

# REQUEST FOR PROPOSALS

Private Full-Service Operations and Maintenance of the  
Water and Wastewater Facilities, Distribution and  
Collection Systems



January 11, 2019

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## **INTRODUCTION**

The City of Galena is requesting your firm submit a detailed proposal and cost estimate that may lead to final negotiations for a five or ten-year operations and maintenance contract (the "Contract") for the City of Galena, Illinois water and wastewater facilities, distribution and collection systems (the "System"). Please note that the City maintains no interest in a full asset purchase of the facilities by the private contractor.

The City's System includes the operation and maintenance of the wastewater treatment plant, the sewer collection system including the lift stations, and the water treatment and distribution system including storage, wells, booster stations, and pressure reduction stations.

A detailed proposal and cost estimate for a five (5) year contract and a 10-year contract must be submitted. The proposal and cost estimate should include detailed breakdowns of all cost factors and should identify any terms which the Contractor deems necessary to provide the services. The length of the proposal and cost estimate is limited to 50 single sided pages with a font size of at least 11 pt. The format included in this request for proposals must be used.

All questions and clarification inquiries should be directed to Andy Lewis, City Engineer. Email is preferred at [alewis@cityofgalena.org](mailto:alewis@cityofgalena.org) or by phone at 815-777-1050. Contact with other City officials is prohibited.

Five (5) bound paper copies of the proposal and cost estimate, and one electronic copy in PDF format, should be submitted to Andy Lewis, City Engineer, at the following address:

"RFQ Proposal: Water/Wastewater Operations"  
City of Galena  
101 Green Street  
Galena, IL 61036  
Attn: Andy Lewis

Only proposals received on or before **1:00 PM central time on Friday, March 1, 2019** will be considered.

## **SCOPE OF WORK/DESCRIPTION OF FACILITIES**

The Galena water and wastewater systems include the following:

1. 1.171 MGD wastewater treatment plant, oxidation ditch design, constructed 2002
2. Approximately 28.2 miles of sanitary sewer and 1.6 miles of force main
3. Three (3) water wells (#5, #6 and #7)
4. Four (4) water storage facilities, including two elevated towers, a standpipe and a ground tank (reservoir)
5. 28.5 miles of water main
6. 368 kW solar array at wastewater plant

**Detailed descriptions of all above items and other aspects of the System and equipment are provided in the Appendices C-E.**

This contract does not include any engineering design services pertinent to the water and wastewater system.

**PROPOSAL FORMAT**

The proposal format and documentation should be divided into the following categories:

1. Executive Summary
2. General Information
3. Personnel
4. Plan of Operations
5. Project Cost
6. Insurance
7. Innovative Approach
8. Sample Contract

**1. EXECUTIVE SUMMARY**

The Executive Summary summarizes important points of the Contractor’s proposal. A summary should be given for each of the sections as specified above.

**2. GENERAL INFORMATION**

Each Contractor must respond to the following questions or requests in a clear and concise manner and in the following order and format.

- 2.1 Provide the full name, tax identification number, and main office address of the Contractor.
- 2.2 Number of employees by classification at the company location providing services for the Contract.
- 2.3 Number of years in business.
- 2.4 Number of clients served, including the number of clients in Illinois.
- 2.5 Experience with Federal and State certification, licensing, and permitting requirements.
- 2.6 The Contractor must describe in detail their ability to provide non-engineering technical expertise to the water and wastewater systems. Particular attention will be paid to the Contractor’s ability to provide local and Illinois specific operational support services.

- 2.7 List of owned and/or leased equipment available for use in fulfilling the Contract.
- 2.8 Provide the names of any and all subcontractors that the Contractor would intend to use to perform any of the services required under this agreement.
- 2.9 Contractor must identify at least three other contracts within the past five years with systems comparable in scope and nature to the City of Galena System. Contact information should be provided for each comparable. Contracts based in Illinois are preferred.
- 2.10 Has the Contractor, under its present or any former name, been or is being named as a defendant in any litigation brought forth as a result of any contract operations for operation and maintenance? If so, name the party who brought forth the litigation, describe the circumstances, and provide a copy of the complaint filed against the Contractor.
- 2.11 Has the Contractor, under its present or any former name, been or is being fined or subjected to other enforcement action by any agency having jurisdiction over labor laws? If so, describe the circumstances.
- 2.12 Has the Contractor, under its present or any former name, been or is being fined or subjected to other enforcement action by any agency having jurisdiction over environmental, health, safety, and welfare issues? If so, describe the circumstances.
- 2.13 Has the Contractor, under its present or any former name, ever been terminated or replaced in an operations and maintenance contract due to lack of performance or contractual breach? If so, name the owner and describe the circumstances.

### **3. PERSONNEL**

The Contractor must address each of the following issues regarding personnel in the proposal:

- 3.1 The Contractor must confirm their ability to fully staff operations in compliance with all applicable codes/laws and to effectively and safely operate and maintain the System.
- 3.2 The Contractor must state planned staffing level that the Contractor proposes for personnel.
- 3.3 The Contractor must certify the intent to assign applicable professionals with required certifications (the Contractor need not designate the individual) to the Contract.

- 3.4 The Contractor must describe their professional training and career development programs.
- 3.5 Safety is a critical issue. The Contractor must describe their safety program in detail and how this safety program has impacted their current client cities.

#### **4. PLAN OF OPERATIONS**

Provide a detailed plan of operations, specifically addressing the various components of how the System will be operated and maintained. This section includes, but is not limited to a description of the following items:

- 4.1. The Contractor's program for all routine and normal maintenance of plants, laboratory and distribution/collection system, including furnishing of supplies, materials, equipment and spare parts. Please see the Maintenance and Repair section and definition of the Project Cost section of this document for detailed language on this subject.
- 4.2. The Contractor's plan for prevention of and response to mechanical and/or effluent quality/finished water emergencies.
- 4.3 The Contractor's system for handling any and all complaints, problems, and inquiries by the City, government agencies, and members of the public.
- 4.4 The Contractor's quality assurance/quality control program for the operation and maintenance of the facilities.
- 4.5 The Contractor's plan for interfacing with the City relative to technical, administrative, budgetary, financial, and legal issues. The plan should include periodic written activity and oral reports to regulatory agencies and public officials.
- 4.6 The Contractor's approach to management procedures for water/wastewater service repair activities during normal, preventive, and emergency maintenance (include payment procedures).
- 4.7 The Contractor's approach to interfacing with the City and outside engineering firms for coordination of construction on capital improvement projects.
- 4.8 The Contractor's plan for all utilities and consumables, such as fuel, materials and supplies, chemicals, and lubricants, incurred in normal operation.

- 4.9 The Contractor's approach to capital improvement construction projects, and equipment acquisition - from a financial and from an operational standpoint.
- 4.10 The Contractor's plan for required laboratory testing, permitting, monitoring, and reporting for regulatory compliance.
- 4.11 The Contractor's provision of a written guarantee of wastewater treatment plant effluent water quality and finished water quality.
- 4.12 The Contractor's acceptance of liability for payment of any fines or civil penalties levied against the City by regulatory agencies because of permit violations due to Contractor's negligence.
- 4.13 The Contractor's acceptance of liability protection to the City for damages directly caused by negligence on the part of the Contractor.
- 4.14 The Contractor's plan for implementing new treatment processes and/or chemical at the wastewater treatment plant or water treatment system.
- 4.15 The Contractor's approach to certification requirements for all water/ wastewater plant and distribution/collection system operators.
- 4.16 The Contractor's approach to energy efficiency in operations and sustainability in general.
- 4.17 Other relevant provisions.

## **5 INSURANCE**

The Contractor shall certify that they shall carry the types and amounts of insurance as set forth in Table 1 on the following page, and in the Sample Contract found in Appendix F, if selected as the successful Contractor.

**Table 1. Minimum Insurance Requirements for the Contract**

|   |   |
|---|---|
| <u>Commercial General Liability (includes Fire Damage Liability):</u>   |   |
| Bodily Injury, Personal Injury, and Property Damage                     | \$1,000,000 Occurrence<br>\$2,000,000 Aggregate |
| Products and Completed Operations                                       | \$2,000,000 Occurrence                          |
| Personal Injury and Advertising   | \$1,000,000 Occurrence                          |
| Fire Damage Liability   | \$500,000 Occurrence                            |
| <u>Commercial Automobile Liability (any auto):</u>                      |   |
| Hired and Non-Owned Liability   | \$1,000,000 Per Accident                        |
| <u>Worker's Compensation:</u>   | Statutory Limit                                 |
| <u>Employer's Liability:</u>  |   |
| Bodily Injury by Accident   | \$1,000,000 Each Accident                       |
| Bodily Injury by Disease  | \$1,000,000 Policy Limit                        |
| Bodily Injury by Disease  | \$1,000,000 Each Employee                       |
| <u>Pollution Liability:</u>   |   |
| Bodily Injury and Property Damage                                       | \$5,000,000 Each Claim/Incident                 |
| Environmental Damage from a Pollution Condition                         | \$2,000,000 Aggregate                           |
| <u>Professional Liability:</u>  |   |
| Damages from Performance of or Failure to Perform Professional Services | \$1,000,000 Occurrence<br>\$1,000,000 Aggregate |
| <u>Excess Liability and Umbrella:</u>                                   | \$25,000,000 Occurrence/Aggregate               |

**6 PROJECT COST**

The proposal shall include a cost for services using the Contract Cost Forms provided in Appendix A. All costs shall be identified to render a total proposed contract price for a five-year contract period *and* a 10-year contact period. The City plans to evaluate the final contract length during the contract negotiation period. The proposal shall identify any and all terms and conditions associated with the figures included in the proposal. The Contractor's specific approach to annual increases in the contractual amount should be addressed in this section as well.

The following definitions shall be applicable to the cost items requested in this section. Further clarification is provided in the Sample Contract in Appendix F.

**Personnel** - Includes, but is not limited to, salaries, wages, overtime, pay differential, longevity, holiday/vacation pay, education assistance, hospital, medical, dental plans,

life insurance, retirement contributions, sick leave and other costs directly attributable to employees that the contractor will have on-site to perform the services described in this proposal.

**Maintenance and Repair (M&R)** - Contractor will provide a fixed, annual amount for all maintenance and repairs. This amount includes all M&R costs except Contractor's on-site labor. The Contractor will be responsible for repairs less than or equal to \$3,000 per occurrence (excluding Contractor's labor). If the actual M&R expenditures are less than the specified annual amount for any year, the Contractor will refund the difference to the City in its entirety.

Other M&R items include, but are not limited to, repair of sewer lines, equipment rentals, service agreements for equipment, office equipment, laboratory equipment, safety equipment, tools, maintenance equipment, vehicles, mechanical equipment and manually operated equipment.

**Utilities** - Includes, but is not limited to, electricity, natural gas, water, telephone, internet, and heating fuels.

**Chemicals** - Includes, but is not limited to, all chemicals, including such chemicals needed for operation of the water/wastewater system.

**Outside Services** - Includes, but is not limited to, consulting engineering, temporary and/or part-time help, registrations, dues, subscriptions, postage and freight charges, advertising, printing, binding and insurance.

**Other** - Includes any and all expenses not identified in any other specific cost category.

**Overhead and Fee** - This category shall include the Contractor's overhead charge for this Contract, and a fee for the services provided.

## **7 INNOVATIVE APPROACH**

The Contractor should use this section to outline any ideas, thoughts, or approaches they view as beneficial to the City and that may distinguish the services of the Contractor from those of other firms.

## **8 SAMPLE CONTRACT**

To convey the expectations of the City, a sample contract for services is provided in Appendix F. The City expects to begin contract negotiations with the sample contract. Any provisions not mentioned in the sample contract but relevant to the Contractor's service proposal should be included by the Contractor in the proposal.

## **SITE VISITS**

Before submitting the RFP, each Contractor is welcome and urged to attend a pre-proposal guided tour of the wastewater treatment plant site. The tour will be conducted at **10:00 a.m. on Tuesday, February 12, 2019**. Contractors are welcome to visit other System facilities, such as wells and lift stations, on their own schedule on February 12. Those planning to participate in the tour should contact Andy Lewis, City Engineer, by email at [alewis@cityofgalena.org](mailto:alewis@cityofgalena.org).

Failure of any Contractor to familiarize itself with the System and available information will not relieve the Contractor of their obligation to evaluate the necessary documentation and submission of a completed RFP. Electronic copies will be emailed at no charge. Photocopying of documents will be made available at a nominal per page charge.

## **DATA ACQUISITION**

All requests to inspect data and documentation should be made to the City Engineer. Data and documents available for inspection may include, but are not limited to, the following:

1. Design criteria for all facilities, including information relative to proprietary processes and equipment.
2. Record drawings, specifications, and O&M manuals for facilities.
3. Water/Wastewater treatment system operating and process information.

## **PROPOSAL EVALUATION PROCESS**

An evaluation of the RFP will be conducted by the City Engineer and project committee. The City will use the criteria and weighting system in Appendix B, the Proposal Evaluation Form, to identify the three most qualified contractors to perform the Contract services. Interviews will be conducted with the three top contractors.

The City of Galena reserves the right to evaluate the proposals, to reject any or all proposals, in whole or in part, to waive any informalities and to accept only those proposals deemed to be in the best interests of the City. The City of Galena also reserves the right to investigate the technical and financial capabilities, or other background information of each Contractor submitting a proposal.

## **CONTRACT AWARD**

After the proposals have been received and evaluated and interviews have been conducted, the City will initiate negotiations with the most qualified Contractor. Should the City and the selected Contractor be unable to, within a reasonable period of time, reach a fair and reasonable agreement on the terms of the contract, then the City may, at its option, suspend or

terminate negotiations with that firm and begin negotiations with the next apparent best overall qualified firm.

**SCHEDULE**

The planned schedule for the evaluation and selection process is described in Table 1. The City of Galena reserves the right to modify the schedule at its discretion.

**Table 2. Proposal Submittal, Evaluation and Contractor Selection Schedule**

|    |   |             |
|----|---|-------------|
| 1. | City issues "Request for Proposals"   | January 11  |
| 2. | Pre-proposal tour of wastewater treatment plant   | February 12 |
| 3. | Submittal deadline for proposals from interested contractors  | March 1     |
| 4. | Evaluation of proposals by City review committee  | March 1-8   |
| 5. | Interview top three RFQ submittals and rank firms   | March 18-29 |
| 6. | Begin negotiations with top ranked firm   | April 1     |
| 7. | Finalize contract   | April 30    |
| 8. | City Council authorization to enter into a contract with specified contract water and wastewater operator | May 13      |
| 9. | Begin contract water and wastewater operations  | August 1    |

**APPENDIX A**

**Contract Cost Forms**

Contractor should insert a cost for each category for each year and total the individual years on the bottom row and the categories in the far-right column. Please note there are two forms, the Five-Year Contract Cost Proposal and the 10-Year Contract Cost Proposal. Contractors are required to complete both forms. The final contract length will be determined at a later date.

**Five-Year Contract Cost Proposal**

| Category               | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | TOTAL |
|------------------------|--------|--------|--------|--------|--------|-------|
| Personnel              | \$     | \$     | \$     | \$     | \$     | \$    |
| Maintenance and Repair |        |        |        |        |        |       |
| Utilities              |        |        |        |        |        |       |
| Chemicals              |        |        |        |        |        |       |
| Outside Services       |        |        |        |        |        |       |
| Other                  |        |        |        |        |        |       |
| Overhead and Fee       |        |        |        |        |        |       |
| TOTAL                  |        |        |        |        |        |       |

Company Name: \_\_\_\_\_

Company Contact Person: \_\_\_\_\_ Title: \_\_\_\_\_

Contact Person Phone: \_\_\_\_\_ Email: \_\_\_\_\_

### 10-Year Contract Cost Proposal

| 10-Year Contract Cost Proposal |        |        |        |        |        |        |        |        |        |         |       |
|--------------------------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|---------|-------|
| Category                       | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Year 6 | Year 7 | Year 8 | Year 9 | Year 10 | TOTAL |
|                                |        |        |        |        |        |        |        |        |        |         |       |
| Personnel                      | \$     | \$     | \$     | \$     | \$     | \$     | \$     | \$     | \$     | \$      | \$    |
| Maintenance and Repair         |        |        |        |        |        |        |        |        |        |         |       |
| Utilities                      |        |        |        |        |        |        |        |        |        |         |       |
| Chemicals                      |        |        |        |        |        |        |        |        |        |         |       |
| Outside Services               |        |        |        |        |        |        |        |        |        |         |       |
| Other                          |        |        |        |        |        |        |        |        |        |         |       |
| Overhead and Fee               |        |        |        |        |        |        |        |        |        |         |       |
|                                |        |        |        |        |        |        |        |        |        |         |       |
| TOTAL                          |        |        |        |        |        |        |        |        |        |         |       |

Company Name: \_\_\_\_\_

Company Contact Person: \_\_\_\_\_ Title: \_\_\_\_\_

Contact Person Phone: \_\_\_\_\_ Email: \_\_\_\_\_

**APPENDIX B**

**Proposal Evaluation Form**

Contractor Name: \_\_\_\_\_

Address: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Rate each firm in the five categories below. To arrive at the Total, multiply Rating (highest = 5, lowest = 1) by Weight (highest = 10, lowest = 1). Weight has been assigned to the categories according to their importance to the Contract. Maximum point Total is 205.

|    | <b>Category</b>   | <b>Rating</b> | <b>X Weight</b> | <b>= Total</b> |
|----|---|---------------|-----------------|----------------|
| 1. | The Contractor's experience will be evaluated based upon its past history (such as number of projects, plant sizes, etc.) of successfully providing operations and maintenance services for similar facilities. The responses will be evaluated based on similar facilities operated and maintained under similar scenarios, duration of the contracts, references that are provided, and on the expertise of the proposed project support staff. References will be contacted to verify satisfactory performance on other similar projects |               | 10              |                |
| 2. | The proximity of the Contractor's local corporate office and availability of additional operations support personnel.   |               | 5               |                |
| 3. | The capability and experience of the proposed management team in operation, maintenance and supervisory positions for projects of a similar nature. Contractor shall also demonstrate its understanding of the facilities and that it possesses technical resources knowledgeable of key issues related to the facilities such as process control, asset management, system maintenance and capital improvement planning.   |               | 10              |                |
| 4. | The feedback that is provided from a minimum of three (3) references. The references will be contacted, and site visits may or may not be scheduled in order for the evaluation team to better understand the level of satisfaction that has been received by said references.  |               | 8               |                |
| 5. | Cost of the Contract as set forth on the Contract Cost Form.  |               | 8               |                |
|    | <b>TOTAL</b>  |               |                 |                |

## APPENDIX C

### Summary of Water Supply and Wastewater Facilities

See also APPENDIX D and APPENDIX E for additional details.

1. 1.171 MGD wastewater treatment plant, oxidation ditch type, built in 2002
2. Sanitary sewer system, consists of approximately 28.2 miles of sanitary sewer and 1.6 miles of force main. Gravity sewer pipe diameters range from six inches to eighteen inches. Pipe materials include: clay, concrete and PVC.
3. Six sewer lift stations.
4. Well houses and treatment points are comprised of:
  - a. #5 well house (ID # 11739), with submersible pump producing 1100 gpm and discharges to 450,000 gallon elevated tank.
  - b. #6 well house (ID # 11740), vertical turbine pump with variable frequency drive, producing 500 gpm and discharges directly into distribution system.
  - c. #7 well house (ID # 01535), submersible pump producing 1100 gpm and discharges into 500,000 gallon tank.
  - d. Treatment consists of phosphate injection, chlorination and fluoridation.
5. Water storage facilities are comprised of:
  - a. 450,000 gallon elevated storage tank (Franklin Street)
  - b. 750,000 gallon standpipe (Dodge Street)
  - c. 300,000 gallon ground tank (Horseshoe Mound)
  - d. 500,000 elevated storage tank (Industrial Park)
6. Water distribution system, consisting of two booster stations, twelve pressure reduction stations, and four pressure zones. Water mains consist of approximately 28.5 miles of main. Water main pipe diameters range from four to 12 inches. Pipe materials include cast iron, ductile iron and PVC.

## EXHIBIT D

### City of Galena Water and Wastewater System Location of Facilities

- Wastewater Treatment Plant located at:  
1989 East Cross Road
- 1952 (Reconstructed in 2002) Lift Station located at:  
114 Meeker Street
- Industrial Park Lift Station located at:  
11326 Technical Drive
- Pluym Lift Station located at:  
Oldenburg Lane
- Cobblestone Lift Station located at:  
Oldenburg Lane
- Bouthillier Lift Station located at:  
Bouthillier St. & Park Avenue
- Hospital Lift Station located at:  
Norris Lane
- Water Street Storm Water Pumping Station located at:  
Water Street between Green Street and Perry Street
- Riverside Drive Storm Water Pumping Station located at:  
Riverside Drive between Spring Street and flood gates
- #5 Well House located at:  
1238 Franklin Street
- #6 Well House located at:  
Gear Street
- #7 Well House located at:  
Industrial Park
- Water Storage Facilities located at:  
1238 Franklin Street  
Dodge & Hill Streets  
Horseshoe Mound  
Industrial Park

- Industrial Park water booster station located at:  
Highway 20 and Franklin Street
- Bouthillier water booster station located at:  
307 Bouthillier Street
- Supervisory Control and Data Acquisition system for above facilities
- 368 kW solar array with 3-100 kW inverters, solar building with controls

## EXHIBIT E

### City of Galena Water and Wastewater System Equipment

- Lift station built in 1952 and reconstructed in 2002, including:
  - Three (3) 20 hp Flygt submersible pumps
  - Metropolitan control panel
  - Olympian 125 kW stand-by generator
- Industrial Park Lift Station, including:
  - Two (2) 20 hp Fairbanks Morse pumps
  - USEMCO Control Panel
- Plum Lift Station, including:
  - Two (2) 5 hp Hydromatic submersible pumps
  - Hydromatic Control Panel
  - Olympian 50 kW Generator
- Cobblestone Lift Station, including:
  - Two (2) 5 hp Hydromatic submersible pumps
  - Hydromatic Control Panel
  - Olympian 30 kW Generator
- Bouthillier Lift Station, including:
- Hospital Lift Station, including:
  - Two (2) 15 hp Fairbanks Morse submersible pumps
  - Control Panel
  - Olympian 50 kW Generator
- Storm Water Pumping Stations at 213 Water Street and Riverside Drive
  - Cummins 250 kW generator
- 1.171 MGD wastewater treatment plant, peak flow of 4.65 mgd, oxidation ditch type built in 2002, comprised of:
  1. Administration Building with:
    - Garage / Shop Area
    - Restroom / Locker Facilities
    - General Purpose Room
    - Office
    - SCADA Room
    - Laboratory Facilities

2. Screening Building with:
  - Parkson Mechanical Step Screen and Wash Press
  - Altronex SCCB Motor Control Center
  
3. BNR /Oxidation Ditches with:
  - Two (2) EIMCO/EMU 8.5 hp BNR Mixers
  - Four (4) EIMCO 40 hp Carousel Aerators
  
4. Two (2) 250,000 gallon US Filter clarifiers with aluminum Covers
  
5. Biosolids Control Building with:
  - Komline Sanderson 1.5 meter gravity belt thickener / belt filter press
  - Parkson biosolids conveyors
  - Dynablend polymer feed system
  - Altronex SCCA Motor Control Center
  - One (1) Sum Pump
  - Two (2) Hayward Gordon model XCS5A WAS Pumps
  - Three (3) Hayward Gordon model XCS5A RAS Pumps
  - Three (3) Netzsch progressive cavity BST Pumps
  - Two (2) Crane Deming Plant Water System
  - Metropolitan Industries Non-Potable Water System
  - Potable Water System
  - Site Well
  - Three (3) Garner Denver Positive Displacement Blowers for Digesters
  
6. Two (2) Aerobic Digesters with Sanitiare Fine Bubble Diffusers
  
7. Biosolids Storage Building
  
8. Trojan Ultraviolet Disinfection
  
9. Influent Pumping Station with:
  - Two (2) 25 hp Fairbanks Morse Submersible Pump
  - Two (2) 75 hp Flygt Submersible Pumps
  
10. 368kW solar array, 3-100 kW inverters, and building with controls
  
- Wastewater Collection System, consists of approximately 28.2 miles of gravity sewer that is predominantly eight-inch with some six-, ten-, twelve-, fifteen- eighteen- and thirty-inch pipes of clay, concrete and PVC. The system also contains 1.6 miles of sanitary force main.
  
- Well houses and treatment points comprised of:
  1. #5 Well House (ID#11739), with 150 hp submersible pump producing 1,100 gpm and discharges to 450,000 gallon elevated tank;

2. #6 Well House (ID#11740), with vertical turbine pump producing 500 gpm and discharges directly to distribution system;
  3. #7 Well House (ID#OI535) with 200 hp submersible pump with VFD producing 1,100 gpm and discharges to 500,000 gallon elevated tank.  
200 Onan 350kw generator
  4. Treatment consists of phosphate injection, chlorination and fluoridation.
- Water storage facilities comprised of:
    1. 450,000 gallon elevated storage tank
    2. 750,000 gallon standpipe
    3. 300,000 gallon ground tank
    4. 500,000 gallon elevated storage tank
  - Industrial Park Booster Station comprised of:
    1. One (1) Deming 1 ½ hp pump rated at 36 gpm
    2. One (1) Deming 3 hp pump rated at 65 gpm
    3. One (1) Deming 40 hp pump rated at 940 gpm
    4. USEMCO control panel
  - Bouthillier Booster Station comprised of:
    1. Two (2) Peerless 30 hp pumps rated at 450 gpm each
    2. USEMCO control panel
  - Water Distribution System consisting of four pressure zones and 12 pressure reduction stations. Water mains consist of approximately 28.5 miles of two, four, six, eight, ten, and twelve-inch pipe of cast iron, ductile iron, and PVC.
  - Rolling Stock:
    1. 2015 Ford F-250 ¾ ton pickup with utility box
    2. 2012 Chevrolet ¾ ton pickup with utility box and Western Snowplow
    3. 2007 Chevrolet ¾ ton pickup
    4. 2007 Dodge ¾ ton pickup
    5. 2004 Oman trailer mounted generator
    6. 2001 Sniper 747 sewer jet machine
    7. 1996 New Holland LX665 skid loader
    8. 1984 GMC 7000 series spreader truck with Meyers spreader

**APPENDIX F**

**SAMPLE AGREEMENT FOR**

**OPERATIONS AND MAINTENANCE OF THE CITY OF GALENA**

**WATER/WASTEWATER TREATMENT FACILITIES AND DISTRIBUTION/COLLECTION SYSTEMS**

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This Amended and Restated Operations and Maintenance Agreement (“Agreement”), is entered into as of this 1<sup>st</sup> day of August, 2019 (“Effective Date”), by and between \_\_\_\_\_, a (*insert State*) corporation (“CONTRACTOR”), with its principal place of business at \_\_\_\_\_; and the City of Galena, a municipal corporation in the county of Jo Daviess, State of Illinois (“OWNER”), with its principal place of business at 101 Green Street, Galena, Illinois 61036. CONTRACTOR and OWNER are sometimes herein referred to individually as a “Party” and collectively as the “Parties.”

**WHEREAS**, OWNER owns and operates a water and wastewater treatment facilities and associated distribution and collection systems, at the locations set forth in Exhibit A attached hereto (“Facilities”); and

**WHEREAS**, CONTRACTOR is engaged in the business of providing certain operations and management services for water and wastewater facilities; and

**WHEREAS**, it is the mutual desire of the CONTRACTOR and the OWNER to enter into this Agreement for services to be provided by the CONTRACTOR; and

**WHEREAS**, OWNER has full power and authority under the laws of the State of Illinois to enter into this Agreement for the CONTRACTOR Services.

**NOW, THEREFORE**, in consideration of the mutual covenants, conditions and terms contained herein, the Parties, intending to be legally bound, hereby agree as follows:

**1. PURPOSE AND TERM**

As of the Effective Date, OWNER engages CONTRACTOR as an independent CONTRACTOR to provide the CONTRACTOR Services with respect to the Facilities and certain other OWNER Equipment, as hereinafter defined, for a term commencing on August 1, 2019 and expiring on July 31, 2024 (or July 31, 2029), unless otherwise earlier terminated pursuant to the provisions of this Agreement. As an independent CONTRACTOR, rather than an employee or representative of OWNER, CONTRACTOR covenants and agrees that it will not represent to any third party that it, or any of its principals, officers, directors, employees or agents shall in any way obligate or be binding upon OWNER or its officials, except as provided in this Agreement.

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### 2. CONTRACTOR SERVICES

The CONTRACTOR Services shall consist of those services specified in Exhibit B attached hereto and incorporated herein by this reference.

### 3. CONTRACTOR INSURANCE. CONTRACTOR shall maintain the following insurance during the term of this Agreement:

Commercial General Liability (includes Fire Damage Liability):

|   |   |
|---|---|
| Bodily Injury, Personal Injury, and Property Damage | \$1,000,000 Occurrence<br>\$2,000,000 Aggregate |
| Products and Completed Operations                   | \$2,000,000 Occurrence                          |
| Personal Injury and Advertising                     | \$1,000,000 Occurrence                          |
| Fire Damage Liability                               | \$500,000 Occurrence                            |

Commercial Automobile Liability (any auto):

|                               |                          |
|-------------------------------|--------------------------|
| Hired and Non-Owned Liability | \$1,000,000 Per Accident |
|-------------------------------|--------------------------|

Worker's Compensation:

Statutory Limit

Employer's Liability:

|                           |                           |
|---------------------------|---------------------------|
| Bodily Injury by Accident | \$1,000,000 Each Accident |
| Bodily Injury by Disease  | \$1,000,000 Policy Limit  |
| Bodily Injury by Disease  | \$1,000,000 Each Employee |

Pollution Liability:

|   |                                 |
|---|---------------------------------|
| Bodily Injury and Property Damage               | \$5,000,000 Each Claim/Incident |
| Environmental Damage from a Pollution Condition | \$2,000,000 Aggregate           |

Professional Liability:

|   |   |
|---|---|
| Damages from Performance of or Failure to Perform Professional Services | \$1,000,000 Occurrence<br>\$1,000,000 Aggregate |
|---|---|

Excess Liability and Umbrella:

\$25,000,000 Occurrence/  
Aggregate

CONTRACTOR shall furnish OWNER with satisfactory proof of such aforesaid insurance. At all times during the terms of this Agreement, CONTRACTOR shall keep in effect the aforesaid insurance coverage. Neither failure to comply nor incomplete compliance with the insurance requirements of Section 3 shall limit or relieve CONTRACTOR of its obligations hereunder. If CONTRACTOR fails to purchase or maintain the insurance required under Section 3. OWNER may, but will not be obligated to, purchase such

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insurance on CONTRACTOR's behalf, and OWNER shall be reimbursed for any premiums paid by OWNER on behalf of CONTRACTOR.

All the above policies, except Worker's Compensation and Professional Liability, shall name OWNER as an additional insured and contain a waiver of subrogation in favor of OWNER where appropriate, but only to the extent of the CONTRACTOR's performance and indemnification obligations pursuant to this Agreement.

### 4. Responsibilities of OWNER

**a. Equipment.** OWNER shall provide to CONTRACTOR, for CONTRACTOR's sole and exclusive use, all equipment and structures and vehicles assigned to the Facilities as of the date hereof and listed on Exhibit C attached hereto ("OWNER's Equipment"). OWNER shall, during the term of this Agreement, be solely responsible for the cost of replacing the OWNER's Equipment, as reasonably determined by CONTRACTOR as necessary for the operation of the Facilities.

**b. Permits.** OWNER shall, at its sole cost and expense, obtain and maintain all required governmental licenses, permits, and authorizations required to own, operate and maintain the OWNER's Equipment and Facilities.

**c. Insurance.** OWNER will maintain the following Insurance during the term of this Agreement.

|   |  |
|---|--|
| <u>Property Insurance (all risks):</u>              | Full Replacement cost value for Entire Facilities, Contents, Equipment & Computers and a waiver of subrogation against CONTRACTOR to the extent of coverage. |
| <u>Commercial Auto Liability (any auto)</u>         | \$1,000,000 Combined Single Limit  |
| <u>Worker's Compensation:</u>                       | Statutory  |
| <u>Employer's Liability</u>                         |  |
| Bodily Injury by Accident                           | \$1,000,000 Each Accident  |
| Bodily Injury by Disease                            | \$1,000,000 Policy Limit   |
| Bodily Injury by Disease                            | \$1,000,000 Each Employee  |
| <u>Commercial General Liability</u>                 |  |
| Bodily Injury, Personal Injury, and Property Damage | \$1,000,000 Occurrence<br>\$2,000,000 Aggregate  |

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OWNER shall furnish CONTRACTOR with satisfactory proof of all aforesaid insurance. At all times during the terms of this Agreement, OWNER shall keep in effect the aforesaid insurance coverage. Neither failure to comply nor incomplete compliance with the insurance requirements of Section 4c shall limit or relieve OWNER of its obligations hereunder. If OWNER fails to purchase or maintain the insurance required under Section 4c, CONTRACTOR may, but will not be obligated to, purchase such insurance on OWNER's behalf, and CONTRACTOR shall be reimbursed for any premiums paid by CONTRACTOR on behalf of the OWNER.

**d. Representations.** OWNER represents and warrants CONTRACTOR that the OWNER has, or will have or hold as of the date hereof, and will continue to have or hold throughout the term of this Agreement, all approvals, licenses, permits and certifications necessary to operate, manage, maintain and repair the Facilities.

### 5. COMPENSATION

**a. Compensation.** OWNER shall pay CONTRACTOR, as compensation for the CONTRACTOR Services, the annual sum of \$\_\_\_\_\_, payable in equal monthly installments of \$\_\_\_\_\_, subject to adjustment as specified below ("CONTRACTOR Compensation"). Monthly payments are due. In advance, no later than the tenth (10<sup>th</sup>) day of the month to which such payment relates. Late payments shall accrue interest at the then current prime rate plus one percent (1%) per annum on the unpaid balance.

**b. Annual Adjustments.** Except for the "Electricity Expense Component" (defined below) the CONTRACTOR Compensation shall be adjusted annually on each anniversary of the Effective Date, beginning with an initial adjustment of the CONTRACTOR Compensation as of the Effective Date. The CONTRACTOR Compensation, exclusive of the Electricity Expense Component, that is subject to the initial annual adjustment is \$\_\_\_\_\_. This component of the CONTRACTOR Compensation shall be adjusted based upon the percentage change in the Consumer Price Index ("CPI") Midwest Size Class D, Series ID#CUUR0200SA0 for the twelve (12) month period immediately preceding such adjustment date, with a maximum adjustment increase of five percent (5%). Each annual adjustment of the CONTRACTOR Compensation is cumulative throughout the term of this Agreement.

"Agreement Year" means twelve (12) month period during the Term. The first Agreement Year begins on the Effective Date and ends on the day before the first anniversary of the Effective Date. Each subsequent Agreement Year during the Term begins on the anniversary of the Effective Date. Any computation made on the basis of an Agreement Year shall be adjusted on a pro rata basis to take into account any Agreement Year of less than three hundred and sixty-five (365) or three hundred and sixty-six (366) days, whichever is applicable.

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c. **Adjustments Based on Water and Wastewater Flow and Loadings.** The data used by CONTRACTOR is as follows:

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### Water

Average daily production: .65MGD

### Wastewater

Average daily flow: 1.17MGS

Average daily influent BOD: 350 mg/l

Average daily influent TSS: 500 mg/l

Average daily influent N113 40mg/l

In the event tht during any twelve (12) month rolling period the average flow and/or loading increases or decreases by five percent (5%) or more, the CONTRACTOR Compensations may be adjusted upward or downward as agreed to between the OWNER and CONTRACTOR.

**d. Adjustments Based on Increased Operating Costs.** In the event that any changes in the scope of the operations of, or regulations applicable to, the Facilities shall occur, from and after the Effective Date, including, but not limited to, changes in government regulations or reporting requirements effluent quality standards, monitoring requirements, level of treatment, personnel qualifications, applicable taxes, staffing rules, or changes in the scope of the CONTRACTOR Service (as set forth on Exhibit B) which increases the cost of operating the Facilities, OWNER shall pay to CONTRACTOR an increase in the annual compensation paid to CONTRACTOR, as reasonably determined by CONTRACTOR, and retroactive to the date of such notification by CONTRACTOR (which shall include a reasonably detailed explanation for the increase to the annual compensation).

**e. Adjustment Based on Changed Electricity Rates.** The electricity expense is included in the annual fees to be paid to CONTRACTOR and is initially established at \$140,000 ("Electricity Expense Component"). The Electricity Expense Component shall be adjusted based on any change in electricity rates or any other form of change to utility provider charges of any type or kind. Upon any such change, a like amount adjustment will be made to the Electricity Expense Component of the CONTRACTOR Compensation. Any amount less than the Electricity Expense Component not expended by CONTRACTOR for electricity during a given Agreement Year shall be returned to OWNER in full within sixty (60) days of the end of the Agreement Year. During any Agreement Year, amounts expended by CONTRACTOR which aggregate to a total greater than the Electricity Expense Component shall be reimbursed by OWNER to CONTRACTOR in full within sixty (60) days of the end of the Agreement Year.

**6. Capital Improvements.** OWNER shall be solely responsible for all Capital Improvement Expenditures. For purposes of this Agreement, a Capital Improvement Expenditure shall be defined to be the cost of adding new equipment (accessory, appurtenances, or components thereof), or new structures (as opposed to replacing, maintaining,

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repairing, or rebuilding the existing structures) which satisfy any of the following criteria.

- a. increases its efficiency and capacity for which it was designed and constructed; or
- b. has a service life of at least (5) years; or
- c. costs in excess of \$3,000 dollars per occurrence, exclusive of any CONTRACTOR personnel labor costs.

CONTRACTOR shall submit, for OWNER's approval, Capital Improvement Expenditures prior to incurring the same. Each request for approval will identify the reason and estimated costs for the expenditure. Notwithstanding anything to this Section 6, CONTRACTOR shall have the right, in emergency situations, to authorize the expenditure of monies for capital improvements where the failure to do so would have an adverse effect, as determined by CONTRACTOR, on the Facilities or the OWNER Equipment.

The OWNER and CONTRACTOR will work together to develop, agree on and execute more substantive capital upgrade projects in an effort to further reduce Facility operating and maintenance costs, and/or improve operations control, productivity and compliance. Projects identified and brought forward by CONTRACTOR will be presented to and approved by the OWNER, at the discretion of the OWNER, on a case-by-case basis.

### 7. Maintenance and Repair Costs.

a. **Costs up to \$3,000.** CONTRACTOR shall pay the costs of all individual repair parts, maintenance materials, supplies and outside maintenance service items (collectively, "M&R Items") up to \$3,000 per event, excluding CONTRACTOR labor costs, during the term of this Agreement. The annual budget for such M&R Items costing less than \$3,000 is included in the annual fees to be paid to CONTRACTOR and is initially established as \$80,000.00 ("M&R Expense Component"). The M&R Expense Component will be adjusted annually by the same percentage in the CPI as detailed in Section 5(b) of this Agreement. Any amount less than the M&R Expense Component not expended by CONTRACTOR during a given Agreement Year shall be returned to OWNER in full within sixty (60) days of the end of the contract year. During any Agreement Year, amounts expended by CONTRACTOR which aggregate to a total greater than the M&R Expense Component are the responsibility of CONTRACTOR.

b. **Costs \$3,000 and above.** Any M&R Items which cost in excess of \$3,000 per event, excluding CONTRACTOR labor costs, shall be approved by the OWNER and paid for in their entirety directly by OWNER. Notwithstanding anything to the contrary in this Section 7, CONTRACTOR shall have the right, in emergency situations, to authorize the

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expenditure of monies for M&R Items where the failure to do so would have an adverse effect, as determined by CONTRACTOR, on the Facilities or the OWNER Equipment.

- 8. Chemical Costs.** CONTRACTOR shall pay the costs of all chemicals during the term of this Agreement. The annual budget for chemicals is included in the annual fees to be paid to CONTRACTORC and is initially established at \$17,925.54 ("Chemical Expense Component"). The Chemical Expense Component will be adjusted annually by the same percentage change in the CPI as detailed in Section 5(b) of this Agreement. Any amount less than the Chemical Expense Component not expended by CONTRACTOR during a given Agreement Year shall be returned to OWNER in full within sixty (60) days of the end of the Agreement Year. During any Agreement Year, amounts expended by CONTRACTOR which aggregate to a total greater than the Chemical Expense Component are the responsibility of CONTRACTOR.
- 9. Quality of Performance.** CONTRACTOR's objective is to provide its OWNERS with high quality operational services, consistent with industry standards. To that end, CONTRACTOR seeks an operational partnership with the OWNER to achieve a level of performance consistent with industry standards and expects to be held accountable for delivering performance against such standards. If at any time the OWNER is less than fully satisfied, than it should be communicated to CONTRACTOR, and if the OWNER is ultimately not satisfied with CONTRACTOR's performance, the OWNER may request a change in the management team overseeing its project.
- 10. Representative.** No later than the Commencement Date. OWNER shall designate in writing to CONTRACTOR, the name and title of OWNER's authorized representative(s) for all purposes of this Agreement.
- 11. Warranties and Guarantees.** CONTRACTOR will assist OWNER in OWNER's enforcement of OWNER Equipment warranties and guarantees, if any. CONTRACTOR will be responsible for compliance with the terms of warranties on any new equipment purchased after the Effective Date.
- 12. Termination.** Either party to this Agreement may terminate this Agreement upon material breach by the other Party, provided, however, such terminating Party first provide written notice of such breach to the other Party and such breach is not cured within ninety (90) days from the date of the notice or, in the event that a cure is not capable within such ninety (90) day period, such cure is not commenced within such ninety (90) day period.
- 13. Hold Harmless.** CONTRACTOR agrees to and shall defend, indemnify and hold OWNER, its elected and appointed officers, and its employees harmless from any liabilities, claims, damages or fines (including attorney's fees) for personal injury or property damaged caused by, or arising from the negligence of CONTRACTOR, unless such claims, damages or fines are caused or contributed by the failure of (i) the water or wastewater

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influenced to meet the criteria established as set forth on the Exhibit B-1 hereto; or (ii) by the presence of any hazardous, toxic or radioactive substances within the Facilities. The obligation of CONTRACTOR to hold OWNER harmless is subject to the comparative responsibility provision of this Agreement.

**14. Comparative Responsibility.** In the event that both CONTRACTOR and OWNER are found by an independent fact finder to be negligent, and the negligence of both is the proximate cause of such claim for damage for personal injury or property damage, then, in that event, each party shall be responsible for the portion of the liability equal to such party's comparative share of the total negligence.

**15. Limitations of Liabilities.** Each party agrees that it shall not assert any claim for indirect, incidental, consequential, special, punitive or exemplary damages including, but not limited to, claims for lost revenue, profit or business reputation, whether based in tort or contract. Each Party however, reserves the right to seek direct damages in an amount not to exceed the insurance limits specified above for covered claims, or then annual CONTRACTOR Compensation for any uninsured claims.

### **16. Miscellaneous.**

**a. Waiver.** The failure on the part of either Party to insist in any one or more cases upon the strict performance of any of the provisions of this Agreement, or to exercise any right, remedy or option herein contained, shall not be construed as a waiver of such provisions, right, remedy or option in any other case or similar cases. Any waiver shall be in writing, and signed by the Party to be charged, in order to be enforceable.

**b. Assignments.** The Agreement shall not be assigned by either Party without the prior written consent of the other Party.

**c. Nondiscrimination.** CONTRACTOR agrees and shall refrain from unlawful discrimination in employment and undertakes affirmative action to ensure a quality of employment opportunity; shall comply with procedures and requirements of the State Human Right Department's regulations concerning equal employment opportunity and Affirmative Action; and shall provide such information, with respect to its employees and applicants for employment and assistance as the Department may reasonably request.

**d. Relationship and Confidentiality.** It is understood that the relationship of CONTRACTOR to OWNER is that of an independent CONTRACTOR and that none of the employees or agents of CONTRACTOR shall be considered employee OWNER. OWNER agrees the OWNER will not talk to any employee of CONTRACTOR regarding employment with OWNER without having received the prior permission of CONTRACTOR, which permission shall not be unreasonably withheld, conditioned or delayed. Except as otherwise required by applicable law, the terms of this Agreement

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shall be confidential and not disclosed to third parties absent mutual consent, which shall not be unreasonably withheld.

**e. Force Majeure.** Each Party's performance under this Agreement shall be excused if the Party is unable to perform because of actions due to causes beyond its reasonable control, including but not limited to Acts of God, the acts of civil or military authority, any act of national or international terrorism or bioterrorism, floods, epidemics, quarantine restrictions, riots, and strikes. In the event of any such force majeure, the Party unable to perform shall notify the other Party as soon as practicable, but in any event, within twenty-four (24) hours of the existence of such forces majeure and shall be required to resume performances of its obligations under this Agreement upon the termination of the aforementioned force majeure. If any act or event of force majeure occurs which presents CONTRACTOR performing this Agreement, CONTRACTOR agrees to use commercially reasonable efforts to renew its performance under the Agreement as soon as practicable after the ending of the act or event of force majeure. In addition, if a force majeure event occurs and CONTRACTOR's cost of performing its obligations pursuant to this Agreement is adversely affected by such event, CONTRACTOR shall be entitled to price relief from the OWNER in an amount equal to the reasonable increase in the cost of performance due to the force majeure event.

**f. Authority to Contract.** Each Party warrants and represents that it has authority to enter into this Agreement.

**g. Severability.** If any of the terms and conditions of this Agreement are held by any court of competent jurisdiction to contravene or to be invalid under the laws of any political body having jurisdiction over the subject matter hereof, such contravention or invalidity shall not invalidate the entire Agreement, but instead, the Agreement shall be construed as if not containing the particular provision or provisions held to be illegal or invalid, the rights and obligations of the Parties shall be construed and enforced accordingly, and this Agreement shall thereupon remain in full force and effect as so construed.

**h. Notices.** Notice under this Agreement shall be deemed to have been properly given when addressed as provided below, and shall be deemed effective (except as otherwise provided in this Agreement) (i) upon receipt or receipt and refusal if sent by first class mail, return receipt requested, registered or certified; (ii) business day after being sent by overnight courier service; or (iii) when received if sent by facsimile as confirmed by an electronically generated facsimile confirmation. Each Party shall have the right to change its address by giving the other Party written notice thereof.

Notices required to be given to OWNER shall be addressed to:

City of Galena  
101 Green Street

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Galena, IL 61036  
*Attention: City Engineer*

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Notices required to be given to CONTRACTOR shall be addressed to:

(Insert CONTRACTOR Name)  
(Street Address)  
(City, State, Zip)  
*Attention: (Name)*

With copies (which shall not constitute notice) to:

(Insert CONTRACTOR Name)  
(Street Address)  
(City, State, Zip)  
*Attention: (Name)*

**i. Entire Agreement, Counterparts and Amendments.** This Agreement, together with the Exhibits and Appendices as incorporated herein, shall constitute the entire Agreement between the Parties pertaining to the subject matter hereof and supersedes all other agreements, representations and understandings, both written and oral, any except to the extent incorporated in this Agreement. This Agreement may be executed in any number of counterpart copies, each of which shall be deemed as original, but which together shall constitute a single instrument. No amendment, modifications or alteration of the terms of provisions of this Agreement shall be binding unless the same shall be in writing and dully executed by the Parties hereto, except that any of the terms or provisions of this Agreement may be waived in writing at any time by the Party which is entitled to the benefits of such waived terms or provisions. No waiver of any of the provisions of this Agreement shall be deemed to or shall constitute a waiver of any other provision hereof (whether similar). No delay on the part of any Party in exercising any right, power or privilege hereunder shall operate as a waiver thereof.

**j. No Third-Party Beneficiaries.** This Agreement is not intended to and shall not confer upon any other person, other than the Parties hereto, any rights or remedies with respect to the subject matter hereof including.

