data updated continuously.

Solid Waste Information System(SWIS), <http://www.CalRecycle.ca.gov/SWFacilities/Directory/>  
Cody Oquendo, [Cody.Oquendo@CalRecycle.ca.gov](mailto:Cody.Oquendo@CalRecycle.ca.gov) (916) 341-6719

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**Facility/Site Inspection Listings: Crescent City Landfill (08-AA-0006)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: [Beatrice Poroli](#)

Phone Number: (916) 341-6411

[Search New Facility](#)

[Detail](#) [Inspection](#) [Enforcement](#) [Maps](#) [Documents](#)

County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte County

2011 <a href="#">Submit</a>
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**01 Solid Waste Landfill**

Regulatory Status: Permitted Operational Status: Closed Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<a href="#">12/30/2011</a>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">08/18/2011</a>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">06/20/2011</a>	02/01/2012	CalRecycle Closed Sites		No Violations or Areas of Concern reported

[Inspections Data Dictionary](#)

Last updated: Data updated continuously.

Last updated: Data updated continuously.  
 Solid Waste Information System (SWIS), <http://www.CalRecycle.ca.gov/SWFacilities/Directory/>  
 Cody Oquendo, [Cody.Oquendo@CalRecycle.ca.gov](mailto:Cody.Oquendo@CalRecycle.ca.gov) (916) 341-6719

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**Facility/Site Inspection Listings: Crescent City Landfill (08-AA-0006)**

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Phone Number: (916) 341-6411

[Search New Facility](#)

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte County

2010	<input type="button" value="Submit"/>
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01 Solid Waste Landfill

Regulatory Status: Permitted Operational Status: Closed Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<a href="#">06/11/2010</a>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported

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Last updated: Data updated continuously.

Last updated: Data updated continuously.  
 Solid Waste Information System(SWIS), <http://www.CalRecycle.ca.gov/SWFacilities/Directory/>  
 Cody Oquendo, [Cody.Oquendo@CalRecycle.ca.gov](mailto:Cody.Oquendo@CalRecycle.ca.gov) (916) 341-6719

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**Facility/Site Inspection Listings: Crescent City Landfill (08-AA-0006)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: [Beatrice Poroli](#)

Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte County

2009	<a href="#">Submit</a>
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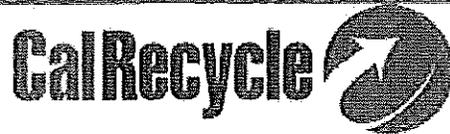
**01 Solid Waste Landfill**

Regulatory Status: Permitted Operational Status: Closed Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<a href="#">10/09/2009</a>	10/15/2009	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">08/26/2009</a>	08/28/2009	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">06/02/2009</a>	06/05/2009	LEA Periodic	20790-Leachate Control	Areas of Concern
<a href="#">03/05/2009</a>	03/11/2009	LEA Periodic	21150-Drainage and Erosion Control 20790-Leachate Control	Areas of Concern Areas of Concern
<a href="#">02/09/2009</a>	02/18/2009	LEA Periodic	21150-Drainage and Erosion Control	Areas of Concern

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## Facility/Site Inspection Listings: Del Norte Transfer Station (08-AA-0018)

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: [Beatrice Poroli](#)

Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte Solid Waste Mgmt. Auth.

2013

01 Large Volume Transfer/Proc Facility

Regulatory Status: Permitted Operational Status: Active Inspection Frequency: Monthly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<a href="#">12/17/2013</a>	12/20/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">11/22/2013</a>	11/25/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">10/30/2013</a>	10/31/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">09/23/2013</a>	09/23/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">08/19/2013</a>	08/19/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">07/30/2013</a>	07/30/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">06/28/2013</a>	06/28/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">05/23/2013</a>	05/23/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">04/30/2013</a>	05/07/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">04/30/2013</a>	05/28/2013	CalRecycle Focused		No Violations or Areas of Concern reported
<a href="#">03/12/2013</a>	04/19/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">02/01/2013</a>	03/18/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">01/30/2013</a>	07/02/2013	LEA Periodic		No Violations or Areas of Concern reported



**Facility/Site Inspection Listings: Del Norte Transfer Station (08-AA-0018)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: Beatrice Poroli

Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

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Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte Solid Waste Mgmt. Auth.

**01 Large Volume Transfer/Proc Facility**

Regulatory Status: Permitted Operational Status: Active Inspection Frequency: Monthly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<u>12/07/2012</u>	01/08/2013	LEA Periodic		No Violations or Areas of Concern reported
<u>11/06/2012</u>	12/05/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>10/26/2012</u>	12/05/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>09/20/2012</u>	10/08/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>08/27/2012</u>	10/08/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>07/30/2012</u>	08/28/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>06/28/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>05/10/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>04/19/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>03/19/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>02/24/2012</u>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>01/31/2012</u>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>01/24/2012</u>	02/16/2012	CalRecycle Focused		No Violations or Areas of Concern reported



## Facility/Site Inspection Listings: Del Norte Transfer Station (08-AA-0018)

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: [Beatrice Poroli](#)

Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte Solid Waste Mgmt. Auth.

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### 01 Large Volume Transfer/Proc Facility

Regulatory Status: Permitted Operational Status: Active Inspection Frequency: Monthly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<a href="#">12/27/2011</a>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">11/09/2011</a>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">10/25/2011</a>	02/01/2012	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">09/29/2011</a>	02/01/2012	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">08/30/2011</a>	09/22/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">07/15/2011</a>	08/16/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">06/10/2011</a>	06/22/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">05/26/2011</a>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">04/28/2011</a>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">03/23/2011</a>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">02/10/2011</a>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">01/03/2011</a>	06/07/2011	LEA Periodic		No Violations or Areas of Concern reported



**Facility/Site Inspection Listings: Del Norte Transfer Station (08-AA-0018)**

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Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte Solid Waste Mgmt. Auth.

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**01 Large Volume Transfer/Proc Facility**

Regulatory Status: Permitted Operational Status: Active Inspection Frequency: Monthly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<u>12/14/2010</u>	01/06/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>12/14/2010</u>	02/02/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>11/03/2010</u>	02/02/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>11/03/2010</u>	12/02/2010	CalRecycle Focused		No Violations or Areas of Concern reported
<u>11/03/2010</u>	02/02/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>10/15/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>09/18/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>08/17/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>07/14/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>06/10/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>05/04/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>04/15/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>04/15/2010</u>	06/07/2010	LEA Periodic		No Violations or Areas of Concern reported



**Facility/Site Inspection Listings: Del Norte Transfer Station (08-AA-0018)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: Beatrice Poroli

Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

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Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte Solid Waste Mgmt. Auth.

**01 Large Volume Transfer/Proc Facility**

Regulatory Status: Permitted Operational Status: Active Inspection Frequency: Monthly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<u>11/10/2009</u>	11/12/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>10/08/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>09/21/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>08/24/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>07/27/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>06/18/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>05/14/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>04/09/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>03/09/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>02/09/2009</u>	02/13/2009	LEA Periodic		No Violations or Areas of Concern reported

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**Facility/Site Inspection Listings: Gasquet Transfer Station (08-AA-0001)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: [Beatrice Poroli](#)

Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: County Of Del Norte

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**01 Limited Volume Transfer Operation**

Regulatory Status: Notification Operational Status: Active Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<a href="#">11/14/2013</a>	11/15/2013	LEA Periodic	17408.1-Litter Control 17410.4-Vector, Bird and Animal Control	Areas of Concern Areas of Concern
<a href="#">08/08/2013</a>	08/09/2013	LEA Periodic	No Violations or Areas of Concern reported	
<a href="#">05/01/2013</a>	05/07/2013	LEA Periodic	No Violations or Areas of Concern reported	
<a href="#">05/01/2013</a>	05/28/2013	CalRecycle Focused	No Violations or Areas of Concern reported	
<a href="#">03/20/2013</a>	04/19/2013	LEA Periodic	No Violations or Areas of Concern reported	
<a href="#">02/27/2013</a>	03/18/2013	LEA Periodic	No Violations or Areas of Concern reported	

Inspections Data Dictionary

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 Solid Waste Information System(SWIS), <http://www.CalRecycle.ca.gov/SWFacilities/Directory/>  
 Cody Oquendo, [Cody.Oquendo@CalRecycle.ca.gov](mailto:Cody.Oquendo@CalRecycle.ca.gov) (916) 341-6719



**Facility/Site Inspection Listings: Gasquet Transfer Station (08-AA-0001)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: Beatrice Poroli

Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: County Of Del Norte

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**01 Limited Volume Transfer Operation**

Regulatory Status: Notification Operational Status: Active Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<u>12/07/2012</u>	01/08/2013	LEA Periodic		No Violations or Areas of Concern reported
<u>11/28/2012</u>	12/05/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>10/30/2012</u>	12/05/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>09/28/2012</u>	10/08/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>08/30/2012</u>	10/08/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>07/31/2012</u>	08/28/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>06/25/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>05/24/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>04/30/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>03/29/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>02/29/2012</u>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>01/30/2012</u>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported



**Facility/Site Inspection Listings: Gasquet Transfer Station (08-AA-0001)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: Beatrice Poroli

Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: County Of Del Norte

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**01 Limited Volume Transfer Operation**

Regulatory Status: Notification Operational Status: Active Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<u>12/29/2011</u>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>11/17/2011</u>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>10/26/2011</u>	02/01/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>09/30/2011</u>	02/01/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>08/31/2011</u>	09/22/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>07/27/2011</u>	08/16/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>06/13/2011</u>	06/22/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>05/27/2011</u>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>04/04/2011</u>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>03/22/2011</u>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>02/10/2011</u>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>01/18/2011</u>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported



**Facility/Site Inspection Listings: Gasquet Transfer Station (08-AA-0001)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: Beatrice Poroli

Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: County Of Del Norte

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**01 Limited Volume Transfer Operation**

Regulatory Status: Notification Operational Status: Active Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<u>12/10/2010</u>	01/05/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>12/10/2010</u>	01/06/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>11/10/2010</u>	09/22/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>10/06/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>09/21/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>08/13/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>07/06/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>06/22/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>05/12/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>04/15/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>04/15/2010</u>	06/23/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>03/30/2010</u>	05/04/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>03/30/2010</u>	06/23/2010	LEA Periodic		No Violations or Areas of Concern reported



**Facility/Site Inspection Listings: Gasquet Transfer Station (08-AA-0001)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: Beatrice Poroli

Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: County Of Del Norte

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**01 Limited Volume Transfer Operation**

Regulatory Status: Notification Operational Status: Active Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<u>10/05/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>07/01/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>04/16/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported
<u>02/02/2009</u>	11/10/2009	LEA Periodic		No Violations or Areas of Concern reported

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**Facility/Site Inspection Listings: Klamath Transfer Station (08-AA-0002)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: [Beatrice Poroli](#)

Phone Number: (916) 341-6411

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte Solid Waste Mgmt. Auth.

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**01 Limited Volume Transfer Operation**

Regulatory Status: Notification Operational Status: Active Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<a href="#">11/20/2013</a>	11/21/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">08/07/2013</a>	08/09/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">04/30/2013</a>	05/07/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">04/30/2013</a>	05/28/2013	CalRecycle Focused		No Violations or Areas of Concern reported
<a href="#">03/21/2013</a>	04/19/2013	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">02/14/2013</a>	03/18/2013	LEA Periodic		No Violations or Areas of Concern reported

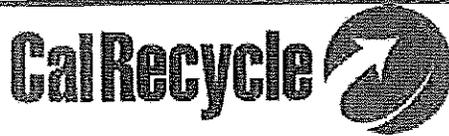
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 Solid Waste Information System(SWIS), <http://www.CalRecycle.ca.gov/SWFacilities/Directory/>  
 Cody Oquendo, [Cody.Oquendo@CalRecycle.ca.gov](mailto:Cody.Oquendo@CalRecycle.ca.gov) (916) 341-6719

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County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte Solid Waste Mgmt. Auth.

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**01 Limited Volume Transfer Operation**

Regulatory Status: Notification Operational Status: Active Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<u>12/07/2012</u>	01/08/2013	LEA Periodic		No Violations or Areas of Concern reported
<u>11/21/2012</u>	12/05/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>10/26/2012</u>	12/05/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>09/17/2012</u>	10/08/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>08/24/2012</u>	10/08/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>07/26/2012</u>	08/28/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>06/14/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>05/11/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>04/20/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>03/28/2012</u>	07/06/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>02/24/2012</u>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<u>01/25/2012</u>	02/16/2012	CalRecycle Focused	17409.5-Load Checking	Violation



**Facility/Site Inspection Listings: Klamath Transfer Station (08-AA-0002)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: [Beatrice Porolj](#)

Phone Number: (916) 341-6411

[Search New Facility](#)

[Detail](#) [Inspection](#) [Enforcement](#) [Maps](#) [Documents](#)

County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte Solid Waste Mgmt. Auth.

2011	<a href="#">Submit</a>
------	------------------------

**01 Limited Volume Transfer Operation**

Regulatory Status: Notification Operational Status: Active Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<a href="#">12/27/2011</a>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">11/18/2011</a>	03/20/2012	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">10/27/2011</a>	02/01/2012	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">09/09/2011</a>	02/01/2012	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">08/19/2011</a>	09/22/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">07/26/2011</a>	08/16/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">06/14/2011</a>	06/22/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">05/27/2011</a>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">04/04/2011</a>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">03/22/2011</a>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">02/10/2011</a>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">01/18/2011</a>	06/21/2011	LEA Periodic		No Violations or Areas of Concern reported



**Facility/Site Inspection Listings: Klamath Transfer Station (08-AA-0002)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: Beatrice Poroli

Phone Number: (916) 341-6411

[Search New Facility](#)

[Detail](#) [Inspection](#) [Enforcement](#) [Maps](#) [Documents](#)

County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

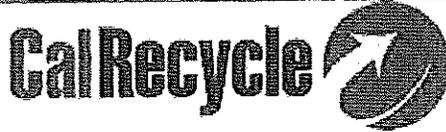
Land Owner: Del Norte Solid Waste Mgmt. Auth.

2010	Submit
------	--------

**01 Limited Volume Transfer Operation**

Regulatory Status: Notification Operational Status: Active Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<u>12/15/2010</u>	01/05/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>12/15/2010</u>	01/06/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>11/18/2010</u>	01/05/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>11/18/2010</u>	01/06/2011	LEA Periodic		No Violations or Areas of Concern reported
<u>10/19/2010</u>	11/23/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>09/22/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>08/18/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>07/02/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>06/23/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>05/13/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>04/15/2010</u>	12/06/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>04/15/2010</u>	06/23/2010	LEA Periodic		No Violations or Areas of Concern reported
<u>03/17/2010</u>	06/23/2010	LEA Periodic		No Violations or Areas of Concern reported



**Facility/Site Inspection Listings: Klamath Transfer Station (08-AA-0002)**

For this facility, please contact Local Enforcement Agency (LEA) below

CalRecycle Contact: [Beatrice Poroli](#)

Phone Number: (916) 341-6411

[Search New Facility](#)

[Detail](#) [Inspection](#) [Enforcement](#) [Maps](#) [Documents](#)

County: Del Norte

Enforcement Agent: County of Del Norte

Operator/Business Owner: Del Norte Solid Waste Mgmt. Auth.

Land Owner: Del Norte Solid Waste Mgmt. Auth.

2009	<a href="#">Submit</a>
------	------------------------

**01 Limited Volume Transfer Operation**

Regulatory Status: Notification Operational Status: Active Inspection Frequency: Quarterly

Inspection Date	CalRecycle Received	Inspection Program	Regulation	Areas of Concern/Violations
<a href="#">10/07/2009</a>	10/13/2009	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">07/07/2009</a>	07/13/2009	LEA Periodic		No Violations or Areas of Concern reported
<a href="#">04/17/2009</a>	04/22/2009	LEA Periodic	17408.1-Litter Control	Areas of Concern
<a href="#">02/04/2009</a>	02/11/2009	LEA Periodic	17408.1-Litter Control	Areas of Concern

[Inspections Data Dictionary](#)

Last updated: Data updated continuously.

Last updated: Data updated continuously.  
 Solid Waste Information System(SWIS), <http://www.CalRecycle.ca.gov/SWFacilities/Directory/>  
 Cody Oquendo, [Cody.Oquendo@CalRecycle.ca.gov](mailto:Cody.Oquendo@CalRecycle.ca.gov) (916) 341-6719

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# Appendix G

Solid Waste Manager Job Description

R3



## **Del Norte Solid Waste Authority Job Description**

**Job Title:** Solid Waste Manager  
**Date:** March 2014

**Approved by Authority Board:**

### **Summary Description:**

Under the direction of the Authority Board the Solid Waste Manager is responsible for the efficient and effective management of the daily operations of the Del Norte Solid Waste Authority. The position administers programs designed to properly dispose of solid waste and to reduce, recycle and reuse waste efficiently in compliance with all local, state and federal regulations and in cooperation with contracted vendors. It provides management, oversight, leadership and direction of the Authority's financial operation, including forecasting, planning, budgeting, purchasing, accounting, insurance, and auditing activities of the organization in cooperation with the Del Norte County Auditor and Treasurer.

**Essential Duties and Responsibilities:** (include but are not limited to the following):

### **Regulatory Compliance**

- ✓ Develops and maintains effective relationships with regulatory agencies.
- ✓ Assures that the Authority is in compliance with all applicable Federal, State and Local laws, rules and regulations, including all required reporting.
- ✓ Conduct and/or manage the work of contactors necessary to maintain regulatory compliance.
- ✓ Monitor the development of new and changing regulations pertaining to waste management developments in the industry and legal occurrences or events and regularly report such to the Authority Board

### **Budgeting**

- ✓ Prepares and administers the Authority's annual budget by analyzing actual program expenditures to develop cost data for budgeting; obtains and reviews budget data from County Auditor financial statements and responds to Authority Board requests for financial information and program revenues and expenses.
- ✓ Contributes as needed to budget discussions with the Authority Board and contracted County service providers.
- ✓ Provides periodic detailed and technical financial reports to the Authority Board.

### **Finance**

- ✓ Reviews monthly reports from the custodian of funds, the Del Norte County Auditor and monitors all claims and pay demands.
- ✓ Under the direction of the Authority Board, plans, organizes, manages and oversees all financial activities including cash accounting, budgeting, payroll, budget transfers, and cost effectiveness of programs in cooperation with the Del Norte County Auditor.
- ✓ Coordinates with the Del Norte County Auditor the Authority's annual audit process and directly assists in the preparation of the annual independent audit of Authority funds.
- ✓ Reviews, researches, analyzes and summarizes fiscal, statistical, and administrative information; prepares related reports and correspondence.
- ✓ Analyzes proposals, tonnage reports, budgets and business plans.
- ✓ Works with contract vendors to administer and interpret agreements for revenue for the Authority and payments to all service providers.
- ✓ Reviews, monitors and amends current franchise and contract provisions; develops proposals for changes to franchise and contract provisions to enhance customer services in an effective, fair, and cost efficient manner.
- ✓ Facilitate the Authority Boards in its financial planning responsibilities assuring the development of plans which will accomplish annual and long-term goals and objective and provide sufficient financial resources to meet capital and operating needs (including financial obligation associated with the Crescent City Landfill and the Del Norte County Transfer Station).
- ✓ Administer grant funds and act as liaison and coordinator in program areas in accordance and cooperation with contract agreements with relevant vendors.

### **Accounting**

- ✓ Oversees the preparation, review, and processing of claims for payment by the County Auditor for Authority transactions and invoices; resolves accounting issues; maintains and reconciles scale house bank funds; makes deposits of daily receipts.
- ✓ Reviews general ledger reports from the County Auditor and reconciles any outstanding issues or discrepancies.
- ✓ Prepares and submits expenditure and budget status reports for Authority Board information; generates in-depth written reports for any significant changes in the financial situation of the Authority and presents five and ten year revenue projections.

- ✓ Performs month and year-end review of accounts, reconciles adjusting and closing entries, and reviews monthly and year-end financial statements from the Del Norte County Auditor.
- ✓ Manages scale house reporting systems and reconciles Authority revenue, franchise fees, billings and commodity materials revenue.
- ✓ Monitors and administers contract payments for professional services, vendor services, regulatory fees and other services.
- ✓ Designs and maintains databases and spreadsheets to track budgets, tonnages, transactions and compliance requirements. Tracking includes service provider statistics, rate analysis, diversion and disposal data and relevant scale house information.
- ✓ Performs internal cash control auditing of transactions and collections at the scale house, inventories, assets and petty cash funds by examining, analyzing, and verifying financial records.
- ✓ Writes, implements and maintains procedures to ensure compliance with accounting policies, cash security, and internal checks and balances.

#### **Contracting**

- ✓ Manages and oversees all Authority contracts to assure compliance with all contractual terms and conditions.
- ✓ With Authority Board direction may negotiate agreements with other public and private entities including franchised solid waste service providers.
- ✓ Seeks contracting opportunities for projects to assure effective and efficient delivery of services.
- ✓ Develop Request for Proposals for professional services as needed; provide clear, concise and consistent direction to contractors; monitors contracts to ensure compliance with contractual obligations.
- ✓ Delivers timely resolution of any customer or jurisdictional complaint.
- ✓ Conduct periodic on-site inspections of Authority facilities to assure their ongoing safe and effective operation and adherence with current agreements.
- ✓ Performs related duties as required.

#### **Business Development**

- ✓ Conduct and provide oversight for the selection, training, and evaluation of Authority personnel and administer human resources policies and procedures.
- ✓ Coordinates reports and program activities with CalRecycle and other agencies to assure cooperation and efficiency.

- ✓ Meets regularly with contractors to make sure programs to reduce and divert solid waste from landfilling in compliance with mandated government agency requirements are fully implemented.
- ✓ Prepare CalRecycle annual report in cooperation with franchise hauler and transfer station contract operator and submit final annual report.

**Manage External Relationships**

- ✓ Serve as liaison and coordinate activities between the Authority and other agencies, governmental bodies, groups and organizations, including, but not limited to: Solid Waste Task Force, North Coast Recycling Market Development Zone, and Environmental Services Joint Powers Authority of the Regional Council for Rural Counties.
- ✓ Advise the Authority Board and member jurisdictions concerning issues related to solid waste facilities, programs, rates, and charges.
- ✓ Establish and maintain cooperative relationships with elected officials, staffs, consultants, and the public.

**Board Responsibilities**

- ✓ Assist the Authority Board in all normal and customary matters in accordance with California laws and regulations.
- ✓ Provide the Authority Board with staff support including the preparation of meeting agendas and notices as well as succinct written and oral reports relating to items on the agenda.
- ✓ Develop, implement and manage a “management by metrics” system of key benchmarks/metrics for tracking progress relative to the established short-, medium- and long-range goals and objectives of the Authority and to regularly report that progress to the Authority Board.
- ✓ Attend all Authority Board meetings.
- ✓ Attend member jurisdiction Council/Board meetings as needed to update members on Authority activities.
- ✓ Schedule and perform orientation sessions for new Authority Board members based on Board approved goals and objectives, mission statements and defined roles of member jurisdictions.

**Management/Supervisory Responsibilities**

- ✓ Responsible for the supervision of all Authority employees. Provides the overall direction, coordination and evaluation of the daily operations.
- ✓ Carries out the supervisory responsibilities in accordance with Authority policies and applicable laws and agreements.

- ✓ Responsible for the interviewing, hiring, and training of employees; plans, assigns and directs the work of employees; complaints timely performance reviews, handles complaints and resolves problems as needed.
- ✓ Maintains communication with the bargaining unit representative(s).
- ✓ Oversee, administer, and/or manage all waste and diversion program necessary to achieve the goals and objects set by the Authority Board.

**Knowledge, Skills and Abilities:**

- ✓ Principles and practices of integrated solid waste management.
- ✓ Normal and customary practices of government enterprise fund operations.
- ✓ Governmental enterprise fund accounting and financial planning.
- ✓ Principles and practices of proposals and contract administration in the State of California.
- ✓ Regulatory provisions of solid waste prevention, reduction, recycling and disposal activities in California.
- ✓ A working knowledge of SRRE's, water quality issues and air quality issues related to solid waste facilities.
- ✓ A working knowledge of solid waste legal terminology and current statutes governing the procedures of a joint powers authority and the responsibilities of the Board of Directors.
- ✓ Ability to maintain discretion and good judgment with sensitive and confidential information.

**Education or Experience:**

Bachelor's degree in public administration, waste management, planning, engineering, business, environmental studies or related field and five (5) years responsible professional experience in solid waste management or a related field; or an equivalent combination of education and experience.

**Language Skills:**

- ✓ Ability to read, analyze and interpret financial reports, legal documents and common to the industry scientific and technical journals.
- ✓ Ability to respond to inquiries and complaints from customers, contractors, regulatory agencies, member jurisdictions, and members of the business community.
- ✓ Ability to write reports and letters in accordance with the prescribed style and format common to the industry.
- ✓ Ability to make effective and succinct presentations to the public, member jurisdictions, the Authority Board and regulatory agencies.

**Computer Skills:**

A working ability with Microsoft Office; Word and Excel, Internet tools, e-mail, Facebook, accounting software and solid waste management scale house software.

**Certificates, Licenses, Registrations:**

Valid CA Drivers License

**Physical Demands:**

- ✓ The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of the job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.
- ✓ Required to sit up to 3-6 hours a day with intermittent walking and standing.
- ✓ Occasionally may be required to lift items up to 50 pounds up to a height of 4 feet.

**Work Environment:**

- ✓ The work environment characteristics described here are representative of those that must be met by an employee to successfully perform the essential functions of the job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.
- ✓ Office work environment with normal noise levels.
- ✓ Scale house work environment with higher than average noise and dust levels with some exposure to exterior elements.
- ✓ Off site and field visits may be chaotic at times and may require personal protective equipment to be worn such as hearing protection, hard hats, gloves, steel toed foot ware and eye protection.

**SALARY RANGE**     \$70,000 - \$80,000 depending on qualifications

**FLSA Status:** Full Time Exempt

Current delineation of Permit & Monitoring Activities at the Crescent City Landfill

Agency	Order	Frequency	Activities	Authority Program Manager	Del Norte County	Crescent City	Contractor
Regional Water Quality Control Board	Order 87-88	Jan, Mar, Aug	Surface Water Sampling	Data entry & analysis			North Coast Labs
Regional Water Quality Control Board	87-89	Jan, Aug	Groundwater Sampling	Data entry & analysis	Collecting Samples		North Coast Labs
Regional Water Quality Control Board	87-90	Quarterly	Groundwater Levels	Data entry & analysis	Collecting Data		
Regional Water Quality Control Board	87-90	Semi-Annual	Semi-Annual Reporting	Analysis, graphs & reporting	Drafting groundwater contours		
Regional Water Quality Control Board	87-90	Semi-Annual	GeoTracker Reporting	Reporting			
Regional Water Quality Control Board	87-90	Every 5 Years	Aerial Survey	Procurement, Review, Reporting			North Coast Labs Aerial Surveyor
Regional Water Quality Control Board	87-90	Annual	WDR Fee Payment / Appeal	Analysis, Advocacy, Fee payment			
Regional Water Quality Control Board	87-00-DWQ	Jan, Mar, Nov	Storm Water Sampling	Sampling			
Regional Water Quality Control Board	87-00-DWQ	7 months/yr	Storm Water Inspection	Inspection			
Regional Water Quality Control Board	87-00-DWQ	Annual	Storm Water Reporting	Reporting, Fee Payment			North Coast Labs
Regional Water Quality Control Board	87-00-DWQ	Annual	SWARTS Database Reporting	Reporting			
CalRecycle		Annual	Landfill Post-Closure Multiplier	Analysis and Advocacy	Assistance from Roads & Eng. Dept.		Auser Camp / Fire Safe Council
CalRecycle / RWQCB		As Needed	Erosion Control / Grading	Assessment / Implementation / grading			
CalRecycle		Annual	Vegetation Control	Setup & Supervision			
CalRecycle		Every 5 years	Five Year Closure Permit Review / Update	Report review / comment / submittal			
CalRecycle		As Needed	Permit of Revise	Commitment from DNCTS			
CalRecycle / RWQCB		Quarterly	Landfill Gas Monitoring	Monitoring & reporting	SCS Approval		EBA Engineering
CalRecycle		Quarterly	Inspections				
Air Quality Management District		Submit	Landfill Heat Capacity Report	Drafting RFP, Review and Submittal	LEA, Inspections & Report		EBA Engineering

# Del Norte Solid Waste Management Authority Internal Fiscal Controls

not including fiscal controls relating to Authority contractors \* Indicates a fiscal control introduced since July 2013

When	REVIEWER	DOER	
<b>Small Volume Transfer Stations: Klamath &amp; Gasquet</b>			
Daily	Account Clerk	Site Attendant	Numbered cash receipts - Any missing numbers?
Daily	Account Clerk	Site Attendant	Receipt tape should match deposit
<b>Del Norte County Transfer Station</b>			
Daily	Account Clerk	Site Attendant	Balance Daily Receipts, Charge Accts, Checks, Credit & Debit
Daily	Account Clerk	Site Attendant	Track tickets, comments, weights, voids, etc.
Daily	Director / Treasurer	Admin Asst.	* Check deposits entered into QuickBooks & Excel
Daily	Admin Asst.	Account Clerk	Trace deposit for a specific date to Reconciliation for that date
Daily	Admin Asst.	Account Clerk	Examine any adjustments or corrections
Daily	Admin. Assist / Director	Account Clerk	<b>Check to see deposits are made in a timely manner</b>
<b>Income</b>			
Monthly	DNSWMA	Director	Compare deposits to budgeted income, prior month, and prior year
Monthly	Treas / Controller	Admin Asst.	* Review checks with insufficient funds, following 'bad check' policy
Monthly	DNSWMA	Director	Earned Revenue comparisons prepared for DNSWMA Board review
Monthly	DNSWMA	Admin Asst.	Monthly cash report prepared for DNSWMA Board review
Monthly	Director	Admin Asst.	Mail Statements in timely manner (in first week of the month)
Monthly	Director	Admin Asst.	Check for any large or dated outstanding balances
Monthly	DNC Auditor	Admin Asst.	* Confer with Collections regarding existing and new referrals
Monthly	DNC Auditor	Admin Asst.	Check on redemption and documentation of bad checks.
Monthly	Director	Admin Asst.	Update list of customers 'not allowed to use checks'
<b>Expenses</b>			
Monthly	DNSWMA	Admin Asst.	Claims signed by Director & Treasurer for DNSWMA Board review
Monthly	DNSWMA	Admin Asst.	Monthly charge report prepared for DNSWMA Board review
Monthly	DNSWMA	DNC Auditor	Monthly Treasurer / Controller Report from County Auditor
Monthly	DNC Auditor	DNSWMA	Claims >\$5,000 require Board approval
<b>Budget Management</b>			
Monthly	DNSWMA	Admin. Assist. / Director	Compare claims to budget, PO or Contract to cover claims
Monthly	DNSWMA	Director	Project anticipated expenses
Monthly	DNSWMA	Director	Prepare budget transfers as needed
Monthly	Director / Treasurer	Admin Asst.	* Implement full parallel accrual and cash accounting (in process)
<b>Cards</b>			
Quarterly	Director	ESP Inc. / Accelerated Payments	Quarterly Scan for 'PCI compliance'
<b>Safe</b>			
Biennial	DNC Auditor	Treasurer	* Surprise cash count w/ Treasurer & County Auditor
<b>Audit</b>			
Annual	DNSWMA / DNC Auditor	Admin Asst. / Treas. / Dir.	* Confer on bad checks and debts to be 'written off'
Annual	Director / Treasurer	Admin Asst.	Prepare documents related to income & expenses
Annual	Director	Program Manager	Prepare documents related to landfill liabilities
Annual	Director	Admin Asst.	Prepare documents related to depreciation
Annual	Director	Treasurer	Prepare documents related to OPEB requirements
Annual	Director	Treasurer	Preparing California Annual Compensation report.
Annual	Director	ESP Inc. / Accelerated Payments	Questionnaire and scan for PCI Compliance
Annual	DNSWMA / Director	External Auditor	Complete External Audit

**TOWN OF ANYWHERE  
PUBLIC WORKS DEPARTMENT  
SOLID WASTE MANAGEMENT DIVISION**

**CASH HANDLING  
POLICIES AND PROCEDURES  
FOR  
THE TRANSFER STATION  
SCALE HOUSE FACILITY**

---

**ACKNOWLEDGEMENT**

**This report was prepared by the TOWN OF ANYWHERE  
Public Works Depart  
Solid Waste Management Division**

**Revised April 21, 2008**

**CASH HANDLING STANDARD OPERATING PROCEDURES**  
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SAMPLE

**TOWN OF ANYWHERE  
PUBLIC WORKS DEPARTMENT  
SOLID WASTE MANAGEMENT DIVISION  
CASH HANDLING POLICIES AND PROCEDURES  
FOR  
THE TRANSFER STATION SCALE HOUSE FACILITY**

**I. INTRODUCTION**

Cash is one of the TOWN's most sensitive assets, and therefore clear accountability for the receipt, deposit, and custodianship of cash is required. To prevent mishandling of funds and safeguard against loss, the establishment of strong internal controls over cash and cash-related transactions is necessary. Strong internal controls also protect employees from unwarranted suspicion of mishandling funds by clearly defining responsibilities and assigning in the cash handling process.

**II. PURPOSE**

The purpose of this document is to provide standard operating procedures for the maintenance of a system of internal controls for handling cash and cash-related transactions, for ensuring timely deposit of payments at the TOWN OF ANYWHERE Treasurer's Office or into a TOWN bank account, and for ensuring that deposits are recorded in the appropriate project account(s).

**III. POLICY STATEMENT**

To ensure proper and consistent cash handling at the Solid Waste Management Division, Transfer Station Scale House facility, all staff that handles cash must be aware of and show a strong commitment to controls over cash funds. Controls are required to safeguard against loss and to protect employees by clearly defining and assigning responsibilities in the handling of cash. "Cash" may include coin, currency, checks, money orders, credit card transactions, and electronic funds transfers.

Strong internal controls:

- Protect employees who handle money, reconcile accounts, and carry out financial transactions;
- Demonstrate fiscal responsibility for taxpayer monies;
- Safeguard assets;
- Ensure accuracy and reliability of financial records;
- Promote operational efficiency and effectiveness;
- Prevent problems before they occur or detect problems soon after they occur;
- Detect errors and omissions for timely correction; and
- Standardize practices at the Transfer Station Scale House facility in order to ease training and collaboration.

The responsibility for development and implementation of an adequate system of internal control rests with division management. Systems of internal control are established based on needs and circumstances unique to the operation, and should effectively and efficiently control risks related to cash transactions.

In order to establish and maintain an effective system of internal controls, the following policies shall be followed:

- A. All personnel handling cash must adhere to approved cash handling procedures.
- B. Duties must be adequately segregated between cash handling, recording, and reviewing.
- C. All persons handling, recording, and reviewing cash transactions must be adequately trained in their duties and responsibilities. It is the Senior Solid Waste Supervisor's responsibility to ensure all persons are adequately trained. A current procedures manual will be available to all staff that is involved in the cash collection and handling processes. The manual gives step-by-step instructions of duties and responsibilities. Weigh Masters and other staffs that are involved in the cashiering process must be familiar with the contents of this manual.
- D. Supervisors of the Solid Waste Management Division's Transfer Station Scale House facility must be familiar with the policy and related procedures, and must ensure that all staff involved in the process understands their responsibilities for maintaining accuracy and security of the cash collected and deposited.

#### **IV. SCOPE AND IMPLEMENTATION**

These standard operating procedures apply specifically to cash handling at the Public Works Department, Solid Waste Management Division, Transfer Station Scale House facility, and provides staff with:

- A. Information regarding the TOWN OF ANYWHERE, Public Works Department, Solid Waste Management Division's policy and procedure with respect to handling cash.
- B. Instructions on handling cash in a consistent manner that reduces confusion about duties related to cash handling.
- C. Assistance in separating incompatible duties and responsibilities in authorizing, processing, recording, and reviewing transactions to ensure adequate internal controls over the handling of cash.

## V. DEFINITIONS

- A. **Cash Collections** - The collection, control, and deposit of amounts received by the Transfer Station scale House facility from cash (currency and checks) sales, credit card sales, and other sources.
- B. **Cash Reconciliation** - Balancing the Cash received between what the computer says is on hand, compared with what is actually in the cash drawer.
- C. **Cash Deposit** - The daily preparation, review and verification of the Treasury Report (TR) (See Appendix A-5, for further details) deposit slip.
- D. **Cash Deposit Reconciliation and Validation** - The monthly reconciliation of the Treasury Report (TR) deposit slip with FUNDS.
- D. **Internal Control Standards** - General guidelines for conducting routine cash transactions with reasonable assurance that specific goals and objectives will be met.

## VI. GENERAL RESPONSIBILITIES

### A. Weigh Master(s) - The Weigh Master is responsible for:

- Getting the origin of the load and checking for hazardous materials.
- Collecting payment or a promise to pay from customers.
- Controlling access to the tipping floor and determining the disposal location of incoming materials.
- Providing information to customers with hazardous materials that are not accepted at this facility.
- Providing excellent customer service by weighing vehicles accurately and charging customers accordingly, while being courteous and professional.

### B. Solid Waste Supervisor - The Solid Waste Supervisor is responsible for:

- Opening and closing the Scale House and Transfer Station.
- Supervising individuals assigned responsibility for cash handling at the Transfer Station Scale House facility to ensure that internal control objectives are achieved.
- Validating and reconciling the daily cash collection activity and the corresponding service provided.

### C. Senior Solid Waste Supervisor - The Senior Solid Waste Supervisor is responsible for:

- Ensuring compliance with established standards.
- Making timely recommendations to improve policies and procedures

**D. Senior Solid Waste Supervisor** - Responsible for the review of all cash deposits from the Transfer Station Scale House facility on a daily basis.

**E. Associate Management Analyst** -- Responsible for reconciling the Treasury Report (TR) deposit slip with FUNDS\$ on a monthly basis. The Associate Management Analyst is also responsible for reviewing and verifying the revenue received through the sale of recycled scrap metal from the Transfer Station Scale House facility is deposited to the correct account in FUNDS\$.

**F. Manager of Recycling & Solid Waste** – The cash handling function is the ultimate responsibility of the Manager of the Solid Waste Management Division. To facilitate operations and provide convenience and flexibility, parts of the cash handling function have been delegated to the unit manager of the Transfer Station Scale House Operation, the Senior Solid Waste Supervisor.

## VII. SEPARATION OF INCOMPATIBLE DUTIES

Eliminating opportunities for any employee to be in a position to both perpetrate and conceal errors or irregularities in the normal course of his/her duties is a critical internal control. One employee shall not have complete control over an entire process or fiscal activity. For example, no employee should be able to prepare a transaction, approve it, process it and then reconcile division records to the FUNDS\$ accounting system. Separation of such incompatible duties is required.

Segregation of duties prevents employees from falsifying records in order to conceal theft of assets entrusted to them, prevents authorization of a fictitious or inaccurate transaction as a means of concealing asset theft.

### Mitigating Controls for Incompatible Duties

Assignment of responsibilities shall provide a cross check of duties that shall be segregated by function as follows:

#### Segregation of Duties

Custodial Functions
Handling Cash
Handling Assets
Writing Checks
Receiving Checks in Mail

Recording Functions
Preparing Source Documents
Maintaining Journals
Preparing Reconciliations
Preparing Performance Reports

Authorization Functions
Transaction Authorization

If two or three of these functions are the responsibility of a single person, problems can arise.

Failure to adequately separate incompatible duties, or to provide comprehensive oversight when adequate separation of incompatible duties cannot be achieved, places TOWN assets, especially personnel, at risk. If separation is difficult to achieve, high-level management oversight is critical and shall involve the Manager of the Solid Waste Management Division or other high-level division administrator in the financial approval and review process. (See Appendix A-2, Segregation of Duties Matrix that outlines the function and responsibilities of staff involved in the Transfer Station cash handling function).

## VIII. STANDARD OPERATING PROCEDURES

The appropriate level authority overseeing the affected activity must sign every Standard Operating Procedure (SOP). SOPs are controlled documents; an unsigned SOP is an uncontrolled copy and is not necessarily valid. If any SOP must be amended, then the details of these procedural changes must be submitted to the Manager of the Solid Waste & Recycling Division for approval.

## VIV. SOP FORMAT

The format of the SOP begins with a basic overview of the entire Transfer Station operation followed by discussion of specific individual staff responsibilities as they pertain to the cash handling function.

Flow diagrams are provided throughout to facilitate understanding of effective and efficient cash handling activities and to visually document the procedures and activities of the internal control structure of the cash handling process. The flow diagram on the following page depicts the basic workflow cycle followed for the Transfer Station Operation.



<b>STANDARD OPERATING PROCEDURE</b>	<b>PWSOP 00001.11</b>
<b>Title: Employee Safety and Site Security</b>	<b>Effective Date:</b>
	<b>Page:</b>

### 1.0 Purpose

The purpose of this document is to provide a standard operating procedure (SOP) for the security of the Transfer Station Scale House facility and the employees who work there. An effective security program is one that promotes a security-conscious working environment, where sound business practices are the norm rather than the exception.

### 2.0 Scope

This SOP pertains to employees authorized to open Transfer Station Scale House doors; access limitations for keys, alarm codes, and safe combinations; video surveillance and safeguard of video recorder; change safe combinations, key control; and access to pre-paid bag inventory.

### 3.0 Responsible Personnel

Solid Waste Supervisor, Senior Solid Waste Supervisor, and Manager of Recycling & Solid Waste.

### 4.0 Incompatible Duties

See 5.0 security requirements, for further details.

### 5.0 Requirements for Security at the Transfer Station Scale House Facility

#### **5.1 Access Limitations for Keys, Alarm Codes, and Combinations to Safes**

The Manager of Recycling & Solid Waste is authorized to establish and administer regulations and procedures in order to provide physical security of the Transfer Station and Scale House facilities, and its occupants, and to provide for administration and control of Transfer Station keys, alarm codes and combinations to safe(s). The administration of key control, alarm codes, and combinations to safe(s) may be delegated to the Senior Solid Waste Supervisor, or his/her designee.

#### **5.2 Key Authorization and Eligibility**

The Director of Public Works, Manager of Recycling & Solid Waste, Senior Solid Waste Supervisor, or their specific designees shall be the only personnel

authorized to request keys or lock changes within the Transfer Station and Scale House facilities. Transfer Station Scale House designees shall have their authority delegated in writing, on TOWN OF ANYWHERE, Public Works Department, Solid Waste Management Division letterhead, with the original signatures of the Director of Public Works and the Manager of Recycling & Solid Waste. Copies or stamped signatures will not be accepted. The Director of Public Works and the Manager of Recycling and Solid Waste shall carefully consider all requests for keys so that the protection and security of the Transfer Station and Scale House facilities and property are maintained.

In no case shall the same person to whom the keys are to be issued authorize the issuance of keys. The Senior Solid Waste Supervisor and Manager of Recycling & Solid Waste may issue transfer Station building entrance keys to Weigh Masters only if the employee's job responsibility requires such assignment as approved. Master keys will be issued to employees having a continuing need for the key(s) only upon the appropriate justification and the approval of the Manager of Recycling & Solid Waste.

#### **5.21 Obtaining a Key**

The Senior Solid Waste Supervisor or designee will fill out and sign a Key Request Form (See Appendix A-7, for further details). All keys shall be picked up and signed for by the individual named on the Key Request form at the office of the Manager of Recycling & Solid Waste. A TOWN OF ANYWHERE employee identification card must be presented when receiving the key. No person shall be issued multiple keys for the same area. Recipients of Transfer Station keys will be responsible for their safekeeping and at no time should leave them unattended.

#### **5.22 Return of Keys**

All keys, including access cards for electronic locks, shall be surrendered to the Manager of Recycling & Solid Waste upon termination of employment; transfer to another department, or upon request of the Director of Public Works or Manager of Solid Waste & Recycling.

#### **5.3 Alarm Code(s) Access Restrictions**

The type of building electronic security system at the Transfer Station Scale House facility is surveillance system. Access to the alarm code(s) for this system shall be restricted to no more than two authorized employees, the Solid Waste Supervisor and Senior Solid Waste Supervisor.

#### **5.4 Employees authorized to open Transfer Station Scale House doors**

The responsibility for opening the Transfer Station and Scale House doors shall be delegated to the Solid Waste Supervisor.