**k. Choice of Law.** This Agreement shall be governed and construed in accordance with the laws of the State of Illinois. The venue for any litigation of any disputes between the Parties arising out of this Agreement shall be Jo Daviess County, Illinois.

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IN WITNESS WHEREOF, the Parties hereto have executed this Agreement as of the day and year first above written by their duly authorized officers or representatives.

CITY OF GALENA, ILLINOIS

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

(CONTRACTOR Name) \_\_\_\_\_

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

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### EXHIBIT A Facilities

- Wastewater Treatment Plant located at:  
1989 East Cross Road
- 1952 (Reconstructed in 2002) Lift Station located at:  
114 Meeker Street
- Industrial Park Lift Station located at:  
11326 Technical Drive
- Pluym Lift Station located at:  
Oldenburg Lane
- Cobblestone Lift Station located at:  
Oldenburg Lane
- Bouthillier Lift Station located at:  
Bouthillier Street & Park Avenue
- Hospital Lift Station located at:  
Norris Lane
- Water Street Storm Water Pumping Station located at:  
Water Street between green Street and Perry Street
- Riverside Drive Storm Water Pumping Station located at:  
Riverside Drive between Spring Street and flood gates
- #5 Well House located at:  
1238 Franklin Street
- #6 Well House located at:  
Gear Street
- #7 Well House located at:  
Industrial Park
- Industrial Park water booster station located at:  
Highway 20 and Franklin Street

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- Bouthillier water booster station located at:  
307 Bouthillier Street
- Water Storage Facilities located at:  
1238 Franklin Street  
Dodge & Hill Streets  
Horseshoe Mound  
Industrial Park
- Supervisory Control and Data Acquisition system for above facilities
- 300kW solar array, 3-100k W inverters, and solar building with controls

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### EXHIBIT B CONTRACTOR SERVICES

The CONTRACTOR Services to be provided by the CONTRACTOR during the term of the Agreement shall include and be limited to the following:

- a. **Facilities Operation.** CONTRACTOR shall use commercially reasonable efforts to operate and manage the Facilities so that the effluent/finished water discharge meets or exceeds the wastewater effluent/finished water requirements established by the United States Environmental Protection Agency (“USEPA”) and the Illinois Environmental Protection Agency (“IEPA”) under the permits issued by such authority so long as the influent does not exceed the design limitations set forth on Exhibit B-1 (“Facilities Maximum Design Parameters”). CONTRACTOR shall comply with all applicable local, state, and federal laws and regulations as they pertain to the Facilities. CONTRACTOR will pay all fines and surcharges resulting solely from the negligence or intentional acts of the CONTRACTOR, which may be imposed by the regulatory agency having jurisdiction for effluent/water quality violations associated with the permits issued with respect to the Facilities; provided, however, that the CONTRACTOR shall have no such obligation in the event that such violations are a result of influent violations at the Facilities Design Limitations or the presence of hazardous or toxic substances.
- b. **Water Distribution and Water Wells System.** CONTRACTOR will operate, maintain and manage the Water Distribution System and the Water Wells to extend their useful life, to provide maximum capacities, to prevent unnecessary damage to public and private property, to minimize inconveniences by handling interruptions in service and to prevent public health hazards. The CONTRACTOR will provide 24-hour per day, seven days per week emergency service and will use commercially reasonable efforts to maintain uninterrupted service to customers. The CONTRACTOR will provide proper and prudent notification to the City and its residents during emergency situations.

The Water Distribution System and Water Wells will be operated, maintained and managed in the following manner:

1. Identify sources of pollution within the system through inspection, monitoring and investigation;
2. CONTRACTOR will schedule and manage a leak detection survey on the distribution system to ensure safe transportation and storage of water throughout the system in compliance with the Safe Drinking Water Act and its amendments;
3. CONTRACTOR will implement a valve operating the inspection program and will exercise, inspect a minimum of fifty (50) valves per year. All activities shall be recorded and communicated to the OWNER;

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4. CONTRACTOR will assist the OWNER with the maintenance and improvement of the OWNER's GIS program by documenting the activities and results of their leak survey, valve maintenance, and other maintenance and improvements to the Facilities;
  5. CONTRACTOR will provide commercially reasonable documentation, including photographs and locations, in electronic format whenever possible, of repairs made within the water distribution system;
  6. Assist the OWNER with the maintenance of the water system at the swimming pool, ornamental fountains, outdoor drinking fountains, and storm water pump stations;
  7. Maintain a high standard of physical appearance for the entire water system at all times which will include general touch up painting. CONTRACTOR shall also perform grass mowing and weed control at all water system facilities. CONTRACTOR will maintain the fire hydrants in a manner to extend their useful life and at a high standard of physical appearance;
  8. CONTRACTOR will provide OWNER with documentation, inspection reports, or reports when outside vendors perform major work or repairs on OWNER equipment or facilities.
- c. **Wastewater Collection System.** CONTRACTOR will operate, maintain and manage the Wastewater Collection System in such a manner as to extend the useful life, to provide maximum capacities, to prevent unnecessary damage to public and private property, to minimize inconveniences by handling interruptions in service and to prevent public health hazards. CONTRACTOR will provide 24-hour per day, seven-day-per-week emergency service and will use commercially reasonable efforts to maintain uninterrupted service to customers.

The Wastewater Collection System will be operated, maintained and managed in a manner to:

1. Identify sources of problems within the sewer system through inspection, monitoring and investigation;
2. Clean, maintain and repair sanitary sewers, force mains and lift stations on a regular basis to ensure that wastewaters are transported to wastewater treatment facilities in compliance with NPDES permits;
3. Prevent sewage from bypassing to waters of the State and to protect the Collection System from flooding due to high water, in accordance with the Water Pollution Control Acts Amendments, Public Law 92-500 and the Clean Water Act Amendment;
4. Eliminate potential sources of odors;
5. CONTRACTOR shall implement a customer service program to inspect all sewer related customer complaints and respond to the customer or the consultant on the results of these inspections;

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6. Maintain a high standard of physical appearance for the entire wastewater system at all times;
  7. Implement a preventative maintenance program; and
  8. CONTRACTOR will assist the City with the development, implementation, and management of an inflow and infiltration (“I/I”) program, FMC will assist OWNER’s personnel or outside vendors with manhole location for inspection, surveying, or cataloging, CONTRACTOR will assist the OWNER with the OWNER’s the development, implementation, and management of a GIS program to record information and location of water and sewer infrastructure;
  9. CONTRACTOR will provide commercially reasonable documentation, in electronic format when possible, of repairs made within the sanitary sewer collection system;
  10. CONTRACTOR will provide OWNER with documentation, inspection results, or reports when outside vendors perform major work or repairs on OWNER’s equipment or facilities.
- d. Project Management and Staffing.** CONTRACTOR shall monitor the Facilities on a seven (7) day per week, twenty-four (24) hour per day basis. CONTRACTOR shall staff the Facilities with a Facilities Manager, experienced in the areas of water/wastewater treatment, process control, water/wastewater laboratory analysis, and maintenance procedures for water/wastewater treatment facilities. The Facilities’ staff shall have required licenses or waivers necessary to lawfully operate the Facilities. In the event that CONTRACTOR replaces the Facilities Manager during the term of the Agreement, the OWNER will have the ability to provide input and review the qualifications of the new Facility Manager CONTRACTOR selects prior to the hiring of the new Facility Manager.
- e. Project Support.** CONTRACTOR shall as required and determined by CONTRACTOR, provide on-call, backup expertise in operations, management, and maintenance applications to ensure compliance with this Agreement.
- f. Maintenance Management.** CONTRACTOR shall institute a preventive maintenance program for all OWNER Equipment and Facilities. Record maintained by CONTRACTOR shall include the history of maintenance and the schedule of programmed maintenance throughout the term of this Agreement for each item of OWNER Equipment and Facilities. Records shall be the property of the OWNER and may be obtained by the OWNER upon reasonable prior notice and upon termination or expiration of the Agreement. Standard operating and maintenance procedures will be established by CONTRACTOR, consistent with industry-wide practices, for each major piece of OWNER Equipment and Facilities. Contractor shall also develop and maintain a system for tracking the useful life and replacement schedule for each major piece of OWNER equipment and Facilities.

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- g. Operational Costs and Expenses.** CONTRACTOR shall pay all costs of CONTRACTOR employees, fuels, electricity, chemicals, services, spare parts, materials, maintenance, sludge disposal, repairs and expendable supplies required in the normal operation and maintenance of the Facilities, except, and in the event, such expenses are further limited within this Agreement.
- h. Corrective Action.** In the event tht the effluent quality is not in compliance with regulatory requirements, CONTRACTOR will submit a report to OWNER outlining the proposed corrective action and a schedule.
- i. Hazard Substance.** In the event that any hazardous substance is received at the facilities, CONTRACTOR shall notify OWNER and assist OWNER in the removal and/or reduction of such hazardous substance. In the event that any hazardous substance cannot be treated or removed using the processes and equipment provided, and if effluent parameter(s) affected by any hazardous substance listed in the permits are exceeded, and the hazardous substance was not the result of CONTRACTOR's negligence, CONTRACTOR shall not be responsible for permit compliance or additional operational costs until the hazardous substance is removed from the Facilities and the Facilities are completely recovered and capable of generating effluent quality within design parameters. For all purposes of this Exhibit B and the Agreement to which it is attached, "hazardous substance" shall mean (a) any petroleum, petroleum products, by-products or breakdown products, radioactive materials, asbestos-containing materials or polychlorinated biphenyls; or (b) any chemical, material or substance defined or regulated as hazardous or as a pollutant, contaminant or waste under any statue, law, ordinance, by-law, decree, regulation, code. Order, rule or judgment of any governmental authority having the force of law.
- j. Biological Toxic Substance.** In the event any biological toxic substance is received at the facilities, CONTRACTOR shall notify OWNER and assist OWNER in the removal and/or reduction at the Facilities, CONTRACTOR shall notify OWNER and assist OWNER in the removal and/or reduction of such biological toxic substance. In the event that any biological toxic substance cannot be treated or removed using the processes and equipment provided, and if effluent parameter (s) affected by the biological toxic substance listed in the permits are exceeded, CONTRACTOR shall not be responsible for permit compliance or additional operational costs until the biological toxic substance is removed from the Facilities and the Facilities are completely recovered. For all purposes of this Exhibit B and the Agreement to which it is attached, "biological toxic substance" shall mean any substance or combination of substances contained in the Facilities' influent in sufficiently high concentrations so as to interfere with the biological processes necessary for the removal of the organic and chemical constituents of the wastewater. The rebuttal presumption shall be that any biological toxic substance proven to be present in the Facilities entered with the influent. Biological toxic substances include, but are not limited to, heavy metals, phenols, cyanides, pesticides,

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herbicides, acids, caustics, chlorine, quaternary ammonia and other cleaning sanitizing compounds.

- k. Handling and Disposal of Contaminated Sludge.** If the influent contains abnormal, hazardous or biologically toxic substances, the sludge from such influent shall be deemed contaminated. CONTRACTOR shall make every effort to isolate such contaminated sludge consistent with current USEPA and IEPA guidelines. OWNER shall reimburse CONTRACTOR for express directly related to disposal of the contaminated sludge.

If any sludge from the wastewater treatment plant is classified as "hazardous waste" as defined by the USEPA, which means that the regulatory agencies require the sludge to be transported to a designated hazardous waste landfill, CONTRACTOR shall notify OWNER and request permission to transport the sludge to a designated landfill. OWNER shall reimburse CONTRACTOR for the actual costs of transport, landfill fees and any other verifiable out-of-pocket expenses associated with the handling and disposal of sludge. CONTRACTOR shall comply with ANSCI, OSHA, the industrial Commission and other federal, state and local laws and regulations applicable to the operation of trucks and other miscellaneous equipment used for the disposal of said sludge. No vehicle shall be overloaded.

- l. Sludge Management and Sludge Disposal.** CONTRACTOR shall be responsible for handling and disposing of sludge residuals generated by the facilities in a manner consistent with all applicable regulations of the USEPA and the IEPA, OWNER is responsible for providing the equipment used for sludge disposal.
- m. Testing Laboratory Analysis.** CONTRACTOR shall perform the sampling and analysis of the appropriate influent and effluent as outlined in OWNER's permit, and as required for the proper operation of the Facilities. CONTRACTOR shall prepare all permit monitoring and operations reports and submit them to OWNER for final review and sign-off prior to the appropriate regulatory agency having jurisdiction over the Facilities.
- n. Reporting.** CONTRACTOR will submit internal reports relating to the operations of the Facilities to owner and assist OWNER in OWNER's reporting requirements to local, state, and federal regulatory for representing OWNER with the relevant regulatory agencies and advise OWNER of all meetings, hearings and relevant related information for the Facilities. Upon request by CONTRACTOR, OWNER shall participate in such meetings of regulatory or governmental agencies as CONTRACTOR deems necessary.
- o. Record of Operation.** Records maintained by CONTRACTOR will be in compliance with all applicable law and regulations. These records, capable of providing historical data and trend, will be the property of OWNER. CONTRACTOR will maintain these records at the Facilities site, available during the term of this Agreement for use by authorized

## APPENDIX F

OWNER personnel. CONTRACTOR agrees to provide OWNER's officials with access to the Facilities at any time upon reasonable prior notice.

- p. **Safety.** CONTRACTOR shall administer a site-specific safety program to include training, record keeping, and safety meetings, all in conformance with the OWNER safety program, and any requirements of the State of Illinois.
- q. **Training.** CONTRACTOR shall implement an ongoing training program, with classroom and hands-on training for all Facilities personnel. Training will include Facilities operations and maintenance, laboratory operations and maintenance, supervisory skills and energy management.
- r. **Order Control.** CONTRACTOR will operate and maintain the Facilities to minimize the generation of odors through an ongoing odor control program. In the event of an odor generating event from the Facilities, CONTRACTOR will assist OWNER in the development and implementation of a corrective action plan to mitigate the odor generation. CONTRACTOR will work with OWNER to deal in a concerned, professional manner with any individuals or community groups concerned with odors.
- s. **Capital Budget Submission.** On an annual basis, CONTRACTOR will provide a formal report to OWNER on CONTRACTOR's projection of capital needs and assist OWNER with the preparations of the OWNER's annual budget. CONTRACTOR shall also, if requested, annually submit its recommendations regarding additions to or deletions from Owner's long-term capital program. CONTRACTOR will submit detailed rationale for any changes or additions, and preliminary cost estimates. Implementations of these recommendations by OWNER, however, is not a condition of CONTRACTOR's performance of the CONTRACTOR Services. Review and approval of these capital expenditures shall remain the responsibility of OWNER.
- t. **Emergency Response Plan.** CONTRACTOR will develop, maintain, and implement, if necessary, an emergency response plan for the Facilities that will be in compliance with all applicable regulations.
- u. **368 kW Solar Array, 3-100k W Inverters, and Solar Building with Control.** CONTRACTOR will provide grounds maintenance for solar array. Maintenance, repair and replacement work on the solar array equipment itself will be provided by solar equipment vendor.
- v. **Energy Efficiency.** CONTRACTOR shall use commercially reasonable efforts to recycle, minimize energy use, and operate in an environmentally sustainable manner. CONTRACTOR shall report regularly to OWNER to detail energy efficiency efforts.

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### EXHIBIT B-1 Maximum Design Parameters of Facilities

CONTRACTOR will operate and maintain the Water/Wastewater Facilities so the water quality will meet the requirements of the Safe Drinking Water Act and the effluent meets the requirements of all applicable permits.

#### **Wastewater:**

CONTRACTOR will be responsible for meeting the effluent quality requirements of all applicable permits unless one or more of the following occurs:

- The influent to the treatment plant does not contain adequate nutrients to support operation of biological process and/or contains toxic substances which cannot be removed by existing processes and facilities.
- Toxic discharges into the sewer system in volumes which would make compliance with discharge limits substantially impossible.
- The flow, influent BOD, influent TSS and/or influent Ammonia is greater than the plant design in parameters, which are the following:

|                  |               |
|------------------|---------------|
| Average Flow     | 1.171 MGD     |
| Peak Flow        | 4.241 MGD     |
| Influent BOD     | 2,240 lbs/day |
| Influent TSS     | 2,660 lbs/day |
| Influent Ammonia | 400 lbs/day   |

- If the Treatment Plant can operate only at reduced capacity due to construction activities, fire, flood, adverse weather conditions, labor disputes or other causes beyond CONTRACTOR's control.

#### **Water:**

CONTRACTOR will be responsible for meeting the finished water quality requirements of the Safe Drinking Water Act unless one or more of the following occurs:

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- The raw water to the treatment plant contains toxic substances which cannot be removed by existing process and facilities;
- Toxic discharges into the water supply system in volumes which would make compliance with water quality limits substantially impossible;
- The peak production, influent manganese is greater than the plant design parameters, which are the following:

|                      |          |
|----------------------|----------|
| Peak Production Rate | 3.89 MGD |
|----------------------|----------|

- If the Treatment Plant can operate only at a reduced capacity due to construction activities, fire, flood, adverse weather conditions, labor disputes or other causes beyond CONTRACTOR's control; and
- In the event that influent raw water quality characteristics change when compared to current raw water from the existing ground water supply.

### **Certified Public Water Supply Operator**

|                             |                  |
|-----------------------------|------------------|
| Name of Certified Operator: | (Insert Name)    |
| Operator 9-digit ID number: | (Insert Number)  |
| Mailing Address:            | (Insert Address) |
| Email:                      | (Insert Email)   |

## APPENDIX F

### Exhibit C OWNER's Equipment

- Lift station built in 1952 and reconstructed in 2002, including:
  - Three (3) 20 hp Flygt submersible pumps
  - Metropolitan control panel
  - Olympian 12 kW stand-by generator
- Industrial Park Lift Station, including:
  - Two (2) 20 hp Fairbanks Morse pumps
  - USCONTRACTORO Control Panel
- Pluym Lift Station, including:
  - Two (2) 5 hp Hydromatic submersible pumps
  - Hydromatic Control Panel
  - Olympian 50 kW Generator
- Cobblestone Lift Station, including:
  - Two (2) hp Hydromatic submersible pumps
  - Hydromatic Control Pane
  - Olympian 30 kW Generator
- Bouthillier Lift Station, including:
  - Equipment to be determined
- Hospital Lift Station, including:
  - Two (2) 15 hp Fairbanks Morse submersible pumps
  - Control Panel
  - Olympian 50 kW Generator
- Storm Water Pumping Stations at Water Street and Riverside Drive
  - Cummins 250 kW generator
- 1.171 MGD wastewater treatment plant, oxidation ditch type built in 2002, comprising:
  1. Administration Building with:
    - Garage / Shop Area
    - Restroom /Locker Facilities
    - General Purpose Room
    - Office
    - SCADA Room
    - Laboratory Facilities

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2. Screening Building with:
    - Parkson Mechanical Step Screen and Wash Press
    - Altronex SCCB Motor Control Center
  3. BNR / Oxidation Ditches with:
    - Two (2) EIMCO/EMU 8.5 hp BNR Mixers
    - Four (4) EIMCO 40 hp Carousel Aerators
  4. Two (2) 250,000 gallon US Filter clarifiers with aluminum Covers
  5. Biosolids Control Building with:
    - Komline Sanderson 1.5 meter gravity belt thickener / belt filter press
    - Parkson biosolids conveyors
    - Dynablend polymer feed system
    - Altronex SCCA Motor Control Center
    - One (1) Sum Pump
    - Two (2) Hayward Gordon model XCS5A WAS Pumps
    - Three (3) Hayward Gordon model XCS5A RAS Pumps
    - Three (3) Netzsch progressive cavity BST Pumps
    - Two (2) Crane Deming Plant Water System
    - Metropolitan Industries Non-Potable Water System
    - Potable Water System
    - Site Well
    - Three (3) Garner Denver Positive Displacement Blowers for Digesters
  6. Two (2) Aerobic Digesters with Sanitiare Fine Bubble Diffusers
  7. Biosolids Storage Building
  8. Trojan Ultraviolet Disinfection
  9. Influent Pumping Station with:
    - Two (2) 25 hp Fairbanks Morse Submersible Pump
    - Two (2) 75 hp Flygt Submersible Pumps
  10. 368kW solar array, 3-100 kW inverters, and solar building with controls
- Wastewater Collection System, consists of approximately 28.2 miles of gravity sewer that is predominantly eight-inch with some six-, ten-, twelve-, fifteen- eighteen- and thirty-inch pipes of clay, concrete and PVC. The system also contains 1.6 miles of sanitary force main.

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- Well houses and treatment points comprised of:
  1. #5 Well House (ID#11739), with 150 hp submersible pump producing 1100 gpm and discharges to 450,000 gallon elevated tank;
  2. #6 Well House (ID#11740), with vertical turbine pump producing 500 gpm and discharges directly to distribution system;
  3. #7 Well House (ID#01535) with 200 hp submersible pump producing 1100 gpm and discharges to 500,000 gallon elevated tank.  
200 Onan 350 kW generator
  4. Treatment consists of phosphate injection, chlorination and fluoridation.
  
- Water storage facilities comprised of:
  1. 450,000 gallon elevated storage tank
  2. 750,000 gallon standpipe
  3. 300,000 gallon ground tank
  4. 500,000 gallon elevated storage tank
  
- Industrial Park Booster Station comprised of:
  1. One (1) Deming 11/2 hp pump rated at 36 gpm
  2. One (1) Deming 3 hp pump rated at 65 gpm
  3. One (1) Deming 40 hp pump rated at 940 gpm
  4. USEMCO control panel
  
- Bouthillier Booster Station comprised of:
  1. Two (2) Peerless 30 hp pumps rated at 450 gpm each
  2. USEMCO control panel
  
- Water Distribution System consisting of four pressure zones and 12 pressure reduction stations. Water mains consist of approximately 28.5 miles of two, four, six, eight, ten, and twelve-inch pipe of cast iron, ductile iron, and PVC.
  
- Rolling stock
  1. 2015 Ford F-250 ¾ ton pickup with utility box
  2. 2012 Chevrolet ¾ ton pickup with utility box and Western Snowplow
  3. 2007 Chevrolet ¾ ton pickup
  4. 2007 Dodge ¾ ton pickup
  5. 2004 Oman trailer mounted generator
  6. 2001 Sniper 747 sewer jet machine
  7. 1996 New Holland LX665 skid loader
  8. 1984 GMC 7000 series spreader truck with Meyers spreader

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| Account Number                        | Account Title         | 2011-12<br>Actual | 2012-13<br>Actual | 2013-14<br>Budget | 2013-14<br>YTD | 2014-15 Proposed Budget |
|---------------------------------------|-----------------------|-------------------|-------------------|-------------------|----------------|-------------------------|
| <b>WATER UTILITY FUND</b>             |                       |                   |                   |                   |                |                         |
| <b>TAXES</b>                          |                       |                   |                   |                   |                |                         |
| 51.311.0                              | WATER TREAT PROP TAX  | 11                | 9                 | 10                | 19             | 10                      |
| Total TAXES:                          |                       | 11                | 9                 | 10                | 19             | 10                      |
| <b>PENALTIES</b>                      |                       |                   |                   |                   |                |                         |
| 51.353.0                              | PENALTIES - WATER     | 16,195            | 16,509            | 16,500            | 15,837         | 17,000                  |
| Total PENALTIES:                      |                       | 16,195            | 16,509            | 16,500            | 15,837         | 17,000                  |
| <b>RECEIPTS</b>                       |                       |                   |                   |                   |                |                         |
| 51.361.0                              | WATER RECEIPTS        | 593,130           | 618,225           | 630,000           | 565,381        | 630,000                 |
| 51.364.0                              | WATER CONNECTIONS     | 1,800             | .00               | .00               | 900            | .00                     |
| Total RECEIPTS:                       |                       | 594,930           | 618,225           | 630,000           | 566,281        | 630,000                 |
| <b>OTHER REVENUES</b>                 |                       |                   |                   |                   |                |                         |
| 51.381.0                              | INTEREST (WATER)      | 3,175             | 4,206             | 6,200             | 1,058          | 6,000                   |
| 51.382.0                              | WATER TOWER LEASES    | 62,245            | 67,970            | 67,500            | 70,602         | 69,850                  |
| 51.389.0                              | MISCELLAENOUS (WATER) | 10,545            | 7,206             | 5,000             | 14,547         | 37,000                  |
| Total OTHER REVENUES:                 |                       | 75,965            | 79,383            | 78,700            | 86,206         | 112,850                 |
| <b>TRANSFERS</b>                      |                       |                   |                   |                   |                |                         |
| 51.399.5                              | TRANSFER IN           | .00               | .00               | .00               | .00            | .00                     |
| Total TRANSFERS:                      |                       | .00               | .00               | .00               | .00            | .00                     |
| WATER UTILITY FUND Revenue Total:     |                       | 687,101           | 714,126           | 725,210           | 668,343        | 759,860                 |
| WATER UTILITY FUND Expenditure Total: |                       | .00               | .00               | .00               | .00            | .00                     |
| Net Total WATER UTILITY FUND:         |                       | 687,101           | 714,126           | 725,210           | 668,343        | 759,860                 |

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| Account Number                        | Account Title         | 2011-12<br>Actual | 2012-13<br>Actual | 2013-14<br>Budget | 2013-14<br>YTD | 2014-15 Proposed Budget |
|---------------------------------------|-----------------------|-------------------|-------------------|-------------------|----------------|-------------------------|
| <b>SEWER UTILITY FUND</b>             |                       |                   |                   |                   |                |                         |
| <b>TAXES</b>                          |                       |                   |                   |                   |                |                         |
| 52.311.0                              | CHLORINATION PROP TAX | 11                | 9                 | 10                | 19             | 10                      |
| Total TAXES:                          |                       | 11                | 9                 | 10                | 19             | 10                      |
| <b>OTHER TAXES</b>                    |                       |                   |                   |                   |                |                         |
| 52.344.0                              | SEWER SALES TAX       | 378,057           | 378,606           | 378,000           | 376,970        | 376,000                 |
| 52.347.0                              | GRANT                 | .00               | 796,867           | .00               | .00            | .00                     |
| Total OTHER TAXES:                    |                       | 378,057           | 1,175,473         | 378,000           | 376,970        | 376,000                 |
| <b>PENALTIES</b>                      |                       |                   |                   |                   |                |                         |
| 52.353.0                              | PENALTIES             | 12,289            | 15,952            | 15,600            | 16,317         | 17,000                  |
| Total PENALTIES:                      |                       | 12,289            | 15,952            | 15,600            | 16,317         | 17,000                  |
| <b>RECEIPTS</b>                       |                       |                   |                   |                   |                |                         |
| 52.362.0                              | SEWER RECEIPTS        | 682,815           | 721,916           | 730,000           | 668,136        | 730,000                 |
| 52.364.0                              | SEWER CONNECTIONS     | 1,854             | .00               | .00               | 1,025          | .00                     |
| Total RECEIPTS:                       |                       | 684,669           | 721,916           | 730,000           | 669,161        | 730,000                 |
| <b>OTHER REVENUES</b>                 |                       |                   |                   |                   |                |                         |
| 52.381.0                              | INTEREST (SEWER)      | 11,853            | 8,389             | 5,300             | 2,405          | 6,000                   |
| 52.389.0                              | MISCELLANEOUS (SEWER) | 1,125             | 47,398            | .00               | 16,698         | .00                     |
| 52.389.1                              | PV SOLAR LOAN         | .00               | 331,200           | .00               | .00            | .00                     |
| 52.389.2                              | ELECTRIC SALES        | .00               | .00               | 7,500             | .00            | 7,500                   |
| Total OTHER REVENUES:                 |                       | 12,978            | 386,988           | 12,800            | 19,103         | 13,500                  |
| <b>TRANSFERS</b>                      |                       |                   |                   |                   |                |                         |
| 52.399.2                              | TRANSFERS IN          | .00               | .00               | .00               | .00            | .00                     |
| Total TRANSFERS:                      |                       | .00               | .00               | .00               | .00            | .00                     |
| SEWER UTILITY FUND Revenue Total:     |                       | 1,088,004         | 2,300,338         | 1,136,410         | 1,081,570      | 1,136,510               |
| SEWER UTILITY FUND Expenditure Total: |                       | .00               | .00               | .00               | .00            | .00                     |
| Net Total SEWER UTILITY FUND:         |                       | 1,088,004         | 2,300,338         | 1,136,410         | 1,081,570      | 1,136,510               |

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| Account Number                        | Account Title                | 2011-12<br>Actual | 2012-13<br>Actual | 2013-14<br>Budget | 2013-14<br>YTD | 2014-15<br>Proposed Budget |
|---------------------------------------|------------------------------|-------------------|-------------------|-------------------|----------------|----------------------------|
| <b>WATER UTILITY FUND</b>             |                              |                   |                   |                   |                |                            |
| <b>WATER DEPARTMENT</b>               |                              |                   |                   |                   |                |                            |
| 51.42.411.00                          | SALARIES & WAGES             | 41,381            | 43,504            | 42,130            | 37,805         | 44,090                     |
| 51.42.512.00                          | WELL 6 PUMP REFURBISHMENT    | .00               | 35,807            | .00               | 3,725          | .00                        |
| 51.42.515.00                          | OPERATIONAL CONTRACT         | 307,410           | 321,242           | 325,000           | 211,731        | 334,000                    |
| 51.42.532.00                          | SOFTWARE SUPPORT             | 3,826             | 6,101             | 4,560             | 3,577          | 4,560                      |
| 51.42.549.00                          | OTHER PROF. SERVICES         | 429               | 1,588             | 2,000             | 1,588          | 2,000                      |
| 51.42.551.00                          | POSTAGE                      | 2,063             | 2,253             | 2,000             | 2,082          | 2,500                      |
| 51.42.576.00                          | ELECTRIC                     | 19,815            | .00               | 15,000            | .00            | .00                        |
| 51.42.579.00                          | CREDIT CARD FEES             | 4,154             | 4,046             | 3,000             | 3,545          | 4,500                      |
| 51.42.651.01                          | OFFICE SUPPLIES              | 355               | 330               | 400               | 164            | 400                        |
| 51.42.684.00                          | SOFTWARE                     | .00               | 14,725            | 15,000            | 14,725         | .00                        |
| 51.42.716.00                          | EPA TOWER LOAN               | .00               | 14,751            | 162,100           | .00            | 162,100                    |
| 51.42.831.00                          | METER UPGRADES               | 34,034-           | 7,370             | 8,000             | 7,965          | 23,000                     |
| 51.42.831.01                          | VEHICLE                      | 34,034            | .00               | .00               | .00            | 16,000                     |
| 51.42.831.02                          | PV SOLAR                     | .00               | 95,000            | .00               | .00            | .00                        |
| 51.42.831.03                          | EXCAVATOR                    | .00               | .00               | .00               | .00            | 16,000                     |
| 51.42.831.04                          | EXCAVATOR                    | .00               | .00               | .00               | .00            | 101,000                    |
| 51.42.831.05                          | WATER TOWER SITE IMPROVEMENT | .00               | .00               | .00               | .00            | 30,000                     |
| 51.42.852.00                          | EQUIPMENT REPLACEMENT FUND   | .00               | .00               | .00               | .00            | .00                        |
| 51.42.929.00                          | CONTINGENCIES                | 4,171             | 3,092             | 5,000             | 5,932          | 3,000                      |
| 51.42.951.00                          | DEPRECIATION EXPENSE         | 241,715           | .00               | .00               | 1,500          | .00                        |
| Total WATER DEPARTMENT:               |                              | 625,320           | 549,808           | 584,190           | 294,337        | 743,150                    |
| <b>TRANSFERS</b>                      |                              |                   |                   |                   |                |                            |
| 51.99.999.01                          | TRANSFER TO AUDIT            | 2,000             | 2,000             | 3,000             | 3,000          | 5,500                      |
| 51.99.999.02                          | TRANSFER TO UNEMPLOYMENT     | 6,000             | .00               | .00               | .00            | .00                        |
| 51.99.999.03                          | TRANSFER TO WORKERS COMP     | 4,500             | .00               | .00               | .00            | .00                        |
| 51.99.999.04                          | TRANSFER TO IMRF             | 6,000             | 9,000             | 18,000            | 18,000         | 13,100                     |
| 51.99.999.05                          | TRANSFER TO SOCIAL SECURITY  | 6,000             | 6,000             | 3,000             | 3,000          | .00                        |
| 51.99.999.08                          | TRANSFER TO LIABILITY FUND   | .00               | 12,000            | 10,000            | 10,000         | 9,110                      |
| Total TRANSFERS:                      |                              | 24,500            | 29,000            | 34,000            | 34,000         | 27,710                     |
| WATER UTILITY FUND Revenue Total:     |                              | .00               | .00               | .00               | .00            | .00                        |
| WATER UTILITY FUND Expenditure Total: |                              | 649,820           | 578,808           | 618,190           | 328,337        | 770,860                    |
| Net Total WATER UTILITY FUND:         |                              | 649,820-          | 578,808-          | 618,190-          | 328,337-       | 770,860-                   |

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| Account Number                        | Account Title                | 2011-12<br>Actual | 2012-13<br>Actual | 2013-14<br>Budget | 2013-14<br>YTD | 2014-15<br>Proposed Budget |
|---------------------------------------|------------------------------|-------------------|-------------------|-------------------|----------------|----------------------------|
| <b>SEWER UTILITY FUND</b>             |                              |                   |                   |                   |                |                            |
| <b>SEWER DEPARTMENT</b>               |                              |                   |                   |                   |                |                            |
| 52.43.411.01                          | SALARIES & WAGES             | 36,278            | 37,998            | 36,535            | 32,956         | 38,500                     |
| 52.43.512.01                          | COMPUTER SUPPORT             | .00               | .00               | 500               | 151            | 500                        |
| 52.43.515.01                          | EMC W/S CONTRACT             | 307,410           | 321,242           | 325,000           | 211,731        | 335,000                    |
| 52.43.532.00                          | SOFTWARE SUPPORT             | 3,896             | 4,310             | 4,560             | 1,844          | 4,560                      |
| 52.43.532.01                          | SPRING STREET DESIGN         | .00               | .00               | 5,000             | .00            | .00                        |
| 52.43.532.02                          | SCADA                        | 1,500             | .00               | 2,000             | .00            | 500                        |
| 52.43.532.04                          | I AND I STUDY                | .00               | .00               | .00               | .00            | 5,000                      |
| 52.43.549.00                          | OTHER PROF. SERVICES         | 1,658             | 755               | 1,500             | 1,258          | 1,500                      |
| 52.43.551.00                          | POSTAGE                      | 1,377             | 1,125             | 1,300             | 1,000          | 1,500                      |
| 52.43.553.00                          | PUBLISHING/PRINTING          | .00               | 340               | 500               | .00            | 500                        |
| 52.43.570.00                          | NPDES Permit                 | 18,000            | 18,000            | 18,000            | 18,000         | 18,000                     |
| 52.43.576.00                          | ELECTRIC                     | 19,815            | .00               | .00               | .00            | .00                        |
| 52.43.615.00                          | TV & CLEANING OF SEWERS      | 1,500             | .00               | 1,500             | 200            | 2,000                      |
| 52.43.651.00                          | OFFICE SUPPLIES              | 196               | 272               | 500               | .00            | 500                        |
| 52.43.716.00                          | LOAN PAYMENT                 | .00               | .00               | 245,000           | 716,746        | 250,000                    |
| 52.43.716.01                          | SOLAR LOAN PRINCIPAL         | .00               | .00               | 30,000            | 30,000         | 30,000                     |
| 52.43.742.00                          | LOAN INTEREST                | 330,895           | 326,200           | 321,400           | 195,198        | 315,900                    |
| 52.43.742.01                          | SOLAR LOAN INTEREST          | .00               | .00               | 6,225             | 6,257          | 5,865                      |
| 52.43.743.00                          | BOND ISSUANCE COSTS          | .00               | 5,000             | .00               | .00            | .00                        |
| 52.43.850.06                          | NEW TRUCK - WATER / SEWER    | .00               | .00               | .00               | .00            | 16,000                     |
| 52.43.850.08                          | WWTP GENERATOR CONN.         | .00               | 3,218             | .00               | .00            | .00                        |
| 52.43.850.09                          | BOUTHILLIER ST LIFT STATION  | .00               | .00               | 35,000            | .00            | 40,000                     |
| 52.43.850.10                          | PV SOLAR PROJECT             | .00               | 1,234,298         | .00               | .00            | .00                        |
| 52.43.850.11                          | BARTELL SEWER                | .00               | 64,600            | 75,000            | 1,500          | 80,000                     |
| 52.43.850.12                          | PARK AVENUE                  | .00               | .00               | .00               | .00            | 100,000                    |
| 52.43.850.13                          | END LOADER                   | .00               | .00               | .00               | .00            | 22,000                     |
| 52.43.851.00                          | EQUIP REPLACEMENT FUND (EPA) | .00               | 13,993            | .00               | .00            | .00                        |
| 52.43.929.00                          | CONTINGENCY                  | .00               | 3,749             | .00               | .00            | 2,000                      |
| Total SEWER DEPARTMENT:               |                              | 722,526           | 2,035,101         | 1,109,520         | 1,216,840      | 1,269,825                  |
| <b>TRANSFERS</b>                      |                              |                   |                   |                   |                |                            |
| 52.99.999.01                          | TRANSFER TO AUDIT            | 2,000             | 2,000             | 3,000             | 3,000          | 5,500                      |
| 52.99.999.02                          | TRANSFER TO UNEMPLOYMENT     | 6,000             | .00               | .00               | .00            | .00                        |
| 52.99.999.03                          | TRANSFER TO WORKERS COMP     | 4,500             | .00               | .00               | .00            | .00                        |
| 52.99.999.04                          | TRANSFER TO IMRF             | 6,000             | 9,000             | 10,000            | 10,000         | 13,100                     |
| 52.99.999.05                          | TRANSFER TO SOCIAL SECURITY  | 6,000             | 6,000             | 3,000             | 3,000          | .00                        |
| 52.99.999.08                          | TRANSFER TO LIABILITY FUND   | .00               | 12,000            | 10,000            | 10,000         | 9,110                      |
| Total TRANSFERS:                      |                              | 24,500            | 29,000            | 26,000            | 26,000         | 27,710                     |
| SEWER UTILITY FUND Revenue Total:     |                              | .00               | .00               | .00               | .00            | .00                        |
| SEWER UTILITY FUND Expenditure Total: |                              | 747,026           | 2,064,101         | 1,135,520         | 1,242,840      | 1,297,535                  |
| Net Total SEWER UTILITY FUND:         |                              | 747,026-          | 2,064,101-        | 1,135,520-        | 1,242,840-     | 1,297,535-                 |

**APPENDIX G**

| Account Number                        | Account Title         | 2012-13<br>Actual | 2013-14<br>Actual | 2014-15<br>Budget | 2014-15<br>YTD | 2015-16 Approved Budget |
|---------------------------------------|-----------------------|-------------------|-------------------|-------------------|----------------|-------------------------|
| <b>WATER UTILITY FUND</b>             |                       |                   |                   |                   |                |                         |
| <b>TAXES</b>                          |                       |                   |                   |                   |                |                         |
| 51.311.0                              | WATER TREAT PROP TAX  | 9                 | 19                | 10                | 20             | 10                      |
| Total TAXES:                          |                       | 9                 | 19                | 10                | 20             | 10                      |
| <b>PENALTIES</b>                      |                       |                   |                   |                   |                |                         |
| 51.353.0                              | PENALTIES - WATER     | 16,509            | 17,035            | 17,000            | 11,991         | 12,000                  |
| Total PENALTIES:                      |                       | 16,509            | 17,035            | 17,000            | 11,991         | 12,000                  |
| <b>RECEIPTS</b>                       |                       |                   |                   |                   |                |                         |
| 51.361.0                              | WATER RECEIPTS        | 618,225           | 609,701           | 630,000           | 585,936        | 600,000                 |
| 51.364.0                              | WATER CONNECTIONS     | .00               | 900               | .00               | 1,905          | .00                     |
| Total RECEIPTS:                       |                       | 618,225           | 610,601           | 630,000           | 587,841        | 600,000                 |
| <b>OTHER REVENUES</b>                 |                       |                   |                   |                   |                |                         |
| 51.381.0                              | INTEREST (WATER)      | 4,206             | 12,471            | 6,000             | 4,075          | 5,700                   |
| 51.382.0                              | WATER TOWER LEASES    | 67,970            | 73,093            | 69,850            | 68,999         | 71,900                  |
| 51.389.0                              | MISCELLAENOUS (WATER) | 7,206             | 13,082            | 67,000            | 35,451         | 10,000                  |
| Total OTHER REVENUES:                 |                       | 79,383            | 98,645            | 142,850           | 108,525        | 87,600                  |
| <b>TRANSFERS</b>                      |                       |                   |                   |                   |                |                         |
| 51.399.5                              | TRANSFER IN           | .00               | .00               | .00               | .00            | .00                     |
| Total TRANSFERS:                      |                       | .00               | .00               | .00               | .00            | .00                     |
| WATER UTILITY FUND Revenue Total:     |                       | 714,126           | 726,300           | 789,860           | 708,376        | 699,610                 |
| WATER UTILITY FUND Expenditure Total: |                       | .00               | .00               | .00               | .00            | .00                     |
| Net Total WATER UTILITY FUND:         |                       | 714,126           | 726,300           | 789,860           | 708,376        | 699,610                 |

**APPENDIX G**

| Account Number                        | Account Title         | 2012-13<br>Actual | 2013-14<br>Actual | 2014-15<br>Budget | 2014-15<br>YTD | 2015-16 Approved Budget |
|---------------------------------------|-----------------------|-------------------|-------------------|-------------------|----------------|-------------------------|
| <b>SEWER UTILITY FUND</b>             |                       |                   |                   |                   |                |                         |
| <b>TAXES</b>                          |                       |                   |                   |                   |                |                         |
| 52.311.0                              | CHLORINATION PROP TAX | 9                 | 19                | 10                | 20             | 10                      |
| Total TAXES:                          |                       | 9                 | 19                | 10                | 20             | 10                      |
| <b>OTHER TAXES</b>                    |                       |                   |                   |                   |                |                         |
| 52.344.0                              | SEWER SALES TAX       | 378,606           | 376,970           | 376,000           | 433,110        | 400,000                 |
| 52.347.0                              | GRANT                 | 796,867           | .00               | .00               | .00            | 200,000                 |
| Total OTHER TAXES:                    |                       | 1,175,473         | 376,970           | 376,000           | 433,110        | 600,000                 |
| <b>PENALTIES</b>                      |                       |                   |                   |                   |                |                         |
| 52.353.0                              | PENALTIES             | 15,952            | 17,201            | 17,000            | 9,848          | 10,000                  |
| Total PENALTIES:                      |                       | 15,952            | 17,201            | 17,000            | 9,848          | 10,000                  |
| <b>RECEIPTS</b>                       |                       |                   |                   |                   |                |                         |
| 52.362.0                              | SEWER RECEIPTS        | 721,916           | 720,096           | 730,000           | 697,411        | 700,000                 |
| 52.364.0                              | SEWER CONNECTIONS     | .00               | 1,025             | .00               | 2,805          | .00                     |
| Total RECEIPTS:                       |                       | 721,916           | 721,121           | 730,000           | 700,216        | 700,000                 |
| <b>OTHER REVENUES</b>                 |                       |                   |                   |                   |                |                         |
| 52.381.0                              | INTEREST (SEWER)      | 8,389             | 8,075             | 6,000             | 6,500          | 5,500                   |
| 52.389.0                              | MISCELLANEOUS (SEWER) | 47,398            | 20,989            | .00               | 9,484          | .00                     |
| 52.389.1                              | PV SOLAR LOAN         | 331,200           | .00               | .00               | .00            | .00                     |
| 52.389.2                              | SOLAR ELECTRIC SALES  | .00               | .00               | 7,500             | 8,408          | 10,000                  |
| Total OTHER REVENUES:                 |                       | 386,988           | 29,064            | 13,500            | 24,393         | 15,500                  |
| <b>TRANSFERS</b>                      |                       |                   |                   |                   |                |                         |
| 52.399.2                              | TRANSFERS IN          | .00               | .00               | .00               | .00            | .00                     |
| Total TRANSFERS:                      |                       | .00               | .00               | .00               | .00            | .00                     |
| SEWER UTILITY FUND Revenue Total:     |                       | 2,300,338         | 1,144,375         | 1,136,510         | 1,167,587      | 1,325,510               |
| SEWER UTILITY FUND Expenditure Total: |                       | .00               | .00               | .00               | .00            | .00                     |
| Net Total SEWER UTILITY FUND:         |                       | 2,300,338         | 1,144,375         | 1,136,510         | 1,167,587      | 1,325,510               |

**APPENDIX G**

| Account Number                        | Account Title                | 2012-13<br>Actual | 2013-14<br>Actual | 2014-15<br>Budget | 2014-15<br>YTD | 2015-16<br>Proposed Budget |
|---------------------------------------|------------------------------|-------------------|-------------------|-------------------|----------------|----------------------------|
| <b>WATER UTILITY FUND</b>             |                              |                   |                   |                   |                |                            |
| <b>WATER DEPARTMENT</b>               |                              |                   |                   |                   |                |                            |
| 51.42.411.00                          | SALARIES & WAGES             | 43,504            | 42,634            | 44,090            | 44,632         | 67,050                     |
| 51.42.512.00                          | WELL 6 PUMP REFURBISHMENT    | 35,807            | 3,725             | .00               | .00            | 25,000                     |
| 51.42.515.00                          | OPERATIONAL CONTRACT         | 321,242           | 318,274           | 334,000           | 339,473        | 325,000                    |
| 51.42.532.00                          | SOFTWARE SUPPORT             | 6,101             | 5,421             | 4,560             | 3,713          | 4,560                      |
| 51.42.532.01                          | WATER SYSTEM STUDY           | .00               | .00               | .00               | .00            | 21,000                     |
| 51.42.549.00                          | OTHER PROF. SERVICES         | 1,588             | 3,088             | 2,000             | 1,067          | 2,000                      |
| 51.42.549.01                          | BACKFLOW INSPECTIONS         | .00               | .00               | .00               | .00            | 4,800                      |
| 51.42.551.00                          | POSTAGE                      | 2,253             | 2,149             | 2,500             | 2,573          | 3,000                      |
| 51.42.576.00                          | ELECTRIC                     | .00               | .00               | .00               | .00            | .00                        |
| 51.42.579.00                          | CREDIT CARD FEES             | 4,046             | 4,725             | 4,500             | 4,235          | 4,500                      |
| 51.42.651.01                          | OFFICE SUPPLIES              | 330               | 164               | 400               | .00            | 400                        |
| 51.42.684.00                          | SOFTWARE                     | 14,725            | 14,725            | .00               | .00            | 2,500                      |
| 51.42.716.00                          | EPA TOWER LOAN               | 14,751            | 81,048            | 162,100           | 162,097        | 122,575                    |
| 51.42.720.01                          | IL EPA LOAN INTEREST         | .00               | 37,041-           | .00               | .00            | 39,525                     |
| 51.42.830.06                          | WATER MAIN REPLACEMENT       | .00               | .00               | .00               | .00            | 9,500                      |
| 51.42.831.00                          | METER UPGRADES               | 7,370             | .00               | 23,000            | 26,189         | 20,000                     |
| 51.42.831.01                          | VEHICLE                      | .00               | .00               | 16,000            | 12,353         | 6,000                      |
| 51.42.831.02                          | PV SOLAR                     | 95,000            | .00               | .00               | .00            | .00                        |
| 51.42.831.03                          | EXCAVATOR                    | .00               | .00               | 16,000            | 18,196         | .00                        |
| 51.42.831.04                          | PARK AVE PROJECT             | .00               | .00               | 112,000           | 99,651         | .00                        |
| 51.42.831.05                          | WATER TOWER SITE IMPROVEMENT | .00               | .00               | 60,000            | 3,133          | 19,000                     |
| 51.42.852.00                          | EQUIPMENT REPLACEMENT FUND   | .00               | .00               | 28,500            | 28,187         | .00                        |
| 51.42.929.00                          | CONTINGENCIES                | 3,092             | 6,758             | 3,000             | 6,052          | 3,000                      |
| 51.42.951.00                          | DEPRECIATION EXPENSE         | .00               | 244,484           | .00               | .00            | .00                        |
| Total WATER DEPARTMENT:               |                              | 549,808           | 690,154           | 812,650           | 751,551        | 679,410                    |
| <b>TRANSFERS</b>                      |                              |                   |                   |                   |                |                            |
| 51.99.999.01                          | TRANSFER TO AUDIT            | 2,000             | 3,000             | 5,500             | 5,500          | 3,175                      |
| 51.99.999.02                          | TRANSFER TO UNEMPLOYMENT     | .00               | .00               | .00               | .00            | .00                        |
| 51.99.999.03                          | TRANSFER TO WORKERS COMP     | .00               | .00               | .00               | .00            | .00                        |
| 51.99.999.04                          | TRANSFER TO IMRF             | 9,000             | 18,000            | 13,100            | 13,100         | .00                        |
| 51.99.999.05                          | TRANSFER TO SOCIAL SECURITY  | 6,000             | 3,000             | .00               | .00            | .00                        |
| 51.99.999.08                          | TRANSFER TO LIABILITY FUND   | 12,000            | 10,000            | 9,110             | 9,110          | 9,200                      |
| Total TRANSFERS:                      |                              | 29,000            | 34,000            | 27,710            | 27,710         | 12,375                     |
| WATER UTILITY FUND Revenue Total:     |                              | .00               | .00               | .00               | .00            | .00                        |
| WATER UTILITY FUND Expenditure Total: |                              | 578,808           | 724,154           | 840,360           | 779,261        | 691,785                    |
| Net Total WATER UTILITY FUND:         |                              | 578,808-          | 724,154-          | 840,360-          | 779,261-       | 691,785-                   |