#### **5.5 AMSEC Safe**

The Scale House has an American Security (AMSEC) Safe-The Safe Wizard. The AMSEC safe is equipped with an electronic access controlled system named the Safe Wizard. Inside the safe are 4-compartments, three of which have a key-locking mechanism and are electronically connected to the Safe Wizard. The fourth compartment is an open compartment. All of the compartments inside the safe are labeled and the three electronically connected to the Safe Wizard are numbered.

#### **5.6 Video Surveillance**

The Solid Waste Management Division shall choose sites for video camera installation where surveillance is a necessary and viable deterrent to theft or fraud, such as the front and rear of the Transfer Station Scale House facility. Only the Senior Solid Waste Supervisor shall have access to the monitor operation controls and tape.

Due to the high intensity use of the Transfer Station Scale House facility during the week and on weekends by community users, and due to the random nature of the incidence of crime, the video camera surveillance system shall be in operation virtually 365 days a year and 24 hours per day.

#### **5.7 Restricting access to pre-paid bag inventory**

Access to and accountability for pre-paid bags are limited to the Senior Solid Waste Supervisor, and accountability for the custody and use of said bags shall be assigned to the Solid Waste Supervisor. Periodic comparison shall be made of this resource with the recorded accountability to determine whether the two agree. The frequency of the comparison shall depend on the vulnerability of the asset (See Appendix A-11, Inventory Control Sheet, for further details).

#### **5.8 Authorization/Approval/Signature Policy**

- The Solid Waste Management Division shall designate an authorized approver(s). The authorized approver shall be at a level of fiscal responsibility that is commensurate with the level of oversight required to safeguard TOWN assets, e.g., Solid Waste Supervisor, Senior Solid Waste Supervisor or Recycling Program Manager.
- The authorized approver accepts responsibility to ensure a document/transaction is appropriate and shall review supporting information to verify the propriety and validity of the document/transaction.
- To avoid improprieties/conflicts of interest and the appearance of such, authorized approvers shall not approve transactions payable to themselves or for their direct benefit. In addition, they shall not approve transactions for those payable to their immediate supervisor or for the direct benefit of their supervisor.
- Signature stamps are not permissible for any signature.

<b>STANDARD OPERATING PROCEDURE</b>	<b>PWSOP NUMBER 00001.12</b>
<b>Title: Administrative Controls</b>	<b>Effective Date:</b>
	<b>Page:</b>

### 1.0 Purpose

The purpose of this standard operation procedure (SOP) is to provide reasonable assurance regarding the achievement of objectives in the following categories:

- Scrap metals: market rate paid
- Monthly comparison of total in v. total out tonnages
- Spot check for customer receipts
- "Surprise" Cash Count
- Weigh Master Performance Standards for Overages & Shortages

### 2.0 Scope

This SOP pertains to employees authorized to implement the fiscal administrative objectives identified above in order to provide reasonable assurance regarding their achievement

### 3.0 Responsible Personnel

The implementation of the fiscal administrative objectives above is the responsibility of the, Senior Solid Waste Supervisor, Associate Management Analyst, and the Manager of Recycling & Solid Waste.

### 4.0 Incompatible Duties

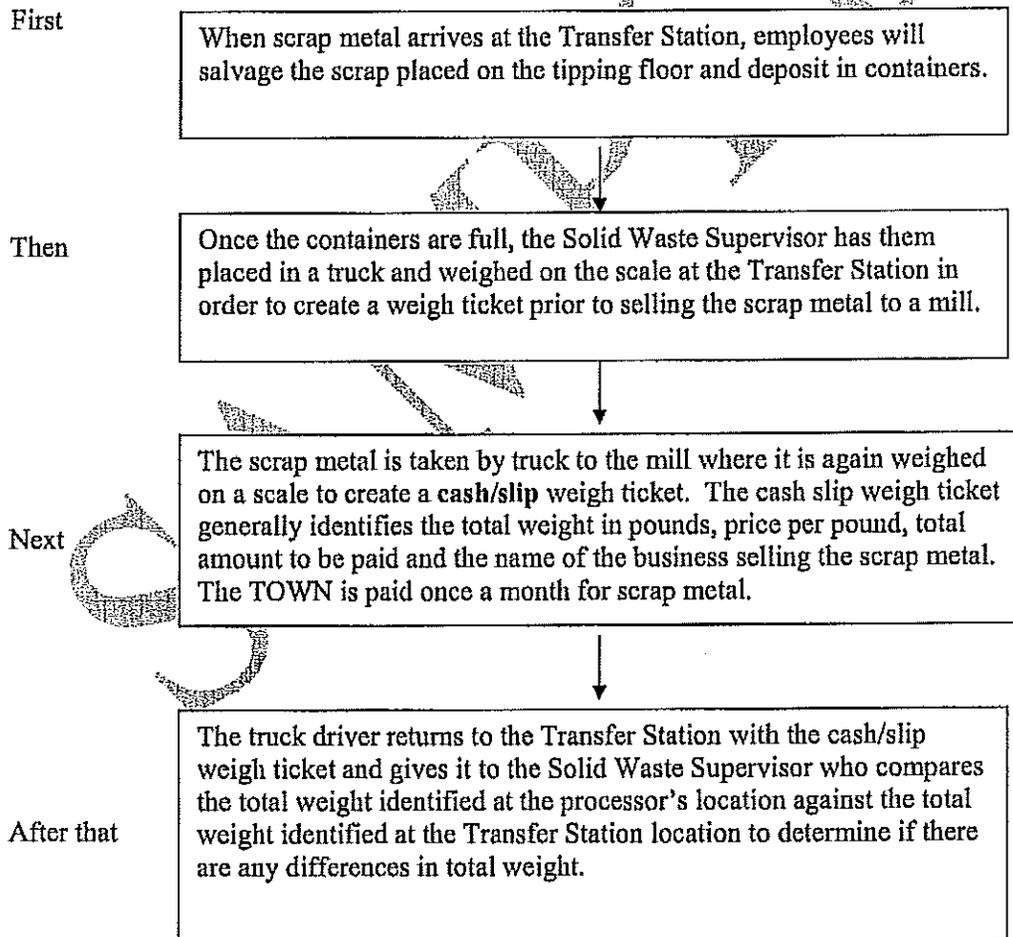
A basic premise of sound internal control states that one person should not have complete control over an entire process of fiscal activity. For example, no one person should be able to prepare a transaction, approve it, process it and then reconcile division records to the FUNDS accounting system. Failure to adequately separate duties or provide comprehensive oversight when an adequate separation cannot be achieved places TOWN assets, especially personnel, at risk. The Manager of Recycling & Solid Waste Management Division will manage his/her personnel to ensure transactions are properly authorized, processed, and recorded in the FUNDS accounting records (See Appendix A-2, Matrix on the segregation of duties for staff involved in cash handling.

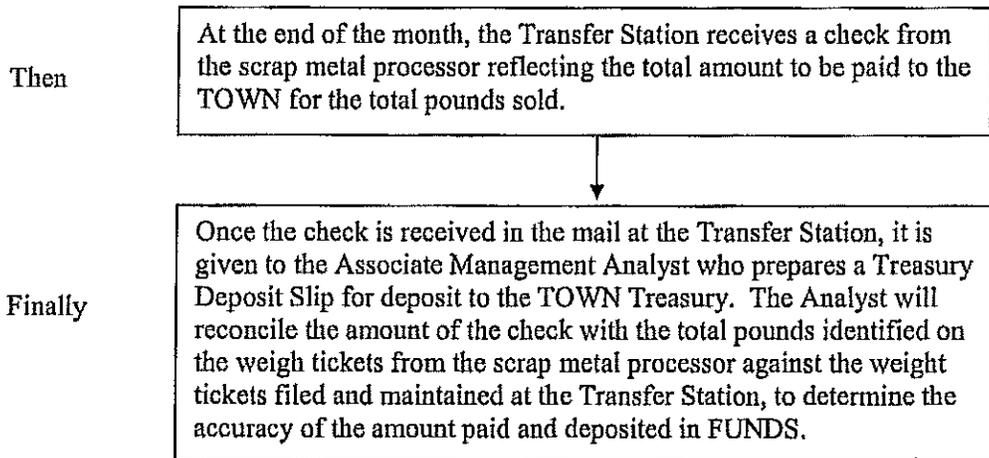
## 5.0 Requirements for Administrative Control

### 5.1 Market Rate Indicators for Recycled Scrap Metals

The Transfer Station receives source-separated loads of scrap metals and metal appliances from the public. In addition, Transfer Station employees salvage scrap metals from the tipping floor. These metals are sold to local scrap metal dealers or brokers. Procedures for scrap metal hauling, sale, payment receipt, and payment reconciliation are detailed below. To ensure that the TOWN receives the best value for its metals, the Senior Solid Waste Supervisor shall track scrap prices through monthly-published indices, and shall survey local markets quarterly.

#### 5.1.1 Work Flow Diagram for Processing Scrap Metal





### 5.2 Monthly Comparison of Incoming and Outgoing Tonnages

Significant discrepancies between incoming and outgoing tonnage figures may indicate that loads are not being properly handled upon receipt at the transfer station floor, or are not being recorded or charged properly upon entry. The Associate Management Analyst shall prepare a Weigh Master Summary Report to correlate incoming and outgoing tons by material type on a monthly basis, and after consultation with the Senior Solid Waste Supervisor, shall report his/her findings to the Senior Solid Waste Supervisor.

### 5.3 Spot check for customer receipts

The Senior Solid Waste Supervisor shall periodically spot check customer receipts on the transfer station floor, when customers have not been given "cones" to indicate weigh-out required, and at the exit after customers have paid. The Solid Waste Supervisor shall spot check customer receipts weekly. The spot check shall include inquiring whether the customer was asked for load origin upon entry.

### 5.4 "Surprise" Cash Counts

The custodian of every cash fund is responsible for its integrity at all times. Periodic review of cash funds through random "surprise" cash counts can help provide reasonable assurance that errors and irregularities are identified. The Solid Waste Supervisor counts cash turned over by the selected Weigh Master and matches it with the receipts in the cash drawer. The receipts should match what the Supervisor counts and what are on the computer system. This should be performed at least once a month and in some cases more than once with assistance from Internal Audit. The designation of specific responsibility for custody of cash funds is documented by organization charts, operating manuals, position descriptions, or similar written documents.

### **5.5 Weigh Master Performance Standards for Overages & Shortages**

The handling of money will normally generate some overages and shortages. The Solid Waste Supervisor and Senior Solid Waste Supervisor shall establish and maintain performance standards for Weigh Masters, including specific standards for overages and shortages. Overages and shortages shall be reviewed periodically by management to determine whether the discrepancies are significant, recurring, or specific to a certain Weigh Master.

**Note:** It is recommended that the Public Works Solid Waste Management Division first test the newly installed Weigh Master for Windows Scale House Computer system to determine the reality of the cash handling environment before establishing Weigh Master performance standards for overages and shortages.

### **5.6 Management Procedures in the event of the absence of the Weigh Master**

The Weigh Master is responsible for determining amounts of money to be assessed, collected and/or accounted for based on established fees, and the weight, volume, or type of materials to be dumped at the transfer station.

In the event of the absence of the Weigh Master, the Solid Waste Supervisor will be responsible for performing the aforementioned tasks. When responsibility over Weigh Master tasks and use of the Weigh Master cash register machine is assigned to the Solid Waste Supervisor, the Senior Solid Waste Supervisor shall be responsible for performing the Solid Waste Supervisor responsibilities as outlined on page 7 of this policies and procedures manual. Further, to fulfill this change in assignment, the backup Senior Solid Waste Supervisor shall be responsible for performing the duties of the Senior Solid Waste Supervisor over transfer station operations as outlined on page 7 and 8 of this policies and procedures manual.

### **5.7 Segregation of duties**

Maintaining segregation of duties is especially challenging for the transfer station due to the small number of Weigh Master employees. In an environment with limited number of Weigh Master employees, management needs to be involved in documenting, reviewing, and approving transactions, reports, and reconciliation, as well as implement control procedures to assure segregation of duties exist.

Prepared by Date
Management Date
Quality Assurance Date

<b>STANDARD OPERATING PROCEDURE</b>	<b>PWSOP 00001.13</b>
<b>Title: Opening of Scale House and Transfer Station</b>	<b>Effective Date:</b>
	<b>Page:</b>

### 1.0 Purpose

The purpose of this document is to define generalized procedures for opening the Scale House and Transfer Station.

### 2.0 Scope

This procedure covers the duties related to opening the Scale House and Transfer Station, and separation of cashier's work.

### 3.0 Responsible Personnel

Weigh Masters and Solid Waste Supervisor

### 4.0 Incompatible Duties

Weigh Masters cannot open the scale house or transfer station, disarm the alarms, open the safe, or count out the change funds. Weigh Masters cannot share cash drawers, passwords, or IDs.

### 5.0 Opening Procedures

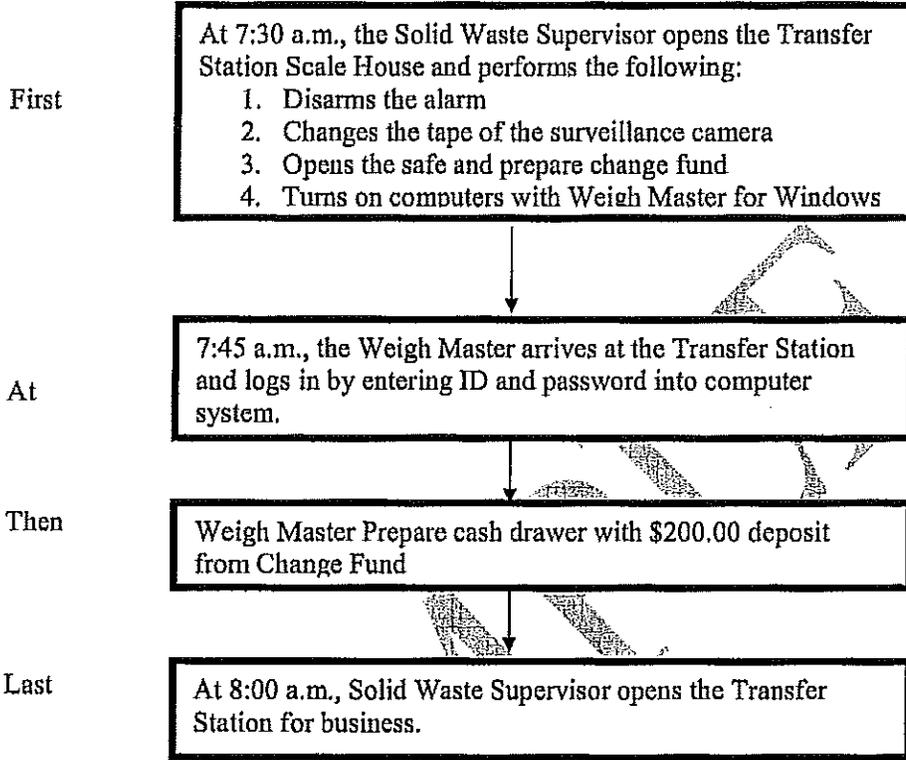
(a) At 7:30 a.m., Solid Waste Supervisor opens the Transfer Station Scale House and performs the following:

- 1) Disarms the alarm to Scale House
- 2) Changes the surveillance camera tape
- 3) Opens the safe and prepare change fund for each Weigh Master
- 4) Turns on computers with Weigh Master for Windows Program by typing the appropriate passwords

(b) At 7:45 a.m., the Weigh Master arrives at the Transfer Station and logs in by entering his/her ID and password into the computer system. The Weigh Master prepares his/her cash drawer with a \$200.00 deposit provided by the Solid Waste Supervisor from the Cashier's Change Fund.

(c) At 8:00 a.m., the Solid Waste Supervisor opens Transfer Station front gate for business.

**WORK FLOW DIAGRAM FOR START-UP PROCEDURES**



**6.0 Separation of Cashier's work, sharing of ID or tills prohibited**

Control shall be maintained over all cash registers by the use of user ID access codes to preclude the substitution or use of cash registers by unauthorized personnel. Sharing of cash drawers and computer IDs and passwords is prohibited in order to reduce the risk of unauthorized use or loss, and to assign accountability for cash to specific individuals. This prohibition helps protect the employee from unwarranted suspicion of mishandling of funds by clearly assigning responsibility for integrity of the cash fund in each drawer.

Access to the cash register shall be limited to the Weigh Master(s) on duty, as well as the use of user ID codes

Prepared by Date
Management Date
Quality Assurance Date

<b>STANDARD OPERATING PROCEDURE</b>	<b>PWSOP 00001.14</b>
<b>Title: Customer Transaction Processing</b>	<b>Effective Date:</b>
	<b>Page:</b>

### 1.0 Purpose

The purpose of this document is to provide a standard operating procedure (SOP) for customer transaction processing.

### 2.0 Scope

This SOP pertains to the achievement of objectives in the following categories:

- Weigh Master transaction processing for TOWN vehicles, charge account customers, and temporary account customers
- Credit Card Handling Guidelines
- Void transaction requirements
- Customers who are unable to pay bill or leave without paying
- What to do if automated cash register goes down
- Recycle oil requirements
- Obtaining smaller currency for Cashier's Change fund

### 3.0 Responsible Personnel

The implementation of the fiscal administrative objectives identified above is the responsibility of the Weigh Master, Solid Waste Supervisor, and Senior Solid Waste Supervisor.

### 4.0 Incompatible Duties

See Appendix A-2 Segregation of Duties Matrix, for further details

### 5.0 Weigh Master Transaction Processing for All TOWN Vehicles, Charge Account Customers, and Temporary Account Customers

#### 5.1 All TOWN Vehicles

- 1) Check load for hazardous materials.
- 2) Enter truck# and other appropriate information into the Weigh Master Computer System.
- 3) Weigh vehicle in and generate a weight slip.

- 4) Direct vehicle to appropriate unloading locations on tipping floor for disposal of material.

### **5.2 Charge Account Customers**

- 1) Check the load for hazardous materials and ask for load origin.
- 2) Enter the account number and other information into the computer system and weigh vehicle in.
- 3) Direct vehicle to appropriate unloading location.
- 4) Weigh vehicle out and charge to customer's account.
- 5) Print weight slip, have customer sign it, provide customer with the original and file the copy.

### **5.3 Temporary Account Customers:**

#### **Weigh INS**

- 2) Check load for hazardous materials and ask for load origin.
- 3) Enter information into computer system, weigh vehicle in and use minimum fees, if applicable (330 pounds or less).
- 4) If minimum fee is applied, collect payment and give customer receipt (Do not weigh out customer).

#### **Weigh Outs**

- 1) Use cone to identify the type of load (yellow for green waste and orange for garbage).
- 2) Weigh vehicle out and collect payment. Customer payments can be accepted in the form of check, money order, cash, or by a charge card with a Visa or Master Card logo.
- 3) Enter payment amount into the computer system, cash drawer, and print a weight slip/receipt, and give the original to the customer and file the copy.

## **6.0 Check Handling Guidelines (NO LONGER ACCEPT CHECKS)**

### **6.1 Check Examination**

Before entering payments into the computer register, checks and money orders must be examined to ensure the following:

- a. Amount of payment equals the amount due for the disposal service, as shown on the computer screen for the transaction. Checks should not be made payable for an amount greater than the service or goods being paid for; change shall not be disbursed for payments made by check.
- b. Written and numeric amounts match. Banking regulations take written over numeric amount.
- c. Checks are signed and not post dated or stale-dated.
- d. The payee is the TOWN OF ANYWHERE. Second party checks (i.e. not payable to the TOWN OF ANYWHERE) shall not be accepted.
- e. Checks contain customer's a current address.

### **6.2 Check Endorsement**

- 1) Weigh Masters are responsible for endorsing all checks immediately upon receipt.
- 2) Clearly endorse all checks with a rubber endorsement stamp. The endorsement stamp must have the TOWN OF ANYWHERE, Public Works, Solid Waste Management Division, Transfer Station approved format.
- 3) Endorse the check within the first 1.5" measured from the stub end of the check; the remainder of the back of the check is reserved for bank endorsements. The Federal Reserve mandates this endorsement requirement; failure to endorse checks properly may cause delays in processing and impair efforts to collect on returned checks.

### **6.3 Returned Checks**

The Finance Department's Billing Unit for collection will hold any check that is issued to the TOWN and returned because of insufficient funds or

for any other reason. The department or division that accepts a check that is subsequently returned unpaid may be charged the amount that is uncollected after all collection proceedings have been carried out.

### **7.0 Credit Card Handling Guidelines**

- 1) Obtain bank authorization by submitting the transaction to the bank via the electronic capture device. Follow the instructions included in the credit card authorization information packet to ensure proper authorization.
- 2) Obtain credit cardholder signature. Credit card transactions that are handled in person are not valid without an appropriate signature by the cardholder. Weigh Masters are responsible for ensuring that the person paying by credit card is the authorized user.

### **8.0 Void Transaction Requirements**

When it is necessary to void or cancel a receipt form, the original should be marked "VOID" so that it cannot be reused, and the original attached to the duplicate and triplicate copies and retained. Cash control through the use of pre-numbered receipt forms is only effective when a strict accounting is made of all forms. Each receipt should either be issued to a customer or voided and attached with the receipt book. Missing forms should be investigated or otherwise accounted for by the Solid Waste Supervisor.

The receipt number, receipt date, and the Weigh Master and Solid Waste Supervisor's initials should be noted on any source document that supports the payment. The Solid Waste Supervisor or Senior Solid Waste Supervisor should approve voids, over rings, etc. at the time they occur. If the supervisor is not available to approve the void, then a different Weigh Master will sign the void and the Solid Waste Supervisor will countersign upon his/her return. Voided receipts should be attached to the Daily Cash Report each day.

In many cases, receipt forms are printed in bound pads to facilitate control of the forms issued. When all forms in a bound pad have been issued, the used pad should be returned to the employee responsible for keeping the book inventory of the pre-numbered forms, the Solid Waste Supervisor. The Solid Waste Supervisor shall examine the pad to see that all forms have been properly accounted for and that all copies of "void forms" are in the pad. The Solid Waste Supervisor shall make an appropriate entry on the inventory control records indicating return of the used forms.

### **9.0 Customers who are unable to pay or leave without paying**

When a cash customer who has already unloaded is unable to pay, he/she must complete a Promise to Pay Form (See Appendix A-9, Promise To Pay Form, for

further details). The intent is to document a debt to the TOWN as well as capture the data needed to bill the customer if the customer fails to appear at Finance to pay in person.