**APPENDIX G**

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| Account Number                        | Account Title                  | 2012-13<br>Actual | 2013-14<br>Actual | 2014-15<br>Budget | 2014-15<br>YTD | 2015-16<br>Proposed Budget |
|---------------------------------------|--------------------------------|-------------------|-------------------|-------------------|----------------|----------------------------|
| <b>SEWER UTILITY FUND</b>             |                                |                   |                   |                   |                |                            |
| <b>SEWER DEPARTMENT</b>               |                                |                   |                   |                   |                |                            |
| 52.43.411.01                          | SALARIES & WAGES               | 37,998            | 37,159            | 38,500            | 38,968         | 50,650                     |
| 52.43.512.01                          | COMPUTER SUPPORT               | .00               | 151               | 500               | .00            | 1,000                      |
| 52.43.515.01                          | EMC W/S CONTRACT               | 321,242           | 318,274           | 335,000           | 339,473        | 325,000                    |
| 52.43.532.00                          | SOFTWARE SUPPORT               | 4,310             | 3,688             | 4,560             | 3,713          | 4,560                      |
| 52.43.532.01                          | SPRING STREET DESIGN           | .00               | .00               | .00               | .00            | .00                        |
| 52.43.532.02                          | SCADA                          | .00               | .00               | 500               | .00            | 5,000                      |
| 52.43.532.04                          | I AND I STUDY                  | .00               | .00               | 5,000             | .00            | .00                        |
| 52.43.549.00                          | OTHER PROF. SERVICES           | 755               | 1,456             | 5,500             | 9,956          | 5,500                      |
| 52.43.551.00                          | POSTAGE                        | 1,125             | 1,367             | 1,500             | 1,323          | 1,500                      |
| 52.43.553.00                          | PUBLISHING/PRINTING            | 340               | 1,622             | 500               | .00            | 1,500                      |
| 52.43.570.00                          | NPDES Permit                   | 18,000            | 18,500            | 18,000            | 17,200         | 18,500                     |
| 52.43.576.00                          | ELECTRIC                       | .00               | .00               | .00               | .00            | .00                        |
| 52.43.615.00                          | TV & CLEANING OF SEWERS        | .00               | 1,828             | 2,000             | 2,103          | 2,000                      |
| 52.43.651.00                          | OFFICE SUPPLIES                | 272               | .00               | 500               | .00            | 500                        |
| 52.43.716.00                          | SERIES 2010 B GO BOND PRIN     | .00               | .00               | 250,000           | 250,000        | 255,000                    |
| 52.43.716.01                          | SOLAR LOAN PRINCIPAL           | .00               | .00               | 30,000            | 30,000         | 30,000                     |
| 52.43.742.00                          | SERIES 2010 B GO BOND INTEREST | 326,200           | 320,894           | 315,900           | 315,883        | 309,635                    |
| 52.43.742.01                          | SOLAR LOAN INTEREST            | .00               | 7,242             | 5,865             | 5,905          | 5,505                      |
| 52.43.743.00                          | BOND ISSUANCE COSTS            | 5,000             | .00               | .00               | .00            | .00                        |
| 52.43.850.05                          | THIRD & RIVES SEWER            | .00               | .00               | .00               | .00            | 265,000                    |
| 52.43.850.06                          | NEW TRUCK - WATER / SEWER      | .00               | .00               | 16,000            | 12,458         | 6,000                      |
| 52.43.850.08                          | WWTP GENERATOR CONN.           | 3,218             | .00               | .00               | 6,966          | .00                        |
| 52.43.850.09                          | BOUTHILLIER ST LIFT STATION    | .00               | .00               | 40,000            | 4,608          | 125,000                    |
| 52.43.850.10                          | PV SOLAR PROJECT               | 1,234,298         | .00               | .00               | .00            | .00                        |
| 52.43.850.11                          | BARTELL SEWER                  | 64,600            | .00               | 80,000            | 2,325          | .00                        |
| 52.43.850.12                          | PARK AVENUE                    | .00               | .00               | 100,000           | 187,682        | .00                        |
| 52.43.850.13                          | END LOADER                     | .00               | .00               | 22,000            | 27,700         | .00                        |
| 52.43.851.00                          | EQUIP REPLACEMENT FUND (EPA)   | 13,993            | .00               | 5,000             | 27,095         | .00                        |
| 52.43.929.00                          | CONTINGENCY                    | 3,749             | .00               | 2,000             | 1,928          | 2,000                      |
| 52.43.951.00                          | DEPRECIATION EXPENSE           | .00               | 851,787           | .00               | .00            | .00                        |
| 52.43.960.00                          | AMORTIZATION COSTS             | .00               | 639               | .00               | .00            | .00                        |
| Total SEWER DEPARTMENT:               |                                | 2,035,101         | 1,564,607         | 1,278,825         | 1,285,286      | 1,413,850                  |
| <b>TRANSFERS</b>                      |                                |                   |                   |                   |                |                            |
| 52.99.999.01                          | TRANSFER TO AUDIT              | 2,000             | 3,000             | 5,500             | 5,500          | 3,175                      |
| 52.99.999.02                          | TRANSFER TO UNEMPLOYMENT       | .00               | .00               | .00               | .00            | .00                        |
| 52.99.999.03                          | TRANSFER TO WORKERS COMP       | .00               | .00               | .00               | .00            | .00                        |
| 52.99.999.04                          | TRANSFER TO IMRF               | 9,000             | 10,000            | 13,100            | 13,100         | .00                        |
| 52.99.999.05                          | TRANSFER TO SOCIAL SECURITY    | 6,000             | 3,000             | .00               | .00            | .00                        |
| 52.99.999.08                          | TRANSFER TO LIABILITY FUND     | 12,000            | 10,000            | 9,110             | 9,110          | 9,200                      |
| Total TRANSFERS:                      |                                | 29,000            | 26,000            | 27,710            | 27,710         | 12,375                     |
| SEWER UTILITY FUND Revenue Total:     |                                | .00               | .00               | .00               | .00            | .00                        |
| SEWER UTILITY FUND Expenditure Total: |                                | 2,064,101         | 1,590,607         | 1,306,535         | 1,312,996      | 1,426,225                  |
| Net Total SEWER UTILITY FUND:         |                                | 2,064,101-        | 1,590,607-        | 1,306,535-        | 1,312,996-     | 1,426,225-                 |

**APPENDIX G**

| Account Number                        | Account Title             | 2013-14<br>Actual | 2014-15<br>Actual | 2015-16<br>Budget | 2015-16<br>YTD | 2016-17 Approved Budget |
|---------------------------------------|---------------------------|-------------------|-------------------|-------------------|----------------|-------------------------|
| <b>WATER UTILITY FUND</b>             |                           |                   |                   |                   |                |                         |
| <b>TAXES</b>                          |                           |                   |                   |                   |                |                         |
| 51.311.0                              | WATER TREAT PROP TAX      | 19                | 20                | 10                | 219            | 10                      |
| Total TAXES:                          |                           | 19                | 20                | 10                | 219            | 10                      |
| <b>PENALTIES</b>                      |                           |                   |                   |                   |                |                         |
| 51.353.0                              | PENALTIES - WATER         | 17,035            | 11,991            | 12,000            | 9,289          | 9,500                   |
| Total PENALTIES:                      |                           | 17,035            | 11,991            | 12,000            | 9,289          | 9,500                   |
| <b>RECEIPTS</b>                       |                           |                   |                   |                   |                |                         |
| 51.361.0                              | WATER RECEIPTS            | 609,701           | 585,936           | 600,000           | 535,627        | 600,000                 |
| 51.364.0                              | WATER CONNECTIONS         | 900               | 1,905             | .00               | 6,900          | 2,000                   |
| Total RECEIPTS:                       |                           | 610,601           | 587,841           | 600,000           | 542,527        | 602,000                 |
| <b>OTHER REVENUES</b>                 |                           |                   |                   |                   |                |                         |
| 51.381.0                              | INTEREST (WATER)          | 12,471            | 4,113             | 5,700             | 2,146          | 4,550                   |
| 51.382.0                              | WATER TOWER LEASES        | 73,093            | 71,266            | 71,900            | 68,677         | 74,100                  |
| 51.389.0                              | MISCELLAENOUS (WATER)     | 13,082            | 94,862            | 10,000            | 31,576         | 10,000                  |
| Total OTHER REVENUES:                 |                           | 98,645            | 170,240           | 87,600            | 102,399        | 88,650                  |
| <b>TRANSFERS</b>                      |                           |                   |                   |                   |                |                         |
| 51.391.0                              | GAIN ON DISPOSAL OF ASSET | .00               | 2,500             | .00               | .00            | .00                     |
| 51.399.5                              | TRANSFER IN               | .00               | .00               | .00               | .00            | .00                     |
| Total TRANSFERS:                      |                           | .00               | 2,500             | .00               | .00            | .00                     |
| WATER UTILITY FUND Revenue Total:     |                           | 726,300           | 772,591           | 699,610           | 654,434        | 700,160                 |
| WATER UTILITY FUND Expenditure Total: |                           | .00               | .00               | .00               | .00            | .00                     |
| Net Total WATER UTILITY FUND:         |                           | 726,300           | 772,591           | 699,610           | 654,434        | 700,160                 |

**APPENDIX G**

| Account Number                        | Account Title         | 2013-14<br>Actual | 2014-15<br>Actual | 2015-16<br>Budget | 2015-16<br>YTD | 2016-17 Approved Budget |
|---------------------------------------|-----------------------|-------------------|-------------------|-------------------|----------------|-------------------------|
| <b>SEWER UTILITY FUND</b>             |                       |                   |                   |                   |                |                         |
| <b>TAXES</b>                          |                       |                   |                   |                   |                |                         |
| 52.311.0                              | CHLORINATION PROP TAX | 19                | 20                | 10                | 19             | 10                      |
| Total TAXES:                          |                       | 19                | 20                | 10                | 19             | 10                      |
| <b>OTHER TAXES</b>                    |                       |                   |                   |                   |                |                         |
| 52.344.0                              | SEWER SALES TAX       | 376,970           | 397,712           | 400,000           | 353,251        | 400,000                 |
| 52.347.0                              | GRANT                 | .00               | .00               | 200,000           | 185,343        | .00                     |
| Total OTHER TAXES:                    |                       | 376,970           | 397,712           | 600,000           | 538,594        | 400,000                 |
| <b>PENALTIES</b>                      |                       |                   |                   |                   |                |                         |
| 52.353.0                              | PENALTIES             | 17,201            | 9,848             | 10,000            | 4,560          | 3,600                   |
| Total PENALTIES:                      |                       | 17,201            | 9,848             | 10,000            | 4,560          | 3,600                   |
| <b>RECEIPTS</b>                       |                       |                   |                   |                   |                |                         |
| 52.362.0                              | SEWER RECEIPTS        | 720,096           | 697,411           | 700,000           | 630,330        | 700,000                 |
| 52.364.0                              | SEWER CONNECTIONS     | 1,025             | 2,805             | .00               | 6,900          | 3,000                   |
| Total RECEIPTS:                       |                       | 721,121           | 700,216           | 700,000           | 637,230        | 703,000                 |
| <b>OTHER REVENUES</b>                 |                       |                   |                   |                   |                |                         |
| 52.381.0                              | INTEREST (SEWER)      | 8,075             | 5,793             | 5,500             | 3,806          | 5,640                   |
| 52.389.0                              | MISCELLANEOUS (SEWER) | 20,989            | 9,484             | .00               | 18,106         | .00                     |
| 52.389.1                              | PV SOLAR LOAN         | .00               | .00               | .00               | .00            | .00                     |
| 52.389.2                              | SOLAR ELECTRIC SALES  | .00               | 9,740             | 10,000            | 6,712          | 10,000                  |
| Total OTHER REVENUES:                 |                       | 29,064            | 25,017            | 15,500            | 28,623         | 15,640                  |
| <b>TRANSFERS</b>                      |                       |                   |                   |                   |                |                         |
| 52.399.2                              | TRANSFERS IN          | .00               | .00               | .00               | .00            | .00                     |
| Total TRANSFERS:                      |                       | .00               | .00               | .00               | .00            | .00                     |
| SEWER UTILITY FUND Revenue Total:     |                       | 1,144,375         | 1,132,813         | 1,325,510         | 1,209,026      | 1,122,250               |
| SEWER UTILITY FUND Expenditure Total: |                       | .00               | .00               | .00               | .00            | .00                     |
| Net Total SEWER UTILITY FUND:         |                       | 1,144,375         | 1,132,813         | 1,325,510         | 1,209,026      | 1,122,250               |

**APPENDIX G**

| Account Number                        | Account Title                | 2013-14<br>Actual | 2014-15<br>Actual | 2015-16<br>Budget | 2015-16<br>YTD | 2016-17<br>Approved Budget |
|---------------------------------------|------------------------------|-------------------|-------------------|-------------------|----------------|----------------------------|
| <b>WATER UTILITY FUND</b>             |                              |                   |                   |                   |                |                            |
| <b>WATER DEPARTMENT</b>               |                              |                   |                   |                   |                |                            |
| 51.42.411.00                          | SALARIES & WAGES             | 42,634            | 44,632            | 67,050            | 66,585         | 80,406                     |
| 51.42.512.00                          | WELL 6 PUMP REFURBISHMENT    | 3,725             | .00               | 25,000            | .00            | 25,000                     |
| 51.42.515.00                          | OPERATIONAL CONTRACT         | 318,274           | 339,473           | 325,000           | 362,128        | 330,000                    |
| 51.42.532.00                          | SOFTWARE SUPPORT             | 5,421             | 3,713             | 4,560             | 4,479          | 4,705                      |
| 51.42.532.01                          | WATER SYSTEM STUDY           | .00               | .00               | 21,000            | 23,746         | .00                        |
| 51.42.549.00                          | OTHER PROF. SERVICES         | 3,088             | 1,067             | 2,000             | 2,455          | 2,500                      |
| 51.42.549.01                          | BACKFLOW INSPECTIONS         | .00               | .00               | 4,800             | .00            | 5,200                      |
| 51.42.551.00                          | POSTAGE                      | 2,149             | 2,573             | 3,000             | 2,575          | 2,000                      |
| 51.42.576.00                          | ELECTRIC                     | .00               | .00               | .00               | .00            | .00                        |
| 51.42.579.00                          | CREDIT CARD FEES             | 4,725             | 5,679             | 4,500             | 5,721          | 5,000                      |
| 51.42.651.01                          | OFFICE SUPPLIES              | 164               | .00               | 400               | 154            | 400                        |
| 51.42.684.00                          | SOFTWARE                     | 14,725            | .00               | 2,500             | 1,838          | 2,500                      |
| 51.42.716.00                          | EPA TOWER LOAN               | 81,048            | .00               | 122,575           | 124,105        | 125,660                    |
| 51.42.720.01                          | IL EPA LOAN INTEREST         | 37,041-           | 41,037            | 39,525            | 37,992         | 36,440                     |
| 51.42.830.06                          | WATER MAIN REPLACEMENT       | .00               | .00               | 9,500             | .00            | 8,000                      |
| 51.42.831.00                          | METER UPGRADES               | .00               | .00               | 20,000            | 20,970         | 20,000                     |
| 51.42.831.01                          | VEHICLE                      | .00               | .00               | 6,000             | 2,284          | 15,000                     |
| 51.42.831.02                          | PV SOLAR                     | .00               | .00               | .00               | .00            | .00                        |
| 51.42.831.03                          | EXCAVATOR                    | .00               | .00               | .00               | .00            | .00                        |
| 51.42.831.04                          | PARK AVE PROJECT             | .00               | .00               | .00               | .00            | .00                        |
| 51.42.831.05                          | WATER TOWER SITE IMPROVEMENT | .00               | .00               | 19,000            | 2,660          | .00                        |
| 51.42.852.00                          | EQUIPMENT REPLACEMENT FUND   | .00               | .00               | .00               | .00            | .00                        |
| 51.42.929.00                          | CONTINGENCIES                | 6,758             | 6,052             | 3,000             | 5,328          | 3,500                      |
| 51.42.951.00                          | DEPRECIATION EXPENSE         | 244,484           | 247,589           | .00               | .00            | .00                        |
| Total WATER DEPARTMENT:               |                              | 690,154           | 691,816           | 679,410           | 663,017        | 666,311                    |
| <b>TRANSFERS</b>                      |                              |                   |                   |                   |                |                            |
| 51.99.999.01                          | TRANSFER TO AUDIT            | 3,000             | 5,500             | 3,175             | 3,175          | 4,025                      |
| 51.99.999.02                          | TRANSFER TO UNEMPLOYMENT     | .00               | .00               | .00               | .00            | .00                        |
| 51.99.999.03                          | TRANSFER TO WORKERS COMP     | .00               | .00               | .00               | .00            | .00                        |
| 51.99.999.04                          | TRANSFER TO IMRF             | 18,000            | 13,100            | .00               | .00            | .00                        |
| 51.99.999.05                          | TRANSFER TO SOCIAL SECURITY  | 3,000             | .00               | .00               | .00            | .00                        |
| 51.99.999.08                          | TRANSFER TO LIABILITY FUND   | 10,000            | 9,110             | 9,200             | 9,200          | 14,450                     |
| Total TRANSFERS:                      |                              | 34,000            | 27,710            | 12,375            | 12,375         | 18,475                     |
| WATER UTILITY FUND Revenue Total:     |                              | .00               | .00               | .00               | .00            | .00                        |
| WATER UTILITY FUND Expenditure Total: |                              | 724,154           | 719,526           | 691,785           | 675,392        | 684,786                    |
| Net Total WATER UTILITY FUND:         |                              | 724,154-          | 719,526-          | 691,785-          | 675,392-       | 684,786-                   |

**APPENDIX G**

| Account Number                        | Account Title                  | 2013-14<br>Actual | 2014-15<br>Actual | 2015-16<br>Budget | 2015-16<br>YTD | 2016-17<br>Approved Budget |
|---------------------------------------|--------------------------------|-------------------|-------------------|-------------------|----------------|----------------------------|
| <b>SEWER UTILITY FUND</b>             |                                |                   |                   |                   |                |                            |
| <b>SEWER DEPARTMENT</b>               |                                |                   |                   |                   |                |                            |
| 52.43.411.01                          | SALARIES & WAGES               | 37,159            | 38,968            | 50,650            | 61,184         | 63,468                     |
| 52.43.512.01                          | COMPUTER SUPPORT               | 151               | .00               | 1,000             | .00            | 2,500                      |
| 52.43.515.01                          | EMC W/S CONTRACT               | 318,274           | 339,473           | 325,000           | 258,772        | 330,000                    |
| 52.43.532.00                          | SOFTWARE SUPPORT               | 3,688             | 3,713             | 4,560             | 4,000          | 4,705                      |
| 52.43.532.01                          | SPRING STREET DESIGN           | .00               | .00               | .00               | .00            | .00                        |
| 52.43.532.02                          | SCADA                          | .00               | .00               | 5,000             | .00            | 3,000                      |
| 52.43.532.04                          | I AND I STUDY                  | .00               | .00               | .00               | .00            | 10,000                     |
| 52.43.549.00                          | OTHER PROF. SERVICES           | 1,456             | 9,956             | 5,500             | 1,765          | 3,000                      |
| 52.43.549.01                          | PRESSURE SEWER STUDY           | .00               | .00               | .00               | .00            | 20,000                     |
| 52.43.551.00                          | POSTAGE                        | 1,367             | 1,323             | 1,500             | 1,325          | 1,500                      |
| 52.43.553.00                          | PUBLISHING/PRINTING            | 1,622             | .00               | 1,500             | 1,670          | 1,500                      |
| 52.43.570.00                          | NPDES Permit                   | 18,500            | 17,200            | 18,500            | 18,003         | 18,500                     |
| 52.43.576.00                          | ELECTRIC                       | .00               | .00               | .00               | .00            | .00                        |
| 52.43.615.00                          | TV & CLEANING OF SEWERS        | 1,828             | 2,103             | 2,000             | .00            | 2,000                      |
| 52.43.651.00                          | OFFICE SUPPLIES                | .00               | .00               | 500               | 184            | 300                        |
| 52.43.716.00                          | SERIES 2010 B GO BOND PRIN     | .00               | .00               | 255,000           | 255,000        | 265,000                    |
| 52.43.716.01                          | SOLAR LOAN PRINCIPAL           | .00               | .00               | 30,000            | 30,000         | 30,000                     |
| 52.43.742.00                          | SERIES 2010 B GO BOND INTEREST | 320,894           | 315,883           | 309,635           | 309,633        | 302,000                    |
| 52.43.742.01                          | SOLAR LOAN INTEREST            | 7,242             | 6,655             | 5,505             | 5,503          | 5,145                      |
| 52.43.743.00                          | BOND ISSUANCE COSTS            | .00               | .00               | .00               | .00            | .00                        |
| 52.43.850.05                          | THIRD & RIVES SEWER            | .00               | .00               | 265,000           | 228,823        | .00                        |
| 52.43.850.06                          | NEW TRUCK - WATER / SEWER      | .00               | .00               | 6,000             | 2,284          | 15,000                     |
| 52.43.850.08                          | WWTP GENERATOR CONN.           | .00               | .00               | .00               | .00            | .00                        |
| 52.43.850.09                          | BOUTHILLIER ST LIFT STATION    | .00               | .00               | 114,800           | 16,698         | .00                        |
| 52.43.850.10                          | PV SOLAR PROJECT               | .00               | .00               | .00               | .00            | 9,000                      |
| 52.43.850.11                          | BARTELL SEWER                  | .00               | .00               | .00               | .00            | .00                        |
| 52.43.850.12                          | PARK AVENUE                    | .00               | .00               | 3,845             | 3,845          | .00                        |
| 52.43.850.13                          | END LOADER                     | .00               | .00               | .00               | .00            | .00                        |
| 52.43.851.00                          | EQUIP REPLACEMENT FUND (EPA)   | .00               | .00               | 6,355             | 6,352          | .00                        |
| 52.43.929.00                          | CONTINGENCY                    | .00               | 1,928             | 2,000             | 2,000          | 4,000                      |
| 52.43.951.00                          | DEPRECIATION EXPENSE           | 851,787           | 856,875           | .00               | .00            | .00                        |
| 52.43.960.00                          | AMORTIZATION COSTS             | 639               | 639               | .00               | .00            | .00                        |
| Total SEWER DEPARTMENT:               |                                | 1,564,607         | 1,594,716         | 1,413,850         | 1,207,041      | 1,090,618                  |
| <b>TRANSFERS</b>                      |                                |                   |                   |                   |                |                            |
| 52.99.999.01                          | TRANSFER TO AUDIT              | 3,000             | 5,500             | 3,175             | 3,175          | 4,025                      |
| 52.99.999.02                          | TRANSFER TO UNEMPLOYMENT       | .00               | .00               | .00               | .00            | .00                        |
| 52.99.999.03                          | TRANSFER TO WORKERS COMP       | .00               | .00               | .00               | .00            | .00                        |
| 52.99.999.04                          | TRANSFER TO IMRF               | 10,000            | 13,100            | .00               | .00            | .00                        |
| 52.99.999.05                          | TRANSFER TO SOCIAL SECURITY    | 3,000             | .00               | .00               | .00            | .00                        |
| 52.99.999.08                          | TRANSFER TO LIABILITY FUND     | 10,000            | 9,110             | 9,200             | 9,200          | 14,450                     |
| Total TRANSFERS:                      |                                | 26,000            | 27,710            | 12,375            | 12,375         | 18,475                     |
| SEWER UTILITY FUND Revenue Total:     |                                | .00               | .00               | .00               | .00            | .00                        |
| SEWER UTILITY FUND Expenditure Total: |                                | 1,590,607         | 1,622,426         | 1,426,225         | 1,219,416      | 1,109,093                  |
| Net Total SEWER UTILITY FUND:         |                                | 1,590,607-        | 1,622,426-        | 1,426,225-        | 1,219,416-     | 1,109,093-                 |

**APPENDIX G**

| Account Number                        | Account Title             | 2014-15<br>Actual | 2015-16<br>Actual | 2016-17<br>Budget | 2016-17<br>YTD | 2017-18<br>Projected Budget |
|---------------------------------------|---------------------------|-------------------|-------------------|-------------------|----------------|-----------------------------|
| <b>WATER UTILITY FUND</b>             |                           |                   |                   |                   |                |                             |
| <b>TAXES</b>                          |                           |                   |                   |                   |                |                             |
| 51.311.0                              | WATER TREAT PROP TAX      | 20                | 219               | 10                | 19             | 10                          |
| Total TAXES:                          |                           | 20                | 219               | 10                | 19             | 10                          |
| <b>PENALTIES</b>                      |                           |                   |                   |                   |                |                             |
| 51.353.0                              | PENALTIES - WATER         | 11,991            | 8,737             | 9,500             | 14,609         | 12,000                      |
| Total PENALTIES:                      |                           | 11,991            | 8,737             | 9,500             | 14,609         | 12,000                      |
| <b>RECEIPTS</b>                       |                           |                   |                   |                   |                |                             |
| 51.361.0                              | WATER RECEIPTS            | 585,936           | 584,795           | 600,000           | 548,083        | 600,000                     |
| 51.364.0                              | WATER CONNECTIONS         | 1,905             | 6,900             | 2,000             | 7,200          | 5,000                       |
| Total RECEIPTS:                       |                           | 587,841           | 591,695           | 602,000           | 555,283        | 605,000                     |
| <b>OTHER REVENUES</b>                 |                           |                   |                   |                   |                |                             |
| 51.381.0                              | INTEREST (WATER)          | 4,113             | 4,440             | 4,550             | 2,217          | 4,000                       |
| 51.382.0                              | WATER TOWER LEASES        | 71,266            | 73,346            | 74,100            | 77,891         | 76,200                      |
| 51.389.0                              | MISCELLAENOUS (WATER)     | 94,862            | 30,345            | 10,000            | 5,615          | 10,000                      |
| Total OTHER REVENUES:                 |                           | 170,240           | 108,131           | 88,650            | 85,723         | 90,200                      |
| <b>TRANSFERS</b>                      |                           |                   |                   |                   |                |                             |
| 51.391.0                              | GAIN ON DISPOSAL OF ASSET | 2,500             | .00               | .00               | .00            | .00                         |
| 51.399.5                              | TRANSFER IN               | .00               | .00               | .00               | .00            | .00                         |
| Total TRANSFERS:                      |                           | 2,500             | .00               | .00               | .00            | .00                         |
| WATER UTILITY FUND Revenue Total:     |                           | 772,591           | 708,783           | 700,160           | 655,634        | 707,210                     |
| WATER UTILITY FUND Expenditure Total: |                           | .00               | .00               | .00               | .00            | .00                         |
| Net Total WATER UTILITY FUND:         |                           | 772,591           | 708,783           | 700,160           | 655,634        | 707,210                     |

**APPENDIX G**

| Account Number                        | Account Title         | 2014-15<br>Actual | 2015-16<br>Actual | 2016-17<br>Budget | 2016-17<br>YTD | 2017-18<br>Projected Budget |
|---------------------------------------|-----------------------|-------------------|-------------------|-------------------|----------------|-----------------------------|
| <b>SEWER UTILITY FUND</b>             |                       |                   |                   |                   |                |                             |
| <b>TAXES</b>                          |                       |                   |                   |                   |                |                             |
| 52.311.0                              | CHLORINATION PROP TAX | 20                | 19                | 10                | 44             | 10                          |
| Total TAXES:                          |                       | 20                | 19                | 10                | 44             | 10                          |
| <b>OTHER TAXES</b>                    |                       |                   |                   |                   |                |                             |
| 52.344.0                              | SEWER SALES TAX       | 397,712           | 412,325           | 400,000           | 369,287        | 408,000                     |
| 52.347.0                              | GRANT                 | .00               | 184,343           | 15,000            | .00            | .00                         |
| Total OTHER TAXES:                    |                       | 397,712           | 596,668           | 415,000           | 369,287        | 408,000                     |
| <b>PENALTIES</b>                      |                       |                   |                   |                   |                |                             |
| 52.353.0                              | PENALTIES             | 9,848             | 2,732             | 3,600             | 12,727         | 10,000                      |
| Total PENALTIES:                      |                       | 9,848             | 2,732             | 3,600             | 12,727         | 10,000                      |
| <b>RECEIPTS</b>                       |                       |                   |                   |                   |                |                             |
| 52.362.0                              | SEWER RECEIPTS        | 697,411           | 688,412           | 700,000           | 648,496        | 720,000                     |
| 52.364.0                              | SEWER CONNECTIONS     | 2,805             | 6,900             | 3,000             | 6,500          | 5,000                       |
| Total RECEIPTS:                       |                       | 700,216           | 695,312           | 703,000           | 654,996        | 725,000                     |
| <b>OTHER REVENUES</b>                 |                       |                   |                   |                   |                |                             |
| 52.381.0                              | INTEREST (SEWER)      | 5,793             | 6,508             | 5,640             | 4,736          | 5,800                       |
| 52.389.0                              | MISCELLANEOUS (SEWER) | 9,484             | 18,106            | .00               | .00            | .00                         |
| 52.389.1                              | PV SOLAR LOAN         | .00               | .00               | .00               | .00            | .00                         |
| 52.389.2                              | SOLAR ELECTRIC SALES  | 9,740             | 7,385             | 10,000            | 4,235          | 8,500                       |
| Total OTHER REVENUES:                 |                       | 25,017            | 31,999            | 15,640            | 8,971          | 14,300                      |
| <b>TRANSFERS</b>                      |                       |                   |                   |                   |                |                             |
| 52.399.2                              | TRANSFERS IN          | .00               | .00               | .00               | .00            | .00                         |
| Total TRANSFERS:                      |                       | .00               | .00               | .00               | .00            | .00                         |
| SEWER UTILITY FUND Revenue Total:     |                       | 1,132,813         | 1,326,729         | 1,137,250         | 1,046,025      | 1,157,310                   |
| SEWER UTILITY FUND Expenditure Total: |                       | .00               | .00               | .00               | .00            | .00                         |
| Net Total SEWER UTILITY FUND:         |                       | 1,132,813         | 1,326,729         | 1,137,250         | 1,046,025      | 1,157,310                   |

**APPENDIX G**

| Account Number                        | Account Title                | 2014-15<br>Actual | 2015-16<br>Actual | 2016-17<br>Budget | 2016-17<br>YTD | 2017-18<br>Proposed Budget |
|---------------------------------------|------------------------------|-------------------|-------------------|-------------------|----------------|----------------------------|
| <b>WATER UTILITY FUND</b>             |                              |                   |                   |                   |                |                            |
| <b>WATER DEPARTMENT</b>               |                              |                   |                   |                   |                |                            |
| 51.42.411.00                          | SALARIES & WAGES             | 44,632            | 69,036            | 80,406            | 72,174         | 121,000                    |
| 51.42.512.00                          | WELL 6 PUMP REFURBISHMENT    | .00               | .00               | 25,000            | 64,285         | .00                        |
| 51.42.515.00                          | OPERATIONAL CONTRACT         | 339,473           | 388,144           | 330,000           | 485,248        | 339,000                    |
| 51.42.532.00                          | SOFTWARE SUPPORT             | 3,713             | 4,479             | 4,705             | 5,893          | 4,700                      |
| 51.42.532.01                          | WATER SYSTEM STUDY           | .00               | 23,746            | .00               | .00            | .00                        |
| 51.42.549.00                          | OTHER PROF. SERVICES         | 1,067             | 2,455             | 2,500             | 51             | 2,000                      |
| 51.42.549.01                          | BACKFLOW INSPECTIONS         | .00               | .00               | 5,200             | 5,146          | 5,500                      |
| 51.42.551.00                          | POSTAGE                      | 2,573             | 2,575             | 2,000             | 2,575          | 2,400                      |
| 51.42.576.00                          | ELECTRIC                     | .00               | .00               | .00               | .00            | .00                        |
| 51.42.579.00                          | CREDIT CARD FEES             | 5,679             | 7,200             | 5,000             | 8,821          | 11,000                     |
| 51.42.651.01                          | OFFICE SUPPLIES              | .00               | 154               | 400               | .00            | 400                        |
| 51.42.684.00                          | SOFTWARE                     | .00               | 1,838             | 2,500             | .00            | .00                        |
| 51.42.716.00                          | EPA TOWER LOAN               | .00               | 124,105           | 125,660           | 63,218         | 128,820                    |
| 51.42.720.01                          | IL EPA LOAN INTEREST         | 41,037            | 37,992            | 36,440            | 17,830         | 33,280                     |
| 51.42.830.06                          | WATER MAIN REPLACEMENT       | .00               | .00               | 8,000             | 4,526          | .00                        |
| 51.42.831.00                          | METER UPGRADES               | .00               | 20,970            | 20,000            | 18,777         | 23,600                     |
| 51.42.831.01                          | VEHICLE                      | .00               | 2,284             | 15,000            | 14,663         | .00                        |
| 51.42.831.02                          | PV SOLAR                     | .00               | .00               | .00               | .00            | .00                        |
| 51.42.831.03                          | EXCAVATOR                    | .00               | .00               | .00               | .00            | .00                        |
| 51.42.831.04                          | PARK AVE PROJECT             | .00               | .00               | .00               | .00            | 40,000                     |
| 51.42.831.05                          | WATER TOWER SITE IMPROVEMENT | .00               | 15,060            | .00               | .00            | .00                        |
| 51.42.831.06                          | PAINT TOWER 5                | .00               | .00               | .00               | .00            | 100,000                    |
| 51.42.831.07                          | HYDRANT REPLACEMENT          | .00               | .00               | .00               | .00            | 12,500                     |
| 51.42.831.08                          | HYDRANT PAINTING             | .00               | .00               | .00               | .00            | 10,000                     |
| 51.42.852.00                          | EQUIPMENT REPLACEMENT FUND   | .00               | .00               | .00               | .00            | .00                        |
| 51.42.929.00                          | CONTINGENCIES                | 6,052             | 5,429             | 3,500             | 51,717         | 6,300                      |
| 51.42.930.00                          | UNCOLLECTABLE WATER DEBT     | .00               | .00               | .00               | .00            | .00                        |
| 51.42.951.00                          | DEPRECIATION EXPENSE         | 247,589           | .00               | .00               | .00            | .00                        |
| Total WATER DEPARTMENT:               |                              | 691,816           | 705,465           | 666,311           | 814,924        | 840,500                    |
| <b>TRANSFERS</b>                      |                              |                   |                   |                   |                |                            |
| 51.99.999.01                          | TRANSFER TO AUDIT            | 5,500             | 3,175             | 4,025             | 4,025          | .00                        |
| 51.99.999.02                          | TRANSFER TO UNEMPLOYMENT     | .00               | .00               | .00               | .00            | .00                        |
| 51.99.999.03                          | TRANSFER TO WORKERS COMP     | .00               | .00               | .00               | .00            | .00                        |
| 51.99.999.04                          | TRANSFER TO IMRF             | 13,100            | .00               | .00               | .00            | 3,600                      |
| 51.99.999.05                          | TRANSFER TO SOCIAL SECURITY  | .00               | .00               | .00               | .00            | 3,070                      |
| 51.99.999.08                          | TRANSFER TO LIABILITY FUND   | 9,110             | 9,200             | 14,450            | 14,450         | 17,600                     |
| Total TRANSFERS:                      |                              | 27,710            | 12,375            | 18,475            | 18,475         | 24,270                     |
| WATER UTILITY FUND Revenue Total:     |                              | .00               | .00               | .00               | .00            | .00                        |
| WATER UTILITY FUND Expenditure Total: |                              | 719,526           | 717,840           | 684,786           | 833,399        | 864,770                    |
| Net Total WATER UTILITY FUND:         |                              | 719,526-          | 717,840-          | 684,786-          | 833,399-       | 864,770-                   |

**APPENDIX G**

| Account Number                        | Account Title                  | 2014-15<br>Actual | 2015-16<br>Actual | 2016-17<br>Budget | 2016-17<br>YTD | 2017-18<br>Proposed Budget |
|---------------------------------------|--------------------------------|-------------------|-------------------|-------------------|----------------|----------------------------|
| <b>SEWER UTILITY FUND</b>             |                                |                   |                   |                   |                |                            |
| <b>SEWER DEPARTMENT</b>               |                                |                   |                   |                   |                |                            |
| 52.43.411.01                          | SALARIES & WAGES               | 38,968            | 63,577            | 63,468            | 56,955         | 105,350                    |
| 52.43.512.01                          | COMPUTER SUPPORT               | .00               | .00               | 2,500             | 459            | 2,500                      |
| 52.43.515.01                          | EMC W/S CONTRACT               | 339,473           | 284,788           | 330,000           | 221,657        | 339,000                    |
| 52.43.532.00                          | SOFTWARE SUPPORT               | 3,713             | 4,000             | 4,705             | 4,000          | 4,700                      |
| 52.43.532.01                          | SPRING STREET DESIGN           | .00               | .00               | .00               | .00            | .00                        |
| 52.43.532.02                          | SCADA                          | .00               | .00               | 3,000             | .00            | 10,000                     |
| 52.43.532.04                          | I AND I STUDY                  | .00               | .00               | 10,000            | .00            | 8,000                      |
| 52.43.549.00                          | OTHER PROF. SERVICES           | 9,956             | 1,765             | 3,000             | 150            | 2,000                      |
| 52.43.549.01                          | PRESSURE SEWER STUDY           | .00               | .00               | 20,000            | 20,885         | .00                        |
| 52.43.551.00                          | POSTAGE                        | 1,323             | 1,325             | 1,500             | 1,325          | 1,300                      |
| 52.43.553.00                          | PUBLISHING/PRINTING            | .00               | 1,670             | 1,500             | 1,431          | 1,800                      |
| 52.43.570.00                          | NPDES Permit                   | 17,200            | 18,003            | 18,500            | 18,000         | 18,500                     |
| 52.43.576.00                          | ELECTRIC                       | .00               | .00               | .00               | .00            | .00                        |
| 52.43.615.00                          | TV & CLEANING OF SEWERS        | 2,103             | .00               | 2,000             | .00            | 2,000                      |
| 52.43.651.00                          | OFFICE SUPPLIES                | .00               | 184               | 300               | .00            | 300                        |
| 52.43.716.00                          | SERIES 2010 B GO BOND PRIN     | .00               | 255,000           | 265,000           | 265,000        | 275,000                    |
| 52.43.716.01                          | SOLAR LOAN PRINCIPAL           | .00               | 30,000            | 30,000            | 30,000         | 35,000                     |
| 52.43.742.00                          | SERIES 2010 B GO BOND INTEREST | 315,883           | 309,633           | 302,000           | 301,983        | 293,370                    |
| 52.43.742.01                          | SOLAR LOAN INTEREST            | 6,655             | 5,503             | 5,145             | 2,572          | 4,620                      |
| 52.43.850.05                          | THIRD & RIVES SEWER            | .00               | 228,823           | 22,233            | 22,233         | .00                        |
| 52.43.850.06                          | NEW TRUCK - WATER / SEWER      | .00               | 2,284             | 15,000            | 8,000          | .00                        |
| 52.43.850.09                          | BOUTHILLIER ST LIFT STATION    | .00               | 16,698            | .00               | 1,404          | .00                        |
| 52.43.850.10                          | PV SOLAR PROJECT               | .00               | .00               | 9,000             | .00            | .00                        |
| 52.43.850.11                          | BARTELL SEWER                  | .00               | .00               | .00               | .00            | 95,000                     |
| 52.43.850.12                          | PARK AVENUE                    | .00               | 3,845             | .00               | .00            | .00                        |
| 52.43.850.13                          | END LOADER                     | .00               | .00               | .00               | .00            | .00                        |
| 52.43.850.14                          | UV CONTROLLER                  | .00               | .00               | .00               | .00            | 16,000                     |
| 52.43.851.00                          | EQUIP REPLACEMENT FUND (EPA)   | .00               | 6,352             | .00               | .00            | .00                        |
| 52.43.929.00                          | CONTINGENCY                    | 1,928             | 2,000             | 4,000             | 21,129         | 8,600                      |
| 52.43.930.00                          | UNCOLLECTABLE SEWER DEBT       | .00               | .00               | .00               | .00            | .00                        |
| 52.43.951.00                          | DEPRECIATION EXPENSE           | 856,875           | .00               | .00               | .00            | .00                        |
| 52.43.960.00                          | AMORTIZATION COSTS             | 639               | .00               | .00               | .00            | .00                        |
| Total SEWER DEPARTMENT:               |                                | 1,594,716         | 1,235,450         | 1,112,851         | 977,182        | 1,223,040                  |
| <b>TRANSFERS</b>                      |                                |                   |                   |                   |                |                            |
| 52.99.999.01                          | TRANSFER TO AUDIT              | 5,500             | 3,175             | 4,025             | 4,025          | .00                        |
| 52.99.999.02                          | TRANSFER TO UNEMPLOYMENT       | .00               | .00               | .00               | .00            | .00                        |
| 52.99.999.03                          | TRANSFER TO WORKERS COMP       | .00               | .00               | .00               | .00            | .00                        |
| 52.99.999.04                          | TRANSFER TO IMRF               | 13,100            | .00               | .00               | .00            | 3,600                      |
| 52.99.999.05                          | TRANSFER TO SOCIAL SECURITY    | .00               | .00               | .00               | .00            | 3,070                      |
| 52.99.999.08                          | TRANSFER TO LIABILITY FUND     | 9,110             | 9,200             | 14,450            | 14,450         | 17,600                     |
| Total TRANSFERS:                      |                                | 27,710            | 12,375            | 18,475            | 18,475         | 24,270                     |
| SEWER UTILITY FUND Revenue Total:     |                                | .00               | .00               | .00               | .00            | .00                        |
| SEWER UTILITY FUND Expenditure Total: |                                | 1,622,426         | 1,247,825         | 1,131,326         | 995,657        | 1,247,310                  |
| Net Total SEWER UTILITY FUND:         |                                | 1,622,426-        | 1,247,825-        | 1,131,326-        | 995,657-       | 1,247,310-                 |

| Account Number                        | Account Title             | 2015-16<br>Actual | 2016-17<br>Actual | 2017-18<br>Budget | 2017-18<br>YTD | 2018-19<br>Projected Budget |
|---------------------------------------|---------------------------|-------------------|-------------------|-------------------|----------------|-----------------------------|
| <b>WATER UTILITY FUND</b>             |                           |                   |                   |                   |                |                             |
| <b>TAXES</b>                          |                           |                   |                   |                   |                |                             |
| 51.311.0                              | WATER TREAT PROP TAX      | 219               | 19                | 10                | 20             | 10                          |
| Total TAXES:                          |                           | 219               | 19                | 10                | 20             | 10                          |
| <b>PENALTIES</b>                      |                           |                   |                   |                   |                |                             |
| 51.353.0                              | PENALTIES - WATER         | 13,980            | 16,095            | 12,000            | 11,303         | 12,000                      |
| Total PENALTIES:                      |                           | 13,980            | 16,095            | 12,000            | 11,303         | 12,000                      |
| <b>RECEIPTS</b>                       |                           |                   |                   |                   |                |                             |
| 51.361.0                              | WATER RECEIPTS            | 584,395           | 592,261           | 600,000           | 533,133        | 600,000                     |
| 51.364.0                              | WATER CONNECTIONS         | 6,900             | 7,200             | 5,000             | 1,050          | 5,000                       |
| Total RECEIPTS:                       |                           | 591,295           | 599,461           | 605,000           | 534,183        | 605,000                     |
| <b>OTHER REVENUES</b>                 |                           |                   |                   |                   |                |                             |
| 51.381.0                              | INTEREST (WATER)          | 4,440             | 4,901             | 4,000             | 1,081          | 4,500                       |
| 51.382.0                              | WATER TOWER LEASES        | 73,346            | 80,366            | 76,200            | 68,823         | 78,400                      |
| 51.382.1                              | 2018 EPA LOAN             | .00               | .00               | .00               | .00            | .00                         |
| 51.389.0                              | MISCELLAENOUS (WATER)     | 31,656            | 5,550             | 14,585            | 7,270          | 9,000                       |
| Total OTHER REVENUES:                 |                           | 109,442           | 90,817            | 94,785            | 77,174         | 91,900                      |
| <b>TRANSFERS</b>                      |                           |                   |                   |                   |                |                             |
| 51.391.0                              | GAIN ON DISPOSAL OF ASSET | .00               | .00               | .00               | .00            | .00                         |
| 51.399.5                              | TRANSFER IN               | .00               | .00               | .00               | .00            | .00                         |
| Total TRANSFERS:                      |                           | .00               | .00               | .00               | .00            | .00                         |
| WATER UTILITY FUND Revenue Total:     |                           | 714,936           | 706,392           | 711,795           | 622,681        | 708,910                     |
| WATER UTILITY FUND Expenditure Total: |                           | .00               | .00               | .00               | .00            | .00                         |
| Net Total WATER UTILITY FUND:         |                           | 714,936           | 706,392           | 711,795           | 622,681        | 708,910                     |