If a customer leaves without paying or completing a Promise to Pay Form, the Weigh Master should record the vehicle license plate and call the Berkeley Police Department to make a report.

#### **10.0 What to do if Automated Cash Register System goes down**

All transactions must be receipted. If the computerized receipting system is down, the Weigh Master shall issue manual receipts.

##### **10.1 Issuing Manual Receipts**

Each completed receipt shall contain the following information:

- Current date
- Amount received
- Person from whom money was received
- Purpose of payment
- Fund to which receipt is to be credited
- Type of transaction: cash, check or credit card
- Signature of the person writing the receipt

The original manual (white copy) shall be given to the party making the payment. A duplicate manual receipt shall be maintained in numerical order in the receipt book.

##### **10.2 Voiding Manual Receipt Transactions**

VOIDS (or corrections) must be verified after correction with the Solid Waste Supervisor. Voided receipts should be clearly marked "VOID" on the original receipt and its corresponding copies. The original, voided receipt (white copy), along with its duplicate copies should remain intact in the receipt book. If the original receipt is torn out of the book, it should be stapled to its copies.

#### **11.0 Obtaining Smaller Currency for Cashier's Change Fund**

The purpose of the change fund is to provide change necessary for efficient cash sales operations at the Transfer Station Scale House facility. The custodians of

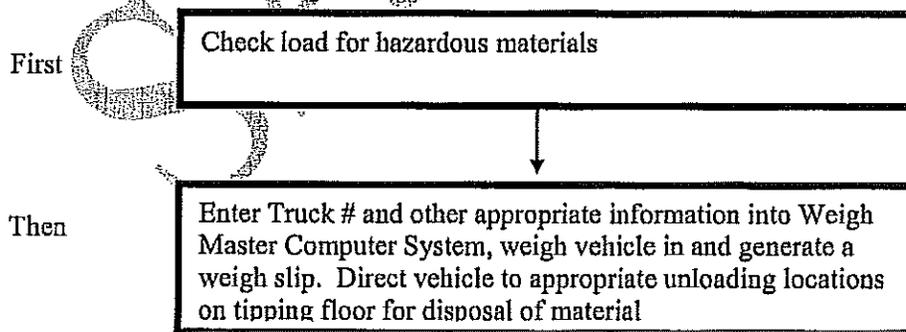
the change fund shall be the Solid Waste Supervisors assigned to the Transfer Station Scale House Facility. There are currently two (2) Solid Waste Supervisors assigned to the Transfer Station. Their working title is Opening Supervisor and Closing Supervisor. Therefore, each supervisor shall be personally responsible to the Manager of the Solid Waste Management Division for the value of the change fund, its proper safe keeping, and to ensure that all policies and procedures are adhered to. Currently, the authorized amount of the Transfer Station change fund is \$1,000. If smaller currency for the cashier's change fund is needed to conduct efficient cash sales operations at the Transfer Station, the Solid Waste Supervisor having custody of the change fund at the time of the request for change shall obtain this currency.

### 12.0 Used Oil Recycling Requirements

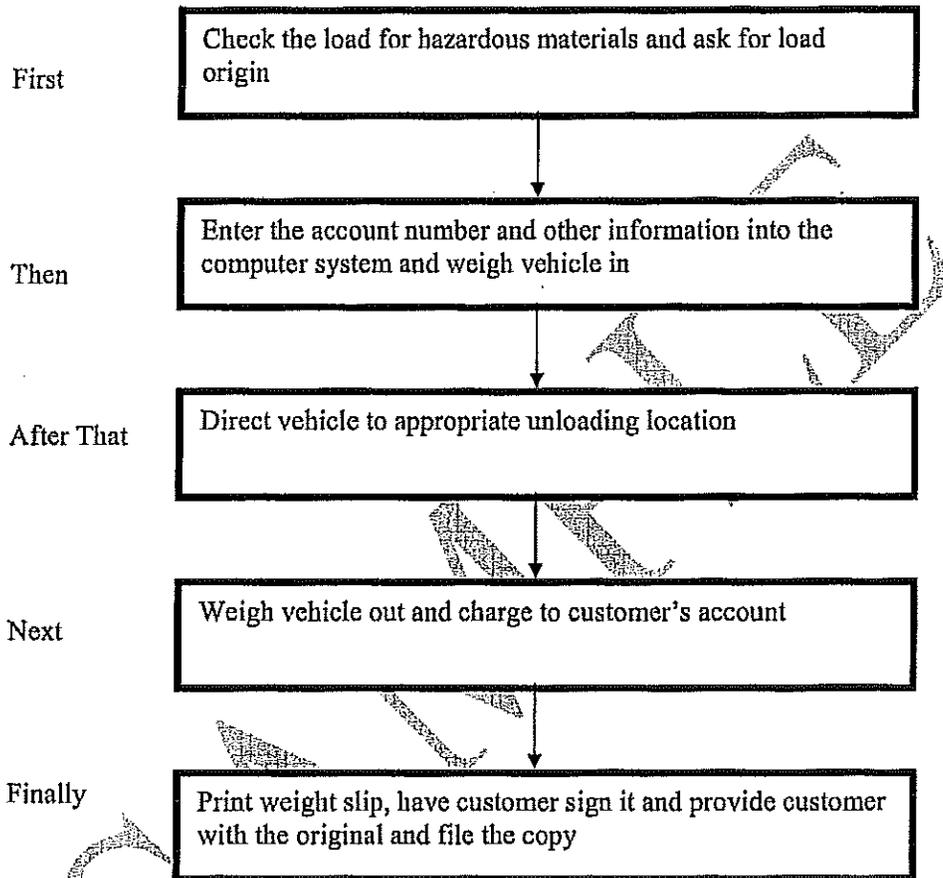
The California Integrated Waste Management Board (CIWMB) encourages the recycling of used motor oil by certifying used oil recycling collection centers throughout the state. The Oil Depot at the TOWN OF ANYWHERE Transfer Station Scale House facility is a certified used oil collection center. Customers who bring used motor oil to the Oil Depot shall be offered 16 cents per gallon payment. The Transfer Station will take up to 5 gallons per customer per visit, or a maximum of 15 gallons per customer per day.

The Oil Depot cannot accept used motor oil if it is contaminated with other fluids such as antifreeze, solvents, gasoline, or water. The Weigh Master shall provide customers with contaminated oil with information on the Alameda County Household hazardous waste program

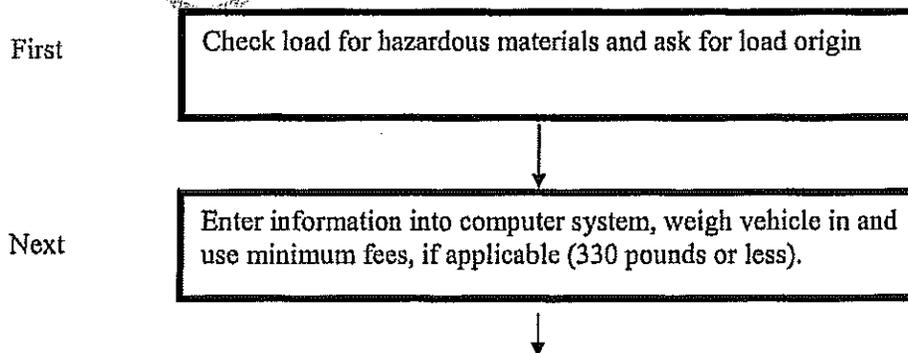
#### **WORK FLOW DIAGRAM FOR WEIGH MASTER CASH COLLECTIONS TRANSACTION PROCESSING PROCEDURES FOR ALL TOWN VEHICLES**



**WORK FLOW DIAGRAM FOR WEIGH MASTER CASH COLLECTIONS  
TRANSACTION PROCESSING FOR CHARGE ACCOUNT CUSTOMERS**



**WORKFLOW DIAGRAM FOR WEIGH MASTER CASH COLLECTIONS  
TRANSACTION PROCESSING FOR TEMPORARY ACCOUNT CUSTOMERS**



Finally If minimum fee is applied, collect payment and give customer receipt (Do not weigh out customer)

**WORK FLOW DIAGRAM FOR WEIGH MASTER CASH COLLECTIONS  
TRANSACTION PROCESSING FOR WEIGH OUTS**

First Use cone to identify the type of load (yellow for green waste and orange for garbage)

Then Weigh vehicle out and collect payment. Customer payments can be accepted in the form of cash, or by charge card with a Visa or Master Card logo.

Upon Customer payments by credit card first require approval and then must be recorded in the cash register

Finally Enter payment amount into the computer system cash drawer and print a weight slip (receipt), and give the original to the customer and file the copy

Prepared by	Date
Management	Date
Quality Assurance	Date

<b>STANDARD OPERATING PROCEDURE</b>	<b>PWSOP 00001.15</b>
<b>Title: End of Day Z-Out and Closing Procedures</b>	<b>Effective Date:</b>
	<b>Page:</b>

### 1.0 Purpose

The purpose of this document is to provide a standard operating procedure (SOP) for end of the day closing and Z-Out procedures at the Transfer Station Scale House facility.

### 2.0 Scope

This SOP pertains to the achievement of objectives in the following categories:

- Mitigating controls for incompatible duties
- Cashier overages and shortages
- Accountability for errors and review at higher level
- Dual custody procedures
- Weigh Master Closing and Z-Out procedures
- Solid Waste Supervisor Closing procedures
- Deposit requirements
- Review and approval of Daily Cash Receipt Reconciliation

### 3.0 Responsible Personnel

The implementation of the fiscal administrative objectives identified above is the responsibility of the Weigh Master, Solid Waste Supervisor, and Senior Solid Waste Supervisor.

### 4.0 Incompatible Duties

Someone not involved with collecting the cash (i.e. Solid Waste Supervisor) must prepare the deposit slips and Treasury Reports. The employee preparing the deposit slips and Treasury Reports cannot make the deposit at the Treasury or bank.

## 5.0 Weigh Master Z-Out Procedures

The Weigh Master will perform the daily cash balancing in accordance with the User's Guide for the Weigh Master for Windows (WMW) Scale House 32 System, and through completion of the Daily Cash Report and Cash Drawer Recap Report. The Daily Cash Report and Cash Drawer Recap Report are balancing forms that are used to provide a summary of collection and deposit information that must be reconciled to the receipts in the cash drawer for the day.

The Weigh Master will remove all funds from his/her drawer, and count and report them on the Daily Cash Report and Cash Drawer Recap Report as cash or credit card payments. The Weigh Master will separate the \$200 change fund from the daily collection and include it on the Daily Cash Report as "Change Fund." Each credit card transaction received by the Weigh Master shall be tallied using the Adding Machine Tape, which must agree with the Weigh Master's total credit card transactions received for deposit for that day.

If the money in the cash drawer does not equal the amount shown on the Cash Drawer Recap Report, the Weigh Master shall record the overage(s) or shortage(s) on the Daily Cash Report.

Upon completing the Daily Cash Report and Cash Drawer Recap Report, and all closing procedure as specified in the User's Guide for the Weigh Master for Windows Scale House 32 System, the Weigh Master shall sign his/her Daily Cash Report and Cash Drawer Recap Report, and deliver these balancing forms along with the cash receipts and change fund to the Solid Waste Supervisor, for reconciliation and preparation of the daily deposit.

## 6.0 Solid Waste Supervisor Z-Out Procedures

The Solid Waste Supervisor will verify that all receipts are included with the Weigh Master's balancing documents (i.e. Daily Cash Report, Cash Drawer Recap Report, etc.). The Solid Waste Supervisor will initial all voided receipts after ensuring that all copies of the voided receipt are present. Any missing receipts must be explained on the Weigh Master's Daily Cash Report and approved by the Solid Waste Supervisor and the Senior Solid Waste Supervisor.

The Solid Waste Supervisor will count and verify all collections as documented by each Weigh Master's receipts, Daily Cash Report, and Cash Drawer Recap Report, and initial these reports next to the Weigh Master's initials. The Solid Waste Supervisor will prepare deposit slips for each Weigh Master's receipts for the day, as described in section 7.0 and the Solid Waste Supervisor and Weigh Master shall both initial the deposit slip.

The Solid Waste Supervisor will then complete the All Cash Drawer Recap Report. If there are any discrepancies, the Solid Waste Supervisor addresses them with the Weigh Master immediately, before they leave for the day. The Supervisor shall research and explain any overages or shortages on the All Cash Drawer Recap Report. The Solid Waste Supervisor will balance all credit card transactions with the credit card receipts and deposits, using the automated credit card reader system.

The daily receipts should remain intact and processed as a batch. Any items that cannot be processed as part of the original batch must be documented as to the reason for the delay. All Weigh Master reports, receipts, deposit slips, and other balancing documents will be maintained in a daily file secured by the Solid Waste Management Division.

## **7.0 Preparing Deposit Slips, Bags, and Treasury Reports**

A separate deposit bag is required for each payment type (currency, checks and coins) for each Weigh Master.

### **7.1 Procedures for Preparing Currency Deposit Slip and Bag (Note: Checks Are No Longer Accepted)**

- 1) Weigh Master counts the currency while Solid Waste Supervisor observes that the currency is counted correctly.
- 2) Weigh Master presents the currency to the Solid Waste Supervisor.
- 3) Solid Waste Supervisor prepares the deposit slip while Weigh Master observes that the information is entered correctly.
- 4) List each denomination on the deposit slip, followed by the amount for each denomination.
- 5) Enter current date on the deposit slip.
- 6) Calculate the total amount of currency and enter on the bottom of the deposit slip.
- 7) Enter the total again on the side of the deposit slip.
- 8) Write the bag number on the side of the deposit slip.
- 9) Weigh Master and the Supervisor who performed the currency count shall initial the deposit slip.
- 10) Affix the currency label on the currency deposit bag, and enter the deposit amount on the label.
- 11) Take the numbered bag strip tab off on the deposit bag and staple it on the top right side of the yellow copy of the deposit slip.
- 12) Place the deposit slip in the small pouch of the deposit bag.
- 13) Place the currency in the big pouch of the deposit bag.
- 14) Seal the bag.

### **7.2 Procedures for Preparing Check Deposit Slip and Bag**

- 1) Weigh Master runs an adding machine tape on the checks, using duplicate tape.

- 2) Weigh Master gives the Solid Waste Supervisor the checks and tapes.
- 3) Solid Waste Supervisor runs second tape to confirm the Weigh Master's total for checks, again using duplicate tape. There will be two (white) original tapes and two (yellow) copy tapes.
- 4) Solid Waste Supervisor prepares the deposit slip while Weigh Master observes that the information is entered correctly.
- 5) If there are 24 or more checks, enter only the total amount of the checks on the deposit slip, and place a note on the deposit slip "See Attached Tape." If there are less than 24 checks, list each check on the deposit slip.
- 6) Enter current date on the deposit slip.
- 7) Calculate the total amount of checks and enter on the bottom of the deposit slip.
- 8) Enter the total again on the side of the deposit slip.
- 9) Write the bag number on the side of the deposit slip and the package number from the deposit label for checks.
- 10) Weigh Master and the Supervisor who performed the check tabulation shall initial the deposit slip.
- 11) Attach one original copy of the adding machine tape onto the white deposit slip copy, and attach the second original adding machine tape to the yellow deposit slip copy.
- 12) Affix the checks label on the checks deposit bag, and enter the deposit amount on the label.
- 13) Take the numbered bag strip tab off on the deposit bag and staple it on the top right side of the yellow copy of the deposit slip.
- 14) Place the deposit slip in the small pouch of the deposit bag.
- 15) Place the checks in the big pouch of the deposit bag.
- 16) Seal the bag.

### **7.3 Procedures for Preparing Coins Deposit Slip and Bag**

- 1) Weigh Master counts the coins while Solid Waste Supervisor observes that the coins are counted correctly.
- 2) If the total is less than \$5.00, the coins shall be sealed in an envelope, which is initialed by the Solid Waste Supervisor and Weigh Master. If the total is \$5.00 or more, the coins shall be bagged according to the following steps.
- 3) Solid Waste Supervisor prepares the deposit slip while Weigh Master observes that the information is entered correctly.
- 4) List each denomination on the deposit slip, followed by the amount for each denomination.
- 5) Enter current date on the deposit slip.
- 6) Calculate the total amount and enter on the bottom of the deposit slip
- 7) Enter the total again on the side of the deposit slip.
- 8) Write the bag number on the side of the deposit slip.
- 9) Weigh Master and the Supervisor who performed the currency count shall initial the deposit slip.

- 10) Affix the coin label on the coin deposit bag, and enter the deposit amount on the label.
- 11) Take the numbered bag strip tab off on the deposit bag and staple it on the top right side of the yellow copy of the deposit slip.
- 12) Place the deposit slip in the small pouch of the deposit bag.
- 13) Place the coins in the big pouch of the deposit bag.
- 14) Seal the bag.

#### 7.4 Procedures for Preparing Treasury Reports

The Treasury Report allows the Solid Waste Management Division employee making the deposit and the Treasurer's office cashiers to document their agreement of the amount of funds deposited, and the posting of these monies to the correct accounts. The Solid Waste Supervisor must complete the Treasury Report (TR) accurately before leaving the Transfer Station.

The Treasury Report has three parts: the original and yellow copy for the Treasury Cashier and the pink copy for the division. **The Treasurer's Office will not accept an altered deposit slip.** Therefore, any revision requires a new deposit slip. The Treasury Report must be completed in ink. The Treasury Report shall contain the following information:

- Name of the department/division making the deposit
- Date of the deposit
- Account number [four-digit element object code or Treasury account number (T-1 or T-3)]
- Sub-codes and/or project numbers, if needed
- Amount for each sub-code and/or project number, if needed.
- Overages and/or shortages, if any
- Source of receipt

The T1 account is for revenue received through payment for the disposal of refuse, trash, debris, and compostable organic materials, and special fee items. The T3 account is for revenue received through the sale of recycled scrap metal.

The Solid Waste Supervisor shall complete one Treasury Report per Weigh Master per day. In addition, for each Weigh Master, the Solid Waste Supervisor will attach one yellow copy of the adding machine tape for credit card transactions, and a copy of each Weigh Master's Cash Drawer Recap Report and Deposit Ticket. Lastly, the Solid Waste Supervisor will provide the Treasury's office with an All Z-Out Recap Report and Credit Card Settlement Report.

## **7.5 Handling the Prepared Deposit**

At the end of the day, the Solid Waste Supervisor shall place the daily plastic deposit bags in the safe and lock it. **Note:** This procedure must be done in the presence of a Weigh Master in order to comply with dual custody procedures. To further comply with dual custody procedure, two scale house staffs are to remove and release the daily deposit bags to the TOWN-designated courier (Brink Incorporated.) After releasing the sealed bags, a staff along with the courier representative must sign the Customer Receipt Book attesting the number of bags given, bags numbers, and the amount listed on each bag.

Accounting information relative to the deposit must be updated by the Treasurer's Office within five (5) working days of the date of the deposit through the FUNDS\$ system to assure appropriate validation and reconciliation of deposits is in place.

## **7.6 Dual Custody during Reconciliation**

The Weigh Master and the Solid Waste Supervisor shall maintain dual custody during reconciliation, a standard operating procedure under which two (2) individuals shall be present when deposits are being prepared.

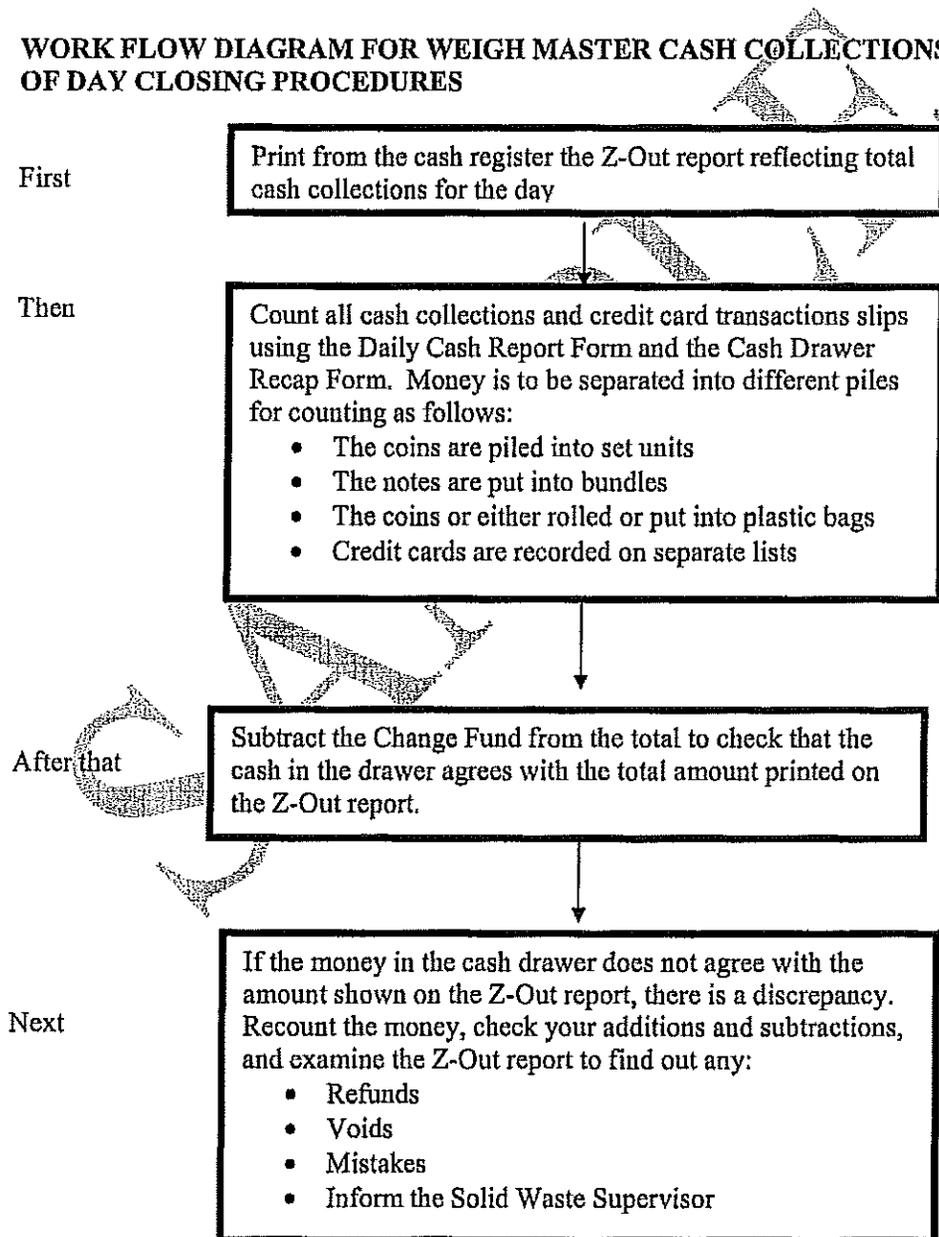
## **8.0 Additional Closing Responsibilities for Solid Waste Supervisor**

- 1) The Solid Waste Supervisor will close the gates to the Transfer Station at 4:30 p.m. All customers waiting in line at closing will be allowed into the Transfer Station.
- 2) When the last customer has left the premises, the Solid Waste Supervisor will lock the facility and begin the z-out reconciliation.
- 3) When the z-out is complete, the Solid Waste Supervisor will turn off the Weigh Masters' computers.
- 4) The Solid Waste Supervisor shall compile all reports (copies of TRs, Cash Drawer Recap Reports, Daily Cash Reports, deposit slips, and tapes) and deliver to the Senior Solid Waste Supervisor for review. After review, the Senior Solid Waste Supervisor shall prepare and sign a cover sheet for the package that indicates its contents and any problems, and deliver the package to the Associate Management Analyst for further review, validation, and subsequent filing.
- 5) The Senior Solid Waste Supervisor shall complete and maintain an up-to-date **Transfer Station Deposit Bag Log** (See Appendix A-6, for further details).

This step completes the deposit cycle by validating that the Transfer Station Scale House has received and processed all cash receipts for each project account (Scale House Operations, T1 account and Recycled Scrap Metal, T3 account) that has been deposited in the TOWN Treasury.

- 6) When all administrative duties are complete, the Solid Waste Supervisor shall turn computers off, lock all doors and windows, and turn on alarm and exit building.

### WORK FLOW DIAGRAM FOR WEIGH MASTER CASH COLLECTIONS-END OF DAY CLOSING PROCEDURES



Next

Record the total of each pile on the Daily Cash Report and Cash Drawer Recap Report, noting any overages/shortages

Finally

Take the Change Fund and the cash collections along with the Z-Out report, Daily Cash Report, and Cash Drawer Recap Report to the Solid Waste Supervisor for reconciliation

### SOLID WASTE SUPERVISOR CASH RECONCILIATION-END OF DAY CLOSING PROCEDURES

First

Upon receipt of the Daily Cash Report and Cash Drawer Recap Report along with Z-Out Report and credit card batch report from the credit card terminal from each individual Weigh Master, count and compare the cash, credit card amounts, including any voids or mistakes, with what the computer says is on hand. Maintain **dual custody** during reconciliation process

Next

Explain any discrepancy that may exist between the reported cash collections received from each individual Weigh Master cashier and the actual amount of money on hand

Then

Complete the Weigh Master for Windows System "All Cash Drawer Recap Report"

RHR Smith & Company,

Make copies of the Treasury Report (TR) deposit slips, the All Cash Drawer Recap Report, and Daily Cash Report and place originals and cash collections into a lockable deposit bag and place bag in back room safe for next day delivery to the TOWN Treasury.

After that

Next

Turn off the Weigh Masters' Computers

Then

Take all reports TR deposit slip, Cash Drawer Recap Report, and Daily Cash Report from each individual Weigh Master Cashier, inclusive of receipts for recycling activities to the Senior Solid Waste Supervisor for his/her review and validation. The Senior Solid Waste Supervisor then takes the cash collections documentation package to the Associate Management Analyst for further review, validation and filing

Then

Complete and maintain an up-to-date **Transfer Station Deposit Bag Log**. Step completes the deposit cycle by validating that the Transfer Station Scale House has received and processed all cash collections for each project account (T1/T3), which has been deposited in the TOWN Treasury.

Finally

Turn computers off, lock all doors and windows, turn on alarm, and exit building

Prepared by  Date

Management Date

Quality Assurance Date

<b>STANDARD OPERATING PROCEDURE</b>	<b>PWSOP NUMBER 00001.16 (Revised)</b>
<b>Title: Cashier's Change Fund</b>	<b>Effective Date:</b>
	<b>Page:</b>

### **1.0 Purpose**

The purpose of this document is to ensure proper maintenance and security of the Cashier's Change Fund.

### **2.0 Scope**

This document defines procedures for maintaining and using the Cashier's Change Fund.

### **3.0 Responsible Personnel:**

Manager of Recycling & Solid Waste, Solid Waste Supervisor, Senior Solid Waste Supervisor, Weigh Master(s)

### **4.0 Incompatible Duties**

No employee can count change from the Change Fund into his/her own operating cash drawer, nor reconcile return of change to the Change Fund from his/her own cash drawer.

### **5.0 Size of Change Fund**

The Transfer Station Scale House facility change fund shall be established at an amount no greater than that required in conducting normal daily cash sales transactions. The amount currently authorized by TOWN Council of this change fund is \$1,000. If the authorized level needs to be increased, the Manager of the Solid Waste & Recycling shall submit a new Change Fund request to the TOWN Council via the TOWN's Finance Director. The Change Fund must be returned or reduced when the need no longer exists or diminishes. Otherwise, the amount of the change fund remains constant. The change fund is subject to periodic surprise audits of cash and records by the TOWN's internal and external auditors.

### **5.2 Custodian of the Fund**

The sole custodian of the Transfer Station Scale House facility Change Fund shall be the Solid Waste Supervisor(s) assigned to the Transfer Station Facility.

### **5.3 Custodian Responsibilities**

The Solid Waste Supervisor is responsible to the Manager of Recycling & Solid Waste for proper safekeeping of the Change Fund. The Solid Waste Supervisor remains accountable for the Change Fund until custody is formally transferred to another employee or until the fund is formally closed. The Solid Waste Supervisor is personally responsible for the value of the Change Fund and for ensuring that all policies and procedures related to the fund are followed. It is the responsibility of both the Solid Waste Supervisor and Manager of Recycling & Solid Waste to acquire a thorough knowledge of the applicable policies and procedures and to ensure the funds is properly safeguarded.

### **5.4 Absence of Custodian**

During his/her absence or vacation, the Solid Waste Supervisor may place the Change Fund with a Temporary Custodian. The Temporary Custodian and the Solid Waste Supervisor must physically count the Change Fund and prepare a list of cash. The cash must total the authorized value of the Change Fund. The Temporary Custodian signs a copy of the reconciliation as a receipt. The Solid Waste Supervisor retains this receipt since that individual is transferring personal responsibility for the value of the fund. When the Solid Waste Supervisor returns, the same procedures shall be followed with the receipt retained by the Temporary Custodian (See Appendix A-8, **Change Fund Sub-Voucher**, for further details).

### **5.5 Weigh Master Liability for Change Fund Advance**

The Solid Waste Supervisor shall advance \$200 from the Change Fund to the Weigh Master to cover normal operating needs. Weigh Masters shall sign a Change Fund Sub-Voucher for the amount of the advance. The Weigh Master is liable for all advanced funds from the time of receipt of the funds, until an acceptable and correct accounting is made at closing.

The change fund advance shall be maintained by the Weigh Master and is limited exclusively for his/her use in making of change in receiving amounts due the TOWN. Each Weigh Master shall have his/her own cash drawer to conduct cash transactions with customers; change funds shall not be commingled with other cash funds. Change funds shall not be used for making petty cash disbursements or cash advances or as check-cashing service. This policy expressly prohibits advances for any purpose from the change fund other than for use in making change.

## 5.6 Reconciliation of Change Fund

The integrity of the **change fund** must be confirmed daily by completing the reconciliation of this fund. The total of cash must always equal total funds provided.

SAMPLE

<b>STANDARD OPERATING PROCEDURE</b>	<b>PWSOP NUMBER 00001.17</b>
<b>Title: Acquiring Change</b>	<b>Effective Date:</b>
	<b>Page:</b>

### 1.0 Purpose

The purpose of this standard operation procedure (SOP) is to define procedures for exchanging scale house operating cash at the bank for smaller denominations.

### 2.0 Scope

The scope of this SOP covers removal of cash from the Weigh Masters' drawers, transportation of the cash to the bank to exchange for smaller denominations, and return of the cash to the drawers.

### 3.0 Responsible Personnel

Weigh Masters, Solid Waste Supervisors, and Solid Waste Senior Supervisors.

### 4.0 Incompatible Duties

No employee can remove cash from his/her own drawer and take it to the bank for change.

### 5.0 Requirements for Acquiring Change

- 1) The Weigh Master shall advance cash from his/her drawer to the Solid Waste Supervisor, or his/her designee, in an amount that should cover normal operating needs.
- 2) The Solid Waste Supervisor shall count the cash in the presence of the Weigh Master and sign a sub voucher for the amount of the advance, which the Weigh Master shall keep in his/her drawer.
- 3) The Solid Waste Supervisor shall take the cash to the bank designated by the Manager of Recycling & Solid Waste, and exchange it for currency of smaller denominations.

- 4) Upon return to the Scale House, the Solid Waste Supervisor shall return the full amount of cash to the Weigh Master, who will count it in the presence of the Solid Waste Supervisor. After assuring that the correct amount has been returned, the Weigh Master shall return the sub voucher to the Solid Waste Supervisor.

Prepared by Date
Management Date
Quality Assurance Date

SAMPLE

<b>STANDARD OPERATING PROCEDURE</b>	<b>PWSOP NUMBER 00001.18</b>
<b>Title: Transfer Station Operations Checklist</b>	<b>Effective Date:</b>
	<b>Page:</b>

### 1.0 Purpose

The purpose of this standard operation procedure (SOP) is to define procedures for completing the Transfer Station Operations Checklist.

### 2.0 Scope

The scope of this SOP covers inspection of the physical condition of the transfer station site and equipment, and assessment of security measures and customer survey for auditing purposes.

### 3.0 Responsible Personnel

Solid Waste Supervisors and Senior Solid Waste Supervisors.

### 4.0 Incompatible Duties

Any employee performing Weigh Master duties cannot complete the "audit" portion of the checklist.

### 5.0 Requirements for Completing the Transfer Station Operations Checklist

The checklist has two parts: an inspection for auditing purposes, and an inspection of general operations. The first part of the form is intended to ascertain whether customers are being charged the proper service fees, and that standard security measures are fully engaged. The second part is intended to assess the condition of the structures and equipment, and identify the need for additional resources to ensure operational efficiency (See Appendix A-12, Transfer Station Operations Check List, for further details)

The employee completing the form will mark the box either "yes" or "no" for each line of the form, and explain any variances from established standards. The employee will sign and date the form upon completion, and return it to the Senior Solid Waste Supervisor.

Prepared by Date
Management Date
Quality Assurance Date

<b>STANDARD OPERATING PROCEDURE</b>	<b>PWSOP NUMBER 00001.19 (Revised)</b>
<b>Title: Z-Out Review</b>	<b>Effective Date:</b>
	<b>Page:</b>

### 1.0 Purpose

The purpose of this standard operation procedure (SOP) is to define procedures for reviewing the daily Transfer Station z-out packet.

### 2.0 Scope

The scope of this SOP covers review of the daily transfer Station Z-Out packet for completeness and accuracy, and related documentation.

### 3.0 Responsible Personnel

Weigh Masters, Solid Waste Supervisors, Solid Waste Senior Supervisors, Recycling Program Manager, and Associate Management Analysts.

### 4.0 Incompatible Duties

No one who is directly involved in the Scale House operations can review the Z-Out, therefore the Recycling Program Manager, or his/her designee, will review the daily z-out.

### 5.0 Requirements for Reviewing the Z-Out

The Senior Solid Waste Supervisor will provide a z-out packet for review, daily, with a cover sheet that he has signed and dated, which notes whether all required documents have been provided in the packet, and any other comments.

The reviewer will verify the following information:

**For the Cover Sheet:**

1. Z-out cover sheet is dated and signed by the Senior Solid Waste Supervisor.
2. Z-out packet contains all items as indicated by Senior Solid Waste Supervisor on the cover sheet.

**For each Weigh Master:**

3. WM Close Out Recap Report, WM Close Out Drawer Report, and WM Close Out Bag Report, WM Close Out Credit Cards Report, are signed or initialed by the Weigh Master and the Weigh Master's supervisor.
4. WM Special Codes Summary Report is included in z-out packet.

5. Amount entered on the Currency Deposit Slip matches the amount for currency entered in the currency section of the WM Close Out Drawer Report.
6. The counts for each denomination on the WM Close Out Drawer Report match the recorded amounts (i.e. number of bills x denomination value = amount).
7. The sums of denomination counts/amounts match the amounts entered as Currency on the WM Close Out Recap Report and WM Close Out Bag Report.
8. Amounts for cash and credit cards recorded on the WM Close Out Recap Report match the amounts entered in the WM Close Out Bag Report and Treasury Report.

**For the "All" Weigh Master Close Out Recap Report:**

9. The amounts entered for cash and credit cards equals the sum of these amounts from the individual WM Close Out Recap Report.
10. The sum of the two credit card terminal tapes equal the amount entered for credit card receipts.

The reviewer will record any discrepancies on the Z-out cover sheet and on Z-Out spreadsheet (FY2005z-out) filed on the shared network drive, and inform the Senior Solid Waste Supervisor immediately upon discovery of any unexplained discrepancies. The Senior Solid Waste Supervisor and the Manager of Recycling & Solid Waste, or his/her designee shall review the z-out spreadsheet monthly.

Prepared by Date
Management Date
Quality Assurance Date

<b>STANDARD OPERATING PROCEDURE</b>	<b>PWSOP 00001. 20</b>
<b>Title: Use of AMSEC Safe Wizard and Controlling Access to Safe</b>	<b>Effective Date: 1/20/2005</b>
	<b>Page:</b>

### 1.0 Purpose

The purpose of this standard operating procedure (SOP) is to ensure proper use of the American Security (AMSEC) Safe-The Safe Wizard per the manufacture's instructions. By following these instructions, the user will be able to achieve maximum usage of the safe's security features as outlined in the manufacturer's specifications.

The AMSEC safe is equipped with an electronic access controlled system named the **Safe Wizard**. Inside the safe are 4 compartments, three of which have a key-locking mechanism and are electronically connected to the Safe Wizard. The fourth compartment is an open compartment. All of the compartments inside the safe are labeled and the three electronically connected to the Safe Wizard are numbered.

### 2.0 Scope

This SOP pertains to the use of the safe as for the storage of cash and cash equivalents or any other items deemed necessary in the operation of the Transfer Station Scale House Facility. Other items covered in this SOP include:

- The Transfer Station's **Principal Change Fund**
- The Weigh Master's **Individual Change Fund**
- Deposit bag procedures and dual custody requirements for cash receipts
- Key Security
- Filling in and signing the Deposit Log Sheet

### 3.0 Responsible Personnel

Manager of Solid Waste and Recycling, Senior Solid Waste Supervisor, Transfer Station Solid Waste Supervisor, and Weigh Master

### 4.0 Incompatible Duties

Someone not involved with collecting the cash (i.e. Solid Waste Supervisor) must prepare the deposit slips and Treasury Reports. The employee preparing the

deposit slips and Treasury Reports cannot make the deposit at the Treasury or bank. Weigh Masters shall not exchange individual security codes for their cash register or safe compartment. Each Weigh Master is solely responsible for his/her cash register, as well as and assigned compartment of the AMSEC Safe.

## **5.0 Opening of Safe – Beginning of Workday Procedures**

### **A. Supervisor**

At the beginning of the workday the Supervisor shall open the safe with his password, take out each Weigh Master's change fund bag, hand it to them, and close the door to the safe.

### **Weigh Master**

Each Weigh Master shall count his/her change fund in the presence of the Supervisor, place the change fund in the cash register drawer and after closing the drawer begin processing customer transactions.

## **6.0 Procedures for Issuing Change**

When a Weigh Master is in need of change, the Supervisor shall open the External door to the safe, then open the door to the principal change fund compartment and count out the appropriate amount of change needed. The Supervisor shall then close the door to the principal change fund compartment, as well as the exterior door to the safe (See SOP 00001.16 – Cashier's Change Fund, for further details).

## **7.0 Weigh Master Break and Lunch Procedures**

The Weigh Master is responsible for securing his/her monies during all breaks and lunch. The Weigh Master shall remove his/her cash drawer from the cash register and place it into the safe's assigned compartment. Each Weigh Master shall enter his/her assigned code into Safe Wizard system, and then select the assigned slot drawer number for his/her cash drawer. The Weigh Master will then use a key to open the door to the slot, place the cash drawer into the slot drawer, close the slot drawer, remove the key and keep it in his/hers possession to access the safe compartment when he/she returns. After the Weigh Master returns from his/her break or lunch the MW will retrieve the cash drawer and close the door to the safe.

## 8.0 Deposit Bag Procedure

After the supervisor has completed the Z out documentation, he will then seal the plastic deposit bag, open the safe main door, and place the bag into the deposit slot. He shall check the deposit slot to in order to ensure the deposit bag has cleared the deposit slot area. The Supervisor then close the principal door to the safe. All of this must be done in the presence of a Weigh Mater to comply with dual custody requirements.

## 9.0 Retrieving the Deposit Bag for the Treasury Deposit

After the Supervisor has completed the Z out documentation, he will then seal the plastic deposit bag, open the safe main door, and place the bag into the deposit slot. He shall check the deposit slot in order to ensure the deposit bag has cleared the deposit slot area. He shall then close the main door to the safe. This must be done in the presence of the Weigh Mater to comply with dual custody requirements.

## 10.0 General Use of Safe

The safe is programmed with an alarm that will sound if the safe doors are open beyond a programmed time limit. The operator must close all the doors to the safe to deactivate the alarm after it has been activated.

Prepared by Date
Management Date
Quality Assurance Date

<b>STANDARD OPERATING PROCEDURE</b>	<b>PWSOP 00001. 21</b>
<b>Title: Accountability for Cash Receipts Overages and Shortages, and Cash Register System Input Accuracy</b>	<b>Effective Date: 6/10/2005</b>
	<b>Page:</b>

### **1.0 Purpose**

The purpose of this standard operating procedure (SOP) is to establish performance standards for cash receipts overages and shortages, and cash register input accuracy, for the Weigh Master cashiers.

### **2.0 Scope**

This SOP pertains to cashiering performance standards for cash receipts overages and shortages, and cash register system input accuracy, for the Weigh Master cashiers.

### **3.0 Responsible Personnel**

Manager of Solid Waste and Recycling, Senior Solid Waste Supervisor, Transfer Station Solid Waste Supervisor, and Weigh Master

### **4.0 Incompatible Duties**

Weigh Masters shall not exchange individual security codes for their cash register or safe compartment. Each Weigh Master is solely responsible for his/her cash register, as well as assigned compartment of the AMSEC Security Safe.

### **5.0 Overages and Shortages**

- a) Weigh Masters will be given written notice at least one (1) week in advance of the implementation of any new elements or performance standards. The performance standards listed herein are additional to the other requirements in this Cash Handling Policies and Procedures Manual.
- b) Before the date of implementation, all weigh Masters will be provided a copy of any new performance standards or critical elements.
- c) The following time frames and dollar amounts are applicable to an individual Weigh Master in meeting the following performance standards:

**6.0 Overages/Shortages Indicators**

- No more than \$10.00 – Daily
- No More than \$20.00 – Weekly
- No more than \$20.00 – Monthly

**7.0 Input Accuracy Indicators**

-Number of Z-Out reporting errors in 22 working days – Not more than four (4)  
Z-Out Reports inaccurately completed in 22 working days

- d) If the supervisor has identified shortcomings in the Weigh Master's performance, the Weigh Master shall be notified when the problem is perceived. The supervisor will discuss the Weigh Master's performance with the Weigh Master in private surroundings at least twice (2) during the rating period. The supervisor will suggest ways for the Weigh Master to improve his/her work performance.