| Account Number                        | Account Title                 | 2015-16<br>Actual | 2016-17<br>Actual | 2017-18<br>Budget | 2017-18<br>YTD | 2018-19<br>Projected Budget |
|---------------------------------------|-------------------------------|-------------------|-------------------|-------------------|----------------|-----------------------------|
| <b>SEWER UTILITY FUND</b>             |                               |                   |                   |                   |                |                             |
| <b>TAXES</b>                          |                               |                   |                   |                   |                |                             |
| 52.311.0                              | CHLORINATION PROP TAX         | 19                | 44                | 10                | 20             | 10                          |
| Total TAXES:                          |                               | 19                | 44                | 10                | 20             | 10                          |
| <b>OTHER TAXES</b>                    |                               |                   |                   |                   |                |                             |
| 52.344.0                              | SEWER SALES TAX               | 410,325           | 428,846           | 408,000           | 359,932        | 412,000                     |
| 52.347.0                              | GRANT                         | 184,343           | .00               | .00               | .00            | 10,000                      |
| Total OTHER TAXES:                    |                               | 594,668           | 428,846           | 408,000           | 359,932        | 422,000                     |
| <b>PENALTIES</b>                      |                               |                   |                   |                   |                |                             |
| 52.353.0                              | PENALTIES                     | 12,383            | 13,978            | 10,000            | 12,286         | 12,500                      |
| Total PENALTIES:                      |                               | 12,383            | 13,978            | 10,000            | 12,286         | 12,500                      |
| <b>RECEIPTS</b>                       |                               |                   |                   |                   |                |                             |
| 52.362.0                              | SEWER RECEIPTS                | 686,053           | 702,097           | 720,000           | 632,133        | 710,000                     |
| 52.364.0                              | SEWER CONNECTIONS             | 6,900             | 6,500             | 5,000             | .00            | 5,000                       |
| Total RECEIPTS:                       |                               | 692,953           | 708,597           | 725,000           | 632,133        | 715,000                     |
| <b>OTHER REVENUES</b>                 |                               |                   |                   |                   |                |                             |
| 52.381.0                              | INTEREST (SEWER)              | 6,508             | 7,662             | 5,800             | 2,577          | 4,500                       |
| 52.384.3                              | THIRD & RIVES GRANT           | .00               | 15,100            | .00               | .00            | .00                         |
| 52.389.0                              | MISCELLANEOUS (SEWER)         | 18,106            | .00               | .00               | .00            | .00                         |
| 52.389.2                              | SOLAR ELECTRIC SALES          | 7,385             | 4,733             | 8,500             | 5,440          | 8,500                       |
| Total OTHER REVENUES:                 |                               | 31,999            | 27,495            | 14,300            | 8,017          | 13,000                      |
| <b>TRANSFERS</b>                      |                               |                   |                   |                   |                |                             |
| 52.399.2                              | TRANSFERS IN                  | .00               | .00               | .00               | .00            | 424,200                     |
| 52.399.9                              | TRANSFER TO FIRE FD FROM SEWE | .00               | .00               | 420,000-          | 420,000-       | .00                         |
| Total TRANSFERS:                      |                               | .00               | .00               | 420,000-          | 420,000-       | 424,200                     |
| SEWER UTILITY FUND Revenue Total:     |                               | 1,332,021         | 1,178,960         | 737,310           | 592,389        | 1,586,710                   |
| SEWER UTILITY FUND Expenditure Total: |                               | .00               | .00               | .00               | .00            | .00                         |
| Net Total SEWER UTILITY FUND:         |                               | 1,332,021         | 1,178,960         | 737,310           | 592,389        | 1,586,710                   |

| Account Number                        | Account Title                | 2015-16<br>Actual | 2016-17<br>Actual | 2017-18<br>Budget | 2017-18<br>YTD | 2018-19<br>Proposed Budget |
|---------------------------------------|------------------------------|-------------------|-------------------|-------------------|----------------|----------------------------|
| <b>WATER UTILITY FUND</b>             |                              |                   |                   |                   |                |                            |
| <b>WATER DEPARTMENT</b>               |                              |                   |                   |                   |                |                            |
| 51.42.411.00                          | SALARIES & WAGES             | 69,036            | 78,043            | 127,580           | 83,044         | 129,918                    |
| 51.42.430.00                          | PENSION EXPENSE              | 7,340             | .00               | .00               | .00            | .00                        |
| 51.42.512.00                          | WELL 6 PUMP REFURBISHMENT    | .00               | 32,421            | .00               | .00            | .00                        |
| 51.42.515.00                          | OPERATIONAL CONTRACT         | 388,144           | 432,365           | 339,000           | 340,968        | 330,000                    |
| 51.42.532.00                          | SOFTWARE SUPPORT             | 4,479             | 5,893             | 4,700             | 4,025          | 5,930                      |
| 51.42.532.01                          | WATER SYSTEM STUDY           | 23,746            | .00               | .00               | .00            | .00                        |
| 51.42.532.02                          | SCADA                        | .00               | .00               | .00               | .00            | .00                        |
| 51.42.549.00                          | OTHER PROF. SERVICES         | 2,455             | 51                | 2,000             | 3,375          | 2,000                      |
| 51.42.549.01                          | BACKFLOW INSPECTIONS         | .00               | 5,146             | 5,500             | 4,774          | 5,500                      |
| 51.42.551.00                          | POSTAGE                      | 2,575             | 2,075             | 2,400             | 1,500          | 2,400                      |
| 51.42.576.00                          | ELECTRIC                     | .00               | .00               | .00               | .00            | .00                        |
| 51.42.579.00                          | CREDIT CARD FEES             | 7,200             | 11,093            | 11,000            | 9,652          | 8,000                      |
| 51.42.651.01                          | OFFICE SUPPLIES              | 154               | .00               | 400               | .00            | 300                        |
| 51.42.684.00                          | SOFTWARE                     | 1,838             | .00               | .00               | .00            | .00                        |
| 51.42.716.00                          | EPA TOWER LOAN               | .00               | 127,227           | 128,820           | 130,428        | 132,060                    |
| 51.42.720.01                          | IL EPA LOAN INTEREST         | 37,992            | 34,870            | 33,280            | 31,669         | 30,040                     |
| 51.42.720.02                          | 2018 EPA LOAN                | .00               | .00               | .00               | .00            | .00                        |
| 51.42.830.06                          | WATER MAIN REPLACEMENT       | .00               | 4,392             | .00               | .00            | .00                        |
| 51.42.831.00                          | METER UPGRADES               | .00               | 18,777            | 23,600            | 13,805         | 18,000                     |
| 51.42.831.01                          | VEHICLE                      | .00               | 14,663            | .00               | .00            | .00                        |
| 51.42.831.02                          | PV SOLAR                     | .00               | .00               | .00               | .00            | .00                        |
| 51.42.831.03                          | EXCAVATOR                    | .00               | .00               | .00               | .00            | .00                        |
| 51.42.831.04                          | PARK AVE PROJECT             | .00               | .00               | 40,000            | 53,701         | 15,000                     |
| 51.42.831.05                          | WATER TOWER SITE IMPROVEMENT | .00               | .00               | .00               | .00            | .00                        |
| 51.42.831.06                          | PAINT TOWER 5                | .00               | .00               | 100,000           | .00            | .00                        |
| 51.42.831.07                          | HYDRANT REPLACEMENT          | .00               | .00               | 12,500            | .00            | 12,500                     |
| 51.42.831.08                          | HYDRANT PAINTING             | .00               | .00               | 10,000            | .00            | 10,000                     |
| 51.42.836.06                          | GATEWAY SUB WATER MAIN       | .00               | .00               | .00               | .00            | .00                        |
| 51.42.836.07                          | GEAR STREET WATER MAIN       | .00               | .00               | .00               | .00            | 195,000                    |
| 51.42.852.00                          | EQUIPMENT REPLACEMENT FUND   | .00               | .00               | .00               | .00            | .00                        |
| 51.42.929.00                          | CONTINGENCIES                | 5,429             | 33,857            | 18,825            | 32,990         | 2,500                      |
| 51.42.930.00                          | UNCOLLECTABLE WATER DEBT     | 11,112            | 32,307            | .00               | 2,825          | .00                        |
| 51.42.951.00                          | DEPRECIATION EXPENSE         | 255,084           | .00               | .00               | .00            | .00                        |
| Total WATER DEPARTMENT:               |                              | 816,584           | 833,181           | 859,605           | 712,756        | 899,148                    |
| <b>TRANSFERS</b>                      |                              |                   |                   |                   |                |                            |
| 51.99.999.01                          | TRANSFER TO AUDIT            | 3,175             | 4,025             | .00               | .00            | 5,050                      |
| 51.99.999.02                          | TRANSFER TO UNEMPLOYMENT     | .00               | .00               | .00               | .00            | .00                        |
| 51.99.999.03                          | TRANSFER TO WORKERS COMP     | .00               | .00               | .00               | .00            | 7,560                      |
| 51.99.999.04                          | TRANSFER TO IMRF             | .00               | .00               | 3,600             | 3,600          | 4,150                      |
| 51.99.999.05                          | TRANSFER TO SOCIAL SECURITY  | .00               | .00               | 3,070             | 3,070          | .00                        |
| 51.99.999.08                          | TRANSFER TO LIABILITY FUND   | 9,200             | 14,450            | 17,600            | 17,600         | .00                        |
| Total TRANSFERS:                      |                              | 12,375            | 18,475            | 24,270            | 24,270         | 16,760                     |
| WATER UTILITY FUND Revenue Total:     |                              | .00               | .00               | .00               | .00            | .00                        |
| WATER UTILITY FUND Expenditure Total: |                              | 828,959           | 851,656           | 883,875           | 737,026        | 915,908                    |
| Net Total WATER UTILITY FUND:         |                              | 828,959-          | 851,656-          | 883,875-          | 737,026-       | 915,908-                   |

| Account Number                        | Account Title                  | 2015-16<br>Actual | 2016-17<br>Actual | 2017-18<br>Budget | 2017-18<br>YTD | 2018-19<br>Proposed Budget |
|---------------------------------------|--------------------------------|-------------------|-------------------|-------------------|----------------|----------------------------|
| <b>SEWER UTILITY FUND</b>             |                                |                   |                   |                   |                |                            |
| <b>SEWER DEPARTMENT</b>               |                                |                   |                   |                   |                |                            |
| 52.43.411.01                          | SALARIES & WAGES               | 63,577            | 61,521            | 111,930           | 67,001         | 114,037                    |
| 52.43.430.00                          | PENSION EXPENSE                | 6,759             | .00               | .00               | .00            | .00                        |
| 52.43.512.01                          | COMPUTER SUPPORT               | .00               | 459               | 2,500             | .00            | 2,500                      |
| 52.43.515.01                          | EMC W/S CONTRACT               | 284,788           | 168,775           | 339,000           | 318,555        | 330,000                    |
| 52.43.532.00                          | SOFTWARE SUPPORT               | 4,000             | 4,000             | 4,700             | 4,025          | 5,930                      |
| 52.43.532.01                          | SPRING STREET DESIGN           | .00               | .00               | .00               | .00            | 10,000                     |
| 52.43.532.02                          | SCADA                          | .00               | .00               | 10,000            | .00            | 60,000                     |
| 52.43.532.04                          | I AND I STUDY                  | .00               | .00               | 8,000             | .00            | .00                        |
| 52.43.549.00                          | OTHER PROF. SERVICES           | 1,765             | 150               | 2,000             | 3,561          | 1,000                      |
| 52.43.549.01                          | PRESSURE SEWER STUDY           | .00               | 20,885            | .00               | .00            | .00                        |
| 52.43.551.00                          | POSTAGE                        | 1,325             | 1,075             | 1,300             | 1,150          | 1,300                      |
| 52.43.553.00                          | PUBLISHING/PRINTING            | 1,670             | 1,369             | 1,800             | 1,280          | 1,500                      |
| 52.43.570.00                          | NPDES Permit                   | 18,003            | 18,000            | 18,500            | 18,500         | 18,500                     |
| 52.43.576.00                          | ELECTRIC                       | .00               | .00               | .00               | .00            | .00                        |
| 52.43.615.00                          | TV & CLEANING OF SEWERS        | .00               | .00               | 2,000             | 5,709          | 2,000                      |
| 52.43.651.00                          | OFFICE SUPPLIES                | 184               | .00               | 300               | .00            | 300                        |
| 52.43.716.00                          | SERIES 2010 B GO BOND PRIN     | .00               | 265,000           | 275,000           | 275,000        | 280,000                    |
| 52.43.716.01                          | SOLAR LOAN PRINCIPAL           | .00               | 30,000            | 35,000            | 35,000         | 35,000                     |
| 52.43.742.00                          | SERIES 2010 B GO BOND INTEREST | 309,633           | 301,983           | 293,370           | 293,370        | 283,745                    |
| 52.43.742.01                          | SOLAR LOAN INTEREST            | 5,753             | 2,572             | 4,620             | 4,620          | 4,010                      |
| 52.43.850.05                          | THIRD & RIVES SEWER            | .00               | 22,233            | .00               | .00            | .00                        |
| 52.43.850.06                          | NEW TRUCK - WATER / SEWER      | .00               | 15,000            | .00               | .00            | .00                        |
| 52.43.850.09                          | BOUTHILLIER ST LIFT STATION    | .00               | 1,403             | .00               | 1,568          | .00                        |
| 52.43.850.10                          | PV SOLAR PROJECT               | .00               | .00               | .00               | .00            | .00                        |
| 52.43.850.11                          | BARTELL SEWER                  | .00               | .00               | 95,000            | 22,862         | 110,000                    |
| 52.43.850.12                          | PARK AVENUE                    | .00               | .00               | .00               | .00            | .00                        |
| 52.43.850.13                          | END LOADER                     | .00               | .00               | .00               | .00            | .00                        |
| 52.43.850.14                          | UV CONTROLLER                  | .00               | .00               | 16,000            | .00            | 22,500                     |
| 52.43.851.00                          | EQUIP REPLACEMENT FUND (EPA)   | .00               | .00               | .00               | .00            | .00                        |
| 52.43.929.00                          | CONTINGENCY                    | 2,000             | 20,417            | 32,470            | 30,565         | 2,500                      |
| 52.43.930.00                          | UNCOLLECTABLE SEWER DEBT       | 10,920            | 189               | .00               | .00            | .00                        |
| 52.43.951.00                          | DEPRECIATION EXPENSE           | 866,543           | .00               | .00               | .00            | .00                        |
| 52.43.960.00                          | AMORTIZATION COSTS             | 639               | .00               | .00               | .00            | .00                        |
| Total SEWER DEPARTMENT:               |                                | 1,577,558         | 935,030           | 1,253,490         | 1,082,765      | 1,284,822                  |
| <b>TRANSFERS</b>                      |                                |                   |                   |                   |                |                            |
| 52.99.999.01                          | TRANSFER TO AUDIT              | 3,175             | 4,025             | .00               | .00            | 5,050                      |
| 52.99.999.02                          | TRANSFER TO UNEMPLOYMENT       | .00               | .00               | .00               | .00            | .00                        |
| 52.99.999.03                          | TRANSFER TO WORKERS COMP       | .00               | .00               | .00               | .00            | 7,560                      |
| 52.99.999.04                          | TRANSFER TO IMRF               | .00               | .00               | 3,600             | 3,600          | 4,150                      |
| 52.99.999.05                          | TRANSFER TO SOCIAL SECURITY    | .00               | .00               | 3,070             | 3,070          | .00                        |
| 52.99.999.08                          | TRANSFER TO LIABILITY FUND     | 9,200             | 14,450            | 17,600            | 17,600         | .00                        |
| Total TRANSFERS:                      |                                | 12,375            | 18,475            | 24,270            | 24,270         | 16,760                     |
| SEWER UTILITY FUND Revenue Total:     |                                | .00               | .00               | .00               | .00            | .00                        |
| SEWER UTILITY FUND Expenditure Total: |                                | 1,589,933         | 953,505           | 1,277,760         | 1,107,035      | 1,301,582                  |
| Net Total SEWER UTILITY FUND:         |                                | 1,589,933-        | 953,505-          | 1,277,760-        | 1,107,035-     | 1,301,582-                 |

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF FUND NET POSITION  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
APRIL 30, 2014

|   | Business-Type Activities - Enterprise Funds |                      |                               |                                 | Total                |
|---|---|----------------------|-------------------------------|---------------------------------|----------------------|
|   | Water Fund                                  | Sewer Fund           | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |                      |
| <b>ASSETS:</b>                          |   |                      |                               |                                 |                      |
| <u>Current Assets:</u>                  |   |                      |                               |                                 |                      |
| Cash, Deposits & Investments            | \$ 832,234                                  | \$ 2,654,537         | \$ 166,664                    | \$ 105,009                      | \$ 3,758,444         |
| Accounts Receivable                     | 106,738                                     | 92,424               | 26,712                        | -                               | 225,874              |
| Total Current Assets                    | <u>\$ 938,972</u>                           | <u>\$ 2,746,961</u>  | <u>\$ 193,376</u>             | <u>\$ 105,009</u>               | <u>\$ 3,984,318</u>  |
| <u>Noncurrent Assets:</u>               |   |                      |                               |                                 |                      |
| Cash, Deposits & Investments            | \$ 309,188                                  | \$ 103,500           | \$ -                          | \$ -                            | \$ 412,688           |
| Restricted Cash, Deposits & Investments | 60,000                                      | -                    | -                             | -                               | 60,000               |
| Bond Discount Fees                      | -   | 42,222               | -                             | 2,940                           | 45,162               |
| Less: Amortization                      | -   | (5,210)              | -                             | (392)                           | (5,602)              |
| <u>Capital Assets:</u>                  |   |                      |                               |                                 |                      |
| Land and Improvements                   | 41,830                                      | 95,000               | -                             | -                               | 136,830              |
| Distribution and Collection Systems     | 7,559,512                                   | 19,002,201           | -                             | -                               | 26,561,713           |
| Buildings and Equipment                 | 1,052,247                                   | 1,126,040            | -                             | 2,217,315                       | 4,395,602            |
| Less: Accumulated Depreciation          | (5,914,158)                                 | (11,350,242)         | -                             | (1,594,848)                     | (18,859,248)         |
| Net Capital Assets                      | <u>\$ 2,739,431</u>                         | <u>\$ 8,872,999</u>  | <u>\$ -</u>                   | <u>\$ 622,467</u>               | <u>\$ 12,234,897</u> |
| Total Noncurrent Assets                 | <u>\$ 3,108,619</u>                         | <u>\$ 9,013,511</u>  | <u>\$ -</u>                   | <u>\$ 625,015</u>               | <u>\$ 12,747,145</u> |
| <b>TOTAL ASSETS</b>                     | <u>\$ 4,047,591</u>                         | <u>\$ 11,760,472</u> | <u>\$ 193,376</u>             | <u>\$ 730,024</u>               | <u>\$ 16,731,463</u> |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF FUND NET POSITION  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
APRIL 30, 2014

|  | Business-Type Activities - Enterprise Funds |                     |                               |                                 |                      |
|--|---|---------------------|-------------------------------|---------------------------------|----------------------|
|  | Water Fund                                  | Sewer Fund          | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds | Total                |
| <b>LIABILITIES:</b>                                |   |                     |                               |                                 |                      |
| <u>Current Liabilities:</u>                        |   |                     |                               |                                 |                      |
| Bank Overdraft                                     | \$ -  | \$ 1,460,813        | \$ 4,276                      | \$ 36,419                       | \$ 1,501,508         |
| Deferred Revenue                                   | -   | -                   | -                             | 100                             | 100                  |
| Bond Premium - Deferred                            | -   | -                   | -                             | 7,726                           | 7,726                |
| Less: Amortization                                 | -   | -                   | -                             | (1,408)                         | (1,408)              |
| Current Portion of Bonds<br>and Notes Payable      | 119,565                                     | 279,500             | -                             | 17,500                          | 416,565              |
| Total Current Liabilities                          | <u>\$ 119,565</u>                           | <u>\$ 1,740,313</u> | <u>\$ 4,276</u>               | <u>\$ 60,337</u>                | <u>\$ 1,924,491</u>  |
| <u>Noncurrent Liabilities:</u>                     |   |                     |                               |                                 |                      |
| Bonds and Notes Payable                            | \$ 1,611,405                                | \$ 7,781,000        | \$ -                          | \$ 128,290                      | \$ 9,520,695         |
| Total Noncurrent Liabilities                       | <u>\$ 1,611,405</u>                         | <u>\$ 7,781,000</u> | <u>\$ -</u>                   | <u>\$ 128,290</u>               | <u>\$ 9,520,695</u>  |
| <b>TOTAL LIABILITIES</b>                           | <u>\$ 1,730,970</u>                         | <u>\$ 9,521,313</u> | <u>\$ 4,276</u>               | <u>\$ 188,627</u>               | <u>\$ 11,445,186</u> |
| <b>NET POSITION:</b>                               |   |                     |                               |                                 |                      |
| Invested in Capital Assets,<br>Net of Related Debt | \$ 1,008,461                                | \$ 812,499          | \$ -                          | \$ 476,677                      | \$ 2,297,637         |
| Restricted for Debt Service                        | 60,000                                      | -                   | -                             | -                               | 60,000               |
| Unrestricted                                       | 1,248,160                                   | 1,426,660           | 189,100                       | 64,720                          | 2,928,640            |
| <b>TOTAL NET POSITION</b>                          | <u>\$ 2,316,621</u>                         | <u>\$ 2,239,159</u> | <u>\$ 189,100</u>             | <u>\$ 541,397</u>               | <u>\$ 5,286,277</u>  |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

**STATEMENT OF REVENUES, EXPENSES AND CHANGES IN FUND NET POSITION -  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2014**

|   | Business-Type Activities - Enterprise Funds |                     |                               |                                 | Total               |
|---|---|---------------------|-------------------------------|---------------------------------|---------------------|
|   | Water Fund                                  | Sewer Fund          | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |                     |
| <b><u>OPERATING REVENUES:</u></b>                 |   |                     |                               |                                 |                     |
| Charges for Services                              | \$ 611,840                                  | \$ 721,121          | \$ 237,061                    | \$ 72,424                       | \$ 1,642,446        |
| Penalties   | 17,035                                      | 17,201              | 7,104                         | -                               | 41,340              |
| Concessions                                       | -   | -                   | -                             | 26,882                          | 26,882              |
| Rent  | 73,093                                      | -                   | -                             | 22,919                          | 96,012              |
| Other - Miscellaneous                             | 13,082                                      | 20,988              | 1,317                         | 28,143                          | 63,530              |
| <b>TOTAL OPERATING REVENUES</b>                   | <b>\$ 715,050</b>                           | <b>\$ 759,310</b>   | <b>\$ 245,482</b>             | <b>\$ 150,368</b>               | <b>\$ 1,870,210</b> |
| <b><u>OPERATING EXPENSES:</u></b>                 |   |                     |                               |                                 |                     |
| Personnel   | \$ 42,634                                   | \$ 37,159           | \$ 8,421                      | \$ 66,998                       | \$ 155,212          |
| Maintenance Services                              | 327,419                                     | 322,113             | 219,978                       | 38,025                          | 907,535             |
| Professional Services                             | 3,088                                       | 1,455               | -                             | -                               | 4,543               |
| Communications                                    | 2,149                                       | 2,989               | -                             | 694                             | 5,832               |
| Services and Charges                              | 4,725                                       | 20,328              | 4,466                         | 67,139                          | 96,658              |
| General Supplies                                  | 14,889                                      | -                   | -                             | 22,467                          | 37,356              |
| Other Expenditures                                | 6,758                                       | 639                 | 7,831                         | 1,100                           | 16,328              |
| Depreciation and Amortization                     | 244,484                                     | 851,787             | -                             | 75,997                          | 1,172,268           |
| <b>TOTAL OPERATING EXPENSES</b>                   | <b>\$ 646,146</b>                           | <b>\$ 1,236,470</b> | <b>\$ 240,696</b>             | <b>\$ 272,420</b>               | <b>\$ 2,395,732</b> |
| Operating Income (Loss)                           | \$ 68,904                                   | \$ (477,160)        | \$ 4,786                      | \$ (122,052)                    | \$ (525,522)        |
| <b><u>NONOPERATING REVENUES</u></b>               |   |                     |                               |                                 |                     |
| <b><u>(EXPENSES):</u></b>                         |   |                     |                               |                                 |                     |
| Bond Premium Amortization                         | \$ -  | \$ -                | \$ -                          | \$ 768                          | \$ 768              |
| Interest Earnings                                 | 12,471                                      | 8,075               | 1,522                         | 726                             | 22,794              |
| Interest Expense                                  | (44,008)                                    | (328,136)           | -                             | (4,209)                         | (376,353)           |
| Property Taxes Revenue                            | 19  | 19                  | 19                            | -                               | 57                  |
| Sales Taxes Revenue                               | -   | 376,970             | -                             | -                               | 376,970             |
| <b>TOTAL NONOPERATING<br/>REVENUES (EXPENSES)</b> | <b>\$ (31,518)</b>                          | <b>\$ 56,928</b>    | <b>\$ 1,541</b>               | <b>\$ (2,715)</b>               | <b>\$ 24,236</b>    |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

**STATEMENT OF REVENUES, EXPENSES AND CHANGES IN FUND NET POSITION -  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2014**

|   | <u>Business-Type Activities - Enterprise Funds</u> |                           |  |  | <u>Total</u>               |
|---|--|---------------------------|--|--|----------------------------|
|   | <u>Water Fund</u>                                  | <u>Sewer Fund</u>         | <u>Garbage<br/>and Refuse<br/>Fund</u> | <u>Nonmajor<br/>Enterprise<br/>Funds</u> |                            |
| Income (Loss) Before Contributions<br>and Transfers | \$ 37,386  | \$ (420,232)              | \$ 6,327                               | \$ (124,767)                             | \$ (501,286)               |
| Transfers In  | -  | -                         | -                                      | 95,000                                   | 95,000                     |
| Transfers Out                                       | (34,000)   | (26,000)                  | (7,045)                                | (37,660)                                 | (104,705)                  |
| Change in Net Position                              | \$ 3,386   | \$ (446,232)              | \$ (718)                               | \$ (67,427)                              | \$ (510,991)               |
| TOTAL NET POSITION - BEGINNING                      | <u>2,313,235</u>                                   | <u>2,685,391</u>          | <u>189,818</u>                         | <u>608,824</u>                           | <u>5,797,268</u>           |
| <b>TOTAL NET POSITION - ENDING</b>                  | <u><u>\$2,316,621</u></u>                          | <u><u>\$2,239,159</u></u> | <u><u>\$ 189,100</u></u>               | <u><u>\$ 541,397</u></u>                 | <u><u>\$ 5,286,277</u></u> |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF CASH FLOWS - MODIFIED CASH BASIS  
PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2014

|   | Business-Type Activities - Enterprise Funds |                     |                               |                                 | Total               |
|---|---|---------------------|-------------------------------|---------------------------------|---------------------|
|   | Water Fund                                  | Sewer Fund          | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |                     |
| <b><u>CASH FLOWS FROM OPERATING ACTIVITIES:</u></b>                     |   |                     |                               |                                 |                     |
| Receipts from Customers   | \$ 696,965                                  | \$ 730,964          | \$ 240,017                    | \$ 122,225                      | \$ 1,790,171        |
| Payments to Suppliers for Goods and Services                            | (359,028)                                   | (347,524)           | (232,277)                     | (129,425)                       | (1,068,254)         |
| Payments to Employees for Services                                      | (42,634)                                    | (37,159)            | (8,421)                       | (66,998)                        | (155,212)           |
| Other Receipts/(Payments)   | 13,082                                      | 20,988              | 1,317                         | 28,143                          | 63,530              |
| Net Cash Provided (Used) by Operating Activities                        | <u>\$ 308,385</u>                           | <u>\$ 367,269</u>   | <u>\$ 636</u>                 | <u>\$ (46,055)</u>              | <u>\$ 630,235</u>   |
| <b><u>CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES:</u></b>          |   |                     |                               |                                 |                     |
| Transfers In/(Out)  | \$ (34,000)                                 | \$ (26,000)         | \$ (7,045)                    | \$ 57,340                       | \$ (9,705)          |
| Property Taxes Received   | 19  | 19                  | 19                            | -                               | 57                  |
| Sales Taxes Received  | -   | 376,970             | -                             | -                               | 376,970             |
| Net Cash Provided (Used) by Noncapital Financing Activities             | <u>\$ (33,981)</u>                          | <u>\$ 350,989</u>   | <u>\$ (7,026)</u>             | <u>\$ 57,340</u>                | <u>\$ 367,322</u>   |
| <b><u>CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES:</u></b> |   |                     |                               |                                 |                     |
| Purchases of Capital Assets   | \$ (8,047)                                  | \$ (9,625)          | \$ -                          | \$ (17,014)                     | \$ (34,686)         |
| Bond Discount   | -   | 638                 | -                             | -                               | 638                 |
| Principal Paid on Capital Debt  | (58,678)                                    | (274,500)           | -                             | (29,210)                        | (362,388)           |
| Interest Paid on Capital Debt   | (44,008)                                    | (328,136)           | -                             | (4,209)                         | (376,353)           |
| Net Cash (Used) in Capital and Related Financing Activities             | <u>\$ (110,733)</u>                         | <u>\$ (611,623)</u> | <u>\$ -</u>                   | <u>\$ (50,433)</u>              | <u>\$ (772,789)</u> |
| <b><u>CASH FLOWS FROM INVESTING ACTIVITIES:</u></b>                     |   |                     |                               |                                 |                     |
| Interest Earned on Deposits   | \$ 12,471                                   | \$ 8,075            | \$ 1,522                      | \$ 726                          | \$ 22,794           |
| Total Cash Flows from Investing Activities                              | <u>\$ 12,471</u>                            | <u>\$ 8,075</u>     | <u>\$ 1,522</u>               | <u>\$ 726</u>                   | <u>\$ 22,794</u>    |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF CASH FLOWS - MODIFIED CASH BASIS  
PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2014

|  | <u>Business-Type Activities - Enterprise Funds</u> |                     |  |  | <u>Total</u>        |
|--|--|---------------------|--|--|---------------------|
|  | <u>Water Fund</u>                                  | <u>Sewer Fund</u>   | <u>Garbage<br/>and Refuse<br/>Fund</u> | <u>Nonmajor<br/>Enterprise<br/>Funds</u> |                     |
| Net Increase (Decrease) in Cash and Cash Equivalents   | \$ 176,142   | \$ 114,710          | \$ (4,868)                             | \$ (38,422)                              | \$ 247,562          |
| BALANCE - BEGINNING OF YEAR  | 1,025,280  | 1,182,514           | 167,256                                | 107,012                                  | 2,482,062           |
| BALANCE - END OF YEAR  | <u>\$ 1,201,422</u>                                | <u>\$ 1,297,224</u> | <u>\$ 162,388</u>                      | <u>\$ 68,590</u>                         | <u>\$ 2,729,624</u> |
| <b><u>RECONCILIATION OF OPERATING INCOME (LOSS) TO NET CASH PROVIDED (USED) BY OPERATING ACTIVITIES:</u></b> |  |                     |  |  |                     |
| Operating Income (Loss)  | \$ 68,904  | \$ (477,160)        | \$ 4,786                               | \$ (122,052)                             | \$ (525,522)        |
| Adjustments to Reconcile Operating Income to Net Cash Provided (Used) by Operating Activities:               |  |                     |  |  |                     |
| Amortization of Cost   | -  | -                   | -                                      | 294                                      | 294                 |
| Depreciation and Amortization Expense  | 244,484  | 851,787             | -                                      | 75,703                                   | 1,171,974           |
| Deferred Revenue   | -  | -                   | -                                      | -  | -                   |
| Changes in Assets and Liabilities:   |  |                     |  |  |                     |
| Accounts Receivable  | (5,003)  | (7,358)             | (4,150)                                | -  | (16,511)            |
| Net Cash Provided (Used) by Operating Activities   | <u>\$ 308,385</u>                                  | <u>\$ 367,269</u>   | <u>\$ 636</u>                          | <u>\$ (46,055)</u>                       | <u>\$ 630,235</u>   |
| <b><u>RECONCILIATION OF TOTAL CASH AND CASH EQUIVALENT TO THE STATEMENT OF NET ASSETS:</u></b>               |  |                     |  |  |                     |
| Current Assets:  |  |                     |  |  |                     |
| Cash, Deposits & Investments   | \$ 832,234   | \$ 2,654,537        | \$ 166,664                             | \$ 105,009                               | \$ 3,758,444        |
| Noncurrent Assets:   |  |                     |  |  |                     |
| Cash, Deposits & Investments   | 369,188  | 103,500             | -                                      | -  | 472,688             |
| Current Liabilities:   |  |                     |  |  |                     |
| Bank Overdraft   | -  | (1,460,813)         | (4,276)                                | (36,419)                                 | (1,501,508)         |
| TOTAL CASH AND CASH EQUIVALENTS AT THE END OF YEAR   | <u>\$ 1,201,422</u>                                | <u>\$ 1,297,224</u> | <u>\$ 162,388</u>                      | <u>\$ 68,590</u>                         | <u>\$ 2,729,624</u> |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF FUND NET POSITION  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
APRIL 30, 2015

|  | Business-Type Activities - Enterprise Funds |                      |                               |                                 |                      |
|--|---|----------------------|-------------------------------|---------------------------------|----------------------|
|  | Water Fund                                  | Sewer Fund           | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds | Total                |
| <b>ASSETS:</b>                             |   |                      |                               |                                 |                      |
| <u>Current Assets:</u>                     |   |                      |                               |                                 |                      |
| Cash, Deposits & Investments               | \$ 343,943                                  | \$ 2,374,481         | \$ 930                        | \$ 52,604                       | \$ 2,771,958         |
| Accounts Receivable                        | 107,100                                     | 94,119               | 24,767                        | -                               | 225,986              |
| Total Current Assets                       | <u>\$ 451,043</u>                           | <u>\$ 2,468,600</u>  | <u>\$ 25,697</u>              | <u>\$ 52,604</u>                | <u>\$ 2,997,944</u>  |
| <u>Noncurrent Assets:</u>                  |   |                      |                               |                                 |                      |
| Cash, Deposits & Investments               | \$ 725,927                                  | \$ 750,823           | \$ 167,003                    | \$ -                            | \$ 1,643,753         |
| Restricted Cash, Deposits &<br>Investments | 60,000                                      | -                    | -                             | -                               | 60,000               |
| Bond Discount Fees                         | -   | 42,222               | -                             | 2,940                           | 45,162               |
| Less: Amortization                         | -   | (5,849)              | -                             | (686)                           | (6,535)              |
| <u>Capital Assets:</u>                     |   |                      |                               |                                 |                      |
| Land and Improvements                      | 41,830                                      | 95,000               | -                             | -                               | 136,830              |
| Distribution and Collection<br>Systems     | 7,662,295                                   | 19,223,911           | -                             | -                               | 26,886,206           |
| Buildings and Equipment                    | 1,127,673                                   | 1,173,164            | 6,049                         | 2,360,462                       | 4,667,348            |
| Less: Accumulated<br>Depreciation          | (6,149,747)                                 | (12,207,116)         | (504)                         | (1,668,628)                     | (20,025,995)         |
| Net Capital Assets                         | <u>\$ 2,682,051</u>                         | <u>\$ 8,284,959</u>  | <u>\$ 5,545</u>               | <u>\$ 691,834</u>               | <u>\$ 11,664,389</u> |
| Total Noncurrent Assets                    | <u>\$ 3,467,978</u>                         | <u>\$ 9,072,155</u>  | <u>\$ 172,548</u>             | <u>\$ 694,088</u>               | <u>\$ 13,406,769</u> |
| <b>TOTAL ASSETS</b>                        | <u>\$ 3,919,021</u>                         | <u>\$ 11,540,755</u> | <u>\$ 198,245</u>             | <u>\$ 746,692</u>               | <u>\$ 16,404,713</u> |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF FUND NET POSITION  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
APRIL 30, 2015

|  | Business-Type Activities - Enterprise Funds |                     |                               |                                 |                      |
|--|---|---------------------|-------------------------------|---------------------------------|----------------------|
|  | Water Fund                                  | Sewer Fund          | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds | Total                |
| <b>LIABILITIES:</b>                                |   |                     |                               |                                 |                      |
| <u>Current Liabilities:</u>                        |   |                     |                               |                                 |                      |
| Bank Overdraft                                     | \$ -  | \$ 2,009,960        | \$ 1,474                      | \$ 141,875                      | \$ 2,153,309         |
| Bond Premium                                       | -   | -                   | -                             | 5,650                           | 5,650                |
| Less: Amortization                                 | -   | -                   | -                             | -                               | -                    |
| Current Portion of Bonds<br>and Notes Payable      | 122,572                                     | 284,500             | -                             | 17,500                          | 424,572              |
| Total Current Liabilities                          | <u>\$ 122,572</u>                           | <u>\$ 2,294,460</u> | <u>\$ 1,474</u>               | <u>\$ 165,025</u>               | <u>\$ 2,583,531</u>  |
| <u>Noncurrent Liabilities:</u>                     |   |                     |                               |                                 |                      |
| Bonds and Notes Payable                            | \$ 1,427,927                                | \$ 7,496,750        | \$ -                          | \$ 113,650                      | \$ 9,038,327         |
| Total Noncurrent Liabilities                       | <u>\$ 1,427,927</u>                         | <u>\$ 7,496,750</u> | <u>\$ -</u>                   | <u>\$ 113,650</u>               | <u>\$ 9,038,327</u>  |
| <b>TOTAL LIABILITIES</b>                           | <u>\$ 1,550,499</u>                         | <u>\$ 9,791,210</u> | <u>\$ 1,474</u>               | <u>\$ 278,675</u>               | <u>\$ 11,621,858</u> |
| <b>NET POSITION:</b>                               |   |                     |                               |                                 |                      |
| Invested in Capital Assets,<br>Net of Related Debt | \$ 1,131,552                                | \$ 503,709          | \$ 5,545                      | \$ 560,684                      | \$ 2,201,490         |
| Restricted for Debt Service                        | 60,000                                      | -                   | -                             | -                               | 60,000               |
| Unrestricted                                       | 1,176,970                                   | 1,245,836           | 191,226                       | (92,667)                        | 2,521,365            |
| <b>TOTAL NET POSITION</b>                          | <u>\$ 2,368,522</u>                         | <u>\$ 1,749,545</u> | <u>\$ 196,771</u>             | <u>\$ 468,017</u>               | <u>\$ 4,782,855</u>  |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF REVENUES, EXPENSES AND CHANGES IN FUND NET POSITION -  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2015

|   | Business-Type Activities - Enterprise Funds |                     |                               |                                 | Total               |
|---|---|---------------------|-------------------------------|---------------------------------|---------------------|
|   | Water Fund                                  | Sewer Fund          | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |                     |
| <b><u>OPERATING REVENUES:</u></b>                   |   |                     |                               |                                 |                     |
| Charges for Services                                | \$ 587,841                                  | \$ 700,215          | \$ 236,601                    | \$ 91,669                       | \$ 1,616,326        |
| Penalties   | 10,826                                      | 9,848               | 5,378                         | -                               | 26,052              |
| Concessions   | -   | -                   | -                             | 24,561                          | 24,561              |
| Rent  | 71,266                                      | -                   | -                             | 23,036                          | 94,302              |
| Other - Miscellaneous                               | 94,860                                      | 19,224              | 986                           | 1,891                           | 116,961             |
| <b>TOTAL OPERATING REVENUES</b>                     | <b>\$ 764,793</b>                           | <b>\$ 729,287</b>   | <b>\$ 242,965</b>             | <b>\$ 141,157</b>               | <b>\$ 1,878,202</b> |
| <b><u>OPERATING EXPENSES:</u></b>                   |   |                     |                               |                                 |                     |
| Personnel   | \$ 44,632                                   | \$ 38,968           | \$ 8,652                      | \$ 62,416                       | \$ 154,668          |
| Maintenance Services                                | 339,473                                     | 339,473             | 218,592                       | 37,738                          | 935,276             |
| Professional Services                               | 4,780                                       | 13,669              | -                             | -                               | 18,449              |
| Communications                                      | 2,573                                       | 1,323               | 4,728                         | 1,401                           | 10,025              |
| Services and Charges                                | 5,679                                       | 19,303              | 1,020                         | 30,038                          | 56,040              |
| General Supplies                                    | -   | -                   | 2,178                         | 46,289                          | 48,467              |
| Other Expenditures                                  | 6,052                                       | 1,927               | 1,122                         | 7,030                           | 16,131              |
| Depreciation and Amortization                       | 247,589                                     | 857,514             | 504                           | 74,072                          | 1,179,679           |
| <b>TOTAL OPERATING EXPENSES</b>                     | <b>\$ 650,778</b>                           | <b>\$ 1,272,177</b> | <b>\$ 236,796</b>             | <b>\$ 258,984</b>               | <b>\$ 2,418,735</b> |
| Operating Income (Loss)                             | \$ 114,015                                  | \$ (542,890)        | \$ 6,169                      | \$ (117,827)                    | \$ (540,533)        |
| <b><u>NONOPERATING REVENUES<br/>(EXPENSES):</u></b> |   |                     |                               |                                 |                     |
| Bond Premium Amortization                           | \$ -  | \$ -                | \$ -                          | \$ 768                          | \$ 768              |
| Interest Earnings                                   | 4,113                                       | 5,792               | 1,482                         | 723                             | 12,110              |
| Interest Expense                                    | (41,037)                                    | (322,537)           | -                             | (1,955)                         | (365,529)           |
| Property Taxes Revenue                              | 20  | 20                  | 20                            | -                               | 60                  |
| Sales Taxes Revenue                                 | -   | 397,712             | -                             | -                               | 397,712             |
| Gain on Disposal of Asset                           | 2,500                                       | -                   | -                             | -                               | 2,500               |
| <b>TOTAL NONOPERATING<br/>REVENUES (EXPENSES)</b>   | <b>\$ (34,404)</b>                          | <b>\$ 80,987</b>    | <b>\$ 1,502</b>               | <b>\$ (464)</b>                 | <b>\$ 47,621</b>    |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