Prepared by Date
Management Date
Quality Assurance Date

SAMPLE

APPENDICES

## APPENDICES

A-1	Transfer Station Disposal Rates
A-2	Segregation of Duties Matrix
A-3	Daily Cash Report Form
A-4	Sample Cash Drawer Recap Report Form
A-5	Treasury Report Deposit Slip Form
A-6	Transfer Station Deposit Bag Log
A-7	Key Request Form
A-8	Change Fund Sub-Voucher
A-9	Promise to Pay Form
A-10	Sample Daily Check List Form for Z Out
A-11	Inventory Control Worksheet
A-12	Transfer Station Operation Check List

SAMPLE

City of Berkeley  
Solid Waste Transfer Station  
Disposal Rates Effective July 1, 2003

MATERIAL TYPE	NEW FEE
<b>REFUSE, TRASH, DEBRIS</b>	
minimum charge (330 pounds or less)	\$13.00
per cubic yard	\$19.80
per ton	\$78.75
<b>COMPOSTABLE ORGANIC MATERIALS</b>	
minimum charge (330 pounds or less)	\$9.00
per cubic yard	\$13.00
per ton	\$55.25
<b>OTHER</b>	
refrigerated appliances	\$31.00
mattresses & box springs	\$7.50
television sets & computer monitors	\$16.00
automobile tires	\$5.00
truck tires	\$10.00

Transfer Station A-1

Transfer Station A-1

**SEPARATION OF DUTIES MATRIX**

Functions/Responsibilities	Weigh Master	Weigh Master Trainee	Solid Waste Supervisor	Office Specialist Supervisor	Senior Solid Waste Supervisor	Associate Management Analyst	MSWR
Collection of Cash/Receipts	X	X	X				
Weigh Master Cash Receipts /Deposit Reconciliation Process	X	X	X				
Cashier Overages Performance Standards	X	X	X		X		
Cashier Shortages Performance Standards	X	X	X		X		
Input Accuracy Performance Standards	X	X	X		X		
Supervisor Performance Standards					X		
Opening of Scale House Doors/Implementing Alarm System			X		X		X
Posting of Duplicate Computer Down Receipts	X	X	X				
Verification of Voids (or Corrections)	X		X		X		
Who Can Obtain Smaller Currency for Cashier's Change Fund			X		X		
Implement "Surprise" Cash Counts			X		X		
Implement Customer Transactions							
Implement Recycled Oil Purchases	X	X	X				
Administer Video Surveillance			X		X		
Daily Verification of Cash Receipt Deposits to Finance/Treasury			X		X		
Conduct All Z-Out Reconciliation			X				
Review Accuracy of All-Z-Out Report and Cash Receipts/Deposit Reconciliation					X	X	
Review Reasonableness of Fee Structure			X		X		X
Participate in Cashier Training	X	X	X	X	X	X	X
Establish Performance Measures for Cashiers & Supervisors					X		X
Setting/Changing Fee Rate Structure					X		X
Verification of Cash Receipts/Reconciliation			X		X		
Safe Administrator							X
Manager of Safe					X		

SEPARATION OF DUTIES (Cont'd)

Functions/Responsibilities	Weigh Master	Weigh master Trainee	Solid Waste Supervisor	Office Specialist Supervisor	Senior Solid Waste Supervisor	Associate Management Analyst	MSWR
User of Safe	X	X	X				
Courier for Cash Receipt Deposits To Treasury			X				
Super User of Safe			X				
Access to Main Door of Safe (Exterior Door)	X	X	X				
Access to Change Fund/Keys			X				
Access to Miscellaneous Documents Drawer			X				
Access to Deposits (Dual Custody)			X		X		
Access to Cash Register Drawers	X	X					

Transfer Station A-2

SAMPLE

DAILY CASH REPORT

DATE: \_\_\_\_\_  
month day year

CASH PER COUNT \$ \_\_\_\_\_

CHECKS PER ADDING MACHINE TAPE \$ \_\_\_\_\_

CREDIT CARD \$ \_\_\_\_\_

**SUB-TOTAL** \$ \_\_\_\_\_

CASH REGISTER CHANGE FUND (\$ \_\_\_\_\_)

**TOTAL** \$ \_\_\_\_\_

RECEIPTS PER COMPUTER Z-OUT \$ \_\_\_\_\_

**+OVER/-SHORT** \$ \_\_\_\_\_

CASH COUNT

COINS:

DENOMINATION	NUMBER	AMOUNT
\$ 0.01		\$
\$ 0.05		\$
\$ 0.10		\$
\$ 0.25		\$
\$ 0.50		\$
\$ 1.00		\$
Sub-total Coins		\$

BILLS:

DENOMINATION	NUMBER	AMOUNT
\$ 1.00		\$
\$ 2.00		\$
\$ 5.00		\$
\$ 10.00		\$
\$ 20.00		\$
\$ 50.00		\$
\$ 100.00		\$
Sub-total Bills		\$

TOTAL CASH \$ \_\_\_\_\_

TOTAL DEPOSIT \$ \_\_\_\_\_

PREPARED BY: \_\_\_\_\_

DATE: \_\_\_\_\_

REVIEWED BY: \_\_\_\_\_

DATE: \_\_\_\_\_

DAILY CASH REPORT

Transfer Station A-3

City of Berkeley - Solid Waste Mgmt  
 Cash Drawer Recap Report for WMSID: BH @ Site (T2) Transfer Station (2)  
 FROM Tuesday, September 02, 2003 TO Tuesday, September 02, 2003

Payment Types	Change	Cash	Check	No Charge	Credit Card	Coupon/Util	Totals
Trans. Counts	21	42	6	1	13	0	83
Tipping Fees	\$2,703.58	\$635.97	\$65.00	\$0.00	\$400.43	\$0.00	\$3,804.98
Special Fees	\$117.00	\$16.00	\$7.50	\$0.00	\$16.00	\$0.00	\$156.50
Tax Fees	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Fees	\$2,820.58	\$651.97	\$72.50	\$0.00	\$416.43	\$0.00	\$3,961.48
Drawer Totals	\$2,820.58	\$651.97	\$72.50	\$0.00	\$416.43	\$0.00	\$3,961.48
Edits							
Variances,	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

Signature: B.H. [Signature]

WeighMaster for Windows - Cash Drawer Report

Tuesday, September 02, 2003

8:39 PM

Transfer Station A-4

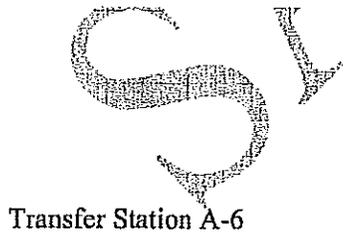


Transfer Station A-5

TRANSFER STATION DEPOSIT BAG LOG

DATE BAGGED	DEPOSIT BAG #	WEIGHMASTR NAME	DESCRIPTION (Checks, Currencies, Credit Cards)	AMOUNT	CARRIER'S BAG #	CARRIER'S NAME	DEPOSIT DATE	COMMENTS
1				\$				
2				\$				
3				\$				
4				\$				
5				\$				
6				\$				
7				\$				
8				\$				
9				\$				
10				\$				
11				\$				
12				\$				
13				\$				
14				\$				
15				\$				
16				\$				
17				\$				
18				\$				
19				\$				
20				\$				
21				\$				
22				\$				
23				\$				
24				\$				
25				\$				
26				\$				
27				\$				

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Transfer Station A-6

**KEY REQUEST FORM**

DATE \_\_\_\_\_ KEY CONTROL NUMBER \_\_\_\_\_  
(For Key Control Use Only)

This key request must be completed for all Public Works, Solid Waste Management Division keys requested and submitted to the Manager of Solid Waste and Recycling Program or his/her designee. You will be notified when your keys are ready to be picked up.

**KEYS REQUESTED FOR**

NAME \_\_\_\_\_ POSITION \_\_\_\_\_

EMPLOYEE STATUS PERMANENT Yes ( ) No ( )

**Note:**

- A. No person may duplicate a City of Berkeley Key or request the unauthorized duplication of a City of Berkeley key.
- B. No person may transfer any City of Berkeley key from an individual entrusted with its possession to an unauthorized person, or be in unauthorized possession of the City of Berkeley key.
- C. Keys in the possession of unauthorized persons may be confiscated.

KEYS REQUESTED		
BUILDING NAME	AREA/ROOM NUMBER/DESCRIPTION	KEY NUMBER/LOCATION (FOR KEY CONTROL USE ONLY)

Anticipated date these keys are to be returned: \_\_\_\_\_

**KEY AUTHORIZATION:**

\_\_\_\_\_  
 DEPARTMENT SUPERVISOR

\_\_\_\_\_  
 DATE

Transfer Station A-8

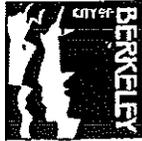
Transfer Station A-7

### CHANGE FUND SUB-VOUCHER

CHANGE FUND ADVANCE	CHANGE FUND RELEASE
Date _____ 20__	Date _____ 20__
Received from _____ \$ _____	Change Fund Released \$ _____
For _____	
Received by _____	Acknowledged: _____ Change Fund Custodian
	Change Fund Recipient

Transfer Station A-9

Transfer Station A-8



Solid Waste Management

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

I promise to pay \_\_\_\_\_ for refuse disposal services provided at the Berkeley Transfer Station.

Name (print) \_\_\_\_\_

Street Address \_\_\_\_\_

City and State \_\_\_\_\_

Zip Code \_\_\_\_\_

Driver's License (include State) \_\_\_\_\_

Vehicle Make \_\_\_\_\_

Vehicle License \_\_\_\_\_

I understand that this debt is due in full immediately and that if I do not pay within 30 days that I will be subject to interest and penalty charges and that checks are to be made to the order of The City of Berkeley. I also understand that payment is to be made at the City of Berkeley, Department of Finance, 2020 Center Street, Berkeley, California 98704 by mail or delivered in person. Further, I understand that failure to pay could be considered a criminal act.

Signature of Customer \_\_\_\_\_

Supervisor contact \_\_\_\_\_

1201 Second Street, Berkeley, CA 94710 Tel: 510.951.6330 TDD: 510.981-6314 Fax: 510.981-6360  
E-mail: reuse@clberkeley.ca.us  
Transfer Station A-10

Transfer Station A-9

**Daily Check List for Z Out  
SWMD**

Date: Sept. 2, 2003

	YES	NO
Daily Cash Report for (ALL) Operations	<u>          </u>	<u>      ✓      </u>
Z-OUT Recap Report for (ALL) Operations	<u>      ✓      </u>	<u>          </u>
Daily Cash Report for each Operator	<u>      ✓      </u>	<u>          </u>
Z-OUT Recap Report for each Operator	<u>      ✓      </u>	<u>          </u>
Tapes for Checks & Credit Card attached	<u>      ✓      </u>	<u>          </u>
Copies of TR and Deposit Slip attached	<u>      ✓      </u>	<u>          </u>
Date with letters	<u>      ✓      </u>	<u>          </u>
Signatures	<u>      ✓      </u>	<u>          </u>

Comments: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Prepared By: Randy J. ... Date: Sept. 2, 2003  
 Verified By: \_\_\_\_\_ Date: \_\_\_\_\_

Transfer Station A-11

9/2/2003

Transfer Station A-10





**PUBLIC WORKS DEPARTMENT**

**MISSION STATEMENT**

To provide quality services to the Berkeley Community with pride, courtesy, and commitment.

**VISION STATEMENT**

To make Berkeley a leading TOWN in the country by being an outstanding provider of public services.

**CORE VALUES**

Respect, Integrity, Cooperation, Reliability, Accountability, Commitment

---

**SAMPLE**



## DEPARTMENT OF RESOURCES RECYCLING AND RECOVERY

1001 I STREET, SACRAMENTO, CALIFORNIA 95814 • WWW.CALRECYCLE.CA.GOV • (916) 322-4027  
P.O. BOX 4025, SACRAMENTO, CALIFORNIA 95812

September 26, 2013

Mr. Tedd Ward, M.S.  
Program Manager  
Del Norte Solid Waste Management Authority  
1700 State Street  
Crescent City, California 95531

SUBJECT: FINANCIAL ASSURANCE MECHANISM REVIEW FOR THE CRESCENT CITY  
LANDFILL, COUNTY OF DEL NORTE, DEL NORTE SOLID WASTE MANAGEMENT  
AUTHORITY, FACILITY 08-AA-0006

Dear Mr. Ward:

Financial Assurances Unit (FAU) completed a review of the financial assurance demonstrations for the subject facility as a result of the pending Final Closure Plan and Corrective Action Plan (Non-Water) documents.

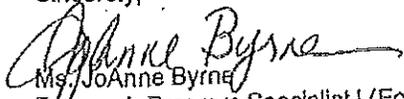
The facility is officially closed; Certification of Closure dated February 7, 2007. As a "certified closed" facility, demonstration for closure costs and operating liability is not applicable.

The financial assurance demonstration for postclosure maintenance is a Pledge of Revenue Agreement, as identified in Title 27, CCR, Division 2, Subdivision 1, Chapter 6, Subchapter 3, section 22245. The financial assurance demonstration for postclosure maintenance meets all the requirements of the regulations.

No financial assurance demonstration for corrective action costs at this time. Therefore, does not meet the regulations.

CalRecycle is committed to assist you in complying with the financial assurance regulations. Please contact me at [JoAnne.Byrne@CalRecycle.ca.gov](mailto:JoAnne.Byrne@CalRecycle.ca.gov) or 916.341.6397 by October 10, 2013 for assistance.

Sincerely,

  
Ms. JoAnne Byrne  
Research Program Specialist I (Economics)  
Financial Assurances Unit

Copy sent via e-mail:

- Ms. Gina Morrison, Region 1, North Coast, RWQCB
- Mr. Brian McNally, County of Del Norte, LEA
- Ms. Beatrice Poroli, CalRecycle, Permits & Assistance North Unit
- Mr. Paul Saidana, CalRecycle, Inspections & Enforcement Agency
- Mr. Gino Yekta, CalRecycle, Closure & Technical Support Section

4.3  
ENT'D OCT - 9 2013



LINDA S. ADAMS  
SECRETARY FOR ENVIRONMENTAL  
PROTECTION

060901

# CALIFORNIA INTEGRATED WASTE MANAGEMENT BOARD



ARNOLD SCHWARZENEGGER  
GOVERNOR

1001 I STREET, SACRAMENTO, CALIFORNIA 95814 • P.O. BOX 4025, SACRAMENTO, CALIFORNIA 95812-4025  
(916) 341-6000 • WWW.CIWMB.CA.GOV

MARGO REID BROWN  
CHAIR  
MBROWN@CIWMB.CA.GOV  
(916) 341-6051

SHEILA JAMES KUEHL  
SKUEHL@CIWMB.CA.GOV  
(916) 341-6039

JOHN LAIRD  
JLAIRD@CIWMB.CA.GOV  
(916) 341-6010

CAROLE MIDGEN  
CMIDGEN@CIWMB.CA.GOV  
(916) 341-6024

ROSALIE MULE  
RMULE@CIWMB.CA.GOV  
(916) 341-6016



Tedd Ward, M.S., Program Manager  
Del Norte Solid Waste Management Authority  
1700 State Street  
Crescent City, California 95531

**SUBJECT: APPROVAL OF PLEDGE OF REVENUE AGREEMENT FOR  
POSTCLOSURE MAINTENANCE COSTS FOR THE CRESCENT  
CITY LANDFILL, FACILITY NO. 08-AA-0006**

Dear Mr. Ward:

Thank you for submitting the Pledge of Revenue Agreements and Resolutions as the financial assurance demonstration for Postclosure Maintenance costs. This agreement complies with Title 27, California Code of Regulations (CCR), Division 2, Subdivision 1, Chapter 6, section 22245, and as such, is approved by the California Integrated Waste Management Board (CIWMB).

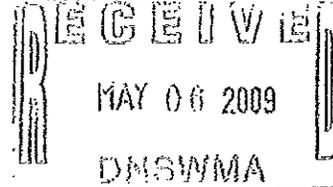
Enclosed please find two fully executed Pledge of Revenue Agreements with appropriate original signatures.

For your information, the financial assurance requirements are subject to change. From 2003 to the present, the Board and staff have conducted a series of workshops and discussions to discuss the postclosure maintenance period for closed landfills and financial demonstrations to fund postclosure maintenance. As a result of these discussions and workshops, the Board directed staff to initiate the formal rulemaking process amending the postclosure maintenance, corrective action and financial assurance demonstration requirements by sending notice to all interested parties of the proposed amendments to the regulations. This rulemaking effort was partitioned into two phases, as directed by the Board.

Phase I of the regulatory package was approved February 25, 2008 by the Office of Administrative Law and is currently in effect. Phase II is currently underway. The final development of these regulations has commenced and the formal Notice published in the California Regulatory Notice Register on February 27, 2009. For additional information about this regulatory package, please visit CIWMB's webpage at: [www.ciwmb.ca.gov/LEACentral/financial/default.htm](http://www.ciwmb.ca.gov/LEACentral/financial/default.htm)

CIWMB is committed to assist you in complying with the financial assurance regulations. If you have any questions regarding the above, please contact JoAnne Byrne, Financial Assurances Section, [jbyrne@ciwmb.ca.gov](mailto:jbyrne@ciwmb.ca.gov), or 916.341.6397.

MAY 01 2009



**DEL NORTE SOLID WASTE MANAGEMENT AUTHORITY  
COUNTY OF DEL NORTE  
CITY OF CRESCENT CITY  
STATE OF CALIFORNIA**

**PLEDGE OF REVENUE AGREEMENT  
ESTABLISHING FINANCIAL ASSURANCE FOR  
POSTCLOSURE MAINTENANCE OF THE  
CRESCENT CITY LANDFILL**

This agreement establishes a Pledge of Revenue to assure that adequate funds are available to carry out the Postclosure Maintenance of the Crescent City Landfill.

This Agreement shall become effective immediately, and is made and entered into by and between the Del Norte Solid Waste Management Authority (DNSWMA) and the California Integrated Waste Management Board (CIWMB).

WHEREAS, California Public Resources Code (PRC) sections 43500 through 43610.1 and Title 27, of the California Code of Regulations ("Regulations"), Division 2, Chapter 6, Article 2, require operators of solid waste landfills to demonstrate the availability of financial resources to conduct postclosure maintenance activities; and

WHEREAS, sections 22228 and 22245 of the Regulations specify a Pledge of Revenue as an acceptable mechanism to demonstrate financial responsibility for financing postclosure maintenance costs of a solid waste landfill; and

WHEREAS, the DNSWMA maintains the closed Crescent City Landfill under assignment from the County of Del Norte, a solid waste landfill, in conformance with the findings, conditions, prohibitions and requirements contained in the permit, SWIS # 08-AA-0006, issued by the Del Norte County LEA serving as Local Enforcement Agency for CIWMB; and

WHEREAS, the DNSWMA is pledging revenues from tipping fees collected at the Del Norte County Transfer Station (SWIS #08-AA-0018), deposited into the Del Norte Solid Waste Management Authority Fund; and

WHEREAS, the DNSWMA has determined that projected net revenues from tipping fees during the thirty (30) year period of postclosure maintenance, shall, during each year of this period, be greater than the yearly monitoring and postclosure maintenance costs contained in the most recent Cost Estimate for

the Crescent City Landfill, which has been submitted to the CIWMB in accordance with Regulations Title 27, section 21840 of Chapter 4, subchapter 4.

NOW, THEREFORE, the DNSWMA and the CIWMB do agree as follows:

1. The DNSWMA hereby establishes a pledge of revenue to demonstrate financial responsibility for postclosure maintenance of the Crescent City Landfill in accordance with sections 22228 and 22245 of the Regulations.
2. The DNSWMA agrees to pledge net revenues from the tipping fees deposited into the Del Norte Solid Waste Management Authority Fund.
3. The amount of the pledged revenue shall be equal to the most recent monitoring and postclosure maintenance cost estimate for the Crescent City Landfill, estimated in September 2007 to be \$106,650 annually for the 30 year period of postclosure maintenance, ending no sooner than February 2036. It is agreed that the amount of this pledge may increase or decrease to match any adjustment to the identified cost estimate which is mutually agreed to by the DNSWMA and the CIWMB.
4. If the DNSWMA ceases at any time to allocate the pledged revenue as identified herein to pay postclosure maintenance costs or to implement required postclosure maintenance activities, the CIWMB may seek appropriate and applicable remedies described within Title 27, Chapter 6, subchapter 4, Article 1 of the Regulations, sections 22270 - 22278.
5. If DNSWMA ceases at any time to retain control of its ability to allocate any pledged revenue to pay postclosure maintenance costs, DNSWMA or its successor shall notify the CIWMB and obtain alternate coverage within 60 days after control lapses, pursuant to section 22245 of the Regulations.
6. In the event that the CIWMB determines that the DNSWMA has failed, or is failing, to perform postclosure maintenance activities as required by law and the Crescent City Landfill Closure and Postclosure Maintenance Plan as amended, the CIWMB may direct the Auditor-Controller to pay to the Solid Waste Director or his/her successor(s) from the pledged revenues such amounts as are necessary to ensure sufficient postclosure maintenance, who shall then

use such funds for postclosure maintenance in accordance with the directives of the LEA, CIWMB, RWQCB, as applicable.

7. In the event that a participating member of DNSWMA withdraws from the DNSWMA, the withdrawing member shall continue to be financially responsible for postclosure maintenance for Crescent City Landfill when such liability was incurred prior to the withdrawal date. All members of the DNSWMA further agree that postclosure maintenance activities shall not be delayed in order to determine such proportionate share of the withdrawing member's liability.
8. In the event the DNSWMA is dissolved, all members of the DNSWMA agree to make financial assurances prior to dissolution that will ensure continued payment of each members' respective share of any outstanding indebtedness for postclosure maintenance for Crescent City Landfill. All members of the DNSWMA agree that postclosure maintenance activities shall not be delayed in order to determine the members' proportionate shares of such indebtedness.

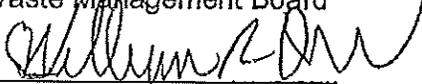
IN WITNESS HEREOF, the parties have executed this agreement on the date as set forth below.

By DNSWMA this 10<sup>th</sup> day of September 2008

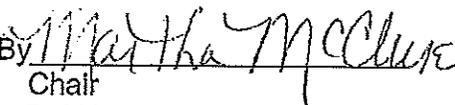
By CIWMB this 27<sup>th</sup> day of April 2008

By DNCO this 30<sup>th</sup> day of September 2008

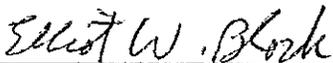
**STATE OF CALIFORNIA**  
California Integrated  
Waste Management Board

By   
Authorized Officer of CIWMB

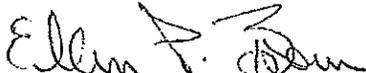
**DEL NORTE SOLID WASTE  
MANAGEMENT AUTHORITY**

By   
Chair  
Del Norte Solid Waste  
Management Authority

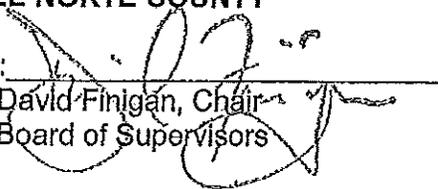
APPROVED AS TO FORM  
AND PROCEDURE:

By   
Authorized Counsel of CIWMB

ATTEST:

By   
ELLEN P. BROWN  
Del Norte Solid Waste  
Management Authority

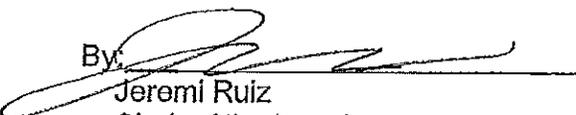
**DEL NORTE COUNTY**

By:   
David Finigan, Chair  
Board of Supervisors

APPROVED AS TO FORM:

By:   
Robert Black  
Del Norte Solid Waste  
Management Authority  
Counsel

ATTEST:

By:   
Jeremi Ruiz  
Clerk of the Board

The following are Authority staff comments on 'Draft Report Assessment of the Del Norte Solid Waste Management Authority' by R3 Consulting Group, dated March 21, 2014. Prior to preparing these comments, the Authority Acting Director consulted with Authority legal counsel regarding the question "To what extent is staff obliged to identify potential negative consequences of potential actions based on this report?" Legal Counsel Martha Rice advised me that if I perceived a potential cost or issue of concern, I should let the Board know of such. The detailed nature of the following comments is associated with my efforts to follow that legal advice. Staff requests that these comments and attachments be included in their entirety as appendices to the final report when complete.

There are several references made to documents that were included in the Request for Proposals for this project, and to ease cross-reference, those are presented in bold. For clarity, correct names are important. The final R3 report should refer to the Del Norte County Transfer Station (the Del Norte Transfer Station is actually located in southern California) and R3 should refer to the Authority's contractors as 'Hambro/WSG' and 'Recology Del Norte.'

**Executive Summary:** This section should be revised after addressing all numbered comments that follow and any other comments submitted by the Authority regarding this draft report.

E.1 Please refer to the attached Authority Treasurer's report regarding questions and potential issues associated with the portion of Option #1 that suggests combining '...the 2.5 full time equivalent administrative staff positions into a single new Management Analyst position...'

E.2 Please refer to the attached memo from Authority legal counsel regarding potential issues and concerns associated with 'Option #4 Contract Scale House Staffing to the Private Sector.'

### **Introduction:**

I.1 The paragraphs starting in the middle of page 6 beginning with '*There seems to be a general consensus that the Authority has effectively achieved its original Purpose stated above as that related to developing the Del Norte (County) Transfer Station (sic) and closing the Crescent City Landfill.*' does not refer to **any** of the six purposes under the 2012 JPA Agreement. While some persons may have had the mistaken impression that those 'original purposes' were still in the JPA Agreement or that 'achievement' of such could justify staff restructuring, R3 must base its professional assessment on the

quoted purposes as 'stated above' from the 2012 JPA Agreement, without truncating or paraphrasing.

For examples, though the development and construction of Del Norte County Transfer Station is complete (under 2012 Purpose 'A'), the Authority has continuing responsibilities with regards to permitting, reporting, operations oversight, staffing of the scalehouse and financial management. Similarly, while closure construction of the Crescent City Landfill was completed in February 2006, that task is not included under 2012 Purpose 'F,' so it is not clear what relevance that statement has to this assessment. The maintenance, monitoring, and reporting associated with the 30-year post-closure maintenance period will remain responsibilities of the Authority until and unless the Regional Water Quality Control Board, the Air Quality management District, and/or CalRecycle acknowledge that such responsibilities will be addressed by Del Norte County staff or contractors.

If any of these Purposes have been 'achieved,' R3 should provide further explanation as to what is meant specifically with respect to the six purposes from the 2012 JPA Agreement.

## **1. Organizational Structure:**

The draft report acknowledges the relatively unique combination of functions and rural population served by the Del Norte Solid Waste Management Authority. The report does not identify a single agency serving a population of less than 100,000 with responsibilities for operations of three facilities or maintenance of a closed landfill.

1.1 In the final report, for all jurisdictions presented for comparison, please provide a more detailed breakdown of all management and administrative staff into the following categories: Management, Administration, Programs and Finances.

1.2 In the final report, for all jurisdictions presented for comparison on pages 11 and 12, please provide a comparison table indicating how many facilities are staffed by employees of that agency (separating gate, operations, program, administrative, financial and management staff), how many landfills (open or closed) that are managed by each agency, how many transfer stations are operated by that agency, and whether that agency contracts for or provides collection services, household hazardous waste programs, provides education and public information, administers franchise contract or operations contract oversight, or manages and accounts for revenues from facility operations.

1.3 On page 11 of the draft report, the Authority's structure is described as being most similar to the Humboldt Waste Management Authority. Please provide the information requested in comments 1.2 and 1.3 for the Humboldt Waste Management Authority.

1.4 Please provide the same information requested in comments 1.2 and 1.3 for Tehama and Sonoma Counties, as these jurisdictions have contract employees serving as the Executive Director for their respective JPAs.

1.5 The answer to question 1 c. should acknowledge and report, **as demonstrated in the table in Appendix B.3. of the Request for Proposals**, that the Authority's rates at the Del Norte County Transfer Station (as well as the Gasquet and Klamath Transfer Stations) are the lowest per ton rates in the region for solid waste. This would be a standard (if crude) means of measuring regional fiscal efficiency for facility operations, yet this information is not presented - and no alternative means of such assessment is presented either. This table should be included in the final report, or R3 should explain what metric they consider to be a more valid or more readily available means of comparing fiscal efficiency.

Interest in 'privatization' options is generally associated with a presumed potential for cost savings. **This table demonstrates that the per ton disposal rate at every single solid waste facility managed by private enterprise in the region is more expensive than similar rates at every single publicly-managed facility in this region.** Stated or implied assertions that 'private operations are less expensive' with regards to solid waste facilities are simply not supported by any regionally-based factual information.

If additional rate information is included in the final report that compares the Authority's rates to jurisdictions more than 2 hours drive from Crescent City, the final report should also include a discussion about how proximity and access to disposal and processing facilities can affect rates.

1.6 The analysis on page 13 indicates that 'concerns were expressed about...management and administrations staffing levels, cost controls....' Please indicate the proportion of people at the public meeting of 28 January 2014 who expressed those concerns. To the extent that the final report includes a report that any party expressed such concerns, the final report should include discussion of what supporting information was provided as the basis for those concerns. Private comments by individual Commissioners should be respected and noted, but reviewed in context of all relevant available facts.

1.7 The 'Note' on the bottom of page 13 refers to 'the total system revenue *requirement*.' The reported percentages were taken from a chart entitled 'Solid Waste Revenue' included in **Appendix G of the Request for Proposals for this project**. These are not revenue requirements, but a summary of all revenues associated with solid waste management under the Authority's collections franchise, and facility operations agreements. This note would be correct if these were referred to as 'total system revenues.'

1.8 In the brief period of time R3 had to review Authority activities in their visit to Del Norte County, it is not surprising that they did not have time to gain a clear understanding of the regular working relationships between Authority staff, Recology Del Norte, Hambro/WSG, and the County Community Development Department.

To the extent Authority staff can, we already do rely upon County 'technicians' to perform basic water monitoring and sampling functions, as well as to produce the drawings of groundwater contours. The attached spreadsheet "Current delineation of Permit & Monitoring Activities at the Crescent City Landfill," indicates the current delineation of duties with respect to the landfill, and this spreadsheet should be included in the final report.

1.9 On page 15, R3 states "*...we strongly recommend that the Authority review the current responsibilities of the Executive Director (sic) and Program Manager positions and consider contracting certain of these responsibilities...*" With reference to the Work Plan included in Appendix A, R3 should suggest specific tasks that could be contracted for a net savings to the Authority, and the basis for asserting that such action would result in a savings or improved services.

1.10 On page 15, R3 states "*We are in no way suggesting that the County assume responsibility for regulatory compliance, which should remain with the Authority.*" Considering the information in the spreadsheet "Current delineation of Permit & Monitoring Activities at the Crescent City Landfill," R3 should explicitly state which of the listed activities they would recommend be 'contracted' to the County. The final report should clarify what additional responsibilities would shift to the County, and how such shifts would be expected to result in a net cost savings. If the Authority is to retain ultimate regulatory responsibility for the landfill, there appears to be relatively few opportunities for substantial shift of these responsibilities to County staff.

For example, though landfill stormwater monitoring could potentially be completed by County field technicians, such sampling must occur during storm events. In the Authority's experience, County staff must carefully schedule their efforts for the Authority in context of their other County responsibilities. As lift stations and other County stormwater management facilities often require inspection and maintenance during such storm events by the same technicians, the Authority has not depended on the County for stormwater monitoring. Furthermore, there may be opportunity for a reduction in the stormwater monitoring requirements at the landfill, but such permit re-negotiation would necessarily take additional time of the Director or Program manager rather than County staff.

Similar challenges arise for monitoring and erosion control, as frequency of inspections, as well as determining the level of effort required to address security or erosion control issues has a direct relationship to the associated maintenance costs. There was a period several years ago when the Authority used a construction contractor

to assist with erosion-control grading work at the landfill. Staff found that the amount of time needed to instruct, supervise, and control such work efforts to avoid cost overruns or damage to the landfill structures was more than the time required for the Program Manager to rent the grading equipment and do the work.

Such analysis could be done for any of the responsibilities listed in the "Current delineation of Permit & Monitoring Activities at the Crescent City Landfill" spreadsheet. The final report should indicate which of these duties R3 recommends be shifted to the County, which County department and personnel would perform which duties, and related actions needed to implement this recommendation. As these would be new and additional duties for County staff, please include a numerical fact-based cost estimate for the County and the Authority to implement this recommendation.

## **2. Staffing**

2.1 Under the Pledge of Revenue (attached), funds must be made available to address expenses related to the closed landfill, and the Authority must have the ability to set rates to enable this compliance structure. The final report should address these local requirements, and if changes are recommended to how those requirements are being addressed, those recommendations should be made explicit.

2.2 The answer on page 17 fails to identify the Pledge of Revenue (attached) tying revenues from the Del Norte County Transfer Station to the Crescent City Landfill as a state or local requirement, yet this (or some other suitable financial assurance mechanism) is required under California Public Resources Code (PRC) sections 43500 through 43610.1 and Title 27 of the California Code of Regulations ("Regulations"), Division 2, Subdivision 1, Chapter 6, Article 2. Please include a discussion of these requirements under this section in the final report. If R3 recommends a different means of addressing these requirements, a fact-based analysis should be included as part of such recommendation, and such analysis should include a discussion of the steps needed to change and obtain approval from CalRecycle for a different means of providing these required financial assurances.

2.3 On page 18, R3 asserts that several '*...duties... may be more cost effectively performed by...*' County staff, Hambro/WSG, or Recology Del Norte. The final report should provide numerical fact-based support for these assertions, including indication that County and contractors are willing and able to assume such duties and how such activities will remain under Authority direction. If this assertion can be supported in terms of projected annual costs, referencing the attached spreadsheet 'Current delineation of Permit & Monitoring Activities at the Crescent City Landfill,' the discussion should also include discussion or estimates of any anticipated costs for implementing such a transition, including but not limited to hiring additional County staff if needed,

revising permit documents, obtaining agency approvals, drafting and adopting Change Orders, revising the Pledge of Revenue, etc.

2.4 On page 18, R3 asserts that Hambro/WSG could ‘...*more effectively...perform...stormwater monitoring...*’ at the Del Norte County Transfer Station. If this assertion is included in the final report, some discussion should be provided regarding what is meant by ‘more effectively’ providing such function. Specifically, as the owner of the Del Norte County Transfer Station, the Authority has the responsibility for monitoring and reporting on stormwater to the North Coast Regional Water Quality Control Board. Therefore, if Hambro/WSG is to provide stormwater monitoring and reporting, that service would be under a Change Order to the Transfer Station Operations agreement. The final report should discuss any experience Hambro/WSG staff have with stormwater monitoring and reporting, the likely cost for providing these stormwater services if such can be projected, and what responsibilities would remain with the Authority regarding oversight of such stormwater services and potential impacts on the Authority should such service fail to meet the requirements of the regulatory agencies.

2.5 On page 18, R3 asserts that Recology Del Norte may “*more effectively...perform...public education and outreach.*” Recology Del Norte already provides high quality public outreach and education for the collection programs they provide for trash, recyclables, and brush. This statement indicates that R3 suggests Recology Del Norte should also be responsible for education and public outreach for programs that otherwise have little or no relation to the other services they provide.

The programs of the Del Norte Solid Waste Management Authority extend far beyond those provided by Recology Del Norte, including all recycling programs at the Del Norte County Transfer Station. Examples of recovery programs at the Del Norte County Transfer Station that do not involve Recology Del Norte include recycling and management of used motor oil from households, used oil filters, used antifreeze, car batteries, appliances, refrigerators, metals, carpeting, televisions and computer monitors, fats oils & greases, paint and architectural coatings, thermostats, fluorescent bulbs, consumer electronics, home-generated sharps collections and drop-off, all household batteries, untreated wood, rocks, soils, and concrete. The Authority also contracts for, permits, promotes, and conducts traffic control for the annual household hazardous waste collection event. Furthermore, Authority staff provide public outreach and education through the Authority website, including meeting agendas, minutes, and other postings, as well as outreach associated with oil recycling and beverage container grants. The Authority also provides composting workshops.

If the final report includes this assertion, additional explanation should be provided as what program-related outreach services described above R3 would recommend be done by Recology Del Norte, how such public outreach would be ‘more effectively’ provided by a contractor who is not directly related to delivering those services, the projected costs for Recology Del Norte to provide such outreach services

under a Change Order to the Collections Agreement compared to current Authority expenses, and the related issues and costs associated with making such a transition, such as drafting, reviewing and adopting an appropriate Change Order, reviewing and approving outreach materials and methods, and other activities related to managing these contracted services.

The final report should also indicate how these costs might change as new programs are introduced or existing programs are modified or expanded. For example, in the past two years the Authority has introduced collection or recycling of carpeting, home generated sharps, fats oils and greases, and architectural coatings including oil-based paints and stains. If Recology was already responsible for public outreach as R3 suggests, R3 should explain how such program modifications - which can be anticipated to continue - would likely impact the costs of contracted services for public education and outreach. Finally, the final report should acknowledge the potential that the Authority's interest and Recology Del Norte's interests in public outreach might be in conflict (e.g. promotions of community services that could be expected to increase Recology Del Norte's operations costs), and how such conflicts might be addressed or resolved.

2.6 On page 18, R3 suggests that "*Non-essential tasks should be eliminated or deferred and other tasks delegated...*" With reference to the adopted Work Plan included in Appendix A of this draft, in the final report R3 should designate specifically which tasks could be eliminated, deferred, or delegated, and how such a shift of duties would be justified and the steps necessary to enact such specific suggestions.

2.7 On page 18, R3 recommends "*...that a complete independent review of those (administrative) functions be conducted.*" In the final report, R3 should indicate what evidence has been presented that there is potentially money to be saved in excess of the cost of such a study, or that such cost savings have potential to result in any significant reduction in rates at the Del Norte County Transfer Station or other Authority-managed facilities.

For example, Authority administrative staff are currently spending a substantial proportion of time addressing this assessment, preparing the annual budget, and addressing staffing issues. If staff had capacity to do so, we would be working on gathering information to support the Authority's appeal for a reduction in the annual waste discharge requirement fees for the Crescent City Landfill. Deferring such activity could cost in excess of \$30,000 this fiscal year alone, and such costs may well persist in years to come. So while the Authority could theoretically eliminate administrative staff capable of engaging in such negotiations, this would not necessarily translate into an annual cost savings to the agency or ratepayers. Missing such opportunities incur real costs to the Authority which should be acknowledged in the final report.

2.8 On page 18, the draft report states "*While the evaluation of cost controls was*

*removed from our work scope, R3 found no evidence nor did any employee relate to us any type of system where cash control procedures were written down, verified, or audited."* Authority Treasurer/Controller Rich Taylor - who R3 did not interview in their preparation of this report - addresses this issue in his letter attached to this report. R3 did not request such information from Authority staff, and it was not included in their scope of work. Staff are somewhat concerned that R3 would make assertions like '*... R3 found no evidence nor did any employee relate to us..*' on subjects for which they did not pose questions or requests for information to Authority staff. R3 is hereby advised that there are many areas of Authority policies and procedures that were not addressed in their inquiries, but exist nonetheless. The final report should not include any assertions of sub-standard policies or procedures unless R3 has specifically inquired regarding such policies.

In short, a list of current fiscal controls was included in the Authority agendas for both the February 11 and March 12 meetings in 2014, and Authority staff is positively eager to have all parties - including the Del Norte County Auditor and our external auditing firm - acknowledge that these fiscal controls are in place. Furthermore, staff has specifically requested comments and suggestions for additional controls from the Del Norte County Auditor and the external auditing firm of Smith & Newell.

In the final report, R3's answer to question 2.c should include reference to the attached letter from the Authority's Treasurer/Controller. Staff also suggest that to the extent R3 makes any assessment of the Authority's financial management practices and fiscal controls in their final report, that R3 interview Mr. Taylor so they may gain a better understanding of our systems of fiscal controls, management, and reporting.

2.9 On page 19, R3 suggests that "*...the Authority and County auditor consider housing the Authority's accounting functions with the County auditor including all deposit and banking duties.*" This suggestion, if it is to be pursued, really must be based in a deeper understanding of the daily activities of the Authority and the accounting system administered by the County Auditor.

For a few examples, before deposits from the Del Norte County transfer station are made, all transactions are verified, balanced, and related directly to the receipts for that day's transactions. This activity requires knowledge and access to the Scale Management Software used at the gatehouse, an understanding of the Authority's policies and programs (to verify each charge is appropriate and correct), and awareness of what is acceptable to the County Auditor and the bank. At times, this review process may involve correcting a ticket, having a customer come in to re-write an incorrect check, or communicating with the gate attendant who worked that day to clarify a confusing transaction. In the past, the Authority has been criticized for periods when deposits were not being made in a timely manner. In part, this is associated with the County Treasurer's requirement that all deposits be made before 11:30 AM, and at times not all such information can be verified in the time available.

For preparing statements, invoices, and updating information on commercial charge accounts, these activities may involve changing and/or confirming the persons authorized to charge to an account and matching signatures, faxing copies of receipts or statements to customers, tracking the unpaid balance on accounts, and recording payments. Again, this requires knowledge of and access to the Authority's Scale Management Software and X-Charge (credit/debit card approval system) in addition to the Authority's QuickBooks system, and the County Auditor current performs none of these duties.

As a joint powers authority of the City and County, there is the potential for the financial and fiscal control interests of the Authority to be different from those of the County. The final report should acknowledge this, and discuss how this potential conflict of interests could impact the implementation of this suggestion.

Finally, the County Auditor manages the County's accounts on a modified cash basis, as explained in the memo from Authority Treasurer /Controller Rich Taylor. Authority Commissioners have repeatedly expressed consternation regarding the timeliness and structure of reports from the County Auditor for these reasons. In this context, Authority staff is trying to establish a parallel cash and accrual accounting system to provide more thorough and timely financial reports. These continuing efforts should also be considered and addressed before any process to shift such accounting and reporting responsibilities to the County Auditor.

### **3. Day to Day Operations**

3.1 As a public meeting was convened based on R3s proposal and intended to be included as part of this Assessment, the final report should include some summary and discussion of the public comments provided verbally and in written form. This should be written with respect to the public perceptions reported on the quality, value and efficiency of day to day operations by the Authority and its contractors during the public meeting of 28 January 2014.

3.2 Similarly, R3 should include a brief synopsis of the public comments made or submitted in response to this Draft report at the special meeting held on 01 April 2014 as they relate to the public's perception of the quality of services provided by the Authority or its contractors.

3.2 On page 19, R3 summarizes that the Authority has been meeting regulatory requirements in a timely and comprehensive manner. In this context, if not addressed elsewhere, the final report should make clear what is meant by assertions that such requirements could be met '*more effectively*,' (pages 16 and 18) by pursuing recommendations in this report, and such assertions should be supported by factual evidence.

3.3 On page 20, R3 states that contract oversight for Franchisees and other contractors are not being administered as effectively as it was prior to the retirement of the former Authority Director. The final report should address how permanently reducing the number of management and administrative staff would help to address this issue based on factual evidence.

The final report should also acknowledge that contract oversight efforts include annual review and approval of annual rate adjustments that are based on a percentage of the changes to the Consumer Price Index, and thereby control cost increases to the public throughout the term of these agreements. These provisions are included in Division III, section 5.A.i in the agreement with Hambro/WSG, and in section 7.02 of the Authority's agreement with Recology Del Norte, **as included in Exhibit C of the Request for Proposals for this project.**

3.4 Staff appreciates the suggestion and supports the creation of a compliance checklist for both the Hambro/WSG and Recology Del Norte contracts. The Acting Director is aware of several existing documents that could be easily summarized and combined for this purpose as appropriate for both of these agreements. The final report should address how permanently reducing the number of management and administrative staff, or other recommendations within the report, would help to address this issue based on factual evidence.

3.5 Staff appreciates R3's assessment that the Del Norte County Transfer Station is well run and well maintained, without any specific suggestions for operational improvements. The final report could also acknowledge the many positive public comments made supporting this assessment at the public meeting on 28 January 2014.

3.6 On page 21, R3 states *"We recommend that the Board invite both contractors (Hambro/WSG and Recology Del Norte) to present cost saving ideas to the Board..."* Considering the brief period of time R3 representatives were able to spend in Del Norte County, it is not surprising that they did not have time to gain a proper or accurate understanding of the regular interactions Authority staff has with its contractors or partner agencies.

The Authority and Hambro/WSG have negotiated eighteen Change Orders to the Transfer Station Operations, and nine of these either expanded customer services for public and mutual benefit at the Del Norte County Transfer Station, or implemented procedural changes or modification to bonding requirements. These Change Orders have addressed issues such as universal waste processing, commercial fluorescent tubes, sharps management, carpet recycling, and paint recovery through PaintCare. Similarly the Authority staff and Recology Del Norte have negotiated a Change Order to implement a temporary brush collection service. Authority staff communicate informally, with both Recology and Hambro/WSG management at least twice each month, and coordinate efforts on issues of common interest or concern. For example,

Authority and Recology staff have been meeting more frequently in the past few weeks as we coordinate preparations for the Youth and Family Fair. For this outreach event the Authority and Recology share a room at the fairgrounds promoting our respective programs in a complementary fashion with interactive face-to-face outreach for our respective programs.

Under section 2.Q.v of the Agreement between the Authority and Hambro/WSG, **provided under Appendix C of the Request for Proposals for this project**, Hambro/WSG is offered an on ongoing incentive to make proposals to benefit Authority ratepayers. A similar provision exists in the Recology Del Norte Franchise Agreement for Collection Services in section 7.03.H, as was **provided under Appendix C of the Request for Proposals for this project**. It is not clear how these provisions or regular communications and coordinated efforts described above do not provide adequate opportunity *and incentive* for either Hambro/WSG or Recology Del Norte to suggest or present any cost-saving ideas they might have.

#### **4. Director Position**

Task 4 under the Service Agreement with R3 was to provide a response to the following: *“Evaluation of the Director position, and recommendations regarding recruitment and hiring of same including, but not limited to:*

- a. Should the Director position be filled as full time, or are there other staffing alternatives that would improve efficiencies while assuring compliance with legal obligations and responsiveness to the Commission?*
- b. Create a job description for the Director.*
- c. Recommendation of an appropriate salary range for the Director based on the revised description.”*

While the job description presented in Appendix G is relatively consistent with the text of their Draft, R3 has not presented the Authority with a job description that has any immediate usefulness in that it cannot be used as presented to hire a Director without first addressing their suggestions to shift responsibilities such as education and public outreach, stormwater monitoring, or landfill maintenance. Until and unless the Authority Board takes action to change the staffing chart, or explicitly agrees with R3's evaluation and recommendations regarding this position, the job description for the Director in R3's final report should complement other Authority staff positions in the adopted staffing chart while being updated to reflect the adopted Authority Purposes, Work Plan, duties and responsibilities under Federal, State, and local program requirements.