**STATEMENT OF REVENUES, EXPENSES AND CHANGES IN FUND NET POSITION -  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2015**

|   | <u>Business-Type Activities - Enterprise Funds</u> |                    |  |  | <u>Total</u>        |
|---|--|--------------------|--|--|---------------------|
|   | <u>Water Fund</u>                                  | <u>Sewer Fund</u>  | <u>Garbage<br/>and Refuse<br/>Fund</u> | <u>Nonmajor<br/>Enterprise<br/>Funds</u> |                     |
| Income (Loss) Before Contributions<br>and Transfers | \$ 79,611  | \$ (461,903)       | \$ 7,671                               | \$ (118,291)                             | \$ (492,912)        |
| Transfers In  | -  | -                  | -                                      | 82,465                                   | 82,465              |
| Transfers Out                                       | (27,710)   | (27,710)           | -                                      | (37,555)                                 | (92,975)            |
| Change in Net Position                              | \$ 51,901  | \$ (489,613)       | \$ 7,671                               | \$ (73,381)                              | \$ (503,422)        |
| TOTAL NET POSITION - BEGINNING                      | <u>2,316,621</u>                                   | <u>2,239,158</u>   | <u>189,100</u>                         | <u>541,398</u>                           | <u>5,286,277</u>    |
| TOTAL NET POSITION - ENDING                         | <u>\$2,368,522</u>                                 | <u>\$1,749,545</u> | <u>\$ 196,771</u>                      | <u>\$ 468,017</u>                        | <u>\$ 4,782,855</u> |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF CASH FLOWS - MODIFIED CASH BASIS  
PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2015

|   | Business-Type Activities - Enterprise Funds |                     |                               |                                 | Total                 |
|---|---|---------------------|-------------------------------|---------------------------------|-----------------------|
|   | Water Fund                                  | Sewer Fund          | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |                       |
| <b><u>CASH FLOWS FROM OPERATING ACTIVITIES:</u></b>                     |   |                     |                               |                                 |                       |
| Receipts from Customers   | \$ 669,571                                  | \$ 708,368          | \$ 243,924                    | \$ 139,266                      | \$ 1,761,129          |
| Payments to Suppliers for Goods and Services                            | (358,557)                                   | (375,697)           | (227,640)                     | (122,496)                       | (1,084,390)           |
| Payments to Employees for Services                                      | (44,632)                                    | (38,968)            | (8,652)                       | (62,416)                        | (154,668)             |
| Other Receipts/(Payments)   | 94,860                                      | 19,224              | 986                           | 1,891                           | 116,961               |
| Net Cash Provided (Used) by Operating Activities                        | <u>\$ 361,242</u>                           | <u>\$ 312,927</u>   | <u>\$ 8,618</u>               | <u>\$ (43,755)</u>              | <u>\$ 639,032</u>     |
| <b><u>CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES:</u></b>          |   |                     |                               |                                 |                       |
| Transfers In/(Out)  | \$ (27,710)                                 | \$ (27,710)         | \$ -                          | \$ 44,910                       | \$ (10,510)           |
| Property Taxes Received   | 20  | 20                  | 20                            | -                               | 60                    |
| Sales Taxes Received  | -   | 397,712             | -                             | -                               | 397,712               |
| Net Cash Provided (Used) by Noncapital Financing Activities             | <u>\$ (27,690)</u>                          | <u>\$ 370,022</u>   | <u>\$ 20</u>                  | <u>\$ 44,910</u>                | <u>\$ 387,262</u>     |
| <b><u>CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES:</u></b> |   |                     |                               |                                 |                       |
| Purchases of Capital Assets   | \$ (187,709)                                | \$ (268,834)        | \$ (6,049)                    | \$ (143,146)                    | \$ (605,738)          |
| Principal Paid on Capital Debt  | (180,471)                                   | (279,250)           | -                             | (14,640)                        | (474,361)             |
| Interest Paid on Capital Debt   | (41,037)                                    | (322,537)           | -                             | (1,955)                         | (365,529)             |
| Net Cash (Used) in Capital and Related Financing Activities             | <u>\$ (409,217)</u>                         | <u>\$ (870,621)</u> | <u>\$ (6,049)</u>             | <u>\$ (159,741)</u>             | <u>\$ (1,445,628)</u> |
| <b><u>CASH FLOWS FROM INVESTING ACTIVITIES:</u></b>                     |   |                     |                               |                                 |                       |
| Interest Earned on Deposits   | \$ 4,113                                    | \$ 5,792            | \$ 1,482                      | \$ 723                          | \$ 12,110             |
| Total Cash Flows from Investing Activities                              | <u>\$ 4,113</u>                             | <u>\$ 5,792</u>     | <u>\$ 1,482</u>               | <u>\$ 723</u>                   | <u>\$ 12,110</u>      |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF CASH FLOWS - MODIFIED CASH BASIS  
PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2015

|  | Business-Type Activities - Enterprise Funds |                     |                               |                                 |                     |
|--|---|---------------------|-------------------------------|---------------------------------|---------------------|
|  | Water Fund                                  | Sewer Fund          | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds | Total               |
| Net Increase (Decrease) in Cash and Cash Equivalents   | \$ (71,552)                                 | \$ (181,880)        | \$ 4,071                      | \$ (157,863)                    | \$ (407,224)        |
| BALANCE - BEGINNING OF YEAR  | 1,201,422                                   | 1,297,224           | 162,388                       | 68,592                          | 2,729,626           |
| BALANCE - END OF YEAR  | <u>\$ 1,129,870</u>                         | <u>\$ 1,115,344</u> | <u>\$ 166,459</u>             | <u>\$ (89,271)</u>              | <u>\$ 2,322,402</u> |
| <b><u>RECONCILIATION OF OPERATING INCOME (LOSS) TO NET CASH PROVIDED (USED) BY OPERATING ACTIVITIES:</u></b> |   |                     |                               |                                 |                     |
| Operating Income (Loss)  | \$ 114,015                                  | \$ (542,890)        | \$ 6,169                      | \$ (117,827)                    | \$ (540,533)        |
| Adjustments to Reconcile Operating Income to Net Cash Provided (Used) by Operating Activities:               |   |                     |                               |                                 |                     |
| Amortization of Cost   | -   | -                   | -                             | 294                             | 294                 |
| Depreciation and Amortization Expense  | 247,589                                     | 857,514             | 504                           | 73,778                          | 1,179,385           |
| Changes in Assets and Liabilities:   |   |                     |                               |                                 |                     |
| Accounts Receivable  | (362)                                       | (1,697)             | 1,945                         | -                               | (114)               |
| Net Cash Provided (Used) by Operating Activities   | <u>\$ 361,242</u>                           | <u>\$ 312,927</u>   | <u>\$ 8,618</u>               | <u>\$ (43,755)</u>              | <u>\$ 639,032</u>   |
| <b><u>RECONCILIATION OF TOTAL CASH AND CASH EQUIVALENT TO THE STATEMENT OF NET ASSETS:</u></b>               |   |                     |                               |                                 |                     |
| Current Assets:  |   |                     |                               |                                 |                     |
| Cash, Deposits & Investments   | \$ 343,943                                  | \$ 2,374,481        | \$ 930                        | \$ 52,604                       | \$ 2,771,958        |
| Noncurrent Assets:   |   |                     |                               |                                 |                     |
| Cash, Deposits & Investments   | 785,927                                     | 750,823             | 167,003                       | -                               | 1,703,753           |
| Current Liabilities:   |   |                     |                               |                                 |                     |
| Bank Overdraft   | -   | (2,009,960)         | (1,474)                       | (141,875)                       | (2,153,309)         |
| TOTAL CASH AND CASH EQUIVALENTS AT THE END OF YEAR   | <u>\$ 1,129,870</u>                         | <u>\$ 1,115,344</u> | <u>\$ 166,459</u>             | <u>\$ (89,271)</u>              | <u>\$ 2,322,402</u> |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF FUND NET POSITION - MODIFIED CASH BASIS -  
PROPRIETARY FUNDS  
APRIL 30, 2016

|  | Business-Type Activities - Enterprise Funds |                      |                               |                                 | Total               |
|--|---|----------------------|-------------------------------|---------------------------------|---------------------|
|  | Water<br>Fund                               | Sewer<br>Fund        | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |                     |
| <b>ASSETS:</b>                             |   |                      |                               |                                 |                     |
| <u>Current Assets:</u>                     |   |                      |                               |                                 |                     |
| Cash, Deposits, and Investments            | \$ 341,723                                  | \$ 2,785,008         | \$ 4,468                      | \$ 2,870                        | \$ 3,134,069        |
| Accounts Receivable                        | 89,862                                      | 70,053               | 30,145                        | -                               | 190,060             |
| Total Current Assets                       | <u>\$ 431,585</u>                           | <u>\$ 2,855,061</u>  | <u>\$ 34,613</u>              | <u>\$ 2,870</u>                 | <u>\$ 3,324,129</u> |
| <u>Noncurrent Assets:</u>                  |   |                      |                               |                                 |                     |
| Cash, Deposit, and Investments             | \$ 729,204                                  | \$ 755,543           | \$ 167,984                    | \$ 52,557                       | \$ 1,705,288        |
| Restricted Cash, Deposits, and Investments | 60,000                                      | -                    | -                             | -                               | 60,000              |
| Bond Discount Fees                         | -   | 42,222               | -                             | 2,940                           | 45,162              |
| Less: Amortization                         | -   | (6,488)              | -                             | (980)                           | (7,468)             |
| <u>Capital Assets:</u>                     |   |                      |                               |                                 |                     |
| Land and Improvements                      | 41,830                                      | 95,000               | -                             | -                               | 136,830             |
| Distribution & Collection Systems          | 7,662,295                                   | 19,473,277           | -                             | -                               | 27,135,572          |
| Buildings & Equipment                      | 1,165,987                                   | 1,181,800            | 6,049                         | 2,472,668                       | 4,826,504           |
| Less: Accumulated Depreciation             | (6,404,831)                                 | (13,073,658)         | (1,109)                       | (1,713,776)                     | (21,193,374)        |
| Net Capital Assets                         | <u>\$ 2,465,281</u>                         | <u>\$ 7,676,419</u>  | <u>\$ 4,940</u>               | <u>\$ 758,892</u>               | <u>\$10,905,532</u> |
| Total Noncurrent Assets                    | <u>\$ 3,254,485</u>                         | <u>\$ 8,467,696</u>  | <u>\$ 172,924</u>             | <u>\$ 813,409</u>               | <u>\$12,708,514</u> |
| <b>TOTAL ASSETS</b>                        | <u>\$ 3,686,070</u>                         | <u>\$ 11,322,757</u> | <u>\$ 207,537</u>             | <u>\$ 816,279</u>               | <u>\$16,032,643</u> |
| <b>DEFERRED OUTFLOW OF RESOURCES</b>       | <u>\$ 15,726</u>                            | <u>\$ 14,483</u>     | <u>\$ 2,117</u>               | <u>\$ 18,437</u>                | <u>\$ 50,763</u>    |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF FUND NET POSITION - MODIFIED CASH BASIS -  
PROPRIETARY FUNDS  
APRIL 30, 2016

|   | Business-Type Activities - Enterprise Funds |                     |                               |                                 | Total                |
|---|---|---------------------|-------------------------------|---------------------------------|----------------------|
|   | Water<br>Fund                               | Sewer<br>Fund       | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |                      |
| <b>LIABILITIES:</b>                             |   |                     |                               |                                 |                      |
| <u>Current Liabilities:</u>                     |   |                     |                               |                                 |                      |
| Cash Overdraft                                  | \$ -  | \$ 2,327,864        | \$ -                          | \$ 90,695                       | \$ 2,418,559         |
| Bond Premium                                    | -   | -                   | -                             | 5,550                           | 5,550                |
| Less: Amortization                              | -   | -                   | -                             | (768)                           | (768)                |
| Current Portion of Bonds & Notes Payable        | 125,656                                     | 296,500             | -                             | 17,500                          | 439,656              |
| Total Current Liabilities                       | <u>\$ 125,656</u>                           | <u>\$ 2,624,364</u> | <u>\$ -</u>                   | <u>\$ 112,977</u>               | <u>\$ 2,862,997</u>  |
| <u>Noncurrent Liabilities:</u>                  |   |                     |                               |                                 |                      |
| Bonds & Notes Payable                           | \$ 1,300,738                                | \$ 7,200,000        | \$ -                          | \$ 98,705                       | \$ 8,599,443         |
| Net Pension Liability                           | 23,066                                      | 21,242              | 3,105                         | 27,043                          | 74,456               |
| Total Noncurrent Liabilities                    | <u>\$ 1,323,804</u>                         | <u>\$ 7,221,242</u> | <u>\$ 3,105</u>               | <u>\$ 125,748</u>               | <u>\$ 8,673,899</u>  |
| <b>TOTAL LIABILITIES</b>                        | <u>\$ 1,449,460</u>                         | <u>\$ 9,845,606</u> | <u>\$ 3,105</u>               | <u>\$ 238,725</u>               | <u>\$ 11,536,896</u> |
| <b>NET POSITION:</b>                            |   |                     |                               |                                 |                      |
| Invested in Capital Assets, Net of Related Debt | \$ 1,038,887                                | \$ 179,919          | \$ 4,940                      | \$ 642,687                      | \$ 1,866,433         |
| Restricted for Debt Service                     | 60,000                                      | -                   | -                             | -                               | 60,000               |
| Unrestricted                                    | 1,153,449                                   | 1,311,715           | 201,609                       | (46,696)                        | 2,620,077            |
| <b>TOTAL NET POSITION</b>                       | <u>\$ 2,252,336</u>                         | <u>\$ 1,491,634</u> | <u>\$ 206,549</u>             | <u>\$ 595,991</u>               | <u>\$ 4,546,510</u>  |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF REVENUES, EXPENSES AND CHANGES IN FUND NET POSITION -  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2016

|   | Business-Type Activities - Enterprise Funds |                    |                               |                                 |                     |
|---|---|--------------------|-------------------------------|---------------------------------|---------------------|
|   | Water Fund                                  | Sewer Fund         | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds | Total               |
| <b><u>OPERATING REVENUES:</u></b>             |   |                    |                               |                                 |                     |
| Charges for Services                          | \$ 591,295                                  | \$ 692,953         | \$ 252,642                    | \$ 109,953                      | \$ 1,646,843        |
| Penalties                                     | 11,816                                      | 12,383             | 4,812                         | -                               | 29,011              |
| Concessions                                   | -   | -                  | -                             | 26,158                          | 26,158              |
| Rent  | 73,346                                      | -                  | -                             | 23,162                          | 96,508              |
| Other - Miscellaneous                         | 31,656                                      | 18,105             | 1,133                         | 1,194                           | 52,088              |
| <b>TOTAL OPERATING REVENUES</b>               | <b>\$ 708,113</b>                           | <b>\$ 723,441</b>  | <b>\$ 258,587</b>             | <b>\$ 160,467</b>               | <b>\$ 1,850,608</b> |
| <b><u>OPERATING EXPENSES:</u></b>             |   |                    |                               |                                 |                     |
| Personnel                                     | \$ 69,036                                   | \$ 63,577          | \$ 9,297                      | \$ 80,945                       | \$ 222,855          |
| Pension Expense                               | 4,625                                       | 4,259              | 321                           | 5,423                           | 14,628              |
| Maintenance Services                          | 388,144                                     | 284,788            | 218,087                       | 59,764                          | 950,783             |
| Professional Services                         | 30,680                                      | 5,765              | -                             | -                               | 36,445              |
| Communications                                | 2,575                                       | 2,995              | 4,425                         | 1,498                           | 11,493              |
| Services and Charges                          | 7,200                                       | 18,003             | 840                           | 26,932                          | 52,975              |
| General Supplies                              | 1,991                                       | 186                | 1,730                         | 31,777                          | 35,684              |
| Other Expenditures                            | 11,112                                      | 2,000              | 4,571                         | 6,128                           | 23,811              |
| Bad Debt                                      | 5,429                                       | 10,920             | 9,634                         | -                               | 25,983              |
| Depreciation and Amortization                 | 255,084                                     | 867,181            | 605                           | 45,441                          | 1,168,311           |
| <b>TOTAL OPERATING EXPENSES</b>               | <b>\$ 775,876</b>                           | <b>\$1,259,674</b> | <b>\$ 249,510</b>             | <b>\$ 257,908</b>               | <b>\$ 2,542,968</b> |
| Operating Income (Loss)                       | \$ (67,763)                                 | \$ (536,233)       | \$ 9,077                      | \$ (97,441)                     | \$ (692,360)        |
| <b><u>NONOPERATING REVENUES</u></b>           |   |                    |                               |                                 |                     |
| <b><u>(EXPENSES):</u></b>                     |   |                    |                               |                                 |                     |
| Bond Premium Amortization                     | \$ -  | \$ -               | \$ -                          | \$ 768                          | \$ 768              |
| Interest Earnings                             | 4,440                                       | 6,508              | 1,349                         | 1,633                           | 13,930              |
| Interest Expense                              | (37,992)                                    | (315,385)          | -                             | (3,623)                         | (357,000)           |
| Property Taxes Revenue                        | 219   | 19                 | 19                            | -                               | 257                 |
| Sales Taxes Revenue                           | -   | 410,325            | -                             | -                               | 410,325             |
| Grants  | -   | 184,343            | -                             | 124,779                         | 309,122             |
| Solar Electric Sales                          | -   | 7,387              | -                             | -                               | 7,387               |
| <b>TOTAL NONOPERATING REVENUES (EXPENSES)</b> | <b>\$ (33,333)</b>                          | <b>\$ 293,197</b>  | <b>\$ 1,368</b>               | <b>\$ 123,557</b>               | <b>\$ 384,789</b>   |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF REVENUES, EXPENSES AND CHANGES IN FUND NET POSITION -  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2016

|  | Business-Type Activities - Enterprise Funds |                           |                               |                                 | Total                      |
|--|---|---------------------------|-------------------------------|---------------------------------|----------------------------|
|  | Water Fund                                  | Sewer Fund                | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |                            |
| Income (Loss) Before Transfers                           | \$ (101,096)                                | \$ (243,036)              | \$ 10,445                     | \$ 26,116                       | \$ (307,571)               |
| Transfers In   | -   | -                         | -                             | 130,075                         | 130,075                    |
| Transfers Out  | (12,375)                                    | (12,375)                  | -                             | (25,034)                        | (49,784)                   |
| Change in Net Position                                   | \$ (113,471)                                | \$ (255,411)              | \$ 10,445                     | \$ 131,157                      | \$ (227,280)               |
| TOTAL NET POSITION - BEGINNING,<br>AS RESTATED (NOTE 15) | <u>2,365,807</u>                            | <u>1,747,045</u>          | <u>196,104</u>                | <u>464,834</u>                  | <u>4,773,790</u>           |
| <b>TOTAL NET POSITION - ENDING</b>                       | <u><u>\$2,252,336</u></u>                   | <u><u>\$1,491,634</u></u> | <u><u>\$ 206,549</u></u>      | <u><u>\$ 595,991</u></u>        | <u><u>\$ 4,546,510</u></u> |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF CASH FLOWS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2016

|   | Business-Type Activities - Enterprise Funds |                     |                               |                                 | Total               |
|---|---|---------------------|-------------------------------|---------------------------------|---------------------|
|   | Water Fund                                  | Sewer Fund          | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |                     |
| <b><u>CASH FLOWS FROM OPERATING ACTIVITIES:</u></b>                     |   |                     |                               |                                 |                     |
| Receipts from Customers   | \$ 688,266                                  | \$ 729,400          | \$ 242,442                    | \$ 159,273                      | \$ 1,819,381        |
| Payments to Suppliers for Goods and Services                            | (441,702)                                   | (324,657)           | (229,653)                     | (126,099)                       | (1,122,111)         |
| Payments to Employees for Services                                      | (69,036)                                    | (63,577)            | (9,297)                       | (80,945)                        | (222,855)           |
| Other Receipts/(Payments)   | 31,656                                      | 18,105              | 1,133                         | 1,194                           | 52,088              |
| Net Cash Provided (Used) by Operating Activities                        | <u>\$ 209,184</u>                           | <u>\$ 359,271</u>   | <u>\$ 4,625</u>               | <u>\$ (46,577)</u>              | <u>\$ 526,503</u>   |
| <b><u>CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES:</u></b>          |   |                     |                               |                                 |                     |
| Transfers In/(Out)  | \$ (12,375)                                 | \$ (12,375)         | \$ -                          | \$ 105,041                      | \$ 80,291           |
| Property Taxes Received   | 219   | 19                  | 19                            | -                               | 257                 |
| Sales Taxes Received  | -   | 410,325             | -                             | -                               | 410,325             |
| Net Cash Provided (Used) by Noncapital Financing Activities             | <u>\$ (12,156)</u>                          | <u>\$ 397,969</u>   | <u>\$ 19</u>                  | <u>\$ 105,041</u>               | <u>\$ 490,873</u>   |
| <b><u>CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES:</u></b> |   |                     |                               |                                 |                     |
| Purchases of Capital Assets   | \$ (38,314)                                 | \$ (258,002)        | \$ -                          | \$ (112,206)                    | \$ (408,522)        |
| Principal Paid on Capital Debt  | (124,105)                                   | (284,750)           | -                             | (14,945)                        | (423,800)           |
| Interest Paid on Capital Debt   | (37,992)                                    | (315,385)           | -                             | (3,623)                         | (357,000)           |
| Grants  | -   | 184,343             | -                             | 124,779                         | 309,122             |
| Net Cash (Used) in Capital and Related Financing Activities             | <u>\$ (200,411)</u>                         | <u>\$ (673,794)</u> | <u>\$ -</u>                   | <u>\$ (5,995)</u>               | <u>\$ (880,200)</u> |
| <b><u>CASH FLOWS FROM INVESTING ACTIVITIES:</u></b>                     |   |                     |                               |                                 |                     |
| Interest Earned on Deposits   | \$ 4,440                                    | \$ 6,508            | \$ 1,349                      | \$ 1,533                        | \$ 13,830           |
| Solar Electric Sales  | -   | 7,389               | -                             | -                               | 7,389               |
| Net Cash Provided by Investing Activities                               | <u>\$ 4,440</u>                             | <u>\$ 13,897</u>    | <u>\$ 1,349</u>               | <u>\$ 1,533</u>                 | <u>\$ 21,219</u>    |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF CASH FLOWS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2016

|  | Business-Type Activities - Enterprise Funds |                     |                               |                                 |                     |
|--|---|---------------------|-------------------------------|---------------------------------|---------------------|
|  | Water Fund                                  | Sewer Fund          | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds | Total               |
| Net Increase (Decrease) in Cash and Cash Equivalents   | \$ 1,057                                    | \$ 97,343           | \$ 5,993                      | \$ 54,002                       | \$ 158,395          |
| BALANCE - BEGINNING OF YEAR  | 1,129,870                                   | 1,115,344           | 166,459                       | (89,270)                        | 2,322,403           |
| BALANCE - END OF YEAR  | <u>\$ 1,130,927</u>                         | <u>\$ 1,212,687</u> | <u>\$ 172,452</u>             | <u>\$ (35,268)</u>              | <u>\$ 2,480,798</u> |
| <b><u>RECONCILIATION OF OPERATING INCOME (LOSS) TO NET CASH PROVIDED (USED) BY OPERATING ACTIVITIES:</u></b> |   |                     |                               |                                 |                     |
| Operating Income (Loss)  | \$ (67,763)                                 | \$ (536,233)        | \$ 9,077                      | \$ (97,441)                     | \$ (692,360)        |
| Adjustments to Reconcile Operating Income to Net Cash Provided (Used) by Operating Activities:               |   |                     |                               |                                 |                     |
| Amortization of Cost   | -   | 639                 | -                             | 294                             | 933                 |
| Bad Debt   | 5,429                                       | 10,920              | 9,634                         | -                               | 25,983              |
| Depreciation Expense   | 255,084                                     | 866,542             | 605                           | 45,147                          | 1,167,378           |
| Pension Expense  | 4,625                                       | 4,259               | 321                           | 5,423                           | 14,628              |
| Changes in Assets and Liabilities:   |   |                     |                               |                                 |                     |
| Accounts Receivable  | 11,809                                      | 13,144              | (15,012)                      | -                               | 9,941               |
| Net Cash Provided (Used) by Operating Activities   | <u>\$ 209,184</u>                           | <u>\$ 359,271</u>   | <u>\$ 4,625</u>               | <u>\$ (46,577)</u>              | <u>\$ 526,503</u>   |
| <b><u>RECONCILIATION OF TOTAL CASH AND CASH EQUIVALENTS TO THE STATEMENT OF NET POSITION:</u></b>            |   |                     |                               |                                 |                     |
| Current Assets:  |   |                     |                               |                                 |                     |
| Cash, Deposits, and Investments  | \$ 341,723                                  | \$ 2,785,008        | \$ 4,468                      | \$ 2,870                        | \$ 3,134,069        |
| Noncurrent Assets:   |   |                     |                               |                                 |                     |
| Cash, Deposits, and Investments  | 789,204                                     | 755,543             | 167,984                       | 52,557                          | 1,765,288           |
| Current Liabilities:   |   |                     |                               |                                 |                     |
| Cash Overdraft   | -   | (2,327,864)         | -                             | (90,695)                        | (2,418,559)         |
| TOTAL CASH AND CASH EQUIVALENTS AT THE END OF YEAR   | <u>\$ 1,130,927</u>                         | <u>\$ 1,212,687</u> | <u>\$ 172,452</u>             | <u>\$ (35,268)</u>              | <u>\$ 2,480,798</u> |

The accompanying notes are an integral part of the basic financial statements.

**CITY OF GALENA  
GALENA, ILLINOIS**

**STATEMENT OF FUND NET POSITION - MODIFIED CASH BASIS -  
PROPRIETARY FUNDS  
APRIL 30, 2017**

|  | <b>Business-Type Activities - Enterprise Funds</b> |                       |  |  | <b>Total</b>         |
|--|--|-----------------------|--|--|----------------------|
|  | <b>Water<br/>Fund</b>                              | <b>Sewer<br/>Fund</b> | <b>Garbage<br/>and Refuse<br/>Fund</b> | <b>Nonmajor<br/>Enterprise<br/>Funds</b> |                      |
| <b>ASSETS:</b>                             |  |                       |  |  |                      |
| <b>Current Assets:</b>                     |  |                       |  |  |                      |
| Cash, Deposits, and Investments            | \$ 218,244   | \$ 3,215,219          | \$ 31,981                              | \$ 106,613                               | \$ 3,572,057         |
| Accounts Receivable                        | 62,619   | 68,696                | 27,267                                 | -  | 158,582              |
| Total Current Assets                       | <u>\$ 280,863</u>                                  | <u>\$ 3,283,915</u>   | <u>\$ 59,248</u>                       | <u>\$ 106,613</u>                        | <u>\$ 3,730,639</u>  |
| <b>Noncurrent Assets:</b>                  |  |                       |  |  |                      |
| Cash, Deposit, and Investments             | \$ 732,980   | \$ 760,312            | \$ 168,968                             | \$ 52,821                                | \$ 1,715,081         |
| Restricted Cash, Deposits, and Investments | 60,000   | -                     | -                                      | -  | 60,000               |
| Bond Discount Fees                         | -  | 42,222                | -                                      | 2,940                                    | 45,162               |
| Less: Amortization                         | -  | (7,128)               | -                                      | (1,274)                                  | (8,402)              |
| Capital Assets:                            |  |                       |  |  | -                    |
| Land and Improvements                      | 41,830   | 95,000                | -                                      | -  | 136,830              |
| Distribution & Collection Systems          | 7,666,687  | 19,496,913            | -                                      | -  | 27,163,600           |
| Buildings & Equipment                      | 1,199,427  | 1,196,800             | 6,049                                  | 2,547,670                                | 4,949,946            |
| Less: Accumulated Depreciation             | (6,652,896)  | (13,938,644)          | (1,714)                                | (1,751,857)                              | (22,345,111)         |
| Net Capital Assets                         | <u>\$ 2,255,048</u>                                | <u>\$ 6,850,069</u>   | <u>\$ 4,335</u>                        | <u>\$ 795,813</u>                        | <u>\$ 9,905,265</u>  |
| Total Noncurrent Assets                    | <u>\$ 3,048,028</u>                                | <u>\$ 7,645,475</u>   | <u>\$ 173,303</u>                      | <u>\$ 850,300</u>                        | <u>\$ 11,717,106</u> |
| <b>TOTAL ASSETS</b>                        | <u>\$ 3,328,891</u>                                | <u>\$ 10,929,390</u>  | <u>\$ 232,551</u>                      | <u>\$ 956,913</u>                        | <u>\$ 15,447,745</u> |
| <b>DEFERRED OUTFLOW OF RESOURCES</b>       | <u>\$ 16,235</u>                                   | <u>\$ 12,780</u>      | <u>\$ 1,998</u>                        | <u>\$ 17,488</u>                         | <u>\$ 48,501</u>     |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF FUND NET POSITION - MODIFIED CASH BASIS -  
PROPRIETARY FUNDS  
APRIL 30, 2017

|   | Business-Type Activities - Enterprise Funds |                     |                               |                                 | Total                |
|---|---|---------------------|-------------------------------|---------------------------------|----------------------|
|   | Water<br>Fund                               | Sewer<br>Fund       | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |                      |
| <b>LIABILITIES:</b>                             |   |                     |                               |                                 |                      |
| <u>Current Liabilities:</u>                     |   |                     |                               |                                 |                      |
| Cash Overdraft                                  | \$ -  | \$ 2,538,476        | \$ -                          | \$ -                            | \$ 2,538,476         |
| Bond Premium                                    | -   | -                   | -                             | 4,782                           | 4,782                |
| Less: Amortization                              | -   | -                   | -                             | (768)                           | (768)                |
| Current Portion of Bonds & Notes Payable        | 130,427                                     | 356,800             | -                             | 18,200                          | 505,427              |
| Total Current Liabilities                       | <u>\$ 130,427</u>                           | <u>\$ 2,895,276</u> | <u>\$ -</u>                   | <u>\$ 22,214</u>                | <u>\$ 3,047,917</u>  |
| <u>Noncurrent Liabilities:</u>                  |   |                     |                               |                                 |                      |
| Bonds & Notes Payable                           | \$ 1,168,740                                | \$ 6,843,200        | \$ -                          | \$ 83,060                       | \$ 8,095,000         |
| Net Pension Liability                           | 28,876                                      | 22,976              | 3,333                         | 28,976                          | 84,161               |
| Total Noncurrent Liabilities                    | <u>\$ 1,197,616</u>                         | <u>\$ 6,866,176</u> | <u>\$ 3,333</u>               | <u>\$ 112,036</u>               | <u>\$ 8,179,161</u>  |
| <b>TOTAL LIABILITIES</b>                        | <u>\$ 1,328,043</u>                         | <u>\$ 9,761,452</u> | <u>\$ 3,333</u>               | <u>\$ 134,250</u>               | <u>\$ 11,227,078</u> |
| <br><b>DEFERRED INFLOW OF RESOURCES</b>         | <br><u>\$ 9,368</u>                         | <br><u>\$ 7,334</u> | <br><u>\$ 1,147</u>           | <br><u>\$ 9,983</u>             | <br><u>\$ 27,832</u> |
| <br><b>NET POSITION:</b>                        |   |                     |                               |                                 |                      |
| Invested in Capital Assets, Net of Related Debt | \$ 955,881                                  | \$ (349,931)        | \$ 4,335                      | \$ 694,553                      | \$ 1,304,838         |
| Restricted for Debt Service                     | 60,000                                      | -                   | -                             | -                               | 60,000               |
| Unrestricted                                    | 991,834                                     | 1,523,315           | 225,734                       | 135,615                         | 2,876,498            |
| <b>TOTAL NET POSITION</b>                       | <u>\$ 2,007,715</u>                         | <u>\$ 1,173,384</u> | <u>\$ 230,069</u>             | <u>\$ 830,168</u>               | <u>\$ 4,241,336</u>  |

The accompanying notes are an integral part of the basic financial statements.

**CITY OF GALENA  
GALENA, ILLINOIS**

**STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN FUND NET POSITION -  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2017**

|   | <b>Business-Type Activities - Enterprise Funds</b> |                     |  |  |                     |
|---|--|---------------------|--|--|---------------------|
|   | <b>Water Fund</b>                                  | <b>Sewer Fund</b>   | <b>Garbage<br/>and Refuse<br/>Fund</b> | <b>Nonmajor<br/>Enterprise<br/>Funds</b> | <b>Total</b>        |
| <b><u>OPERATING REVENUES:</u></b>                   |  |                     |  |  |                     |
| Charges for Services                                | \$ 592,260   | \$ 702,097          | \$ 242,405                             | \$ 116,420                               | \$ 1,653,182        |
| Penalties   | 16,773   | 13,978              | 6,168                                  | -  | 36,919              |
| Concessions   | -  | -                   | -                                      | 25,594                                   | 25,594              |
| Rent  | 80,366   | -                   | -                                      | 42,755                                   | 123,121             |
| Other - Miscellaneous                               | 12,752   | 6,500               | 4,621                                  | 3,755                                    | 27,628              |
| <b>TOTAL OPERATING REVENUES</b>                     | <b>\$ 702,151</b>                                  | <b>\$ 722,575</b>   | <b>\$ 253,194</b>                      | <b>\$ 188,524</b>                        | <b>\$ 1,866,444</b> |
| <b><u>OPERATING EXPENSES:</u></b>                   |  |                     |  |  |                     |
| Personnel   | \$ 80,405  | \$ 63,966           | \$ 9,276                               | \$ 80,669                                | \$ 234,316          |
| Pension Expense                                     | 14,669   | 10,771              | 1,494                                  | 12,865                                   | 39,799              |
| Maintenance Services                                | 464,786  | 173,234             | 202,368                                | 52,156                                   | 892,544             |
| Professional Services                               | 11,090   | 21,035              | -                                      | -  | 32,125              |
| Communications                                      | 2,075  | 2,444               | 3,522                                  | 3,369                                    | 11,410              |
| Services and Charges                                | 11,093   | 18,000              | 770                                    | 32,080                                   | 61,943              |
| General Supplies                                    | -  | -                   | 3,506                                  | 32,178                                   | 35,684              |
| Other Expenditures                                  | 33,857   | 20,418              | 4,545                                  | 9,535                                    | 68,355              |
| Bad Debt  | 32,307   | 188                 | 5,214                                  | -  | 37,709              |
| Depreciation and Amortization                       | 248,065  | 865,625             | 605                                    | 38,375                                   | 1,152,670           |
| <b>TOTAL OPERATING EXPENSES</b>                     | <b>\$ 898,347</b>                                  | <b>\$ 1,175,681</b> | <b>\$ 231,300</b>                      | <b>\$ 261,227</b>                        | <b>\$ 2,566,555</b> |
| Operating Income (Loss)                             | \$ (196,196)                                       | \$ (453,106)        | \$ 21,894                              | \$ (72,703)                              | \$ (700,111)        |
| <b><u>NONOPERATING REVENUES<br/>(EXPENSES):</u></b> |  |                     |  |  |                     |
| Bond Premium Amortization                           | \$ -   | \$ -                | \$ -                                   | \$ 768                                   | \$ 768              |
| Interest Earnings                                   | 4,901  | 7,662               | 1,607                                  | 720                                      | 14,890              |
| Interest Expense                                    | (34,870)   | (303,054)           | -                                      | (3,324)                                  | (341,248)           |
| Property Taxes Revenue                              | 19   | 44                  | 19                                     | -  | 82                  |
| Sales Taxes Revenue                                 | -  | 428,846             | -                                      | -  | 428,846             |
| Grants  | -  | 15,100              | -                                      | 33,971                                   | 49,071              |
| Solar Electric Sales                                | -  | 4,733               | -                                      | -  | 4,733               |
| <b>TOTAL NONOPERATING<br/>REVENUES (EXPENSES)</b>   | <b>\$ (29,950)</b>                                 | <b>\$ 153,331</b>   | <b>\$ 1,626</b>                        | <b>\$ 32,135</b>                         | <b>\$ 157,142</b>   |

The accompanying notes are an integral part of the basic financial statements.

**CITY OF GALENA  
GALENA, ILLINOIS**

**STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN FUND NET POSITION -  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2017**

|                                    | <u>Business-Type Activities - Enterprise Funds</u> |                            |  |  | <u>Total</u>               |
|------------------------------------|--|----------------------------|--|--|----------------------------|
|                                    | <u>Water Fund</u>                                  | <u>Sewer Fund</u>          | <u>Garbage<br/>and Refuse<br/>Fund</u> | <u>Nonmajor<br/>Enterprise<br/>Funds</u> |                            |
| Income (Loss) Before Transfers     | \$ (226,146)                                       | \$ (299,775)               | \$ 23,520                              | \$ (40,568)                              | \$ (542,969)               |
| Transfers In                       | -  | -                          | -                                      | 274,745                                  | 274,745                    |
| Transfers Out                      | (18,475)   | (18,475)                   | -                                      | -  | (36,950)                   |
| Change in Net Position             | \$ (244,621)                                       | \$ (318,250)               | \$ 23,520                              | \$ 234,177                               | \$ (305,174)               |
| TOTAL NET POSITION - BEGINNING     | <u>2,252,336</u>                                   | <u>1,491,634</u>           | <u>206,549</u>                         | <u>595,991</u>                           | <u>4,546,510</u>           |
| <b>TOTAL NET POSITION - ENDING</b> | <u><u>\$ 2,007,715</u></u>                         | <u><u>\$ 1,173,384</u></u> | <u><u>\$ 230,069</u></u>               | <u><u>\$ 830,168</u></u>                 | <u><u>\$ 4,241,336</u></u> |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF CASH FLOWS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2017

Business-Type Activities - Enterprise Funds

**CASH FLOWS FROM OPERATING  
ACTIVITIES:**

|  | <u>Water Fund</u> | <u>Sewer Fund</u> | <u>Garbage<br/>and Refuse<br/>Fund</u> | <u>Nonmajor<br/>Enterprise<br/>Funds</u> | <u>Total</u>      |
|--|-------------------|-------------------|--|--|-------------------|
| Receipts from Customers                          | \$ 684,335        | \$ 717,245        | \$ 246,237                             | \$ 184,769                               | \$ 1,832,586      |
| Payments to Suppliers for Goods & Services       | (522,901)         | (235,131)         | (214,711)                              | (129,318)                                | (1,102,061)       |
| Payments to Employees for Services               | (80,405)          | (63,966)          | (9,276)                                | (80,669)                                 | (234,316)         |
| Other Receipts/(Payments)                        | 12,752            | 6,500             | 4,621                                  | 3,755                                    | 27,628            |
| Net Cash Provided (Used) by Operating Activities | <u>\$ 93,781</u>  | <u>\$ 424,648</u> | <u>\$ 26,871</u>                       | <u>\$ (21,463)</u>                       | <u>\$ 523,837</u> |

**CASH FLOWS FROM NONCAPITAL  
FINANCING ACTIVITIES:**

|   |                    |                   |              |                   |                   |
|---|--------------------|-------------------|--------------|-------------------|-------------------|
| Transfers In/(Out)  | \$ (18,475)        | \$ (18,475)       | \$ -         | \$ 274,745        | \$ 237,795        |
| Property Taxes Received                                     | 19                 | 44                | 19           | -                 | 82                |
| Sales Taxes Received  | -                  | 428,846           | -            | -                 | 428,846           |
| Net Cash Provided (Used) by Noncapital Financing Activities | <u>\$ (18,456)</u> | <u>\$ 410,415</u> | <u>\$ 19</u> | <u>\$ 274,745</u> | <u>\$ 666,723</u> |

**CASH FLOWS FROM CAPITAL AND  
RELATED FINANCING ACTIVITIES:**

|   |                     |                     |             |                    |                     |
|---|---------------------|---------------------|-------------|--------------------|---------------------|
| Purchases of Capital Assets                                 | \$ (37,832)         | \$ (38,636)         | \$ -        | \$ (75,002)        | \$ (151,470)        |
| Principal Paid on Capital Debt                              | (127,227)           | (296,500)           | -           | (14,945)           | (438,672)           |
| Interest Paid on Capital Debt                               | (34,870)            | (303,054)           | -           | (3,324)            | (341,248)           |
| Grants  | -                   | 15,100              | -           | 33,971             | 49,071              |
| Net Cash (Used) in Capital and Related Financing Activities | <u>\$ (199,929)</u> | <u>\$ (623,090)</u> | <u>\$ -</u> | <u>\$ (59,300)</u> | <u>\$ (882,319)</u> |

**CASH FLOWS FROM INVESTING  
ACTIVITIES:**

|   |                 |                  |                 |               |                  |
|---|-----------------|------------------|-----------------|---------------|------------------|
| Interest Earned on Deposits               | \$ 4,901        | \$ 7,662         | \$ 1,607        | \$ 720        | \$ 14,890        |
| Solar Electric Sales                      | -               | 4,733            | -               | -             | 4,733            |
| Net Cash Provided by Investing Activities | <u>\$ 4,901</u> | <u>\$ 12,395</u> | <u>\$ 1,607</u> | <u>\$ 720</u> | <u>\$ 19,623</u> |

The accompanying notes are an integral part of the basic financial statements.

**CITY OF GALENA  
GALENA, ILLINOIS**

**STATEMENT OF CASH FLOWS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2017**

**Business-Type Activities - Enterprise Funds**

|  | <u>Water Fund</u>          | <u>Sewer Fund</u>          | <u>Garbage<br/>and Refuse<br/>Fund</u> | <u>Nonmajor<br/>Enterprise<br/>Funds</u> | <u>Total</u>               |
|--|----------------------------|----------------------------|--|--|----------------------------|
| Net Increase (Decrease) in Cash and Cash Equivalents   | \$ (119,703)               | \$ 224,368                 | \$ 28,497                              | \$ 194,702                               | \$ 327,864                 |
| BALANCE - BEGINNING OF YEAR  | <u>1,130,927</u>           | <u>1,212,687</u>           | <u>172,452</u>                         | <u>(35,268)</u>                          | <u>2,480,798</u>           |
| <b>BALANCE - END OF YEAR</b>   | <u><u>\$ 1,011,224</u></u> | <u><u>\$ 1,437,055</u></u> | <u><u>\$ 200,949</u></u>               | <u><u>\$ 159,434</u></u>                 | <u><u>\$ 2,808,662</u></u> |
| <b><u>RECONCILIATION OF OPERATING INCOME (LOSS) TO NET CASH PROVIDED (USED) BY OPERATING ACTIVITIES:</u></b> |                            |                            |  |  |                            |
| Operating Income (Loss)  | \$ (196,196)               | \$ (453,106)               | \$ 21,894                              | \$ (72,703)                              | \$ (700,111)               |
| <u>Adjustments to Reconcile Operating Income to Net Cash Provided (Used) by Operating Activities:</u>        |                            |                            |  |  |                            |
| Amortization of Cost   | -                          | 639                        | -                                      | 293                                      | 932                        |
| Bad Debt   | 32,307                     | 188                        | 5,214                                  | -  | 37,709                     |
| Depreciation Expense   | 248,065                    | 864,986                    | 605                                    | 38,082                                   | 1,151,738                  |
| Pension Expense  | 14,669                     | 10,771                     | 1,494                                  | 12,865                                   | 39,799                     |
| <u>Changes in Assets and Liabilities:</u>  |                            |                            |  |  |                            |
| Accounts Receivable  | <u>(5,064)</u>             | <u>1,170</u>               | <u>(2,336)</u>                         | <u>-</u>                                 | <u>(6,230)</u>             |
| Net Cash Provided (Used) by Operating Activities   | <u><u>\$ 93,781</u></u>    | <u><u>\$ 424,648</u></u>   | <u><u>\$ 26,871</u></u>                | <u><u>\$ (21,463)</u></u>                | <u><u>\$ 523,837</u></u>   |
| <b><u>RECONCILIATION OF TOTAL CASH AND CASH EQUIVALENTS TO THE STATEMENT OF NET POSITION:</u></b>            |                            |                            |  |  |                            |
| <u>Current Assets:</u>   |                            |                            |  |  |                            |
| Cash, Deposits, and Investments  | \$ 218,244                 | \$ 3,215,219               | \$ 31,981                              | \$ 106,613                               | \$ 3,572,057               |
| <u>Noncurrent Assets:</u>  |                            |                            |  |  |                            |
| Cash, Deposits, and Investments  | 792,980                    | 760,312                    | 168,968                                | 52,821                                   | 1,775,081                  |
| <u>Current Liabilities:</u>  |                            |                            |  |  |                            |
| Cash Overdraft   | -                          | <u>(2,538,476)</u>         | -                                      | -  | <u>(2,538,476)</u>         |
| <b>TOTAL CASH AND CASH EQUIVALENTS AT THE END OF YEAR</b>  | <u><u>\$ 1,011,224</u></u> | <u><u>\$ 1,437,055</u></u> | <u><u>\$ 200,949</u></u>               | <u><u>\$ 159,434</u></u>                 | <u><u>\$ 2,808,662</u></u> |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF FUND NET POSITION - MODIFIED CASH BASIS -  
PROPRIETARY FUNDS  
APRIL 30, 2018

|  | Business-Type Activities - Enterprise Funds |                     |                               |                                 | Total                |
|--|---|---------------------|-------------------------------|---------------------------------|----------------------|
|  | Water<br>Fund                               | Sewer<br>Fund       | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |                      |
| <b>ASSETS:</b>                             |   |                     |                               |                                 |                      |
| Current Assets:                            |   |                     |                               |                                 |                      |
| Cash, Deposits, and Investments            | \$ 139,071                                  | \$ 685,164          | \$ 182,558                    | \$ 151,245                      | \$ 1,158,038         |
| Accounts Receivable                        | 69,207                                      | 74,787              | 28,069                        | -                               | 172,063              |
| Due from Fire Protection                   | -   | 420,000             | -                             | -                               | 420,000              |
| Total Current Assets                       | <u>\$ 208,278</u>                           | <u>\$ 1,179,951</u> | <u>\$ 210,627</u>             | <u>\$ 151,245</u>               | <u>\$ 1,750,101</u>  |
| Noncurrent Assets:                         |   |                     |                               |                                 |                      |
| Cash, Deposit, and Investments             | \$ 736,093                                  | \$ 342,220          | \$ 26,543                     | \$ 53,086                       | \$ 1,157,942         |
| Restricted Cash, Deposits, and Investments | 60,000                                      | -                   | -                             | -                               | 60,000               |
| Bond Discount Fees                         | -   | 42,706              | -                             | 2,940                           | 45,646               |
| Less: Amortization                         | -   | (15,513)            | -                             | (1,568)                         | (17,081)             |
| Net Pension Asset                          | 462   | 372                 | 13                            | 520                             | 1,367                |
| Capital Assets:                            |   |                     |                               |                                 |                      |
| Land and Improvements                      | 41,830                                      | 95,000              | -                             | -                               | 136,830              |
| Distribution & Collection Systems          | 7,720,388                                   | 19,532,071          | -                             | -                               | 27,252,459           |
| Buildings & Equipment                      | 1,232,231                                   | 1,196,800           | 6,049                         | 2,587,500                       | 5,022,580            |
| Less: Accumulated Depreciation             | (6,889,434)                                 | (14,800,337)        | (2,319)                       | (1,791,165)                     | (23,483,255)         |
| Net Capital Assets                         | <u>\$ 2,105,015</u>                         | <u>\$ 6,023,534</u> | <u>\$ 3,730</u>               | <u>\$ 796,335</u>               | <u>\$ 8,928,614</u>  |
| Total Noncurrent Assets                    | <u>\$ 2,901,570</u>                         | <u>\$ 6,393,319</u> | <u>\$ 30,286</u>              | <u>\$ 851,313</u>               | <u>\$ 10,176,488</u> |
| <b>TOTAL ASSETS</b>                        | <u>\$ 3,109,848</u>                         | <u>\$ 7,573,270</u> | <u>\$ 240,913</u>             | <u>\$ 1,002,558</u>             | <u>\$ 11,926,589</u> |

The accompanying notes are an integral part of the basic financial statements.

APPENDIX H

STATEMENT 5 (continued)

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF FUND NET POSITION - MODIFIED CASH BASIS -  
PROPRIETARY FUNDS  
APRIL 30, 2018

|   | Business-Type Activities - Enterprise Funds |              |                         |                           | Total        |
|---|---|--------------|-------------------------|---------------------------|--------------|
|   | Water Fund                                  | Sewer Fund   | Garbage and Refuse Fund | Nonmajor Enterprise Funds |              |
| <b>DEFERRED OUTFLOW OF RESOURCES</b>            | \$ 22,580                                   | \$ 18,201    | \$ 2,660                | \$ 23,402                 | \$ 66,843    |
| <b>LIABILITIES:</b>                             |   |              |                         |                           |              |
| <u>Current Liabilities:</u>                     |   |              |                         |                           |              |
| Bond Premium                                    | \$ -  | \$ -         | \$ -                    | \$ 7,726                  | \$ 7,726     |
| Less: Amortization                              | -   | -            | -                       | (4,142)                   | (4,142)      |
| Current Portion of Bonds & Notes Payable        | 66,439                                      | 315,000      | -                       | 18,550                    | 399,989      |
| Total Current Liabilities                       | \$ 66,439                                   | \$ 315,000   | \$ -                    | \$ 22,134                 | \$ 403,573   |
| <u>Noncurrent Liabilities:</u>                  |   |              |                         |                           |              |
| Bonds & Notes Payable                           | \$ 1,102,301                                | \$ 6,575,000 | \$ -                    | \$ 66,860                 | \$ 7,744,161 |
| <b>TOTAL LIABILITIES</b>                        | \$ 1,168,740                                | \$ 6,890,000 | \$ -                    | \$ 88,994                 | \$ 8,147,734 |
| <b>DEFERRED INFLOW OF RESOURCES</b>             | \$ 44,253                                   | \$ 35,672    | \$ 5,214                | \$ 45,864                 | \$ 131,003   |
| <b>NET POSITION:</b>                            |   |              |                         |                           |              |
| Invested in Capital Assets, Net of Related Debt | \$ 936,275                                  | \$ (866,466) | \$ 3,730                | \$ 710,925                | \$ 784,464   |
| Restricted for Debt Service                     | 60,000                                      | -            | -                       | -                         | 60,000       |
| Unrestricted                                    | 923,160                                     | 1,532,265    | 234,629                 | 180,177                   | 2,870,231    |
| <b>TOTAL NET POSITION</b>                       | \$ 1,919,435                                | \$ 665,799   | \$ 238,359              | \$ 891,102                | \$ 3,714,695 |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN FUND NET POSITION -  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2018

|   | Business-Type Activities - Enterprise Funds |                     |                               |                                 |                     |
|---|---|---------------------|-------------------------------|---------------------------------|---------------------|
|   | Water Fund                                  | Sewer Fund          | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds | Total               |
| <b><u>OPERATING REVENUES:</u></b>                   |   |                     |                               |                                 |                     |
| Charges for Services                                | \$ 582,174                                  | \$ 691,048          | \$ 241,700                    | \$ 120,412                      | \$ 1,635,334        |
| Penalties   | 12,887                                      | 13,251              | 6,272                         | -                               | 32,410              |
| Concessions   | -   | -                   | -                             | 26,184                          | 26,184              |
| Rent  | 80,626                                      | -                   | -                             | 42,905                          | 123,531             |
| Other - Miscellaneous                               | 17,710                                      | -                   | 3,440                         | 4,073                           | 25,223              |
| <b>TOTAL OPERATING REVENUES</b>                     | <b>\$ 693,397</b>                           | <b>\$ 704,299</b>   | <b>\$ 251,412</b>             | <b>\$ 193,574</b>               | <b>\$ 1,842,682</b> |
| <b><u>OPERATING EXPENSES:</u></b>                   |   |                     |                               |                                 |                     |
| Personnel   | \$ 89,646                                   | \$ 72,272           | \$ 10,552                     | \$ 92,916                       | \$ 265,386          |
| Pension Expense                                     | -   | -                   | 59                            | 471                             | 530                 |
| Maintenance Services                                | 340,968                                     | 324,264             | 221,798                       | 77,603                          | 964,633             |
| Professional Services                               | 12,174                                      | 7,586               | -                             | -                               | 19,760              |
| Communications                                      | 1,500                                       | 2,430               | 3,400                         | 6,354                           | 13,684              |
| Services and Charges                                | 13,219                                      | 18,500              | -                             | 32,613                          | 64,332              |
| General Supplies                                    | -   | -                   | 6,872                         | 36,197                          | 43,069              |
| Other Expenditures                                  | 33,194                                      | 30,564              | 1,158                         | 12,399                          | 77,315              |
| Bad Debt  | 3,412                                       | 663                 | 6                             | -                               | 4,081               |
| Depreciation and Amortization                       | 236,538                                     | 861,693             | 605                           | 39,603                          | 1,138,439           |
| <b>TOTAL OPERATING EXPENSES</b>                     | <b>\$ 730,651</b>                           | <b>\$ 1,317,972</b> | <b>\$ 244,450</b>             | <b>\$ 298,156</b>               | <b>\$ 2,591,229</b> |
| Operating Income (Loss)                             | \$ (37,254)                                 | \$ (613,673)        | \$ 6,962                      | \$ (104,582)                    | \$ (748,547)        |
| <b><u>NONOPERATING REVENUES<br/>(EXPENSES):</u></b> |   |                     |                               |                                 |                     |
| Bond Premium Amortization                           | \$ -  | \$ (7,901)          | \$ -                          | \$ 430                          | \$ (7,471)          |
| Interest Earnings                                   | 4,095                                       | 7,828               | 1,308                         | 819                             | 14,050              |
| Interest Expense                                    | (31,669)                                    | (297,990)           | -                             | (3,038)                         | (332,697)           |
| Property Taxes Revenue                              | 20  | 20                  | 20                            | -                               | 60                  |
| Sales Taxes Revenue                                 | -   | 421,986             | -                             | -                               | 421,986             |
| Grants  | -   | -                   | -                             | 32,385                          | 32,385              |
| Solar Electric Sales                                | -   | 5,984               | -                             | -                               | 5,984               |
| Pension Earnings                                    | 798   | 431                 | -                             | -                               | 1,229               |
| <b>TOTAL NONOPERATING<br/>REVENUES (EXPENSES)</b>   | <b>\$ (26,756)</b>                          | <b>\$ 130,358</b>   | <b>\$ 1,328</b>               | <b>\$ 30,596</b>                | <b>\$ 135,526</b>   |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN FUND NET POSITION -  
MODIFIED CASH BASIS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2018

|                                | Business-Type Activities - Enterprise Funds |              |                               |                                 | Total        |
|--------------------------------|---|--------------|-------------------------------|---------------------------------|--------------|
|                                | Water Fund                                  | Sewer Fund   | Garbage<br>and Refuse<br>Fund | Nonmajor<br>Enterprise<br>Funds |              |
| Income (Loss) Before Transfers | \$ (64,010)                                 | \$ (483,315) | \$ 8,290                      | \$ (73,986)                     | \$ (613,021) |
| Transfers In                   | -   | -            | -                             | 134,920                         | 134,920      |
| Transfers Out                  | (24,270)                                    | (24,270)     | -                             | -                               | (48,540)     |
| Change in Net Position         | \$ (88,280)                                 | \$ (507,585) | \$ 8,290                      | \$ 60,934                       | \$ (526,641) |
| TOTAL NET POSITION - BEGINNING | 2,007,715                                   | 1,173,384    | 230,069                       | 830,168                         | 4,241,336    |
| TOTAL NET POSITION - ENDING    | \$ 1,919,435                                | \$ 665,799   | \$ 238,359                    | \$ 891,102                      | \$ 3,714,695 |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

**STATEMENT OF CASH FLOWS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2018**

|   | <u>Business-Type Activities - Enterprise Funds</u> |                       |  |  | <u>Total</u>          |
|---|--|-----------------------|--|--|-----------------------|
|   | <u>Water Fund</u>                                  | <u>Sewer Fund</u>     | <u>Garbage<br/>and Refuse<br/>Fund</u> | <u>Nonmajor<br/>Enterprise<br/>Funds</u> |                       |
| <b><u>CASH FLOWS FROM OPERATING<br/>ACTIVITIES:</u></b>                     |  |                       |  |  |                       |
| Receipts from Customers   | \$ 665,688   | \$ 684,294            | \$ 240,892                             | \$ 189,501                               | \$ 1,780,375          |
| Payments to Suppliers for Goods & Services                                  | (401,055)  | (383,344)             | (233,228)                              | (94,902)                                 | (1,112,529)           |
| Payments to Employees for Services  | (89,646)   | (72,272)              | (10,552)                               | (163,180)                                | (335,650)             |
| Other Receipts/(Payments)   | 17,710   | 13,251                | 9,712                                  | 4,073                                    | 44,746                |
| Net Cash Provided (Used) by Operating<br>Activities                         | <u>\$ 192,697</u>                                  | <u>\$ 241,929</u>     | <u>\$ 6,824</u>                        | <u>\$ (64,508)</u>                       | <u>\$ 376,942</u>     |
| <b><u>CASH FLOWS FROM NONCAPITAL<br/>FINANCING ACTIVITIES:</u></b>          |  |                       |  |  |                       |
| Transfers In/(Out)  | \$ (24,270)  | \$ (24,270)           | \$ -                                   | \$ 134,920                               | \$ 86,380             |
| Property Taxes Received   | 20   | 20                    | 20                                     | -  | 60                    |
| Sales Taxes Received  | -  | 421,986               | -                                      | -  | 421,986               |
| Net Cash Provided (Used) by Noncapital<br>Financing Activities              | <u>\$ (24,250)</u>                                 | <u>\$ 397,736</u>     | <u>\$ 20</u>                           | <u>\$ 134,920</u>                        | <u>\$ 508,426</u>     |
| <b><u>CASH FLOWS FROM CAPITAL AND<br/>RELATED FINANCING ACTIVITIES:</u></b> |  |                       |  |  |                       |
| Purchases of Capital Assets   | \$ (86,506)  | \$ (35,158)           | \$ -                                   | \$ (39,831)                              | \$ (161,495)          |
| Principal Paid on Capital Debt  | (130,427)  | (310,000)             | -                                      | (15,850)                                 | (456,277)             |
| Interest Paid on Capital Debt   | (31,667)   | (297,990)             | -                                      | (3,038)                                  | (332,695)             |
| Grants  | -  | -                     | -                                      | 32,385                                   | 32,385                |
| Interfund Loan  | -  | (420,000)             | -                                      | -  | (420,000)             |
| Net Cash (Used) in Capital and Related<br>Financing Activities              | <u>\$ (248,600)</u>                                | <u>\$ (1,063,148)</u> | <u>\$ -</u>                            | <u>\$ (26,334)</u>                       | <u>\$ (1,338,082)</u> |
| <b><u>CASH FLOWS FROM INVESTING<br/>ACTIVITIES:</u></b>                     |  |                       |  |  |                       |
| Interest Earned on Deposits   | \$ 4,095   | \$ 7,828              | \$ 1,308                               | \$ 819                                   | \$ 14,050             |
| Solar Electric Sales  | -  | 5,984                 | -                                      | -  | 5,984                 |
| Net Cash Provided by Investing Activities                                   | <u>\$ 4,095</u>                                    | <u>\$ 13,812</u>      | <u>\$ 1,308</u>                        | <u>\$ 819</u>                            | <u>\$ 20,034</u>      |

The accompanying notes are an integral part of the basic financial statements.