In the Draft report, under Option #2 on page 3, the Solid Waste Management Authority Manager (which the R3 Report refers to as 'Executive Director') and the Authority Program Manager positions would be replaced by a single individual to serve

as 'Solid Waste Manager.' The draft job description in Appendix G is an effort to create such a job description. As R3 states on page 2, determining the "...*appropriate management and administrative staffing levels for the Authority was not specifically asked and regardless cannot be definitively answered at this point.*" In this context, the job description included in Appendix G does not satisfy the scope of work, as it essentially presumes that the Authority Board has already directed R3 to pursue Option #2, and the Authority Board has not taken such action.

Should the Authority Board take action to combine the "Executive Director and Program Manager" positions based on a yet-to-be-completed, more comprehensive analysis, R3 and/or Authority staff will still need further clarification regarding the specific duties of this new position before such a job description could be finalized for recruitment or hiring. For example, the job description in Appendix G includes duties to "...*maintain and reconcile scale house funds; makes deposits of daily receipts...*" which would be additional daily financial accounting tasks not currently in the job description of the Program Manager or the Solid Waste Management Authority Manager that would significantly reduce the time available to address other job responsibilities.

For this reason, Authority staff request that R3 prepare a revised draft job description for the Authority Director using the most recent adopted staffing chart and other information **included in Exhibit A to the Request for Proposal** as a guide, and submit that separately for additional comment by the Authority prior to any revision for inclusion in the final report.

## **5. Potential Alternatives to JPA**

Staff appreciates and agrees with R3's assessment that the Del Norte Solid Waste Management Authority is the most effective and efficient entity for managing solid waste in Del Norte County, and that "...*given the potential costs associated with dissolution of the Authority it is certainly conceivable that there could be an associated cost increase.*"

## **Comments on Appendix D**

Appendix D to this report is intended to summarize 'Regulatory Requirements and Programs.'

D.1. The last bullet on page 4 of 4 is a partial quote from Purpose F from the 2012 JPA. The final report should include this Purpose in its entirety: "*Post-closure maintenance, monitoring, reporting and remediation related to the Crescent City Landfill as required by relevant Orders from the Regional Water Quality Control Board, North Coast Region, the California Department of Resources, Recycling and Recovery*"

*(CalRecycle) and the North Coast Air Quality Management District.”*

D.2 Staff appreciates R3's highlighting the need for the Authority to address the requirements of PRC 41821 related to Construction and Demolition materials, as the Authority currently has few programs in place to recover such materials apart from reduced rates for untreated wood and brush, metals, concrete, asphalt, or soils and the extended producer responsibility program to recycle carpeting.

D.3 The final report should include additional references as appropriate to additional regulatory requirements related to:

- Personnel Management (such as those detailed in the adopted MOU with SEIU 1021 **included in Exhibit A of the Request for Proposals for this project**),
- Any and all regulatory requirements related to public financial oversight and reporting (such as the requirement for a bi-annual external audit)
- Any and all training requirements, such as Hazardous Waste Operator trainings and refreshers as may be required under CCR, Title 8, 5192, (e)(1)(A), Ethics training under the Authority's Code of Ethics (attached), and FEMA mandates for IS100(b) and IS 700 classes

D.4 Some reference should be included in the final report that the Authority incurs obligations related to its contracts - such as the agreements with Hambro/WSG and Recology Del Norte - even if just to acknowledge that such agreements often include additional Authority responsibilities that become binding with adoption. These agreements **were included in Exhibit C to the Request for Proposals** and may be referenced for this purpose.

## **Del Norte Solid Waste Management Authority Code of Ethics and Conduct for Board Commissioners And Members Appointed To Commissions and Committees**

### Statement of Purpose:

The Board of Commissioners for the Del Norte Solid Waste Management Authority desires the highest level of ethical conduct for the members of the Board of Commissioners and members of appointed commissions and committees and the alternates of each body. The residents and businesses of the City of Crescent City and County of Del Norte are entitled to fair and accountable local government and to be represented by public officials who act in an ethical manner. The Del Norte Solid Waste Management Authority's strong desire to fulfill this mission therefore requires that:

- Public officials, both elected and appointed, comply with both the letter and spirit of the laws and policies affecting the operations of government;
- Public officials be independent, impartial and fair in their judgment and actions;
- Public office be used for the public good, not for personal gain; and
- Public deliberations and processes be conducted openly, unless legally confidential, in an atmosphere of respect and civility.

To this end, the Board of Commissioners of the Del Norte Solid Waste Management Authority has adopted this Code of Ethics and Conduct (Code of Ethics) for elected officials and members of appointed commissions and committees to assure public confidence in the integrity of local government and its effective and fair operation. It is intended that this Code of Ethics apply to the designated public officials and candidates for the Board of Commissioners; members of the public seeking appointment to commissions and committees are strongly encouraged to endorse and comply with the provisions of this Code of Ethics. Board of Commissioners members and members of appointed commissions and committees and their alternates are referred to generally as "Public Officials" in this Code of Ethics.

This Code addresses selective aspects of the governance of the Authority and supplements, but does not supplant, other laws and rules that prescribe the legal responsibilities of Public Officials. Those include, among others, the California Constitution, various provisions of the California Government Code (including the Brown Act and the Political Reform Act) and Labor Code, federal laws prohibiting discrimination and harassment, and the provisions of the Authority's own Ordinances and Resolutions. Elected and appointed officials should be familiar with these laws to assure that they exercise their responsibilities properly. In addition, the Authority's General Counsel is available to respond to questions

about these matters.

It is not possible for a code of this kind to anticipate and provide a rule of conduct for all situations. At bottom, it is expected that officials will manage their behavior in a manner consistent with the rules that follow, respect the chain of command and behave within the bounds of their authority. It is also expected that officials will treat each other, Authority employees, and the residents and business-people within Del Norte County with courtesy and respect in a manner that reflects well on the Authority.

1. Act in the Public Interest

Recognizing that the public interest must be their primary concern, Public Officials will work for the common good of the people of the Del Norte Solid Waste Management Authority and not for any private or personal interest. They will assure fair and equal treatment of all persons, businesses and interests coming before the Del Norte Solid Waste Management Authority Board of Commissioners, commissions, and committees. The professional and personal conduct of Public Officials must be above reproach and avoid even the appearance of impropriety.

2. Comply with the Law

Public Officials shall comply with the laws of the nation, the State of California, and the Del Norte Solid Waste Management Authority in the performance of their public duties. These laws include, but are not limited to: the Constitutions of the United States and California; laws pertaining to conflicts of interest, financial disclosures, employer responsibilities, open processes of government, confidentiality of closed session information; and the Del Norte Solid Waste Management Authority Joint Powers Agreement, Bylaws, Ordinances and Resolutions.

3. Respect for Process

Public Officials shall perform their duties in accordance with the processes and rules of order established by the Board of Commissioners, commissions, and committees governing the deliberation of public policy issues, meaningful involvement of the public, and implementation of policy decisions of the Board of Commissioners by Authority staff.

4. Decisions Based on Merit

Public Officials shall base their decisions on the merits and substance of the matter at hand. Public Officials shall prepare themselves for public issues, listen

courteously and attentively to all public discussions before the body, and focus on the business at hand.

5. Communication

Public Officials shall share substantive information that is relevant to a matter under consideration by the Board of Commissioners, commissions, and committees which they may have received from sources outside the public decision-making process. Public Officials shall avoid improper ex parte communications with parties when the official is sitting in a quasi-judicial role.

Whenever an official is representing the Authority, in or out-of-town, the Public Official is "on-duty" and should behave in a manner that will reflect well on the Authority. When out-of-town or at social events there is a temptation to behave more informally than one might at headquarters, which can lead to awkward or embarrassing situations, and in extreme cases to improper or illegal behavior.

Public Officials shall refrain from abusive conduct, personal charges or verbal attacks upon the character or motives of other members of the Board of Commissioners, commissions and committees, the staff or public. They shall refrain from interrupting other speakers, making personal comments not germane to the business of the body, or otherwise interfering with the orderly conduct of meetings. This provision is not intended to limit the right of a Public Official to comment on the manner in which the business of the Authority is being conducted, but personnel matters related to Authority employees should be addressed to the Authority's Director consistent with his/her responsibilities and recognizes that the board's meeting is a business meeting as well as a public forum.

6. Conflict of Interest

In order to assure their independence and impartiality on behalf of the common good, public officials shall not use their official positions to influence government decisions in which they have a material financial interest or personal relationship which may give the appearance of a conflict of interest. Public Officials shall comply with state law, the Joint Powers Agreement and the Authority's Ordinances regarding disclosure and avoidance of conflicts of interest.

7. Gifts and Favors

Public Officials shall comply with the requirements of the Political Reform Act relating to the acceptance and reporting of gifts.

8. Confidential Information

Public Officials shall not use or disclose information obtained through Authority service for improper purposes. Public Officials often acquire information in performing their duties that is not generally available to the public, including information received in closed sessions. Sometimes this information is confidential or highly sensitive. Information that is not generally available to the public must remain confidential and be used only for the purposes for which it was divulged. Public Officials shall neither disclose confidential information without proper legal authorization, nor use such information to advance their personal interests.

9. Use of Public Resources

Public Officials shall not use public resources not available to the public in general, such as Authority staff time, equipment, supplies or facilities, for private gain or personal purposes. Public Officials shall not utilize the Authority's name or logo for the purpose of endorsing any political candidate or business.

10. Political Contributions

A member or candidate for Board of Commissioners shall not solicit contributions or endorsements from the Authority's employees. This provision is not intended to interfere with an employee's right to endorse or contribute on his/her own or to prohibit soliciting contributions or endorsements from employee bargaining units.

11. Representation of Private Interests

In keeping with their role as stewards of the public interest, members of Board of Commissioners shall not appear on behalf of the private interests of third parties before the Board of Commissioners or any board, commission, committee, or proceeding of the Authority, nor shall members of commissions or committees appear before their own bodies or before the Board of Commissioners on behalf of the private interests of third parties on matters related to the areas of service of their bodies.

12. Advocacy

Public Officials shall represent the official policies or positions of the Board of Commissioners or committee to the best of their ability when designated as delegates for this purpose. Public Officials occasionally speak before other public bodies, neighborhood groups or to the press. When doing so, they should always make it clear whether they are presenting their own point of view or

whether they have been authorized by the body of which they are a member to present a particular view. They should be clear in all oral and written utterances whether they are using their title for identification purposes or because they are speaking in an official capacity. The actions and recommendations of subsidiary bodies are presented to the Board of Commissioners as part of the staff report, and often memorialized in a resolution. If a subsidiary body feels it necessary to supplement these written transmittals, it should expressly authorize one of its members to speak on its behalf.

Authority letterhead must be used with care to avoid misunderstandings. Letterhead may be used to communicate official Authority policy or actions. It is also routinely used by Commissioners to respond to inquiries or communicate their individual opinions, in which event the author should be clear about whose view is being presented.

### 13. Policy Role of Members

Public Officials shall respect and adhere to the commission-manager structure of the Del Norte Solid Waste Management Authority as outlined in the Authority's policies and procedures and follow the Del Norte Solid Waste Management Authority's Joint Powers Agreement and its ordinances with respect to the Authority's Director's relationship with the Board of Commissioners. In this structure, the Board of Commissioners determines the policies of the Authority with the advice, information and analysis provided by the public, commissions and committees, and Authority staff. Except as provided by the Joint Powers Agreement or ordinance, Public Officials shall not interfere with the administrative functions of the Authority or the professional duties of Authority staff; nor shall they impair the ability of staff to implement board policy decisions.

### 14. Positive Work Place Environment

Consistent with the Del Norte Solid Waste Management Authority's Core Values, Public Officials shall support the maintenance of a positive and constructive work place environment for Authority employees and for residents and businesses dealing with the Authority. Public Officials shall recognize their special role in dealings with Authority employees and refrain from creating the perception of inappropriate direction to staff.

### 15. Harassment and Discrimination

Public Officials shall not engage in any form of harassment or unlawful discrimination. The Del Norte Solid Waste Management Authority is committed to providing an environment that is free from unlawful discrimination, including

discrimination or harassment that is based on any legally protected status. The Authority will not tolerate any form of discrimination or harassment that violates this policy. This policy forbids any unwelcome conduct that is based on an individual's age, race, color, religion, sex, national origin, ancestry, marital status, sexual-orientation, veteran status, physical or mental disability, legally protected medical condition or association with anyone who has, or is perceived to have, any protected characteristic, or any other basis protected by state, federal or local law.

#### 16. Implementation of the Code of Ethics

The Del Norte Solid Waste Management Authority Code of Ethics expresses standards of ethical conduct expected for members of the Del Norte Solid Waste Management Authority Board of Commissioners, commissions and committees. Public Officials themselves have the primary responsibility to assure that ethical standards are understood and met, and that the public can continue to have full confidence in the integrity of government.

The chairs of commissions and committees, have the additional responsibility to intervene when actions of members that appear to be in violation of the Code of Ethics are brought to their attention.

Public Officials entering office shall acknowledge that they have read and understood the Del Norte Solid Waste Management Authority Code of Ethics. This Code of Ethics and Conduct shall be reviewed periodically by the Board of Commissioners, commissions, and committees.

#### 17. Compliance and Enforcement

Complaints alleging a violation of this Code of Conduct by a Public Official should be directed to the Authority's Director. Upon receipt of a complaint of a minor nature, the Authority's Director and its General Legal Counsel shall together determine a course of action. The Authority's Director and its General Legal Counsel shall, should they fail to resolve the complaint or should the complaint be of a serious nature, consult with the Chair (unless the Chair is the subject of the complaint, in which event they shall consult with the Vice Chair or other Commissioner, in order of seniority, as is appropriate under the circumstances) in order to determine an appropriate course of action. Serious complaints regarding a commission or committee member shall be directed to the chair person, or vice chair if the chair is named in the complaint. The recipient of the subsidiary body's complaint shall consult with the Authority's Director and the Authority's General Counsel to determine the appropriate course of action.

The goal of enforcement of this Code of Ethics is corrective, rather than penal and a progressive approach of curing violations is encouraged beginning with informal methods and proceeding to more formal methods, as necessary and appropriate, given the circumstances and allegations of the complaint. In appropriate circumstances, informal counseling and instruction shall be utilized to address issues before recommending sanctions. Depending on the severity of the violation, sanctions may be imposed including reprimand, formal censure, referral back to the agency appointing the member with a recommendation for removal from the appointment, loss of committee assignments, exclusion from closed sessions, travel or expense reimbursement restrictions, loss of staff support or use of Authority resources, referral to the Grand Jury or other penalties as may be applicable to the circumstances. The Board of Commissioners also may remove members of commissions and committees from office.

Prior to any sanction being taken against a Public Official, the official shall receive notice of the alleged violation and the proposed sanction. Before a sanction is imposed, the Public Official charged may request a public hearing before the Board of Commissioners and, in such case, a sanction shall not be imposed except upon a majority vote of the Board of Commissioners. The Public Official whose conduct is under scrutiny shall be disqualified from voting upon whether or not sanctions should be imposed. A public hearing need not comply with the formal rules of evidence, but shall afford the Public Official an opportunity to be heard on the proposed sanction.

#### 18. Statement of Commitment

As a member or alternate of the Board of Commissioners of the Del Norte Solid Waste Management Authority or of an Authority board, commission, or committee, I understand and agree to uphold the Code of Ethics and Conduct for elected and appointed officials adopted by the Board of Commissioners. In recognition of this standard I will conduct myself by the following model of behavior:

- Recognize the worth of individual members and appreciate their individual talents, perspectives and contributions;
- Help create an atmosphere of respect and civility where individual members, Authority staff and the public are free to express their ideas and work to their full potential.
- Conduct my personal and public affairs with honesty, integrity, fairness and respect for others;

- Respect the dignity and privacy of individuals and organizations;
- Keep the common good as my highest purpose and focus on achieving constructive solutions for the public benefit;
- Avoid and discourage conduct which is divisive or harmful to the best interests of Del Norte Solid Waste Management Authority;
- Treat all people with whom I come in contact in the way I wish to be treated.

I affirm that I have read and that I understand, accept and support the Del Norte Solid Waste Management Authority Code of Ethics and Conduct.

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Vendor R3 Consulting Group  
1512 Eureka Road  
Suite 220  
Roseville CA 95661

Claim ID: 6997  
Page 1 of 1

AUDITOR COPY



Vendor ID:

17054

PBSP Expense

Change of Address

Special  
Warrant  
Routing

Fund	Dept	Line	Proj	Amount	Description
422	421	20231		\$16,930.00	Consulting services

Total Claim: \$16,930.00

1.2

I HEREBY CERTIFY THE ARTICLES OR SERVICES DESCRIBED ON THE ATTACHED INVOICES WERE NECESSARY FOR USE BY THE DEPARTMENT AND HAVE BEEN RECEIVED, AND THAT NO PRIOR CLAIM FOR SAME HAS BEEN

3/6/2014

Claim Date

R3

**R3 Consulting Group**  
1512 Eureka Road, Suite 220  
Roseville, CA 95661  
916-782-7821

## INVOICE

**Del Norte Solid Waste Management Authority**  
Attn: Tedd Ward  
1700 State Street  
Crescent City, CA 95531

**Invoice number** 7261  
**Date** 01/31/2014

113042 Del Norte SWMA - Assessment  
*For Services Rendered up to February 12, 2014*

---

**Professional Fees**

**Consulting Work**

	<u>Hours</u>	<u>Rate</u>	<u>Billed Amount</u>
Senior Associate Colin Wallace	81.00	155.00	12,555.00
Senior Manager Sam Chandler	25.00	175.00	4,375.00
Professional Fees subtotal	106.00		16,930.00
<b>Total Invoice Amount Due</b>			<b>16,930.00</b>

Vendor R3 Consulting Group  
1512 Eureka Road  
Suite 220

Roseville CA 95661

Vendor ID:

17054

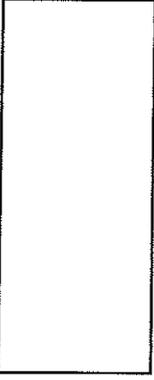
PBSP Expense

Change of Address

Special  
Warrant  
Routing

Claim ID: 6998  
Page 1 of 1

AUDITOR COPY



Fund	Dept	Line	Proj	Amount	Description
422	421	20231		\$8,068.75	Consulting services. Invoice 7281

Total Claim: \$8,068.75

1.3

I HEREBY CERTIFY THE ARTICLES OR SERVICES DESCRIBED ON THE ATTACHED INVOICES WERE NECESSARY FOR USE BY THE DEPARTMENT AND HAVE BEEN RECEIVED, AND THAT NO PRIOR CLAIM FOR SAME HAS BEEN

3/7/2014

Claim Date

R3

**R3 Consulting Group**  
1512 Eureka Road, Suite 220  
Roseville, CA 95661  
916-782-7821

# INVOICE

17054/20231

**Del Norte Solid Waste Management Authority**  
Attn: Tedd Ward  
1700 State Street  
Crescent City, CA 95531

**Invoice number** 7281  
**Date** 03/03/2014

113042 Del Norte SWMA - Assessment  
*For Services Rendered up to February 28, 2014*

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**Professional Fees**

**Consulting Work**

	<u>Hours</u>	<u>Rate</u>	<u>Billed Amount</u>
Senior Associate Colin Wallace	6.50	155.00	1,007.50
			<u>116.25</u>
Subtotal	<u>6.50</u>		<u>1,123.75</u>
Principal William Schoen	34.00	185.00	6,290.00
Associate III David Pinter	0.50	135.00	67.50
Senior Manager Sam Chandler	3.00	175.00	525.00
Associate II Malia Grigsby	<u>0.50</u>	<u>125.00</u>	<u>62.50</u>
Professional Fees subtotal	<u>44.50</u>		<u>8,068.75</u>

**Total Invoice Amount Due** 8,068.75

**ITEMIZED MONTHLY INVOICE STATEMENT**

Task	Principal	Sr. Mgr.	Associate III	Cost	Hours
	\$ 185.00	\$ 175.00	\$ 135.00		
<b>1 Document Request, Review, and Kick-off Meeting</b>					
1.1 Document Request and Review	0			\$ -	0
1.2 Kick-off Meeting / On-Site Review	0	0		\$ -	0
<b>2 Assessment of Authority</b>					
2.1 Cash Controls and Procedures				\$ -	0
2.2 Staffing Practices	4	12		\$ 2,840	16
2.3 Day-to-Day Operations	12	20		\$ 5,720	32
2.4 Director Position	4	8		\$ 2,140	12
2.5 Small Volume Transfer Station				\$ -	0
2.6 Organizational Structure	24	12		\$ 6,540	36
2.7 Potential Alternatives to the JPA	18	12	28	\$ 9,210	58
<b>6 Reports and Presentations</b>					
6.1 Draft Report	24	2		\$ 4,790	26
6.2 Final Report	12	0	0	\$ 2,220	12
<b>Total Hours</b>	<b>98</b>	<b>66</b>	<b>28</b>		<b>192</b>
<b>Total Cost</b>	<b>\$ 18,130</b>	<b>\$ 11,550</b>	<b>\$ 3,780</b>	<b>\$ 33,460</b>	

Expenses \$ -

**Total Project Budget \$ 33,460**

	Invoice Date			Total	
	Jan	Feb	Mar		
% complete	billings	% complete	billings	% complete	billings
15%	\$ 426	90%	\$ 2,130	100%	\$ 284
15%	\$ 858	90%	\$ 4,290	100%	\$ 572
20%	\$ 428	90%	\$ 1,498	100%	\$ 214
30%	\$ 1,962	90%	\$ 3,924	100%	\$ 654
27%	\$ 2,512	83%	\$ 5,088	100%	\$ 1,610
0%	\$ -	0%	\$ -	100%	\$ 4,790
0%	\$ -	0%	\$ -	0%	\$ -
	\$ 6,186		\$ 16,930		\$ 8,124
					\$ 31,240

Actual amount invoiced was \$8,068.75. Additional amount of \$55.25 will be included on Final Invoice

**Remaining Project Budget \$ 2,220**