CITY OF GALENA  
GALENA, ILLINOIS

STATEMENT OF CASH FLOWS - PROPRIETARY FUNDS  
FOR THE YEAR ENDED APRIL 30, 2018

Business-Type Activities - Enterprise Funds

|  | <u>Water Fund</u> | <u>Sewer Fund</u>   | <u>Garbage<br/>and Refuse<br/>Fund</u> | <u>Nonmajor<br/>Enterprise<br/>Funds</u> | <u>Total</u>        |
|--|-------------------|---------------------|--|--|---------------------|
| Net Increase (Decrease) in Cash and Cash Equivalents   | \$ (76,060)       | \$ (409,671)        | \$ 8,152                               | \$ 44,897                                | \$ (432,682)        |
| BALANCE - BEGINNING OF YEAR  | 1,011,224         | 1,437,055           | 200,949                                | 159,434                                  | 2,808,662           |
| <b>BALANCE - END OF YEAR</b>   | <u>\$ 935,164</u> | <u>\$ 1,027,384</u> | <u>\$ 209,101</u>                      | <u>\$ 204,331</u>                        | <u>\$ 2,375,980</u> |
| <b><u>RECONCILIATION OF OPERATING INCOME (LOSS) TO NET CASH PROVIDED (USED) BY OPERATING ACTIVITIES:</u></b> |                   |                     |  |  |                     |
| Operating Income (Loss)  | \$ (37,254)       | \$ (613,673)        | \$ 6,962                               | \$(104,582)                              | \$ (748,547)        |
| <u>Adjustments to Reconcile Operating Income to Net Cash Provided (Used) by Operating Activities:</u>        |                   |                     |  |  |                     |
| Bad Debt   | 3,412             | 663                 | 6                                      | -  | 4,081               |
| Depreciation and Amortization  | 236,538           | 861,693             | 605                                    | 39,603                                   | 1,138,439           |
| Pension Expense  | -                 | -                   | 59                                     | 471                                      | 530                 |
| <u>Changes in Assets and Liabilities:</u>  |                   |                     |  |  |                     |
| Accounts Receivable  | (9,999)           | (6,754)             | (808)                                  | -  | (17,561)            |
| Net Cash Provided (Used) by Operating Activities   | <u>\$ 192,697</u> | <u>\$ 241,929</u>   | <u>\$ 6,824</u>                        | <u>\$ (64,508)</u>                       | <u>\$ 376,942</u>   |
| <b><u>RECONCILIATION OF TOTAL CASH AND CASH EQUIVALENTS TO THE STATEMENT OF NET POSITION:</u></b>            |                   |                     |  |  |                     |
| <u>Current Assets:</u>   |                   |                     |  |  |                     |
| Cash, Deposits, and Investments  | \$ 139,071        | \$ 685,164          | \$ 182,558                             | \$ 151,245                               | \$ 1,158,038        |
| <u>Noncurrent Assets:</u>  |                   |                     |  |  |                     |
| Cash, Deposits, and Investments  | 736,093           | 342,220             | 26,543                                 | 53,086                                   | 1,157,942           |
| Restricted Cash  | 60,000            | -                   | -                                      | -  | 60,000              |
| <b>TOTAL CASH AND CASH EQUIVALENTS AT THE END OF YEAR</b>  | <u>\$ 935,164</u> | <u>\$ 1,027,384</u> | <u>\$ 209,101</u>                      | <u>\$ 204,331</u>                        | <u>\$ 2,375,980</u> |

The accompanying notes are an integral part of the basic financial statements.



# ILLINOIS ENVIRONMENTAL PROTECTION AGENCY

1021 NORTH GRAND AVENUE EAST, P.O. BOX 19276, SPRINGFIELD, ILLINOIS 62794-9276 • (217) 782-3397

PAT QUINN, GOVERNOR

JOHN J. KIM, INTERIM DIRECTOR

217/782-0610

October 5, 2012

City of Galena  
312 1/2 N. Main Street  
Galena, IL 61036

Re: City of Galena  
Galena South WWTF  
NPDES Permit No. IL0075191  
Final Permit

Gentlemen:

Attached is the final NPDES Permit for your discharge. The Permit as issued covers discharge limitations, monitoring, and reporting requirements. Failure to meet any portion of the Permit could result in civil and/or criminal penalties. The Illinois Environmental Protection Agency is ready and willing to assist you in interpreting any of the conditions of the Permit as they relate specifically to your discharge.

The Agency has begun a program allowing the submittal of electronic Discharge Monitoring Reports (eDMRs) instead of paper Discharge Monitoring Reports (DMRs). If you are interested in eDMRs, more information can be found on the Agency website, <http://epa.state.il.us/water/edmr/index.html>. If your facility is not registered in the eDMR program, a supply of preprinted paper DMR Forms for your facility will be sent to you prior to the initiation of DMR reporting under the reissued permit. Additional information and instructions will accompany the preprinted DMRs upon their arrival.

The attached Permit is effective as of the date indicated on the first page of the Permit. Until the effective date of any re-issued Permit, the limitations and conditions of the previously-issued Permit remain in full effect. You have the right to appeal any condition of the Permit to the Illinois Pollution Control Board within a 35 day period following the issuance date.

Should you have questions concerning the Permit, please contact Francis Burba at 217/782-0610.

Sincerely,

Alan Keller, P.E.  
Manager, Permit Section  
Division of Water Pollution Control

SAK:FRB:12061203.sed

Attachment: Final Permit

cc: Records  
Compliance Assurance Section  
Rockford Region  
Billing  
Environmental Management Corporation

4302 N. Main St., Rockford, IL 61103 (815)987-7760  
595 S. State, Elgin, IL 60123 (847)608-3131  
2125 S. First St., Champaign, IL 61820 (217)278-5800  
2009 Mall St., Collinsville, IL 62234 (618)346-5120

9511 Harrison St., Des Plaines, IL 60016 (847)294-4000  
5407 N. University St., Arbor 113, Peoria, IL 61614 (309)693-5462  
2309 W. Main St., Suite 116, Marion, IL 62959 (618)993-7200  
100 W. Randolph, Suite 10-300, Chicago, IL 60601 (312)814-6026

APPENDIX I

NPDES Permit No. IL0075191

Illinois Environmental Protection Agency

Division of Water Pollution Control

1021 North Grand Avenue East

Post Office Box 19276

Springfield, Illinois 62794-9276

NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM

Reissued (NPDES) Permit

Expiration Date: October 31, 2017

Issue Date: October 5, 2012  
Effective Date: November 1, 2012

Name and Address of Permittee:

City of Galena  
312 1/2 N. Main Street  
Galena, IL 61036

Facility Name and Address:

Galena South WWTF  
1989 East Cross Road  
Galena, IL 61036  
(Jo Daviess County)

Receiving Waters: Galena River

In compliance with the provisions of the Illinois Environmental Protection Act, Title 35 of the Ill. Adm. Code, Subtitle C, Chapter I, and the Clean Water Act (CWA), the above-named Permittee is hereby authorized to discharge at the above location to the above-named receiving stream in accordance with the standard conditions and attachments herein.

Permittee is not authorized to discharge after the above expiration date. In order to receive authorization to discharge beyond the expiration date, the Permittee shall submit the proper application as required by the Illinois Environmental Protection Agency (IEPA) not later than 180 days prior to the expiration date.



Alan Keller, P.E.  
Manager, Permit Section  
Division of Water Pollution Control

SAK:FRB:12061203.sed

NPDES Permit No. IL0075191

Effluent Limitations, Monitoring, and Reporting

FINAL

Discharge Number(s) and Name(s): 001 STP Outfall

Load limits computed based on a design average flow (DAF) of 1.171 MGD (design maximum flow (DMF) of 4.241 MGD).

Excess flow facilities (if applicable) shall not be utilized until the main treatment facility is receiving its maximum practical flow.

From the effective date of this Permit until the expiration date, the effluent of the above discharge(s) shall be monitored and limited at all times as follows:

| Parameter                   | LOAD LIMITS lbs/day   |                |               | CONCENTRATION   |                |               | Sample Frequency | Sample Type |
|-----------------------------|---|----------------|---------------|-----------------|----------------|---------------|------------------|-------------|
|                             | Monthly Average   | Weekly Average | Daily Maximum | Monthly Average | Weekly Average | Daily Maximum |                  |             |
| Flow (MGD)                  |   |                |               |                 |                |               | Continuous       |             |
| CBOD <sub>5</sub> **        | 195 (707)   | 391 (1415)     |               | 20              | 40             |               | 3 Days/Week      | Composite   |
| Suspended Solids            | 244 (884)   | 439 (1592)     |               | 25              | 45             |               | 3 Days/Week      | Composite   |
| pH                          | Shall be in the range of 6 to 9 Standard Units                      |                |               |                 |                |               | 3 Days/Week      | Grab        |
| Fecal Coliform***           | Daily Maximum shall not exceed 400 per 100 mL (May through October) |                |               |                 |                |               | 3 Days/Week      | Grab        |
| Ammonia Nitrogen:<br>As (N) |   |                |               |                 |                |               |                  |             |
| April-May/Sept.-Oct.        | 16 (57)   | 39 (141)       | 53 (191)      | 1.6             | 4.0            | 5.4           | 3 Days/Week      | Composite   |
| June-August                 | 15 (53)   | 37 (134)       | 53 (191)      | 1.5             | 3.8            | 5.4           | 3 Days/Week      | Composite   |
| Nov.-Feb.                   | 39 (141)  |                | 42 (152)      | 4.0             |                | 4.3           | 3 Days/Week      | Composite   |
| March                       | 16 (57)   | 39 (141)       | 57 (205)      | 1.6             | 4.0            | 5.8           | 3 Days/Week      | Composite   |
| Phosphorus (as P)           | Monitor Only  |                |               |                 |                |               | 1 Day/Month      | Composite   |
| Total Nitrogen              | Monitor Only  |                |               |                 |                |               | 1 Day/Month      | Composite   |

\*Load limits based on design maximum flow shall apply only when flow exceeds design average flow.

\*\*Carbonaceous BOD<sub>5</sub> (CBOD<sub>5</sub>) testing shall be in accordance with 40 CFR 136.

\*\*\*See Special Condition 10.

Flow shall be reported on the Discharge Monitoring Report (DMR) as monthly average and daily maximum.

Fecal Coliform shall be reported on the DMR as a daily maximum value.

pH shall be reported on the DMR as minimum and maximum value.

Phosphorus and Total Nitrogen shall be reported on the DMR as a daily maximum value.

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Influent Monitoring, and Reporting

The influent to the plant shall be monitored as follows:

| <u>Parameter</u> | <u>Sample Frequency</u> | <u>Sample Type</u> |
|------------------|-------------------------|--------------------|
| Flow (MGD)       | Continuous              |                    |
| BOD <sub>5</sub> | 3 Days/Week             | Composite          |
| Suspended Solids | 3 Days/Week             | Composite          |

Influent samples shall be taken at a point representative of the influent.

Flow (MGD) shall be reported on the Discharge Monitoring Report (DMR) as monthly average and daily maximum.

BOD<sub>5</sub> and Suspended Solids shall be reported on the DMR as a monthly average concentration.

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Special Conditions

**SPECIAL CONDITION 1.** This Permit may be modified to include different final effluent limitations or requirements which are consistent with applicable laws, regulations, or judicial orders. The IEPA will public notice the permit modification.

**SPECIAL CONDITION 2.** The use or operation of this facility shall be by or under the supervision of a Certified Class 1 operator.

**SPECIAL CONDITION 3.** The IEPA may request in writing submittal of operational information in a specified form and at a required frequency at any time during the effective period of this Permit.

**SPECIAL CONDITION 4.** The IEPA may request more frequent monitoring by permit modification pursuant to 40 CFR § 122.63 and Without Public Notice in the event of operational, maintenance or other problems resulting in possible effluent deterioration.

**SPECIAL CONDITION 5.** The effluent, alone or in combination with other sources, shall not cause a violation of any applicable water quality standard outlined in 35 Ill. Adm. Code 302.

**SPECIAL CONDITION 6.** The Permittee shall record monitoring results on Discharge Monitoring Report (DMR) Forms using one such form for each outfall each month.

In the event that an outfall does not discharge during a monthly reporting period, the DMR Form shall be submitted with no discharge indicated.

The Permittee may choose to submit electronic DMRs (eDMRs) instead of mailing paper DMRs to the IEPA. More information, including registration information for the eDMR program, can be obtained on the IEPA website, <http://www.epa.state.il.us/water/edmr/index.html>.

The completed Discharge Monitoring Report forms shall be submitted to IEPA no later than the 25th day of the following month, unless otherwise specified by the permitting authority.

Permittees not using eDMRs shall mail Discharge Monitoring Reports with an original signature to the IEPA at the following address:

Illinois Environmental Protection Agency  
Division of Water Pollution Control  
Attention: Compliance Assurance Section, Mail Code # 19  
1021 North Grand Avenue East  
Post Office Box 19276  
Springfield, Illinois 62794-9276

**SPECIAL CONDITION 7.** The provisions of 40 CFR Section 122.41(m) & (n) are applicable and are hereby incorporated by reference.

**SPECIAL CONDITION 8.** Samples taken in compliance with the effluent monitoring requirements shall be taken at a point representative of the discharge, but prior to entry into the receiving stream.

**SPECIAL CONDITION 9.** For Discharge No. 001, any use of chlorine to control slime growths, odors or as an operational control, etc. shall not exceed the limit of 0.05 mg/L (daily maximum) total residual chlorine in the effluent. Sampling is required on a daily grab basis during the chlorination process. Reporting shall be submitted on the DMR's on a monthly basis.

**SPECIAL CONDITION 10.** Fecal Coliform limits for Discharge Number 001 are effective May thru October. Sampling of Fecal Coliform is only required during this time period.

**SPECIAL CONDITION 11.** The Permittee shall conduct semi-annual monitoring of the effluent and report concentrations (in mg/l) of the following listed parameters. Monitoring shall begin three (3) months from the effective date of this permit. The sample shall be a 24-hour effluent composite except as otherwise specifically provided below and the results shall be submitted on Discharge Monitoring Report Forms to IEPA unless otherwise specified by the IEPA. The parameters to be sampled and the minimum reporting limits to be attained are as follows:

| <u>STORET<br/>CODE</u> | <u>PARAMETER</u>                       | <u>Minimum<br/>reporting limit</u> |
|------------------------|--|------------------------------------|
| 01002                  | Arsenic                                | 0.05 mg/L                          |
| 01007                  | Barium                                 | 0.5 mg/L                           |
| 01027                  | Cadmium                                | 0.001 mg/L                         |
| 01032                  | Chromium (hexavalent) (grab)           | 0.01 mg/L                          |
| 01034                  | Chromium (total)                       | 0.05 mg/L                          |
| 01042                  | Copper                                 | 0.005 mg/L                         |
| 00718                  | Cyanide (weak acid dissociable) (grab) | 5.0 ug/L                           |

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|       |   |            |
|-------|---|------------|
| 00720 | Cyanide (total) (grab not to exceed 24 hours)         | 5.0 ug/L   |
| 00951 | Fluoride  | 0.1 mg/L   |
| 01045 | Iron (total)  | 0.5 mg/L   |
| 01046 | Iron (Dissolved)                                      | 0.5 mg/L   |
| 01051 | Lead  | 0.05 mg/L  |
| 01055 | Manganese   | 0.5 mg/L   |
| 71900 | Mercury (grab)**                                      | 1.0 ng/L*  |
| 01067 | Nickel  | 0.005 mg/L |
| 00556 | Oil (hexane soluble or equivalent) (Grab Sample only) | 5.0 mg/L   |
| 32730 | Phenols (grab)  | 0.005 mg/L |
| 01147 | Selenium  | 0.005 mg/L |
| 01077 | Silver (total)  | 0.003 mg/L |
| 01092 | Zinc  | 0.025 mg/L |

Unless otherwise indicated, concentrations refer to the total amount of the constituent present in all phases, whether solid, suspended or dissolved, elemental or combined, including all oxidation states.

\*1.0 ng/L = 1 part per trillion.

\*\*Utilize USEPA Method 1631E and the digestion procedure described in Section 11.1.1.2 of 1631E.

SPECIAL CONDITION 12. During January of each year the Permittee shall submit annual fiscal data regarding sewerage system operations to the Illinois Environmental Protection Agency/Division of Water Pollution Control/Compliance Assurance Section. The Permittee may use any fiscal year period provided the period ends within twelve (12) months of the submission date.

Submission shall be on forms provided by IEPA titled "Fiscal Report Form For NPDES Permittees".

SPECIAL CONDITION 13. The Permittee shall conduct biomonitoring of the effluent from Discharge Number(s) 001.

Biomonitoring

- Acute Toxicity - Standard definitive acute toxicity tests shall be run on at least two trophic levels of aquatic species (fish, invertebrate) representative of the aquatic community of the receiving stream. Testing must be consistent with Methods for Measuring the Acute Toxicity of Effluents and Receiving Waters to Freshwater and Marine Organisms (Fifth Ed.) EPA/821-R-02-012. Unless substitute tests are pre-approved; the following tests are required:
  - Fish - 96 hour static LC<sub>50</sub> Bioassay using fathead minnows (*Pimephales promelas*).
  - Invertebrate 48-hour static LC<sub>50</sub> Bioassay using *Ceriodaphnia*.
- Testing Frequency - The above tests shall be conducted using 24-hour composite samples unless otherwise authorized by the IEPA. Samples must be collected in the 18th, 15th, 12th, and 9th month prior to the expiration date of this Permit.
- Reporting - Results shall be reported according to EPA/821-R-02-012, Section 12, Report Preparation, and shall be submitted to IEPA, Bureau of Water, Compliance Assurance Section within one week of receipt from the laboratory. Reports are due to the IEPA no later than the 16th, 13th, 10th, and 7th month prior to the expiration date of this Permit.
- Toxicity - Should a bioassay result in toxicity to >20% of organisms test in the 100% effluent treatment, the IEPA may require, upon notification, six (6) additional rounds of monthly testing on the affected organism(s) to be initiated within 30 days of the toxic bioassay. Results shall be submitted to IEPA within (1) week of becoming available to the Permittee. Should any of the additional bioassays result in toxicity to ≥50% of organisms tested in the 100% effluent treatments, the Permittee may wish to contact the IEPA to request the discontinuance of further sampling at which time the IEPA may require the Permittee to begin the toxicity reduction evaluation and identification as outlined below.
- Toxicity Reduction Evaluation - Should the results of the biomonitoring program identify toxicity, the IEPA may require that the Permittee prepare a plan for toxicity reduction evaluation and identification. This plan shall be developed in accordance with Toxicity Reduction Evaluation Guidance for Municipal Wastewater Treatment Plants, EPA/833B-99/002, and shall include an evaluation to determine which chemicals have a potential for being discharged in the plant wastewater, a monitoring program to determine their presence or absence and to identify other compounds which are not being removed by treatment, and other measures as appropriate. The Permittee shall submit to the IEPA its plan for toxicity reduction evaluation within ninety (90) days following notification by the IEPA. The Permittee shall implement the plan within ninety (90) days or other such date as contained in a notification letter received from the IEPA.

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The IEPA may modify this Permit during its term to incorporate additional requirements or limitations based on the results of the biomonitoring. In addition, after review of the monitoring results, the IEPA may modify this Permit to include numerical limitations for specific toxic pollutants. Modifications under this condition shall follow public notice and opportunity for hearing.

SPECIAL CONDITION 14. For the duration of this Permit, the Permittee shall determine the quantity of sludge produced by the treatment facility in dry tons or gallons with average percent total solids analysis. The Permittee shall maintain adequate records of the quantities of sludge produced and have said records available for IEPA inspection. The Permittee shall submit to the IEPA, at a minimum, a semi-annual summary report of the quantities of sludge generated and disposed of, in units of dry tons or gallons (average total percent solids) by different disposal methods including but not limited to application on farmland, application on reclamation land, landfilling, public distribution, dedicated land disposal, sod farms, storage lagoons or any other specified disposal method. Said reports shall be submitted to the IEPA by January 31 and July 31 of each year reporting the preceding January thru June and July thru December interval of sludge disposal operations.

Duty to Mitigate. The Permittee shall take all reasonable steps to minimize any sludge use or disposal in violation of this Permit.

Sludge monitoring must be conducted according to test procedures approved under 40 CFR 136 unless otherwise specified in 40 CFR 503, unless other test procedures have been specified in this Permit.

Planned Changes. The Permittee shall give notice to the IEPA on the semi-annual report of any changes in sludge use and disposal.

The Permittee shall retain records of all sludge monitoring, and reports required by the Sludge Permit as referenced in Standard Condition 23 for a period of at least five (5) years from the date of this Permit.

If the Permittee monitors any pollutant more frequently than required by the Sludge Permit, the results of this monitoring shall be included in the reporting of data submitted to the IEPA.

Monitoring reports for sludge shall be reported on the form titled "Sludge Management Reports" to the following address:

Illinois Environmental Protection Agency  
Bureau of Water  
Compliance Assurance Section  
Mail Code #19  
1021 North Grand Avenue East  
Post Office Box 19276  
Springfield, Illinois 62794-9276

SPECIAL CONDITION 15. This Permit may be modified to include alternative or additional final effluent limitations pursuant to an approved Total Maximum Daily Load (TMDL) Study or upon completion of an alternate Water Quality Study.

**Attachment H**  
**Standard Conditions**

**Definitions**

**Act** means the Illinois Environmental Protection Act, 415 ILCS 5 as Amended.

**Agency** means the Illinois Environmental Protection Agency.

**Board** means the Illinois Pollution Control Board.

**Clean Water Act** (formerly referred to as the Federal Water Pollution Control Act) means Pub. L 92-500, as amended. 33 U.S.C. 1251 et seq.

**NPDES** (National Pollutant Discharge Elimination System) means the national program for issuing, modifying, revoking and reissuing, terminating, monitoring and enforcing permits, and imposing and enforcing pretreatment requirements, under Sections 307, 402, 318 and 405 of the Clean Water Act.

**USEPA** means the United States Environmental Protection Agency.

**Daily Discharge** means the discharge of a pollutant measured during a calendar day or any 24-hour period that reasonably represents the calendar day for purposes of sampling. For pollutants with limitations expressed in units of mass, the "daily discharge" is calculated as the total mass of the pollutant discharged over the day. For pollutants with limitations expressed in other units of measurements, the "daily discharge" is calculated as the average measurement of the pollutant over the day.

**Maximum Daily Discharge Limitation** (daily maximum) means the highest allowable daily discharge.

**Average Monthly Discharge Limitation** (30 day average) means the highest allowable average of daily discharges over a calendar month, calculated as the sum of all daily discharges measured during a calendar month divided by the number of daily discharges measured during that month.

**Average Weekly Discharge Limitation** (7 day average) means the highest allowable average of daily discharges over a calendar week, calculated as the sum of all daily discharges measured during a calendar week divided by the number of daily discharges measured during that week.

**Best Management Practices** (BMPs) means schedules of activities, prohibitions of practices, maintenance procedures, and other management practices to prevent or reduce the pollution of waters of the State. BMPs also include treatment requirements, operating procedures, and practices to control plant site runoff, spillage or leaks, sludge or waste disposal, or drainage from raw material storage.

**Aliquot** means a sample of specified volume used to make up a total composite sample.

**Grab Sample** means an individual sample of at least 100 milliliters collected at a randomly-selected time over a period not exceeding 15 minutes.

**24-Hour Composite Sample** means a combination of at least 8 sample aliquots of at least 100 milliliters, collected at periodic intervals during the operating hours of a facility over a 24-hour period.

**8-Hour Composite Sample** means a combination of at least 3 sample aliquots of at least 100 milliliters, collected at periodic intervals during the operating hours of a facility over an 8-hour period.

**Flow Proportional Composite Sample** means a combination of sample aliquots of at least 100 milliliters collected at periodic intervals such that either the time interval between each aliquot or the volume of each aliquot is proportional to either the stream flow at the time of sampling or the total stream flow since the collection of the previous aliquot.

- (1) **Duty to comply.** The permittee must comply with all conditions of this permit. Any permit noncompliance constitutes a violation of the Act and is grounds for enforcement action, permit termination, revocation and reissuance, modification, or for denial of a permit renewal application. The permittee shall comply with effluent standards or prohibitions established under Section 307(a) of the Clean Water Act for toxic pollutants within the time provided in the regulations that establish these standards or prohibitions, even if the permit has not yet been modified to incorporate the requirements.
- (2) **Duty to reapply.** If the permittee wishes to continue an activity regulated by this permit after the expiration date of this permit, the permittee must apply for and obtain a new permit. If the permittee submits a proper application as required by the Agency no later than 180 days prior to the expiration date, this permit shall continue in full force and effect until the final Agency decision on the application has been made.
- (3) **Need to halt or reduce activity not a defense.** It shall not be a defense for a permittee in an enforcement action that it would have been necessary to halt or reduce the permitted activity in order to maintain compliance with the conditions of this permit.
- (4) **Duty to mitigate.** The permittee shall take all reasonable steps to minimize or prevent any discharge in violation of this permit which has a reasonable likelihood of adversely affecting human health or the environment.
- (5) **Proper operation and maintenance.** The permittee shall at all times properly operate and maintain all facilities and systems of treatment and control (and related appurtenances) which are installed or used by the permittee to achieve compliance with conditions of this permit. Proper operation and maintenance includes effective performance, adequate funding, adequate operator staffing and training, and adequate laboratory and process controls, including appropriate quality assurance procedures. This provision requires the operation of back-up, or auxiliary facilities, or similar systems only when necessary to achieve compliance with the conditions of the permit.
- (6) **Permit actions.** This permit may be modified, revoked and reissued, or terminated for cause by the Agency pursuant to 40 CFR 122.62 and 40 CFR 122.63. The filing of a request by the permittee for a permit modification, revocation and reissuance, or termination, or a notification of planned changes or anticipated noncompliance, does not stay any permit condition.
- (7) **Property rights.** This permit does not convey any property rights of any sort, or any exclusive privilege.
- (8) **Duty to provide information.** The permittee shall furnish to the Agency within a reasonable time, any information which the Agency may request to determine whether cause exists for modifying, revoking and reissuing, or terminating this permit, or to determine compliance with the permit. The permittee shall also furnish to the Agency upon request, copies of records required to be kept by this permit.

(9) **Inspection and entry.** The permittee shall allow an authorized representative of the Agency or USEPA (including an authorized contractor acting as a representative of the Agency or USEPA), upon the presentation of credentials and other documents as may be required by law, to:

- (a) Enter upon the permittee's premises where a regulated facility or activity is located or conducted, or where records must be kept under the conditions of this permit;
- (b) Have access to and copy, at reasonable times, any records that must be kept under the conditions of this permit;
- (c) Inspect at reasonable times any facilities, equipment (including monitoring and control equipment), practices, or operations regulated or required under this permit; and
- (d) Sample or monitor at reasonable times, for the purpose of assuring permit compliance, or as otherwise authorized by the Act, any substances or parameters at any location.

(10) **Monitoring and records.**

- (a) Samples and measurements taken for the purpose of monitoring shall be representative of the monitored activity.
- (b) The permittee shall retain records of all monitoring information, including all calibration and maintenance records, and all original strip chart recordings for continuous monitoring instrumentation, copies of all reports required by this permit, and records of all data used to complete the application for this permit, for a period of at least 3 years from the date of this permit, measurement, report or application. Records related to the permittee's sewage sludge use and disposal activities shall be retained for a period of at least five years (or longer as required by 40 CFR Part 503). This period may be extended by request of the Agency or USEPA at any time.
- (c) Records of monitoring information shall include:
  - (1) The date, exact place, and time of sampling or measurements;
  - (2) The individual(s) who performed the sampling or measurements;
  - (3) The date(s) analyses were performed;
  - (4) The individual(s) who performed the analyses;
  - (5) The analytical techniques or methods used; and
  - (6) The results of such analyses.
- (d) Monitoring must be conducted according to test procedures approved under 40 CFR Part 136, unless other test procedures have been specified in this permit. Where no test procedure under 40 CFR Part 136 has been approved, the permittee must submit to the Agency a test method for approval. The permittee shall calibrate and perform maintenance procedures on all monitoring and analytical instrumentation at intervals to ensure accuracy of measurements.

(11) **Signatory requirement.** All applications, reports or information submitted to the Agency shall be signed and certified.

(a) **Application.** All permit applications shall be signed as follows:

- (1) For a corporation: by a principal executive officer of at least the level of vice president or a person or position having overall responsibility for environmental matters for the corporation;
- (2) For a partnership or sole proprietorship: by a general partner or the proprietor, respectively; or
- (3) For a municipality, State, Federal, or other public agency: by either a principal executive officer or ranking elected official.

(b) **Reports.** All reports required by permits, or other information requested by the Agency shall be signed by a person described in paragraph (a) or by a duly authorized representative of that person. A person is a duly

authorized representative only if:

- (1) The authorization is made in writing by a person described in paragraph (a); and
  - (2) The authorization specifies either an individual or a position responsible for the overall operation of the facility, from which the discharge originates, such as a plant manager, superintendent or person of equivalent responsibility; and
  - (3) The written authorization is submitted to the Agency.
- (c) **Changes of Authorization.** If an authorization under (b) is no longer accurate because a different individual or position has responsibility for the overall operation of the facility, a new authorization satisfying the requirements of (b) must be submitted to the Agency prior to or together with any reports, information, or applications to be signed by an authorized representative.
- (d) **Certification.** Any person signing a document under paragraph (a) or (b) of this section shall make the following certification:

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.

(12) **Reporting requirements.**

(a) **Planned changes.** The permittee shall give notice to the Agency as soon as possible of any planned physical alterations or additions to the permitted facility.

Notice is required when:

- (1) The alteration or addition to a permitted facility may meet one of the criteria for determining whether a facility is a new source pursuant to 40 CFR 122.29 (b); or
- (2) The alteration or addition could significantly change the nature or increase the quantity of pollutants discharged. This notification applies to pollutants which are subject neither to effluent limitations in the permit, nor to notification requirements pursuant to 40 CFR 122.42 (a)(1).

(3) The alteration or addition results in a significant change in the permittee's sludge use or disposal practices, and such alteration, addition, or change may justify the application of permit conditions that are different from or absent in the existing permit, including notification of additional use or disposal sites not reported during the permit application process or not reported pursuant to an approved land application plan.

(b) **Anticipated noncompliance.** The permittee shall give advance notice to the Agency of any planned changes in the permitted facility or activity which may result in noncompliance with permit requirements.

(c) **Transfers.** This permit is not transferable to any person except after notice to the Agency.

(d) **Compliance schedules.** Reports of compliance or noncompliance with, or any progress reports on, interim and final requirements contained in any compliance schedule of this permit shall be submitted no later than 14 days following each schedule date.

(e) **Monitoring reports.** Monitoring results shall be reported at the intervals specified elsewhere in this permit.

(1) Monitoring results must be reported on a Discharge Monitoring Report (DMR).

- (2) If the permittee monitors any pollutant more frequently than required by the permit, using test procedures approved under 40 CFR 136 or as specified in the permit, the results of this monitoring shall be included in the calculation and reporting of the data submitted in the DMR.
- (3) Calculations for all limitations which require averaging of measurements shall utilize an arithmetic mean unless otherwise specified by the Agency in the permit.
- (f) **Twenty-four hour reporting.** The permittee shall report any noncompliance which may endanger health or the environment. Any information shall be provided orally within 24-hours from the time the permittee becomes aware of the circumstances. A written submission shall also be provided within 5 days of the time the permittee becomes aware of the circumstances. The written submission shall contain a description of the noncompliance and its cause; the period of noncompliance, including exact dates and time; and if the noncompliance has not been corrected, the anticipated time it is expected to continue; and steps taken or planned to reduce, eliminate, and prevent reoccurrence of the noncompliance. The following shall be included as information which must be reported within 24-hours:
- (1) Any unanticipated bypass which exceeds any effluent limitation in the permit.
  - (2) Any upset which exceeds any effluent limitation in the permit.
  - (3) Violation of a maximum daily discharge limitation for any of the pollutants listed by the Agency in the permit or any pollutant which may endanger health or the environment.
- The Agency may waive the written report on a case-by-case basis if the oral report has been received within 24-hours.
- (g) **Other noncompliance.** The permittee shall report all instances of noncompliance not reported under paragraphs (12) (d), (e), or (f), at the time monitoring reports are submitted. The reports shall contain the information listed in paragraph (12) (f).
- (h) **Other information.** Where the permittee becomes aware that it failed to submit any relevant facts in a permit application, or submitted incorrect information in a permit application, or in any report to the Agency, it shall promptly submit such facts or information.
- (13) **Bypass.**
- (a) Definitions.
    - (1) Bypass means the intentional diversion of waste streams from any portion of a treatment facility.
    - (2) Severe property damage means substantial physical damage to property, damage to the treatment facilities which causes them to become inoperable, or substantial and permanent loss of natural resources which can reasonably be expected to occur in the absence of a bypass. Severe property damage does not mean economic loss caused by delays in production.
  - (b) Bypass not exceeding limitations. The permittee may allow any bypass to occur which does not cause effluent limitations to be exceeded, but only if it also is for essential maintenance to assure efficient operation. These bypasses are not subject to the provisions of paragraphs (13)(c) and (13)(d).
  - (c) Notice.
    - (1) Anticipated bypass. If the permittee knows in advance of the need for a bypass, it shall submit prior notice, if possible at least ten days before the date of the bypass.
    - (2) Unanticipated bypass. The permittee shall submit notice of an unanticipated bypass as required in paragraph (12)(f) (24-hour notice).
  - (d) Prohibition of bypass.
    - (1) Bypass is prohibited, and the Agency may take enforcement action against a permittee for bypass, unless:
      - (i) Bypass was unavoidable to prevent loss of life, personal injury, or severe property damage;
      - (ii) There were no feasible alternatives to the bypass, such as the use of auxiliary treatment facilities, retention of untreated wastes, or maintenance during normal periods of equipment downtime. This condition is not satisfied if adequate back-up equipment should have been installed in the exercise of reasonable engineering judgment to prevent a bypass which occurred during normal periods of equipment downtime or preventive maintenance; and
      - (iii) The permittee submitted notices as required under paragraph (13)(c).
    - (2) The Agency may approve an anticipated bypass, after considering its adverse effects, if the Agency determines that it will meet the three conditions listed above in paragraph (13)(d)(1).
- (14) **Upset.**
- (a) Definition. Upset means an exceptional incident in which there is unintentional and temporary noncompliance with technology based permit effluent limitations because of factors beyond the reasonable control of the permittee. An upset does not include noncompliance to the extent caused by operational error, improperly designed treatment facilities, inadequate treatment facilities, lack of preventive maintenance, or careless or improper operation.
  - (b) Effect of an upset. An upset constitutes an affirmative defense to an action brought for noncompliance with such technology based permit effluent limitations if the requirements of paragraph (14)(c) are met. No determination made during administrative review of claims that noncompliance was caused by upset, and before an action for noncompliance, is final administrative action subject to judicial review.
  - (c) Conditions necessary for a demonstration of upset. A permittee who wishes to establish the affirmative defense of upset shall demonstrate, through properly signed, contemporaneous operating logs, or other relevant evidence that:
    - (1) An upset occurred and that the permittee can identify the cause(s) of the upset;
    - (2) The permitted facility was at the time being properly operated; and
    - (3) The permittee submitted notice of the upset as required in paragraph (12)(f)(2) (24-hour notice).
    - (4) The permittee complied with any remedial measures required under paragraph (4).
  - (d) Burden of proof. In any enforcement proceeding the permittee seeking to establish the occurrence of an upset has the burden of proof.
- (15) **Transfer of permits.** Permits may be transferred by modification or automatic transfer as described below:
- (a) Transfers by modification. Except as provided in paragraph (b), a permit may be transferred by the permittee to a new owner or operator only if the permit has been modified or revoked and reissued pursuant to 40 CFR 122.62 (b) (2), or a minor modification made pursuant to 40 CFR 122.63 (d), to identify the new permittee and incorporate such other requirements as may be necessary under the Clean Water Act.
  - (b) Automatic transfers. As an alternative to transfers under paragraph (a), any NPDES permit may be automatically

transferred to a new permittee if:

- (1) The current permittee notifies the Agency at least 30 days in advance of the proposed transfer date;
  - (2) The notice includes a written agreement between the existing and new permittees containing a specified date for transfer of permit responsibility, coverage and liability between the existing and new permittees; and
  - (3) The Agency does not notify the existing permittee and the proposed new permittee of its intent to modify or revoke and reissue the permit. If this notice is not received, the transfer is effective on the date specified in the agreement.
- (16) All manufacturing, commercial, mining, and silvicultural dischargers must notify the Agency as soon as they know or have reason to believe:
- (a) That any activity has occurred or will occur which would result in the discharge of any toxic pollutant identified under Section 307 of the Clean Water Act which is not limited in the permit, if that discharge will exceed the highest of the following notification levels:
    - (1) One hundred micrograms per liter (100 ug/l);
    - (2) Two hundred micrograms per liter (200 ug/l) for acrolein and acrylonitrile; five hundred micrograms per liter (500 ug/l) for 2,4-dinitrophenol and for 2-methyl-4,6 dinitrophenol; and one milligram per liter (1 mg/l) for antimony.
    - (3) Five (5) times the maximum concentration value reported for that pollutant in the NPDES permit application; or
    - (4) The level established by the Agency in this permit.
  - (b) That they have begun or expect to begin to use or manufacture as an intermediate or final product or byproduct any toxic pollutant which was not reported in the NPDES permit application.
- (17) All Publicly Owned Treatment Works (POTWs) must provide adequate notice to the Agency of the following:
- (a) Any new introduction of pollutants into that POTW from an indirect discharge which would be subject to Sections 301 or 306 of the Clean Water Act if it were directly discharging those pollutants; and
  - (b) Any substantial change in the volume or character of pollutants being introduced into that POTW by a source introducing pollutants into the POTW at the time of issuance of the permit.
  - (c) For purposes of this paragraph, adequate notice shall include information on (i) the quality and quantity of effluent introduced into the POTW, and (ii) any anticipated impact of the change on the quantity or quality of effluent to be discharged from the POTW.
- (18) If the permit is issued to a publicly owned or publicly regulated treatment works, the permittee shall require any industrial user of such treatment works to comply with federal requirements concerning:
- (a) User charges pursuant to Section 204 (b) of the Clean Water Act, and applicable regulations appearing in 40 CFR 35;
  - (b) Toxic pollutant effluent standards and pretreatment standards pursuant to Section 307 of the Clean Water Act; and
  - (c) Inspection, monitoring and entry pursuant to Section 308 of the Clean Water Act.
- (19) If an applicable standard or limitation is promulgated under Section 301(b)(2)(C) and (D), 304(b)(2), or 307(a)(2) and that effluent standard or limitation is more stringent than any effluent limitation in the permit, or controls a pollutant not limited in the permit, the permit shall be promptly modified or revoked, and reissued to conform to that effluent standard or limitation.
  - (20) Any authorization to construct issued to the permittee pursuant to 35 Ill. Adm. Code 309.154 is hereby incorporated by reference as a condition of this permit.
  - (21) The permittee shall not make any false statement, representation or certification in any application, record, report, plan or other document submitted to the Agency or the USEPA, or required to be maintained under this permit.
  - (22) The Clean Water Act provides that any person who violates a permit condition implementing Sections 301, 302, 306, 307, 308, 318, or 405 of the Clean Water Act is subject to a civil penalty not to exceed \$25,000 per day of such violation. Any person who willfully or negligently violates permit conditions implementing Sections 301, 302, 306, 307, 308, 318 or 405 of the Clean Water Act is subject to a fine of not less than \$2,500 nor more than \$25,000 per day of violation, or by imprisonment for not more than one year, or both. Additional penalties for violating these sections of the Clean Water Act are identified in 40 CFR 122.41 (a)(2) and (3).
  - (23) The Clean Water Act provides that any person who falsifies, tampers with, or knowingly renders inaccurate any monitoring device or method required to be maintained under this permit shall, upon conviction, be punished by a fine of not more than \$10,000, or by imprisonment for not more than 2 years, or both. If a conviction of a person is for a violation committed after a first conviction of such person under this paragraph, punishment is a fine of not more than \$20,000 per day of violation, or by imprisonment of not more than 4 years, or both.
  - (24) The Clean Water Act provides that any person who knowingly makes any false statement, representation, or certification in any record or other document submitted or required to be maintained under this permit, including monitoring reports or reports of compliance or non-compliance shall, upon conviction, be punished by a fine of not more than \$10,000 per violation, or by imprisonment for not more than 6 months per violation, or by both.
  - (25) Collected screening, slurries, sludges, and other solids shall be disposed of in such a manner as to prevent entry of those wastes (or runoff from the wastes) into waters of the State. The proper authorization for such disposal shall be obtained from the Agency and is incorporated as part hereof by reference.
  - (26) In case of conflict between these standard conditions and any other condition(s) included in this permit, the other condition(s) shall govern.
  - (27) The permittee shall comply with, in addition to the requirements of the permit, all applicable provisions of 35 Ill. Adm. Code, Subtitle C, Subtitle D, Subtitle E, and all applicable orders of the Board or any court with jurisdiction.
  - (28) The provisions of this permit are severable, and if any provision of this permit, or the application of any provision of this permit is held invalid, the remaining provisions of this permit shall continue in full force and effect.



# ILLINOIS ENVIRONMENTAL PROTECTION AGENCY

1021 NORTH GRAND AVENUE EAST, P.O. BOX 19276, SPRINGFIELD, ILLINOIS 62794-9276 • (217) 782-3397

BRUCE RAUNER, GOVERNOR

ALEC MESSINA, DIRECTOR

April 27, 2018

City of Galena  
Andrew Lewis  
101 Green Street  
Galena, IL 61036

RE: Facility – Galena South WWTF – County: JoDaviess  
NPDES Permit No: ILR006236 - Notice of Renewal General Storm Water Permit for Industrial Site Activities  
Bureau ID: W0850200002

Dear NPDES Permittee:

We have reviewed your renewal application and determined that storm water discharges associated with industrial activity (excluding construction sites) are appropriately covered by the General NPDES Permit Issued by the Agency.

The Permit issued covers application requirements, a Storm Water Pollution Prevention Plan, and reporting requirements. Failure to meet any portion of the Permit could result in civil and/or criminal penalties. The Agency is ready and willing to assist you in interpreting any of the conditions of the Permit as they relate specifically to your discharge. An electronic copy of your facility's SWPPP must be submitted to the Agency in accordance with Part E.1 of the ILR00 Permit.

The Permit and attachments are available through the following website address:  
<http://www.epa.illinois.gov/topics/forms/water-permits/storm-water/industrial/index>

Your discharge is covered by this permit effective as of the date of this letter. You have the right to appeal the Agency's decision to cover the discharge by the General Permit to the Illinois Pollution Control Board within a 35-day period following the date of this letter.

Your original approval date is 3/25/2003. Annual reports for your facility are required to be submitted to the Agency pursuant to Part K.2 of this permit. This letter shows your facility permit number below your facility name. Please reference this number in all future correspondence. Should you have any questions concerning the Permit, please contact the Permit Section at 217/782-0610.

Very Truly Yours,

Sanjay Sofat  
Chief  
Bureau of Water

CC: Records, Billing System, CAS-Token Nolder, Region: Rockford

4302 N. Main St., Rockford, IL 61103 (815)987-7760  
595 S. State, Elgin, IL 60123 (847)608-3131  
2125 S. First St., Champaign, IL 61820 (217)278-5800  
2009 Mall St., Collinsville, IL 62234 (618)346-5120

9511 Harrison St., Des Plaines, IL 60016 (847)294-4000  
412 SW Washington St., Suite D, Peoria, IL 61602 (309)671-3022  
2309 W. Main St., Suite 116, Marion, IL 62959 (618)993-7200  
100 W. Randolph, Suite 10-300, Chicago, IL 60601

PLEASE PRINT ON RECYCLED PAPER



# ILLINOIS ENVIRONMENTAL PROTECTION AGENCY

1021 NORTH GRAND AVENUE EAST, P.O. BOX 19276, SPRINGFIELD, ILLINOIS 62794-9276 • (217) 782-2829

RE : General Storm Water Permit for Industrial Site Activities Attachments

Dear NPDES Permittee:

With the issuance of the new General Storm Water Permit for Industrial Site Activities there are 3 attachments. You may access these attachments through the following website address:

<http://www.epa.illinois.gov/topics/forms/water-permits/storm-water/industrial/index>

Should you have any questions concerning the Permit or its attachments, please contact the Permit Section at 217/782-0610 or at the above address.

Very truly yours,

A handwritten signature in cursive script that reads "Alan Keller".

Alan Keller, P.E.

Manager, Permit Section

Division of Water Pollution Control

4302 N. Main St., Rockford, IL 61103 (815) 987-7760  
9511 Harrison St., Des Plaines, IL 60016 (847) 294-4000  
595 S. State, Elgin, IL 60123 (847) 608-3131  
2125 S. First St., Champaign, IL 61820 (217) 278-5800

2009 Mall St., Collinsville, IL 62234 (618) 346-5120  
412 SW Washington St., Suite D, Peoria, IL 61614 (309) 671-3032  
2309 W. Main St., Suite 116, Marion, IL 62959 (618) 993-7200  
100 W. Randolph, Suite 11-300, Chicago, IL 60601 (312) 814-6026

PLEASE PRINT ON RECYCLED PAPER

**General NPDES Permit No. ILR00**

Illinois Environmental Protection Agency  
Division of Water Pollution Control  
1021 North Grand Avenue East  
P.O. Box 19276  
Springfield, Illinois 62794-9276  
[www.epa.illinois.gov](http://www.epa.illinois.gov)

**NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM**

**General NPDES Permit  
For  
Storm Water Discharges from Industrial Activities**

**Expiration Date: March 31, 2022**

**Issue Date: April 5, 2017**

**Effective Date: April 5, 2017**

Discharges authorized by this General Permit: In compliance with the provisions of the Illinois Environmental Protection Act, the Illinois Pollution Control Board Rules and Regulations (35 Ill. Adm. Code, Subtitle C, Chapter 1) and the Clean Water Act, the following discharges may be authorized by this permit in accordance with the conditions herein:

Discharges of storm water associated with industrial activities, as defined and limited herein. Storm water means storm water runoff, snow melt runoff, and surface runoff and drainage.

This general permit regulates only storm water discharges from a facility. Other discharges such as process wastewater or cooling water shall be regulated by other NPDES permits.

**Receiving waters:** Discharges may be authorized to any surface water of the State.

To receive authorization to discharge under this general permit, a facility operator must submit a Notice of Intent form and additional documentation as required in Part D of this permit. Authorization, if granted, will be by letter and include a copy of this permit.



Alan Keller, P.E.  
Manager, Permit Section  
Division of Water Pollution Control

## General NPDES Permit No. ILR00

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**A. APPLICABILITY OF THIS GENERAL PERMIT**

This permit is applicable to storm water discharges associated with any primary industrial activity and any associated industrial activity from areas (except offsite access roads and rail lines not on property owned or controlled by the permittee) where material handling equipment or activities, raw materials, intermediate products, final products, waste materials, by-products, or industrial machinery are exposed to storm water in the State of Illinois from the facilities listed below.

1. Discharges of storm water from facilities with discharges that are subject to new source performance standards or toxic pollutant effluent standards under 40 CFR Chapter 1, Subchapter N, except:
  - a. Discharges subject to new source performance standards or toxic pollutant effluent standards and described in paragraph Part A.2 which do not have materials or activities exposed to storm water. Facilities with these discharges shall submit a No Exposure Certification form to the Illinois Environmental Protection Agency (Illinois EPA or Agency).
  - b. Discharges subject to storm water effluent limitations guidelines listed in B.1 of this permit.
2. Discharges of storm water from facilities in the following SIC codes:
 

|          |   |
|----------|---|
| SIC 20   | (Food and kindred products manufacturing or processing)                       |
| SIC 21   | (Tobacco products)  |
| SIC 22   | (Textile mill products)   |
| SIC 23   | (Apparel and other finished products made from fabrics and similar materials) |
| SIC 24   | (Lumber and wood products except furniture)                                   |
| SIC 2434 | (Wood kitchen cabinets)   |
| SIC 25   | (Furniture and fixtures)  |
| SIC 26   | (Paper and allied products)   |
| SIC 265  | (Paperboard containers and boxes)   |
| SIC 267  | (Converted paper and paperboard products)                                     |
| SIC 27   | (Printing, publishing, and allied industries)                                 |

## General NPDES Permit No. ILR00

|             |   |
|-------------|---|
| SIC 28      | (Chemicals and allied products)   |
| SIC 283     | (Drugs)   |
| SIC 285     | (Paints, varnishes, lacquers, enamels, and allied products)   |
| SIC 29      | (Petroleum refining and related industries), except discharges subject to 40 CFR 419                              |
| SIC 30      | (Rubber and miscellaneous plastics products)  |
| SIC 31      | (Leather and leather products)  |
| SIC 311     | (Leather tanning and finishing)   |
| SIC 32      | (Stone, clay, glass, and concrete products)   |
| SIC 323     | (Glass products, made of purchased glass)   |
| SIC 33      | (Primary metal industries)  |
| SIC 34      | (Fabricated metal products, except machinery and transportation equipment)  |
| SIC 3441    | (Fabricated structural metal)   |
| SIC 35      | (Industrial and commercial machinery and computer equipment)  |
| SIC 36      | (Electronic and other electrical equipment and components, except computer equipment)                             |
| SIC 37      | (Transportation equipment)  |
| SIC 373     | (Ship and boat building and repairing)  |
| SIC 38      | (Measuring, analyzing, and controlling instruments; photographic, medical, and optical goods; watches and clocks) |
| SIC 39      | (Miscellaneous manufacturing industries)  |
| SIC 4221-25 | (Farm products warehousing and storage, refrigerated warehousing and storage, general warehousing and storage)    |

This permit is also applicable to any additional storm water discharges that are not otherwise required to obtain an NPDES permit but are comingled or mixed with discharges authorized by this permit.

3. Facilities classified as SIC 10-14 (Mineral Industry) including active or inactive mining operations and oil and gas exploration, production, processing, treatment operations, or transmission facilities, except discharges subject to 40 CFR 434, 436, or 440 or any discharges subject to general permit number ILG84. This permit does not authorize any discharge associated with the hydraulic fracturing process if additional chemicals are utilized in the process.
4. Landfills, land application sites (excluding land application sites which utilize agricultural land), and open dumps that receive or have received any industrial wastes (waste that is received from any of the facilities described in 40 CFR 122.26(b) (14)).
5. Facilities involved in the recycling of materials including metal scrapyards, battery reclaimers, salvage yards, automobile junkyards and concrete recycling facilities including but not limited to SIC 5015 (Used motor vehicle parts) and SIC 5093 (Scrap and waste materials)
6. Transportation facilities listed below with areas involved in vehicle maintenance (including vehicle rehabilitation, mechanical repairs, painting, fueling, and lubrication), equipment cleaning operations, or airport deicing operations (unless individual permit required by 40 CFR 449):
 

|          |   |
|----------|---|
| SIC 40   | (Railroad transportation)   |
| SIC 41   | (Local and suburban transit and inter-urban highway passenger transportation)   |
| SIC 42   | (Motor freight transportation and warehousing) except SIC 4221-4225 (Farm product warehousing and storage, refrigerated warehousing and storage, general warehousing and storage) |
| SIC 43   | (United States Postal Service)  |
| SIC 44   | (Water transportation)  |
| SIC 45   | (Transportation by air)   |
| SIC 5171 | (Petroleum bulk stations and terminals-wholesale)   |
7. Treatment Works treating domestic sewage with a design flow of 1.0 mgd or more including sludge or wastewater treatment devices or systems used in the storage, treatment, recycling, and reclamation of municipal or domestic sewage, and land dedicated to sludge disposal located within the confines of the facility. This requirement excludes off-site sludge management lands, farm lands, and gardens.
8. Discharge of storm water from non-classified facilities designated by the Agency as requiring a permit. See Sector AD of Attachment 1 and 2.

### General NPDES Permit No. ILR00

9. Allowable non-storm water discharges:

- a. The following are the only non-storm water discharges authorized under this permit, provided that all discharges comply with the discharge limitations set forth in Part F:
  - i. from fire-fighting activities.
  - ii. Fire hydrant flushings.
  - iii. Waters used to wash vehicles without the use of detergents or hazardous cleaning products.
  - iv. Waters (without added chemicals) used to control dust.
  - v. Potable water sources including waterline flushings and fire sprinkler flushing.
  - vi. Irrigation drainage.
  - vii. Landscape watering, provided all pesticides, herbicides, and fertilizers have been applied in accordance with the approved labeling.
  - viii. Routine external building wash down, including power washing, which does not use detergents or hazardous cleaning products.
  - ix. Discharges Pavement wash waters where spills or leaks of toxic or hazardous materials have not occurred (unless all spilled material has been removed) and where detergents or hazardous cleaning products are not used.
  - x. Uncontaminated condensate from air conditioners, coolers, other compressors, and from the outside storage of refrigerated gases or liquids.
  - xi. Uncontaminated ground water or spring water.
  - xii. Foundation or footing drains where flows are not contaminated with process materials.
  - xiii. Incidental windblown mist from cooling towers but not intentional discharges from the cooling tower.
  - xiv. Discharges from the spray down of lumber and wood product storage where no chemical additives are used and no chemicals are applied to the wood during storage. Such discharges are applicable only to Sector A facilities, listed in Attachment 1, provided the non-storm water component of the discharge is in compliance with Part F.2 of this permit.
  
- b. Except as provided in Part A.9.a above, all discharges covered by this permit shall be composed entirely of storm water. Discharges of material other than storm water must be in compliance with an NPDES permit (other than this permit) issued for the discharge.

#### B. TYPES OF DISCHARGES NOT COVERED BY THIS PERMIT

This permit is not applicable to storm water discharges from the facilities listed below. Storm water discharges from these facilities must be authorized by an individual NPDES permit or alternative general NPDES permit.

1. Discharges subject to storm water effluent limitations guidelines in the following categories;

Cement Manufacturing (40 CFR 411)  
 Feedlots (40 CFR 412)  
 Fertilizer Manufacturing (40 CFR 418)  
 Petroleum Refining (40 CFR 419)  
 Phosphate Manufacturing (40 CFR 422)  
 Steam Electric (40 CFR 423)  
 Coal Mining (40 CFR 434)  
 Mineral Mining and Processing (40 CFR 436)  
 Ore Mining and Dressing (40 CFR 440)  
 Asphalt Emulsion (40 CFR 443).  
 Airport De-icing (40 CFR 449)

2. Hazardous waste treatment, storage, or disposal facilities.
3. Steam electric power generating facilities, including coal handling sites.
4. Construction site activity including clearing, grading, and excavation activities.
5. Storm water discharges associated with industrial activity from facilities with an existing NPDES individual or general permit for the storm water discharges.
6. Storm water discharges associated with industrial activity which are identified by the Agency as possibly causing or contributing to a violation of water quality standards.

### General NPDES Permit No. ILR00

7. Storm water discharges associated with inactive mining or inactive oil and gas operations occurring on Federal lands where an operator cannot be identified.
8. Storm water discharges to any receiving water identified under 35 Ill. Adm. Code 302.105(d) (6).
9. Storm water discharges that the Agency determines are not appropriately covered by this general permit.
10. Storm water or other discharges of hazardous substances or oil resulting from an on-site spill.
11. Discharges of storm water collected in containment areas at bulk storage and hazardous waste facilities where the storm water becomes contaminated by direct contact with a spill or release of stored materials into the containment area.

#### C. SPECIAL CONDITIONS

1. Discharging pollutants for which a water body is impaired with an approved TMDL:
  - a. The Permittee must determine whether the facility discharges storm water, either directly or indirectly, to the immediate stream segment which is an impaired water body, i.e., a water body included on the most recent U.S. EPA-approved Clean Water Act Section 303(d) list of impaired water bodies. This determination must be made within 6 months of the effective date of this permit, and must be documented in the facility's SWPPP or storm water records. Information on impaired waters is contained in the Agency website below:  
  
<http://www.epa.illinois.gov/topics/water-quality/watershed-management/tmdls/303d-list/>
  - b. If the Permittee determines that it discharges storm water to the immediate stream segment which is an impaired water body, the Permittee must identify if there is a U.S. EPA-approved TMDL that establishes waste load allocations for discharges of pollutant(s) of concern to the impaired water body. This determination must be made within 6 months of the effective date of this permit, and must be documented in the facility's SWPPP or storm water records. Information on TMDLs is contained in the Agency website below:  
  
<http://www.epa.illinois.gov/topics/water-quality/watershed-management/tmdls/index>
  - c. If the Permittee determines that there is a U.S. EPA-approved Total Maximum Daily Load (TMDL) for a water body to which the facility discharges storm water, the permittee must determine if there is a Waste Load Allocation (WLA) applicable to the facility's storm water discharges in the approved TMDL.
  - d. If the Permittee determines that it is subject to an applicable (WLA), the following requirements apply:
    - i. The Permittee must calculate/quantify the facility's estimated current loading(s) of the pollutant(s) of concern to the impaired water body. This may be done using monitoring data and/or through modeling.
    - ii. The Permittee must determine if, based on the estimated current loading(s), it is meeting the applicable WLA with current storm water controls and practices. If loading reductions are needed in order to achieve the applicable WLA, the permittee must update its SWPPP to incorporate Best Management Practices (BMPs) or other storm water control measures that will be implemented to reduce loadings of the pollutant(s) of concern and achieve the applicable WLA.  
  
The SWPPP must specifically identify the additional or enhanced BMPs or control measures necessary to reduce loadings of the pollutant(s) of concern, and must also document/summarize modeling and/or other calculations used to estimate that the practices and control measures will reduce loadings to achieve the applicable WLA.
    - iii. The SWPPP must define a schedule for implementing the control measures identified necessary to meet the WLA. The schedule for implementing the planned BMPs and/or control measures above must be set out so that the management practices and control measures are in place and operational as quickly as possible. Interim milestones should be established to facilitate assessment of progress in implementing the control measures and gauging progress toward meeting the applicable WLA.

### General NPDES Permit No. ILR00

- iv. The Permittee must incorporate into the SWPPP a monitoring/assessment component to evaluate if loading reductions are being achieved as planned in the SWPPP.
  - v. The SWPPP may incorporate an adaptive management component, under which the SWPPP can be updated or improved as circumstances allow.
2. Discharges to impaired waters without an approved TMDL:
- The Permittee shall monitor all pollutants for which the waterbody is impaired and are associated with the industrial site activity for which a standard analytical method exists (see 40 CFR Part 136) once per year at each outfall (except substantially identical outfalls) discharging storm water to impaired waters without an approved TMDL
3. Additional Monitoring required by Illinois EPA:
- The Agency may require additional monitoring. Any such notice will briefly state the reasons for monitoring, locations, and parameters to be monitored, frequency and period of monitoring, sample types, and reporting requirements.

#### D. APPLICATION REQUIREMENTS

1. Any discharger of storm water associated with industrial activities seeking coverage under this general permit shall provide the Agency with the following information:
  - a. i. A completed electronic submission of the Agency Notice of Intent form, see Part D.6; or
  - ii. A completed electronic submission of the U.S. EPA Form 1, including form 2F and quantitative sampling data when required by Part D.2. See Part D.6.
  - b. An electronic copy of the Storm Water Pollution Prevention Plan (SWPPP or plan) that has been prepared for the industrial site in accordance with Part E of this permit. The electronic copy shall be submitted to the Agency at the following email address: [epa.indilr00swppp@illinois.gov](mailto:epa.indilr00swppp@illinois.gov).
  - c. For a proposed industrial site, or a proposed modification of an industrial site, an electronic copy of the consultation letters from the Illinois Historic Preservation Agency (IHPA) and the Illinois Department of Natural Resources (IDNR) concerning historic preservation and endangered species compliance. See Part D.6.
2. Quantitative sampling data as required by U.S. EPA Form 2F for storm water discharges from the following existing or new facilities is required to be submitted:
  - a. Facilities subject to reporting requirements under Section 313 of EPCRA for chemicals classified as "Section 313 water priority chemicals": Storm water discharges that come into contact with any equipment, tank, container, or other vessel or area used for storage of a Section 313 water priority chemical, or located at a truck or rail car unloading area where a Section 313 water priority chemical is handled.
  - b. Facilities classified as SIC 33 (Primary Metal Industries).
  - c. Active or inactive landfills, land application sites, or open dumps without a stabilized final cover which have received any industrial wastes.
  - d. Wood treatment facilities: Storm water discharges from areas that are used for wood treatment, wood surface application, or storage of treated or surface protected wood.
  - e. Coal pile runoff at industrial facilities other than coal mines or steam electric power generating facilities.
  - f. Battery reclaiming facilities: Storm water discharges from areas used for storage of lead acid batteries, reclamation products or waste products, and areas used for lead acid battery reclamation.
  - g. Airports not subject to the requirements of 40 CFR 449 (less than 1,000 aircraft departures per year) storm water discharges from aircraft or airport deicing areas.
  - h. Meat packing plants, poultry packing plants, and facilities that manufacture animal and marine fats and oils.

## General NPDES Permit No. ILR00

- i. Facilities classified as SIC 28 (Chemicals and Allied Products) and SIC 30 (Rubber and Miscellaneous Plastics Products): Storm water discharges that come into contact with solid chemical storage piles.
  - j. Automobile junkyards: Storm water discharges exposed to over 250 auto/truck bodies with drivelines, over 250 drivelines, or any combination thereof (in whole or in parts); over 500 auto/truck units (bodies with or without drivelines in whole or in parts); or over 100 units per year are dismantled and drainage or storage of automotive fluids occurs in areas exposed to storm water.
  - k. Lime manufacturing facilities: Storm water discharges that have come into contact with lime storage piles.
  - l. Cement manufacturing facilities and cement kilns: Storm water discharges other than those subject to 40 CFR 411.
  - m. Ready-mixed concrete facilities: Sampling data is not required for new ready-mixed concrete facilities or for relocated ready-mixed concrete facilities. Schedule 2-F is not required for existing or previously permitted facilities.
  - n. Ship building and repairing facilities.
  - o. Other industrial activities when requested by the Agency.
3. When a facility has two or more outfalls that, based on consideration of features and activities within the area drained by the outfall, the Permittee reasonably believes discharge substantially identical effluents, the Permittee may sample the effluent of one such outfall and report that quantitative data also applied to the substantially identical outfalls. If the applicant is requesting approval to sample a representative outfall, identification of all storm water outfalls considered to be substantially identical along with the outfall being used to represent such outfalls and appropriate justification must be provided with the application.
  4. Existing facilities application/Notice of Intent requirements:
    - a. For existing facilities with an individual NPDES permit covering storm water associated with industrial activity, or those facilities that have previously submitted an application for an individual permit and not yet received a permit, the Permittee/Applicant may elect to seek coverage under this general permit in place of obtaining an individual permit. To be considered for coverage the Permittee/Applicant is required to submit the information, in Part D.1.
    - b. For existing facilities that have submitted a NOI for coverage of any discharge of storm water associated with industrial activities under this general permit a new or revised NOI will not be required unless the industrial activity at the site has substantially changed.
  5. For new facilities, the NOI and required information shall be submitted 180 days prior to the date on which the discharge is to commence unless permission for a later date has been granted by the Agency. Mobile facilities (such as concrete or asphalt batch plants) shall apply at least 30 days prior to discharge.
  6. The required information from Part D.1.a.i and ii and D.1.c shall be submitted to one of the following addresses:
    - a. Electronic submission shall be submitted to:
 

[epa\\_indlr00swppp@illinois.gov](mailto:epa_indlr00swppp@illinois.gov)
    - b. If electronic submittal is unavailable the required information should be submitted to the following address:
 

Illinois Environmental Protection Agency  
 Division of Water Pollution Control  
 Permit Section #15  
 1021 North Grand Avenue East  
 Post Office Box 19276  
 Springfield, Illinois 62794-9276
  7. Authorization: Owners or operators must submit either an NOI in accordance with the requirements of this permit or an application for an individual NPDES Permit to be authorized to discharge under this General Permit. Authorization, if granted, will be by letter from the Agency and include a copy of this Permit. Upon review of an NOI, the Illinois EPA may deny coverage under this Permit and require submittal of an application for an individual NPDES Permit.

**General NPDES Permit No. ILR00**

- a. Automatic Continuation of Expired General Permit: Except as provided in D.7.b below, when this General Permit expires the conditions of this permit shall be administratively continued until the earliest of the following:
- i. 150 days after the new General Permit is issued;
  - ii. The Permittee submits a Notice of Termination (NOT) and that notice is approved by Illinois EPA;
  - iii. The Permittee is authorized for coverage under an individual permit or the renewed or reissued General Permit;
  - iv. The Permittee's application for an individual permit for a discharge or NOI for coverage under the renewed or reissued General Permit, is denied by the Illinois EPA;
  - v. Illinois EPA issues a formal permit decision not to renew or reissue this General Permit. If not renewed this expired General Permit shall be automatically administratively continued after such formal permit decision.
- b. Duty to Reapply:
- i. If the Permittee wishes to continue a discharge activity regulated by this General Permit, the Permittee must apply for new permit coverage before the expiration of the administratively continued period specified in D.7.a above.
  - ii. If the Permittee reapplies in accordance with the provisions of D.7.a above, the conditions of this General Permit shall continue in full force and effect under the provisions of 5 ILCS 100/10-65 until the Illinois EPA makes a final determination on the application or NOI.
  - iii. If the Agency makes a formal decision not to renew this General Permit, the Permittee will have 150 days to supplement any previously submitted application or NOI after the date of the formal decision by Illinois EPA.
  - iv. Standard Condition 2 of Attachment H is not applicable to this General Permit.
8. Facilities which discharge storm water associated with industrial activity to a municipal separate storm sewer system (MS4) shall notify the MS4 owner at the time of application to the Agency, and shall provide the MS4 owner with a copy of their application if requested.

**E. STORM WATER POLLUTION PREVENTION PLAN (SWPPP or Plan)**

1. A SWPPP shall be developed by the Permittee and submitted to the Agency for each facility covered by this permit. The Plan shall identify potential sources of pollution which may be expected to affect the quality of storm water discharges associated with the industrial activity at the facility. The Plan shall describe the selection, design, and installation of control measures which are to be used to reduce the pollutants in storm water discharges associated with industrial activity at the facility to comply with the requirements of this permit. An electronic copy of the Plan shall be submitted to the Agency at the following email address: [epa.indilr00swppp@illinois.gov](mailto:epa.indilr00swppp@illinois.gov). The Permittee shall submit any modified plans to the Agency, when such modification includes substantive changes to the Plan, or modification is made to the Plan to ensure compliance with this permit. The SWPPP shall be implemented by the Permittee on an on-going basis.
  - a. Waters not classified as impaired pursuant to Section 303(d) of the Clean Water Act:
 

The SWPPP shall be designed for a storm event equal to or greater than a 25-year 24-hour rainfall event unless federal regulations allow for a less restrictive rainfall event.
  - b. Waters classified as impaired pursuant to Section 303(d) of the Clean Water Act:
 

For any site which has a current NPDES permit and discharges directly or indirectly to an impaired water identified in the Agency's 303(d) listing, and if any parameter in the subject discharge has been identified as the cause of impairment, the SWPPP shall be designed for a storm event equal to or greater than a 25-year 24-hour rainfall event. If required by federal regulations, the SWPPP shall adhere to a more restrictive design criteria.

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- c. If the Permittee discharges to an impaired water with an established U.S. EPA approved or established TMDL and the SWPPP has been modified in accordance with Part E.1.b above, Illinois EPA will review the SWPPP and inform the Permittee in writing if additional pollutant control measures for rainfall events are necessary for the discharge to be consistent with the assumptions of any available waste load allocations in the TMDL or if coverage under an individual permit is necessary.
2. Plans for new facilities shall be completed prior to submitting an NOI to be covered under this permit. An electronic copy of the SWPPP shall be submitted to the Agency at the following email address: [epa.indlir00swppp@illinois.gov](mailto:epa.indlir00swppp@illinois.gov). Plans shall provide for compliance with the effluent limitations in Part F of this permit prior to operation of any industrial activity to be covered under this permit. [Note: If the plan has already been required to be developed under a previous permit it shall be updated and maintained in accordance with all requirements of this Special Condition within 180 days of the effective date of this permit.]. The owner or operator of an existing facility with storm water discharges covered by this permit shall submit a copy of the Plan to the Agency and shall make a copy of the Plan available to the Agency during any inspection of the site.

Facilities which discharge to MS4 shall also make a copy available to the operator of the municipal system at any reasonable time upon request.

3. The Permittee may be notified in writing by the Agency at any time that the Plan does not meet the requirements of this permit. After such written notification, the Permittee shall modify the Plan and shall submit a revised plan to the Agency with the requested changes that have been made. Unless otherwise provided, the Permittee shall have 30 days after such notification to make the changes.
4. The Permittee shall modify the SWPPP based on the corrective actions and deadlines required in Part H.2 and that the Permittee documented in Part H.2, such that the triggering conditions for corrective action in Part H.1 do not reoccur. The Permittee shall also modify the SWPPP whenever there is a change in construction, operation, or maintenance which may affect the discharge of concentrations or quantities of pollutants to the waters of the United States. SWPPP modifications must be signed in accordance with Attachment H.
5. The Plan shall provide a description of potential sources which may be expected to affect concentration or quantities of pollutants to storm water discharges, or which may result in non-storm water discharges from the facility. The Plan shall include, at a minimum, the following items:
- a. A topographic map extending one-quarter mile beyond the property boundaries of the facility, showing: the facility, surface water bodies, wells (including injection wells), seepage pits, infiltration ponds, and the discharge points where the facility's storm water discharges to a municipal storm drain system or other water body. The requirements of this paragraph may be included on the site map if appropriate. Any map or portion of map may be withheld for security reasons.
  - b. A site map showing:
    - i. The storm water conveyance and discharge structures;
    - ii. An outline of the storm water drainage areas for each storm water discharge point, location, and identification of any MS4 to which the industrial site discharges storm water;
    - iii. Paved areas and buildings;
    - iv. Areas used for outdoor manufacturing, storage trash dumpsters and compactors or disposal of significant materials, including activities that generate significant quantities of dust or particulates;
    - v. Location of existing or planned storm water structural control measures/practices (dikes, coverings, detention facilities, etc.);
    - vi. Surface water locations and/or municipal storm drain locations;
    - vii. Areas of existing and potential soil erosion;
    - viii. Vehicle service areas;
    - ix. Material loading, unloading, transfer, and access areas;
    - x. Direction of storm water flow (use arrows);

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- xi. Locations of storm water monitoring points;
- xii. Location of any potable water supply wells;
- xiii. Fueling stations;
- xiv. Immediate access roads and rail lines;
- xv. Vehicle or product machinery related to industrial activity;
- xvi. Locations and sources of run-on to the site from adjacent properties that contains significant quantities of pollutants; and
- xvii. Location of any material storage areas (i.e. deicing material, fertilizers, soil stockpiles, etc.).

Areas under Items iv. and ix. above may be withheld from the site map for security reasons.

- c. A narrative description of the following potential pollutant sources:
    - i. The nature of the industrial activities conducted at the site and a list of the activities exposed to storm water;
    - ii. A list of pollutant(s) or pollutant constituents associated with each identified activity above, which could be exposed to storm water or snowmelt and could be discharged from the facility. The Permittee must document all significant material that have been handled, treated, stored or disposed of, and that have been exposed to storm water in the three years prior to the date the Permittee prepares or amends its SWPPP. Materials, equipment, and vehicle management practices employed to minimize contact of significant materials with storm water discharges (include on site map);
    - iii. Existing or future structural and non-structural control measures/practices to reduce pollutants in storm water discharges;
    - iv. Industrial storm water discharge treatment facilities (include on site map) and;
    - v. Methods of onsite storage and disposal of significant materials.
  - d. Permittees discharging storm water to impaired water bodies as determined pursuant to Part C.1.a. shall provide a list of any pollutant that is listed as a cause of impairment in the most recent 303(d) report and may be associated with the industrial site activity and may be discharged in storm water from the industrial site.
  - e. An estimate of the size of the facility in acres or square feet, and the percent of the facility that has impervious areas such as pavement or buildings.
  - f. A summary of existing sampling data describing pollutants in storm water discharges.
6. The Plan shall document the location and describe the storm water management controls which are or will be implemented by the facility to meet the requirements of this permit. The appropriate controls shall reflect identified existing and potential sources of pollutants at the facility. The Permittee shall properly maintain storm water BMPs and other control measures to ensure effectiveness and continuity of operation.
  7. Storm Water Pollution Prevention Personnel: Identification by name, job titles, direct telephone numbers and email addresses (if available) of the individuals who are responsible for developing, implementing, and revising the Plan. All storm water pollution prevention personnel must have ready access to the most updated copy of the SWPPP and all associated documents and information as required by this permit.
  8. Non-Storm Water Discharges:

The Permittee shall document that the discharge has been evaluated for the presence of unauthorized non-storm water discharges. The documentation shall include: the date of the evaluation, a description of the evaluation criteria used, a list of the outfalls or on-site drainage points that were directly observed during the evaluation, a description of the action(s) taken to prevent unauthorized discharge(s), or documentation that separate NPDES permit was obtained.

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9. The following must be documented in the SWPPP:
- a. Good Housekeeping (F.2.c) – A requirement that waste materials be regularly picked up and disposed of, along with routine inspections for leaks and conditions of drums, tanks and containers;
  - b. Maintenance (F.2.b) – Procedures and frequencies for inspection and maintenance of storm water conveyance system devices such as oil/water separators, catch basins, etc., and inspection and testing of plant equipment and systems that could fail and result in discharges of pollutants to storm water. The SWPPP shall include the schedule or frequency for maintaining all control measures;
  - c. Spill Prevention and Response (Part F.2.d) – Procedures for responding to spills and leaks, including internal and third-party notification procedures. For preventing spills, include in the SWPPP the control measures for material handling and storage, and procedures for preventing spills that can contaminate storm water. Spill clean-up equipment and procedures should be identified, as appropriate;
  - d. Erosion and Sediment Control (Part F.2.f) – If the Permittee uses polymers and/or other chemical treatments as part of a control measure, the Permittee must identify the polymer and/or chemicals used and the purpose; and
  - e. Employee Training (Part F.2.g) – The elements of the employee training plan shall include all, but not be limited to, the requirements set forth in Part F.2.g and also include the following:
    - i. The content of the training;
    - ii. The frequency/schedule of the training for employees who have duties in areas of industrial activity subject to this permit; and
    - iii. A log of the date on which specific employees receive training.
10. Inspections.
- a. The Permittee must document in the SWPPP its procedures for performing, as appropriate, the types of inspections specified in this permit, including:
    - i. Routine facility inspections (See Part G.1), and
    - ii. Quarterly visual assessment of storm water discharges (See Part J.1).
  - b. If the Permittee is invoking the exception for inactive and unstaffed sites relating to routine facility inspections and quarterly visual assessments, the Permittee must include in the SWPPP the information to support this claim as required by Part G.5.
11. Monitoring.
- a. The Permittee must document in the SWPPP the procedures for conducting two types of analytical monitoring specified by the permit, where applicable to the facility:
    - i. Benchmark monitoring (See Part J.2)
    - ii. Site-specific monitoring
  - b. For each type of monitoring, the SWPPP must document:
    - i. Locations where samples are collected, including any determination that two or more outfalls are identical;
    - ii. Parameters for sampling and the frequency of sampling for each parameter;
    - iii. Schedules for monitoring at the facility;
    - iv. Any numeric control values (benchmarks, TMDL-related requirements) applicable to discharges from each outfall; and

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- v. Procedures (e.g., responsible staff, logistics, laboratory to be used) for gathering data.
- c. If the Permittee is invoking the exception for inactive and unstaffed sites, the Permittee must include a certification in the SWPPP to support this claim as required by Part G.5.
  - d. The Permittee must document the following in the SWPPP if the Permittee plans to use the substantially identical outfall exception for the quarterly visual assessment requirements in Part J.1.e or benchmark monitoring requirements in Part J.2.f:
    - i. Locations of each of the substantially identical outfalls;
    - ii. Description of the general industrial activities conducted in the drainage area of each outfall;
    - iii. Description of the control measures implemented in the drainage area of each outfall;
    - iv. Description of the exposed materials located in the drainage area of each outfall that are likely to be significant contributors of pollutants to storm water discharges;
    - v. An estimate of the runoff coefficient of the drainage areas (low= under 40%, medium= 40% to 65%, high= above 65%); and
    - vi. Why the outfalls are expected to discharge substantially identical effluents.
12. This Plan shall briefly describe the appropriate elements of other program requirements, including Spill Prevention Control and Countermeasures (SPCC) plans required under Section 311 of the CWA and the regulations promulgated thereunder, and Best Management Programs under 40 CFR 125.100. Other program requirements such as SPCC may be referenced in the Plan.
13. The Plan is considered a report that shall be available to the public at any reasonable time upon request.
14. The Plan shall include the signature and title of the person responsible for preparation of the Plan and include the date of initial preparation and each amendment thereto.
15. Facilities which discharge storm water associated with industrial activity to MS4 may also be subject to additional requirements imposed by the operator of the municipal separate storm sewer system.
16. Additional Documentation Requirements.

The Permittee is required to keep the following inspection, monitoring, and certification records with the SWPPP that keep the records complete and up-to-date, and demonstrate full compliance with the conditions of this permit:

- a. A copy of the NOI submitted to the Agency along with any correspondence exchanged between the Permittee and the Agency specific to coverage under this permit;
- b. A copy of this permit;
- c. Documentation of maintenance and repairs of control measures, including the date(s) of regular maintenance, date(s) of discovery of areas in need of repair/replacements, and for repairs, date(s) the control measures returned to full function, and the justification of any extended maintenance/repair schedules (See Part F.2.b);
- d. All inspection reports, including Routine Facility Inspection Reports (Part G.1) and Quarterly Visual Assessment Reports (J.1) and benchmark monitoring results;
- e. Description of any deviation from the schedule for visual assessments and/or monitoring, and the reasons for the deviations;
- f. Description of any corrective action triggering event/condition listed in Part H.1 and documented in Part H.2;
- g. Documentation of any benchmark exceedance and the type of response employed, including:
  - i. The corrective action taken;

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- ii. A finding that the exceedance was due to natural background pollutant levels; or
  - iii. A finding that no further pollutant reductions were technologically available and economically practicable in light of best industry practice consistent with Part J.2.;
  - h. Documentation to support any determination that pollutants of concern are not expected to be present above natural background levels if the facility discharges directly to impaired waters, and such pollutants were not detected in the discharge or were solely attributable to natural background sources (See Part J.2);
  - i. Documentation to support the claim that the facility has changed its status from active to inactive and unstaffed with respect to the requirements to conduct routine inspections (See Part G.5), quarterly visual assessments (see Part J.1) and/or benchmark monitoring (see Part J.2); and
  - j. Electronic copies of all documents, including the SWPPP, are acceptable.
17. Modifications to the following requirements in the plan shall be submitted to the Agency pursuant to Part K.1, E.I.c, E.6, E.7, E.16.f, E.16.g, E.16.i.

#### F. Control Measures and Discharge Limitations

In the technology-based limits included below, the term "minimize" means reduce and/or eliminate to the extent achievable using control measures (including best management practices) that are technologically available and economically practicable and achievable.

##### 1. Storm Water Controls

The Permittee must select, design, install, and implement control measures (including best management practices) to meet the discharge limitations in Part F.2 and meet the water quality-based effluent limitations in Part F.3. The selection, design, installation, and implementation of these control measures must be in accordance with good engineering practices and manufacturer's specifications. Note that the Permittee may deviate from such manufacturer's specifications where it provides justification for such deviation and include documentation of its rationale in the part of its SWPPP that describes its control measures, consistent with Part E.6. If the Permittee finds that its control measures are not achieving their intended effect of minimizing pollutant discharges, it must modify these control measures in accordance with the corrective action requirements set forth in Part H. Regulated storm water discharges from the Permittee's facility include storm water run-on that commingles with storm water discharges associated with industrial activity at its facility.

##### 2. Discharge Limitations

- a. Minimize Exposure – The Permittee must minimize the exposure of manufacturing, processing, and material storage areas (including loading and unloading, storage, disposal, cleaning, maintenance, and fueling operations) to rain, snow, snowmelt, and runoff by either locating these industrial materials and activities inside or protecting them with storm resistant coverings. In order to minimize exposure, where feasible, the Permittee must include the following BMPs where applicable:
  - i. Use grading, berming, or curbing to prevent runoff of contaminated flows and divert run-on away from these areas;
  - ii. Containment - Storage within berms or other secondary containment devices to prevent leaks and spills from entering storm water runoff. To the maximum extent practicable, storm water discharged from any area where pollutants from material handling equipment or activities, raw materials, intermediate products, final products, waste materials, by-products, or industrial machinery are exposed to storm water should not enter vegetated areas or surface waters or infiltrate into the soil unless adequate treatment is provided;
  - iii. Clean up spills and leaks promptly using dry methods (e.g., absorbents) or other cleanup methods to prevent the discharge of pollutants;
  - iv. Store leaky vehicles and equipment indoors or, if stored outdoors, use drip pans and absorbents;
  - v. Use spill/overflow protection equipment;
  - vi. Perform all vehicle and/or equipment cleaning operations indoors, under cover, or in bermed areas

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- that prevent runoff and run-on and also that capture any overspray;
- vii. Drain fluids from equipment and vehicles that will be decommissioned or will remain unused for extended periods of time;
  - viii. Ensure that all washwater, with the exception of discharges from pavement wash water and routine building washdown, drains to a sanitary sewer, sump, or other proper collection system (i.e., not the storm water drainage system); and
  - ix. Oil & Grease Separation - Oil/water separators, booms, skimmers, or other methods to minimize oil contaminated storm water discharges.
  - x. Minimize dust and offsite tracking of raw, final, and waste materials. Trash disposal areas where dumpsters and rolloff boxes are located shall have the lids which shall remain closed when not in use. For dumpsters and roll off boxes that do not have lids BMPs shall be utilized to prevent any contaminate storm water runoff.
- b. Preventive Maintenance – The Permittee must have procedures and frequencies for inspection and maintenance of storm water conveyance system devices such as oil/water separators, catch basins, etc., and inspection and testing of plant equipment and systems that could fail and result in discharges of pollutants to storm water.
  - c. Good Housekeeping and Pollution Prevention Practices - Good housekeeping requires the maintenance of clean, orderly facility areas that discharge storm water. Material handling areas shall be inspected and cleaned as necessary to reduce the potential for pollutants to enter the storm water conveyance system. The Permittee shall implement pollution prevention practices in areas that include, but are not limited to, trash containers, storage areas, loading docks, vehicle fueling, and maintenance. Exposed areas that may contribute pollutants to storm water shall be minimized to reduce or eliminate contaminated storm water runoff.
  - d. Spill Prevention and Response – Identification of areas where significant materials can spill into or otherwise enter the storm water conveyance systems and their accompanying drainage points. The Permittee must minimize the potential for leaks, spills, and other releases that may be exposed to storm water and develop plans for effective response to such spills if or when they occur. The Permittee must conduct spill prevention and response measures, including but not limited to, the following:
    - i. Plainly label containers (e.g., "Used Oil," "Spent Solvents," "Fertilizers and Pesticides") that could be susceptible to spillage or leakage to encourage proper handling and facilitate rapid response if spills or leaks occur;
    - ii. Implement procedures for material storage and handling, such as the use of secondary containment and barriers between material storage and traffic areas, or a similarly effective means designed to prevent the discharge of pollutants from these areas;
    - iii. Develop spill response training procedures for preventing, containing, and cleaning up leaks, spills, and other releases. Spills shall be cleaned and any contaminated water or solids shall be disposed of in accordance with applicable regulations. As appropriate, execute such procedures as soon as possible;
    - iv. Keep spill kits on-site, in easily accessible locations,
    - v. Notify appropriate facility personnel, and for significant spills, emergency response agencies and regulatory agencies, when a leak, spill, or other release occurs;
    - vi. Document all significant spills and leaks of oil or toxic or hazardous pollutants that actually occurred in the exposed areas, or that drained to a storm water conveyance, during the previous 5 years;
    - vii. Visually inspect retained storm water (e.g. storm water in a secondary containment structure) prior to discharge, to assure the storm water contains no unnatural turbidity, color, oil films, foams, settleable solids, or deposits before discharging any collected storm water.
  - e. Storm Water Management Practices - Storm water management practices are practices other than those which control the source of pollutants. They include measures such as installing oil and grit separators, diverting storm water into retention basins, etc. Based on assessment of the potential of various sources to

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contribute pollutants, measures to remove pollutants from storm water discharge shall be implemented. The following management practices shall be considered and implemented as applicable:

- i. Debris & Sediment Control - Screens, booms, sediment ponds, or other methods to reduce debris and sediment in storm water discharges;
  - ii. Covered Storage or Manufacturing Areas - Covered fueling operations, materials, manufacturing, and storage areas to prevent contact with storm water. This includes any pesticide, herbicide, fertilizer, or any other chemical storage area;
  - iii. Mercury Switch Removal and Recycling – Mercury containing convenience lighting switches and anti-lock brake assemblies shall be removed from vehicles and recycled in an approved manner which prevents mercury from entering the storm water discharges; and
  - iv. Storm Water Reduction – To minimize storm water runoff, install vegetation on roofs of buildings within and adjacent to the exposure area to detain and evapotranspire runoff where the precipitation falling on the roof is not exposed to contaminants. Capture storm water for use as appropriate based on quality where feasible and applicable.
- f. Sediment and Erosion Prevention – where feasible and applicable, the Permittee must minimize erosion by stabilizing exposed soils at the facility and placing flow velocity dissipation devices at discharge locations. The Permittee must also use structural and non-structural control measures to prevent the discharge of sediment. If the Permittee uses polymers and/or other chemical treatments as part of its controls, it must identify the polymers and/or chemicals used and the purpose. Information on BMPs for erosion and sediment control is available at the following websites:

**USEPA National Menu of Best Management Practices (BMPs) for Storm Water**

<https://www.epa.gov/npdes/national-menu-best-management-practices-bmps-stormwater#edu>

**Illinois Urban Manual:**

<http://www.aiswcd.org/illinois-urban-manual/>

- g. Employee Training – The Permittee must train all employees who work in areas where industrial materials or activities are exposed to storm water, or who are responsible for implementing activities necessary to meet the conditions of this permit (e.g., inspectors, maintenance personnel), including all pollution prevention personnel. Employees shall be trained at a minimum of once per calendar year. The Permittee shall ensure the following personnel are trained on the requirements of this permit:
- i. Personnel who are responsible for the design, installation, maintenance, and/or repair of controls (including pollution prevention measures);
  - ii. Personnel responsible for the storage and handling of chemicals and materials that could become contaminants in storm water discharges;
  - iii. Personnel who are responsible for conducting and documenting monitoring and inspections as required in Parts G and J; and
  - iv. Personnel who are responsible for performing and documenting corrective actions as required in Part H.
- h. De-icing Material Storage - Storage piles of deicing material used onsite or for other commercial or industrial purposes must be enclosed or covered to prevent exposure to precipitation (except for exposure resulting from adding or removing materials from the pile). The Permittee must document and implement appropriate pollution prevention measures that minimize exposure to storm water when adding to or removing material from the pile. Piles do not need to be enclosed or covered where storm water from the pile is not discharged to Waters of the United States or the discharges from the piles are authorized under another permit. The Permittee must document the location of any storage piles of deicing material to be used for deicing or for other commercial or industrial use in the SWPPP site map (Part E.5.b.xvii).

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- i. Plastic Materials Requirements - Facilities that handle pre-production plastic pellets are required to implement best management practices to eliminate discharges of plastic in storm water. Examples of plastic material required to be addressed as storm water pollutants include plastic resin pellets, powders, flakes, additives, regrind, scrap, waste and recycling.
3. Water Quality-Based Effluent Limitations.
    - a. Water Quality Standards - Discharges covered by this permit, alone or in combination with other sources, shall not cause or contribute to a violation of any applicable water quality standard pursuant 35 Ill. Adm. Code 304.105;
    - b. The Permittee must implement all controls necessary to comply with a wasteload allocation in an EPA established or approved TMDL as required in Part C;
    - c. Except for discharges authorized in Part A.8 of this permit, the Permittee shall effectively prohibit non-storm water discharges into the storm sewer system; and
    - d. The Permittee shall not allow any offensive discharges pursuant to 35 Ill. Admin. Code Section 304.106.

#### G. INSPECTIONS

1. The Permittee shall conduct facility inspections covering all the areas subject to the requirements of this permit and identified in the SWPPP.

Inspections must be conducted at least quarterly or in some instances more frequently as appropriate. At least one of the Permittee's routine inspections must be conducted during a period when a storm water discharge is occurring within 72 hours of the beginning of a storm event equal to or greater than 0.25 inches in 24 hours.

Inspections must be performed by qualified personnel (as defined in Part M.12) with at least one member of the storm water pollution prevention personnel participating. The Permittee may prioritize facility outfalls to allow for adequate quarterly inspections during flooding conditions. Areas inaccessible during quarterly inspections due to flooding conditions shall be inspected within 72 hours of becoming accessible.

Inspectors must consider the results of any visual and analytical monitoring for the past year when planning and conducting inspections as well as where:

- a. Industrial materials, residue or trash may have or could come into contact with storm water.
- b. Leaks or spills from industrial equipment, drums, tanks and other containers.
- c. Offsite tracking of industrial or waste materials, or sediment may occur, such as where vehicles enter or exit the site.
- d. Tracking or blowing of raw, final or waste materials may occur from areas of no exposure to exposed areas.
- e. Control measures which may need replacement, maintenance or repair.

During an inspection occurring during a storm water discharge, control measures implemented to comply with benchmark monitoring requirements must be observed to ensure they are functioning correctly. Discharge points, as defined in Part M.3, must also be observed during this inspection. If such discharge locations are inaccessible, nearby downstream locations must be inspected.

2. The Permittee must document the findings of the facility inspections and maintain this report with its SWPPP. The Permittee must summarize all findings in the annual report per Part K. Document all findings, including but not limited to, the following information:
  - a. The inspection date and time;
  - b. The name(s) and signature(s) of the inspector(s);
  - c. Weather information including flooding events;

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- d. All observations relating to the implementation of control measures at the facility, including:
    - i. A description of any discharges occurring at the time of the inspection;
    - ii. Any previously unidentified discharges and/or pollutants from the site;
    - iii. Any evidence of, or the potential for, pollutants entering the drainage system; Observations regarding the physical condition of and around all outfalls including any flow dissipation devices, and evidence of pollutants in discharges and/or the receiving water;
    - iv. Any control measures needing maintenance, repairs, or replacement;
  - e. Any additional control measures needed to comply with the permit requirements; and
  - f. Any incidents of noncompliance observed.
  - g. Any outfall not inspected due to flooding conditions,
3. Any corrective action required as a result of a routine facility inspection must be performed consistent with Part H of this permit.
4. If the Permittee performed a visual observation required in Part J.1 during the facility inspection, the Permittee may include the results of the assessment with the report required in Part G.2, provided all components of both types of inspections are included in the report.
5. Exceptions to Routine Facility Inspections for Inactive and Unstaffed Sites.

The Permittee may exercise a waiver of the facility inspection requirement at a facility that is inactive and unstaffed, provided there are no industrial materials or activities exposed to storm water. If the Permittee exercises this waiver, the Permittee must maintain a certification with the SWPPP stating that the site is inactive and unstaffed, and that there are no industrial materials or activities exposed to storm water.

**H. CORRECTIVE ACTIONS**

1. Conditions Requiring SWPPP Review and Revision.

The Permittee must review the SWPPP when any of the following conditions occur:

- a. An unauthorized release or discharge (e.g., spill, leak, or discharge of non-storm water not authorized by this or another NPDES permit) occurs at the facility;
- b. Control measures are not stringent enough for the discharge to meet applicable water quality standards or the conditions of this permit;
- c. A required control measure was never installed, was installed incorrectly, or not in accordance with this permit or is not being properly operated or maintained;
- d. Visual observations indicate signs of storm water pollution (e.g., unnatural color, odor, turbidity, floatable material, settled solids, suspended solids, foam, and oil sheen);
- e. The average of four quarterly sampling results exceeds any applicable benchmark monitoring concentration. If less than four samples have been taken, but the results are such that an exceedance of the four quarter average is mathematically certain (i.e., if the sum of quarterly sample results to date is more than four times the benchmark monitoring concentration) this is considered a benchmark exceedance, triggering this review;
- f. Construction or a change in design, operation, or maintenance at the facility that modifies the type or concentration of pollutants discharged in storm water from the facility, or increases the quantity of pollutants discharged;

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### 2. Corrective Actions and Deadlines.

- a. **Immediate Actions.** If any condition in Part H.1 occurs, the Permittee must immediately take all reasonable steps necessary to minimize or prevent the discharge of pollutants until a permanent solution is installed and made operational, including cleaning up any contaminated surfaces so that the material will not discharge in subsequent storm events.
- b. **Subsequent Actions.** If the Permittee determines that additional changes are necessary beyond those implemented pursuant to this permit, it must install a new or modified control and make it operational, or complete the repair, before the next storm event if possible, and within 14 calendar days from the time of discovery. If it is infeasible to complete the installation or repair within 14 calendar days, the Permittee must document why it is infeasible to complete the installation or repair within the 14 day timeframe. The Permittee must also identify the schedule for completing the work, which must be done as soon as practicable after the 14-day timeframe but no longer than 45 days after discovery.

Where the Permittee's corrective actions result in changes to any of the controls or procedures documented in its SWPPP, the Permittee must modify its SWPPP accordingly within 14 calendar days of completing corrective action work.

- c. **Corrective Action Documentation.** The Permittee must document the existence of any of the conditions listed in Part H.1 within 24 hours of becoming aware of such condition. The Permittee is not required to submit its corrective action documentation to Illinois EPA. Include the following information in the documentation:
  - i. Identification and description of the condition triggering the need for corrective action review. For any spills or leaks, include the following information: a description of the incident including material, date/time, amount, location, and reason for spill, and any leaks, spills or other releases that resulted in discharges of pollutants to waters of the State, through storm water or otherwise;
  - ii. Date the condition was identified;
  - iii. For any spills or leaks, include response actions, the date/time clean-up completed, notifications made, and staff involved. Also include any measures taken to prevent the reoccurrence of such releases;
  - iv. The Permittee must also document the corrective actions taken that occurred as a result of the conditions listed in Part H.1, within 14 days from the time of discovery of any of those conditions. Provide the dates when each corrective action was initiated and completed (or is expected to be completed). If applicable, document why it is infeasible to complete necessary installations or repairs within the 14-day timeframe and document the Permittee's schedule for installing the controls and making them operational as soon as practicable after the 14-day timeframe.
- d. **Substantially Identical Outfalls.** If the event triggering corrective action is similar to an outfall that represents other substantially identical outfalls, the Permittee's review must assess the need for corrective action for each outfall represented by the outfall that triggered the review. Any necessary changes to control measures that affect these other outfalls must also be made before the next storm event if possible, or as soon as practicable following that storm event. The SWPPP must be modified to include any additional control measures required pursuant to this paragraph.

### I. CONSTRUCTION AUTHORIZATION

1. Authorization is hereby granted to construct treatment works and related equipment that collects, stores or treats storm water that may be required by the SWPPP developed pursuant to this permit.
2. This Authorization is issued subject to the following condition(s):
  - a. The issuance of this authorization:
    - i. does not release the Permittee from any liability for damage to persons or property caused by or resulting from the installation, maintenance, or operation of the proposed facilities;
    - ii. does not take into consideration the structural stability of any units or part of this project; and

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- iii. does not release the Permittee from compliance with other applicable statutes of the State of Illinois or other applicable local law, regulations, or ordinances.
- b. If any statement or representation is found to be incorrect, this authorization may be revoked and the Permittee thereupon waives all rights thereunder.
- 3. Plans and specifications of all treatment equipment being included as a part of the Storm Water Management Practice shall be included in the SWPPP.
- 4. Any modification of or deviation from the plans and specifications originally submitted with the initial SWPPP requires amendment of the SWPPP.
- 5. Construction activities which result from treatment equipment installation, including clearing, grading, and excavation activities which result in the disturbance of one acre or more of land area, are not covered by this authorization. The Permittee shall contact the Agency regarding any additional required permit(s).

#### J. MONITORING

- 1. Quarterly Visual Observation of Discharges – The requirements and procedures for quarterly visual observations are applicable to all facilities covered under this permit, regardless of the Permittee's sector of industrial activity.
  - a. The Permittee must perform and document a quarterly visual observation of a storm water discharge associated with industrial activity from each outfall. The visual observation must be made during daylight hours. If no storm event resulted in runoff during daylight hours on normal work days from the facility during a monitoring quarter, no visual observation is required for that quarter, provided the permittee documents that no observable runoff occurred. Normal work days do not include weekends or Federal holidays. The Permittee must sign and certify the documentation.
  - b. Visual observation must be made on samples collected within 1 hour of an actual discharge from a storm event equal to or greater than 0.25 inch in 24 hours. If it is not possible to take a sample within the first hour of the discharge, the sample must be collected as soon as practicable after the first hour and the Permittee must explain why it was not possible to take samples within the first hour. In the case of snowmelt, the samples must be taken from an actual discharge from the site. For storm events, samples must be collected from a storm event discharge at least 72 hours from the previous discharge. The 72 hour interval does not apply if the Permittee documents that a less than 72 hour event is representative for local storm events during the sampling period. The observation must document: unnatural color, odor, clarity, floatable solids, settled solids, suspended solids, foam, oil sheen, and other obvious indicators of storm water pollution if present in the discharge. If visual observations indicate any unnatural color, odor, turbidity, floatable material, oil sheen or other indicators of storm water pollution, the Permittee shall obtain a sample and test for the parameter or the list of pollutants as provided pursuant to Part E.5.C.ii and E.5.d and initiate corrective action in Part H.
  - c. The Permittee must maintain visual observation reports onsite with the SWPPP. Each report must include the observation date and time, inspection personnel, outfall location, nature of the discharge (i.e., runoff or snow melt), visual quality of the storm water discharge (including observations of unnatural color, odor, clarity, floating solids, settled solids, suspended solids, foam, oil sheen, and other obvious indicators of storm water pollution), and probable sources of any observed storm water contamination.
  - d. The Permittee may exercise a waiver of the visual observation requirement at a facility that is inactive and unstaffed, as long as there are no industrial materials or activities exposed to storm water. If the Permittee exercises this waiver, the Permittee must maintain a certification with the SWPPP stating that the site is inactive and unstaffed, and that there are no industrial materials or activities exposed to storm water.
  - e. Representative Outfalls - If the Permittee's facility has two or more outfalls that are believed to discharge substantially identical effluents, based on similarities of the industrial activities, significant materials, size of drainage areas, and storm water management practices occurring within the drainage areas of the outfalls, the Permittee may conduct visual observation of the discharge at just one of the outfalls and report that the results also apply to the substantially identical outfall(s).
  - f. Visual observation documentation shall be made available to the Agency and general public upon written request.

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### 2. Benchmark Monitoring.

This permit specifies pollutant benchmark concentrations that are applicable to certain sectors/subsectors as specified in Attachment 1. Benchmark monitoring data are primarily for the Permittee's use to determine the overall effectiveness of specific control measures and to assist Permittees in knowing when additional corrective action(s) may be necessary to comply with the discharge limitations in Part F.

- a. The benchmark concentrations are not discharge limitations. However, corrective action is required as the result of a benchmark exceedance pursuant to Part H.
- b. At the Permittee's discretion, more than four samples may be taken during separate runoff events and used to determine the average benchmark parameter concentration for facility discharges.
- c. **Applicability of Benchmark Monitoring:** The Permittee must monitor for any benchmark parameters specified for the industrial sector(s), both primary industrial activity and any co-located industrial activities, applicable to the discharge. Industry-specific benchmark concentrations are listed in the sector-specific sections of Attachment 1. If a facility is in one of the industrial sectors subject to benchmark concentrations that are hardness-dependent, the Permittee is required to submit representative hardness values of the receiving water. The hardness value shall be submitted with the initial benchmark report.
- d. Samples must be analyzed consistent with 40 CFR Part 136 analytical methods and using test procedures with quantitation limits at or below benchmark values for all benchmark parameters for which sampling is required.
- e. **Benchmark Monitoring Schedule** - Benchmark monitoring must be conducted quarterly for first four full quarters of permit coverage commencing no later than 180 days after the effective date of this permit.
  - i. **Data not exceeding benchmarks** - After collection of four quarterly samples, if the average of the four monitoring values for any parameter does not exceed the benchmark, monitoring requirements for that parameter for the permit term have been fulfilled;
  - ii. **Data exceeding benchmarks** - After the collection of four quarterly samples, if the average of the four monitoring values for any parameter exceeds the benchmark, the Permittee must, in accordance with Part H, review the selection, design, installation and implementation of the control measures to determine if modifications are necessary to meet the discharge limitations in this permit, and either:
    - A. Make the necessary modifications and continue quarterly monitoring until the Permittee has completed four additional quarters of monitoring for which the average does not exceed the benchmark; or
    - B. Make a determination that no further pollutant reductions are technologically available and economically practicable and achievable in light of best industry practice to meet the technology discharge limitations or are necessary to meet the water-quality-based discharge limitations in Parts F.2 and F.3 of this permit, in which case the Permittee must continue monitoring once per year. The Permittee must also document the rationale for concluding that no further pollutant reductions are achievable, and retain all records related to this documentation with the SWPPP.
    - C. In accordance with Part H, the Permittee must review the control measures and perform any required corrective action immediately (or document why no corrective action is required), without waiting for the full four quarters of monitoring data, if an exceedance of the four quarter average is mathematically certain. If after modifying its control measures and conducting four additional quarters of monitoring, the average still exceeds the benchmark (or if an exceedance of the benchmark by the four quarter average is mathematically certain prior to conducting the full four additional quarters of monitoring), the Permittee must again review its control measures and take one of the two actions above.
  - iii. **Natural background pollutant levels** - Following the first four quarters of benchmark monitoring (or sooner if the exceedance is triggered by less than four quarters of data, see above), if the average concentration of a pollutant exceeds a benchmark value, and the Permittee determines that exceedance of the benchmark is attributable solely to the presence of that pollutant in the natural background, the Permittee is not required to perform corrective action or additional benchmark monitoring provided that:

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- A. The average concentration of the benchmark monitoring results is less than or equal to the concentration of that pollutant in the natural background;
  - B. The Permittee document and maintain with the SWPPP, the supporting rationale for concluding that the benchmark exceedances are in fact attributable solely to natural background pollutant levels. The Permittee must include in the rationale any data previously collected by the Permittee or other sources (i.e., literature studies) that describe the level of natural background pollutants in the storm water discharge;
  - C. Notify the Agency on the Permittee's final quarterly benchmark monitoring report that the benchmark exceedances are attributable solely to natural background pollutant levels.
  - D. Permittees may discontinue monitoring natural background pollutants that occur solely from run-on sources provided the Permittee analyzes the pollutant in the run-on source during the benchmark monitoring period.
- f. Exception for Inactive and Unstaffed Sites - The requirement for benchmark monitoring does not apply at a facility that is inactive and unstaffed, provided there are no industrial materials or activities exposed to storm water. To qualify for any monitoring exception, the Permittee must meet the following requirements:
- i. Maintain a statement with the Permittee's SWPPP stating that the site is inactive and unstaffed, and that there are no industrial materials or activities exposed to storm water in accordance with the substantive requirements in 40 CFR 122.26(g) and sign and certify the statement in accordance with Attachment H 11.
  - ii. If a Permittee is not qualified for this exception at the time of permit coverage but during the permit term the Permittee becomes qualified because the facility is inactive and unstaffed, and there are no industrial materials or activities that are exposed to storm water, then the Permittee must notify Illinois EPA of this change in the next benchmark monitoring report. A Permittee may discontinue benchmark monitoring once Illinois EPA has been notified, and prepared and signed a certification statement concerning the facility's qualification for this monitoring exception.
- g. Representative Outfalls – If the Permittee's facility has two or more outfalls that are believed to discharge substantially identical effluents, based on similarities of the industrial activities, significant materials, size of drainage areas, and storm water management practices occurring within the drainage areas of the outfalls, the Permittee may conduct benchmark monitoring of the discharge at just one of the outfalls and report that the results also apply to the substantially identical outfall(s).

### K. REPORTING

1. The Permittee shall submit an electronic copy of the annual inspection report to the Agency. The report shall include results of the quarterly benchmark monitoring as required by Part J.2 and the quarterly facility inspections which are required by Part G of this permit. The report shall include, at a minimum, a review and update of the SWPPP. The Permittee shall submit modifications of the requirements of the plan to the Agency with the Annual Report. Permittees have 180 days to update their SWPPP to comply with the new requirements and then submit with the following annual report. The report shall also include documentation of any event (spill, treatment unit malfunction, etc.) which would require an inspection, results of the inspection, and any subsequent corrective maintenance activity. The report shall be completed and signed by the authorized facility employee(s) who conducted the inspection(s). The annual inspection report is considered a public document that shall be available to the public at any reasonable time upon request.
2. For new Permittees, the first Annual Report shall contain information gathered during the one year time period beginning with the initial effective date of coverage under this permit and shall be submitted no later than 60 days after this one year period has elapsed. Each subsequent report shall contain the previous year's information and shall be submitted no later than one year after the previous year's report was due.
3. Existing Permittees renewing coverage under this permit shall continue to submit the Annual Report no later than 60 days after the original date of effective coverage under a general storm water permit.
4. If the facility performs inspections more frequently than required by this permit, the results shall be included as additional information in the Annual Report.

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5. The Permittee shall retain the annual inspection report on file for at least 3 years. This period may be extended by request of the Illinois EPA at any time.
6. Annual inspection reports shall be submitted to one of the following addresses:
  - a. Electronic Annual Reports should be submitted to:  
  
[epa.indannualinsp@illinois.gov](mailto:epa.indannualinsp@illinois.gov)
  - b. If electronic submittal is unavailable, reports should be mailed to:  
  
Illinois Environmental Protection Agency  
Division of Water Pollution Control  
Compliance Assurance Section #19  
1021 North Grand Avenue East  
Annual Inspection Report  
P.O. Box 19276  
Springfield, Illinois 62794-9276
7. Any Permittee shall notify the owner of any regulated MS4 which receives storm water discharged from the facility that the industrial activity has received coverage of a general ILR00 permit. The Permittee shall submit any SWPPP or any annual inspection to the MS4 upon request by the MS4 owner.

**L. TERMINATION OF COVERAGE UNDER THIS PERMIT**

Where all storm water discharges associated with industrial activity that have been authorized by this permit are eliminated, the operator of the facility may submit a termination request to the Agency at the address indicated in Part L.5 of this permit. The termination request shall include the name, address, telephone number, location of the facility, permit number, and a description of actions taken to eliminate the storm water discharge or other justification for the request. Coverage under this permit is not terminated until the Agency responds in writing on the termination request. All monitoring, inspections, and reporting, as described in this permit is required until coverage is terminated by the Agency.

1. The Agency may require any person authorized by this permit to apply for and/or obtain either an individual NPDES permit or an alternative NPDES general permit. Any interested person may petition the Agency to take action under this paragraph. The Agency may require any owner or operator authorized to discharge under this permit to apply for an individual NPDES permit or alternative general permit only if the owner or operator has been notified in writing that a permit application is required. This notice shall include a brief statement of the reasons for this decision, an application form, a statement setting a deadline for the owner or operator to file the application, and a statement that on the effective date of the individual NPDES permit or the alternative general permit as it applies to the individual Permittee, coverage under this general permit shall automatically terminate. The Agency may grant additional time to submit the application upon request of the applicant. If an owner or operator fails to submit in a timely manner an individual NPDES permit or alternative general application required by the Agency under this paragraph then the applicability of this permit to the individual NPDES permitted is automatically terminated at the end of the day specified for application submittal. The Agency may require an individual NPDES or alternative general permit based on:
  - a. Information received which indicates the receiving water may be of particular biological significance pursuant to 35 Ill. Adm. Code 302.105(d)(6);
  - b. Whether the receiving waters are identified as impaired pursuant to the Agency's 303(d) listing and the site storm water is a potential contributing source of any parameter identified as a cause of that impairment; or
  - c. Size of industrial site, proximity of site to the receiving stream, inadequate discharge control, discharge characteristics, or applicable water quality standards, etc.
  - d. The Agency may also require monitoring of any storm water discharge from any site to determine whether an individual or alternative general permit is required.
2. Any owner or operator authorized by this permit may request to be excluded from the coverage of this permit by applying for an individual or alternative general permit. The owner or operator shall submit an individual application with reasons supporting the request, in accordance with the requirements of 40 CFR 122.28, to the

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Agency. The request shall be granted by issuance date of an individual permit or an alternative general permit if the reasons cited by the owner or operator are adequate to support the request.

3. When an individual NPDES permit is issued to an owner or operator otherwise subject to this permit, or the owner or operator is approved for coverage under an alternative NPDES general permit, the applicability of this permit to the individual NPDES Permittee is automatically terminated on the issuance date of the individual permit or the date of approval for coverage under the alternative general permit, whichever the case may be. When an individual NPDES permit is denied to an owner or operator otherwise subject to this permit, or the owner or operator is denied coverage under an alternative NPDES general permit, the applicability of this general permit to the individual NPDES Permittee is automatically terminated on the date of such denial, unless otherwise specified by the Agency.
4. The Permittee must submit a Notice of Termination (NOT) within 30 days after one or more of the following conditions have been met:
  - a. A change in ownership or operational control at the facility;
  - b. The Permittee has ceased operations at the facility, there are no discharges or no longer will be any discharges of storm water associated with industrial activity from the facility, and necessary sediment and erosion controls have been implemented; or
  - c. Coverage has been obtained under an individual or alternative general permit for all discharges required to be covered under an NPDES permit.
5. NOT submittals can be made to one of the following addresses:
  - a. Electronic NOTs should be submitted to:  
[epa.indannualinsp@illinois.gov](mailto:epa.indannualinsp@illinois.gov)
  - b. If electronic submittal is unavailable the NOT should be submitted to the follow address:  
 Illinois Environmental Protection Agency  
 Division of Water Pollution Control  
 Compliance Assurance Section #19  
 1021 North Grand Avenue East  
 Annual Inspection Report  
 P.O. Box 19276  
 Springfield, Illinois 62794-9276
6. Standard Condition 15 of Attachment H is not applicable to this General Permit.

#### M. DEFINITIONS

1. Coal pile runoff means the rainfall runoff from or through any coal storage pile.
2. Control Measures means any storm water control or other method (including narrative effluent limitations) used to prevent or reduce the discharge of pollutants to waters of the state.
3. Discharge point or Outfall means the location where collected and concentrated storm water flows are discharged from the facility.
4. Green Infrastructure means wet weather management approaches and technologies that utilize, enhance or mimic the natural hydrologic cycle processes of infiltration, evapotranspiration and reuse. Green infrastructure approaches currently in use include green roofs, trees and tree boxes, rain gardens, vegetated swales, pocket wetlands, infiltration planters, porous and permeable pavements, porous piping systems, dry wells, vegetated median strips, reforestation/revegetation, rain barrels and cisterns and protection and enhancement of riparian buffers and floodplains.
5. Industrial activities means any of the 10 categories of industrial activities included in the definition of "storm water discharges associated with industrial activity" as defined in 40 CFR 122.26(b)(14)(i)-(ix) and (xi).
6. Land application site means an area where wastes are applied onto or incorporated into the soil surface for treatment or disposal.

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7. Landfill means an area of land or an excavation in which wastes are placed for permanent disposal, and which is not a land application site, surface impoundment, injection well or waste pile.
8. MS4 or MS4 Owner means the owner or operator of a conveyance or system of conveyances for the movement of storm water as defined at 40 CFR § 122.26(b)(8).
9. Municipal Separate Storm Sewer is defined at 40 CFR 122.26(b)(8) and means a conveyance or system of conveyances (including roads with drainage systems, municipal streets, catch basins, curbs, gutters, ditches, man-made channels, or storm drains): (i) Owned or operated by a State, city, town, borough, county, parish, district, association, or other public body (created by or pursuant to State law) having jurisdiction over disposal of sewage, industrial wastes, storm water, or other wastes, including special districts under State law such as a sewer district, flood control district or drainage district, or similar entity, or an Indian tribe or an authorized Indian tribal organization, or a designated and approved management agency under Section 208 of the CWA that discharges to waters of the United States; (ii) Designed or used for collecting or conveying storm water; (iii) Which is not a combined sewer; and (iv) Which is not part of a Publicly Owned Treatment Works (POTW) as defined at 40 CFR 122.2.
10. Natural Background Pollutants include those substances that are naturally occurring in soils or ground water. Natural background pollutants do not include legacy pollutants from previous activity of the facility's site, or pollutants in run-on from adjacent sources which are not naturally occurring, such as other industrial sites or roadways.
11. Pollution Prevention means any practice which reduces the amount of any hazardous substance, pollutant or contaminant entering any waste stream or otherwise entering the environment prior to recycling, treatment or disposal and reduces the hazards to public health and the environment associated with the release of such substances, pollutants or contaminants.
12. Qualified Personnel means those persons who possess the knowledge and skills to assess conditions and activities that could impact storm water quality at the Permittee's facility, and who can also evaluate the effectiveness of control measures.
13. Run-on means sources of storm water that drain from land located upslope or upstream from the regulated facility in question.
14. Section 313 water priority chemical means a chemical or chemical categories which: 1) Are listed at 40 CFR 372.65 pursuant to Section 313 of the Emergency Planning and Community Right-to-Know Act (EPCRA) (also known as Title III of the Superfund Amendments and Reauthorization Act (SARA) of 1986); 2) are present at or above threshold levels at a facility subject to EPCRA Section 313 reporting requirements; and 3) that meet at least one of the following criteria: (i) Are listed in Appendix D of 40 CFR 122 on either Table II (organic priority pollutants), Table III (certain metals, cyanides, and phenols) or Table V (certain toxic pollutants and hazardous substances); (ii) are listed as a hazardous substance pursuant to section 311(b)(2)(A) of the CWA at 40 CFR 116.4; or (iii) are pollutants for which EPA has published acute or chronic water quality criteria.
15. Significant materials includes, but is not limited to: raw materials; fuels; materials such as solvents, detergents, and plastic pellets; finished materials such as metallic products; raw materials used in food processing or production; hazardous substances designated under section 101(14) of CERCLA; any chemical the facility is required to report pursuant to EPCRA Section 313; fertilizers; pesticides; and waste products such as ashes, slag and sludge that have the potential to be released with storm water discharges.
16. Significant spills includes, but is not limited to: releases of oil or hazardous substances in excess of reportable quantities under section 311 of the Clean Water Act (see 40 CFR 110.6 and CFR 117.21) or section 102 of CERCLA (see 40 CFR 302.4).

Note that additional definitions are included in the permit Standard Conditions, Attachment H.

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**Attachment H  
Standard Conditions**

**Definitions**

**Act** means the Illinois Environmental Protection Act, 415 ILCS 5 as Amended.

**Agency** means the Illinois Environmental Protection Agency.

**Board** means the Illinois Pollution Control Board.

**Clean Water Act** (formerly referred to as the Federal Water Pollution Control Act) means Pub. L 92-500, as amended. 33 U.S.C. 1251 et seq.

**NPDES** (National Pollutant Discharge Elimination System) means the national program for issuing, modifying, revoking and reissuing, terminating, monitoring and enforcing permits, and imposing and enforcing pretreatment requirements, under Sections 307, 402, 318 and 405 of the Clean Water Act.

**USEPA** means the United States Environmental Protection Agency.

**Daily Discharge** means the discharge of a pollutant measured during a calendar day or any 24-hour period that reasonably represents the calendar day for purposes of sampling. For pollutants with limitations expressed in units of mass, the "daily discharge" is calculated as the total mass of the pollutant discharged over the day. For pollutants with limitations expressed in other units of measurements, the "daily discharge" is calculated as the average measurement of the pollutant over the day.

**Maximum Daily Discharge Limitation** (daily maximum) means the highest allowable daily discharge.

**Average Monthly Discharge Limitation** (30 day average) means the highest allowable average of daily discharges over a calendar month, calculated as the sum of all daily discharges measured during a calendar month divided by the number of daily discharges measured during that month.

**Average Weekly Discharge Limitation** (7 day average) means the highest allowable average of daily discharges over a calendar week, calculated as the sum of all daily discharges measured during a calendar week divided by the number of daily discharges measured during that week.

**Best Management Practices** (BMPs) means schedules of activities, prohibitions of practices, maintenance procedures, and other management practices to prevent or reduce the pollution of waters of the State. BMPs also include treatment requirements, operating procedures, and practices to control plant site runoff, spillage or leaks, sludge or waste disposal, or drainage from raw material storage.

**Aliquot** means a sample of specified volume used to make up a total composite sample.

**Grab Sample** means an individual sample of at least 100 milliliters collected at a randomly-selected time over a period not exceeding 15 minutes.

**24-Hour Composite Sample** means a combination of at least 8 sample aliquots of at least 100 milliliters, collected at periodic intervals during the operating hours of a facility over a 24-hour period.

**8-Hour Composite Sample** means a combination of at least 3 sample aliquots of at least 100 milliliters, collected at periodic intervals during the operating hours of a facility over an 8-hour period.

**Flow Proportional Composite Sample** means a combination of sample aliquots of at least 100 milliliters collected at periodic intervals such that either the time interval between each aliquot or the volume of each aliquot is proportional to either the stream flow at the time of sampling or the total stream flow since the collection of the previous aliquot.

- (1) **Duty to comply.** The permittee must comply with all conditions of this permit. Any permit noncompliance constitutes a violation of the Act and is grounds for enforcement action, permit termination, revocation and reissuance, modification, or for denial of a permit renewal application. The permittee shall comply with effluent standards or prohibitions established under Section 307(a) of the Clean Water Act for toxic pollutants within the time provided in the regulations that establish these standards or prohibitions, even if the permit has not yet been modified to incorporate the requirements.
- (2) **Duty to reapply.** If the permittee wishes to continue an activity regulated by this permit after the expiration date of this permit, the permittee must apply for and obtain a new permit. If the permittee submits a proper application as required by the Agency no later than 180 days prior to the expiration date, this permit shall continue in full force and effect until the final Agency decision on the application has been made.
- (3) **Need to halt or reduce activity not a defense.** It shall not be a defense for a permittee in an enforcement action that it would have been necessary to halt or reduce the permitted activity in order to maintain compliance with the conditions of this permit.
- (4) **Duty to mitigate.** The permittee shall take all reasonable steps to minimize or prevent any discharge in violation of this permit which has a reasonable likelihood of adversely affecting human health or the environment.
- (5) **Proper operation and maintenance.** The permittee shall at all times properly operate and maintain all facilities and systems of treatment and control (and related appurtenances) which are installed or used by the permittee to achieve compliance with conditions of this permit. Proper operation and maintenance includes effective performance, adequate funding, adequate operator staffing and training, and adequate laboratory and process controls, including appropriate quality assurance procedures. This provision requires the operation of back-up, or auxiliary facilities, or similar systems only when necessary to achieve compliance with the conditions of the permit.
- (6) **Permit actions.** This permit may be modified, revoked and reissued, or terminated for cause by the Agency pursuant to 40 CFR 122.62 and 40 CFR 122.63. The filing of a request by the permittee for a permit modification, revocation and reissuance, or termination, or a notification of planned changes or anticipated noncompliance, does not stay any permit condition.
- (7) **Property rights.** This permit does not convey any property rights of any sort, or any exclusive privilege.
- (8) **Duty to provide information.** The permittee shall furnish to the Agency within a reasonable time, any information which the Agency may request to determine whether cause exists for modifying, revoking and reissuing, or terminating this permit, or to determine compliance with the permit. The permittee shall also furnish to the Agency upon request, copies of records required to be kept by this permit.

(9) **Inspection and entry.** The permittee shall allow an authorized representative of the Agency or USEPA (including an authorized contractor acting as a representative of the Agency or USEPA), upon the presentation of credentials and other documents as may be required by law, to:

- (a) Enter upon the permittee's premises where a regulated facility or activity is located or conducted, or where records must be kept under the conditions of this permit;
- (b) Have access to and copy, at reasonable times, any records that must be kept under the conditions of this permit;
- (c) Inspect at reasonable times any facilities, equipment (including monitoring and control equipment), practices, or operations regulated or required under this permit; and
- (d) Sample or monitor at reasonable times, for the purpose of assuring permit compliance, or as otherwise authorized by the Act, any substances or parameters at any location.

(10) **Monitoring and records.**

- (a) Samples and measurements taken for the purpose of monitoring shall be representative of the monitored activity.
- (b) The permittee shall retain records of all monitoring information, including all calibration and maintenance records, and all original strip chart recordings for continuous monitoring instrumentation, copies of all reports required by this permit, and records of all data used to complete the application for this permit, for a period of at least 3 years from the date of this permit, measurement, report or application. Records related to the permittee's sewage sludge use and disposal activities shall be retained for a period of at least five years (or longer as required by 40 CFR Part 503). This period may be extended by request of the Agency or USEPA at any time.
- (c) Records of monitoring information shall include:
  - (1) The date, exact place, and time of sampling or measurements;
  - (2) The individual(s) who performed the sampling or measurements;
  - (3) The date(s) analyses were performed;
  - (4) The individual(s) who performed the analyses;
  - (5) The analytical techniques or methods used; and
  - (6) The results of such analyses.
- (d) Monitoring must be conducted according to test procedures approved under 40 CFR Part 136, unless other test procedures have been specified in this permit. Where no test procedure under 40 CFR Part 136 has been approved, the permittee must submit to the Agency a test method for approval. The permittee shall calibrate and perform maintenance procedures on all monitoring and analytical instrumentation at intervals to ensure accuracy of measurements.

(11) **Signatory requirement.** All applications, reports or information submitted to the Agency shall be signed and certified.

(a) **Application.** All permit applications shall be signed as follows:

- (1) For a corporation: by a principal executive officer of at least the level of vice president or a person or position having overall responsibility for environmental matters for the corporation;
- (2) For a partnership or sole proprietorship: by a general partner or the proprietor, respectively; or
- (3) For a municipality, State, Federal, or other public agency: by either a principal executive officer or ranking elected official.

(b) **Reports.** All reports required by permits, or other

information requested by the Agency shall be signed by a person described in paragraph (a) or by a duly authorized representative of that person. A person is a duly authorized representative only if:

- (1) The authorization is made in writing by a person described in paragraph (a); and
  - (2) The authorization specifies either an individual or a position responsible for the overall operation of the facility, from which the discharge originates, such as a plant manager, superintendent or person of equivalent responsibility; and
  - (3) The written authorization is submitted to the Agency.
- (c) **Changes of Authorization.** If an authorization under (b) is no longer accurate because a different individual or position has responsibility for the overall operation of the facility, a new authorization satisfying the requirements of (b) must be submitted to the Agency prior to or together with any reports, information, or applications to be signed by an authorized representative.
- (d) **Certification.** Any person signing a document under paragraph (a) or (b) of this section shall make the following certification:

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.

(12) **Reporting requirements.**

(a) **Planned changes.** The permittee shall give notice to the Agency as soon as possible of any planned physical alterations or additions to the permitted facility.

Notice is required when:

- (1) The alteration or addition to a permitted facility may meet one of the criteria for determining whether a facility is a new source pursuant to 40 CFR 122.29 (b); or
  - (2) The alteration or addition could significantly change the nature or increase the quantity of pollutants discharged. This notification applies to pollutants which are subject neither to effluent limitations in the permit, nor to notification requirements pursuant to 40 CFR 122.42 (a)(1).
  - (3) The alteration or addition results in a significant change in the permittee's sludge use or disposal practices, and such alteration, addition, or change may justify the application of permit conditions that are different from or absent in the existing permit, including notification of additional use or disposal sites not reported during the permit application process or not reported pursuant to an approved land application plan.
- (b) **Anticipated noncompliance.** The permittee shall give advance notice to the Agency of any planned changes in the permitted facility or activity which may result in noncompliance with permit requirements.
- (c) **Transfers.** This permit is not transferable to any person except after notice to the Agency.
- (d) **Compliance schedules.** Reports of compliance or noncompliance with, or any progress reports on, interim and final requirements contained in any compliance

schedule of this permit shall be submitted no later than 14 days following each schedule date.

- (e) **Monitoring reports.** Monitoring results shall be reported at the intervals specified elsewhere in this permit.
- (1) Monitoring results must be reported on a Discharge Monitoring Report (DMR).
  - (2) If the permittee monitors any pollutant more frequently than required by the permit, using test procedures approved under 40 CFR 136 or as specified in the permit, the results of this monitoring shall be included in the calculation and reporting of the data submitted in the DMR.
  - (3) Calculations for all limitations which require averaging of measurements shall utilize an arithmetic mean unless otherwise specified by the Agency in the permit.
- (f) **Twenty-four hour reporting.** The permittee shall report any noncompliance which may endanger health or the environment. Any information shall be provided orally within 24-hours from the time the permittee becomes aware of the circumstances. A written submission shall also be provided within 5 days of the time the permittee becomes aware of the circumstances. The written submission shall contain a description of the noncompliance and its cause; the period of noncompliance, including exact dates and time; and if the noncompliance has not been corrected, the anticipated time it is expected to continue; and steps taken or planned to reduce, eliminate, and prevent reoccurrence of the noncompliance. The following shall be included as information which must be reported within 24-hours:
- (1) Any unanticipated bypass which exceeds any effluent limitation in the permit.
  - (2) Any upset which exceeds any effluent limitation in the permit.
  - (3) Violation of a maximum daily discharge limitation for any of the pollutants listed by the Agency in the permit or any pollutant which may endanger health or the environment.
- The Agency may waive the written report on a case-by-case basis if the oral report has been received within 24-hours.
- (g) **Other noncompliance.** The permittee shall report all instances of noncompliance not reported under paragraphs (12) (d), (e), or (f), at the time monitoring reports are submitted. The reports shall contain the information listed in paragraph (12) (f).
- (h) **Other information.** Where the permittee becomes aware that it failed to submit any relevant facts in a permit application, or submitted incorrect information in a permit application, or in any report to the Agency, it shall promptly submit such facts or information.
- (13) **Bypass.**
- (a) **Definitions.**
    - (1) Bypass means the intentional diversion of waste streams from any portion of a treatment facility.
    - (2) Severe property damage means substantial physical damage to property, damage to the treatment facilities which causes them to become inoperable, or substantial and permanent loss of natural resources which can reasonably be expected to occur in the absence of a bypass. Severe property damage does not mean economic loss caused by delays in production.
  - (b) Bypass not exceeding limitations. The permittee may allow any bypass to occur which does not cause effluent limitations to be exceeded, but only if it also is for essential maintenance to assure efficient operation. These bypasses are not subject to the provisions of paragraphs (13)(c) and (13)(d).
- (c) **Notice.**
- (1) Anticipated bypass. If the permittee knows in advance of the need for a bypass, it shall submit prior notice, if possible at least ten days before the date of the bypass.
  - (2) Unanticipated bypass. The permittee shall submit notice of an unanticipated bypass as required in paragraph (12)(f) (24-hour notice).
- (d) **Prohibition of bypass.**
- (1) Bypass is prohibited, and the Agency may take enforcement action against a permittee for bypass, unless:
    - (i) Bypass was unavoidable to prevent loss of life, personal injury, or severe property damage;
    - (ii) There were no feasible alternatives to the bypass, such as the use of auxiliary treatment facilities, retention of untreated wastes, or maintenance during normal periods of equipment downtime. This condition is not satisfied if adequate back-up equipment should have been installed in the exercise of reasonable engineering judgment to prevent a bypass which occurred during normal periods of equipment downtime or preventive maintenance; and
    - (iii) The permittee submitted notices as required under paragraph (13)(c).
  - (2) The Agency may approve an anticipated bypass, after considering its adverse effects, if the Agency determines that it will meet the three conditions listed above in paragraph (13)(d)(1).
- (14) **Upset.**
- (a) **Definition.** Upset means an exceptional incident in which there is unintentional and temporary noncompliance with technology based permit effluent limitations because of factors beyond the reasonable control of the permittee. An upset does not include noncompliance to the extent caused by operational error, improperly designed treatment facilities, inadequate treatment facilities, lack of preventive maintenance, or careless or improper operation.
  - (b) **Effect of an upset.** An upset constitutes an affirmative defense to an action brought for noncompliance with such technology based permit effluent limitations if the requirements of paragraph (14)(c) are met. No determination made during administrative review of claims that noncompliance was caused by upset, and before an action for noncompliance, is final administrative action subject to judicial review.
  - (c) **Conditions necessary for a demonstration of upset.** A permittee who wishes to establish the affirmative defense of upset shall demonstrate, through properly signed, contemporaneous operating logs, or other relevant evidence that:
    - (1) An upset occurred and that the permittee can identify the cause(s) of the upset;
    - (2) The permitted facility was at the time being properly operated; and
    - (3) The permittee submitted notice of the upset as required in paragraph (12)(f)(2) (24-hour notice).
    - (4) The permittee complied with any remedial measures required under paragraph (4).
  - (d) **Burden of proof.** In any enforcement proceeding the permittee seeking to establish the occurrence of an upset has the burden of proof.

- (15) **Transfer of permits.** Permits may be transferred by modification or automatic transfer as described below:
- (a) Transfers by modification. Except as provided in paragraph (b), a permit may be transferred by the permittee to a new owner or operator only if the permit has been modified or revoked and reissued pursuant to 40 CFR 122.62 (b) (2), or a minor modification made pursuant to 40 CFR 122.63 (d), to identify the new permittee and incorporate such other requirements as may be necessary under the Clean Water Act.
  - (b) Automatic transfers. As an alternative to transfers under paragraph (a), any NPDES permit may be automatically transferred to a new permittee if:
    - (1) The current permittee notifies the Agency at least 30 days in advance of the proposed transfer date;
    - (2) The notice includes a written agreement between the existing and new permittees containing a specified date for transfer of permit responsibility, coverage and liability between the existing and new permittees; and
    - (3) The Agency does not notify the existing permittee and the proposed new permittee of its intent to modify or revoke and reissue the permit. If this notice is not received, the transfer is effective on the date specified in the agreement.
- (16) All manufacturing, commercial, mining, and silvicultural dischargers must notify the Agency as soon as they know or have reason to believe:
- (a) That any activity has occurred or will occur which would result in the discharge of any toxic pollutant identified under Section 307 of the Clean Water Act which is not limited in the permit, if that discharge will exceed the highest of the following notification levels:
    - (1) One hundred micrograms per liter (100 ug/l);
    - (2) Two hundred micrograms per liter (200 ug/l) for acrolein and acrylonitrile; five hundred micrograms per liter (500 ug/l) for 2,4-dinitrophenol and for 2-methyl-4,6 dinitrophenol; and one milligram per liter (1 mg/l) for antimony.
    - (3) Five (5) times the maximum concentration value reported for that pollutant in the NPDES permit application; or
    - (4) The level established by the Agency in this permit.
  - (b) That they have begun or expect to begin to use or manufacture as an intermediate or final product or byproduct any toxic pollutant which was not reported in the NPDES permit application.
- (17) All Publicly Owned Treatment Works (POTWs) must provide adequate notice to the Agency of the following:
- (a) Any new introduction of pollutants into that POTW from an indirect discharge which would be subject to Sections 301 or 306 of the Clean Water Act if it were directly discharging those pollutants; and
  - (b) Any substantial change in the volume or character of pollutants being introduced into that POTW by a source introducing pollutants into the POTW at the time of issuance of the permit.
  - (c) For purposes of this paragraph, adequate notice shall include information on (i) the quality and quantity of effluent introduced into the POTW, and (ii) any anticipated impact of the change on the quantity or quality of effluent to be discharged from the POTW.
- (18) If the permit is issued to a publicly owned or publicly regulated treatment works, the permittee shall require any industrial user of such treatment works to comply with federal requirements concerning:
- (a) User charges pursuant to Section 204 (b) of the Clean Water Act, and applicable regulations appearing in 40 CFR 35;
  - (b) Toxic pollutant effluent standards and pretreatment standards pursuant to Section 307 of the Clean Water Act; and
  - (c) Inspection, monitoring and entry pursuant to Section 308 of the Clean Water Act.
- (19) If an applicable standard or limitation is promulgated under Section 301(b)(2)(C) and (D), 304(b)(2), or 307(a)(2) and that effluent standard or limitation is more stringent than any effluent limitation in the permit, or controls a pollutant not limited in the permit, the permit shall be promptly modified or revoked, and reissued to conform to that effluent standard or limitation.
- (20) Any authorization to construct issued to the permittee pursuant to 35 Ill. Adm. Code 309.154 is hereby incorporated by reference as a condition of this permit.
- (21) The permittee shall not make any false statement, representation or certification in any application, record, report, plan or other document submitted to the Agency or the USEPA, or required to be maintained under this permit.
- (22) The Clean Water Act provides that any person who violates a permit condition implementing Sections 301, 302, 306, 307, 308, 318, or 405 of the Clean Water Act is subject to a civil penalty not to exceed \$25,000 per day of such violation. Any person who willfully or negligently violates permit conditions implementing Sections 301, 302, 306, 307, 308, 318 or 405 of the Clean Water Act is subject to a fine of not less than \$2,500 nor more than \$25,000 per day of violation, or by imprisonment for not more than one year, or both. Additional penalties for violating these sections of the Clean Water Act are identified in 40 CFR 122.41 (a)(2) and (3).
- (23) The Clean Water Act provides that any person who falsifies, tampers with, or knowingly renders inaccurate any monitoring device or method required to be maintained under this permit shall, upon conviction, be punished by a fine of not more than \$10,000, or by imprisonment for not more than 2 years, or both. If a conviction of a person is for a violation committed after a first conviction of such person under this paragraph, punishment is a fine of not more than \$20,000 per day of violation, or by imprisonment of not more than 4 years, or both.
- (24) The Clean Water Act provides that any person who knowingly makes any false statement, representation, or certification in any record or other document submitted or required to be maintained under this permit, including monitoring reports or reports of compliance or non-compliance shall, upon conviction, be punished by a fine of not more than \$10,000 per violation, or by imprisonment for not more than 6 months per violation, or by both.
- (25) Collected screening, slurries, sludges, and other solids shall be disposed of in such a manner as to prevent entry of those wastes (or runoff from the wastes) into waters of the State. The proper authorization for such disposal shall be obtained from the Agency and is incorporated as part hereof by reference.
- (26) In case of conflict between these standard conditions and any other condition(s) included in this permit, the other condition(s) shall govern.
- (27) The permittee shall comply with, in addition to the requirements of the permit, all applicable provisions of 35 Ill. Adm. Code, Subtitle C, Subtitle D, Subtitle E, and all applicable orders of the Board or any court with jurisdiction.
- (28) The provisions of this permit are severable, and if any provision of this permit, or the application of any provision of this permit is held invalid, the remaining provisions of this permit shall continue in full force and effect.

## 1.0 WASTEWATER OPERATIONS

### 1.1 EFFLUENT QUALITY

As indicated in Table 1.2, and Table 1.3, the effluent quality for the Galena Wastewater Treatment Plant was within NPDES permit parameters. The discharge monitoring reports electronically submitted to IEPA in August 2018.

Table 1.2

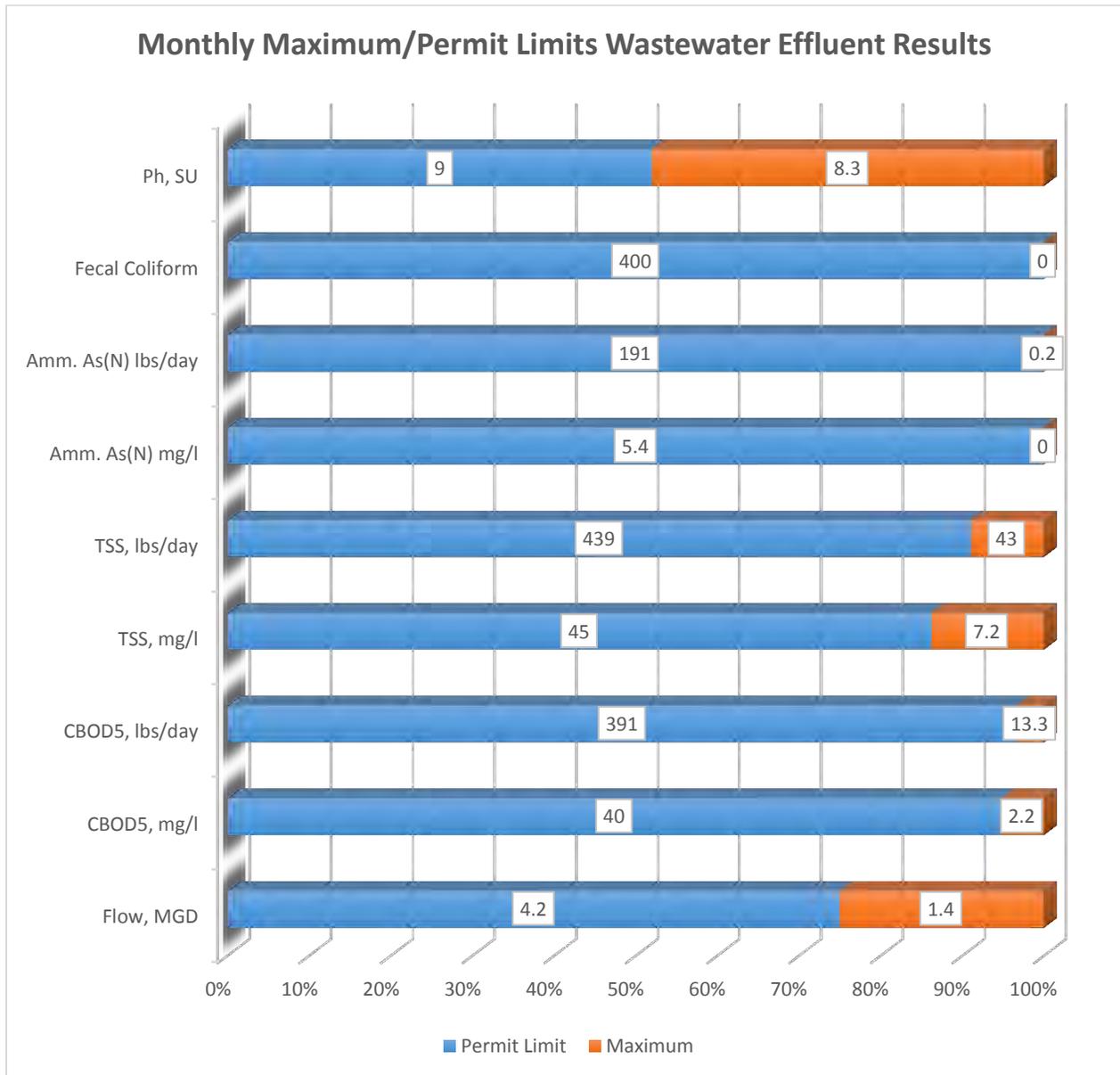
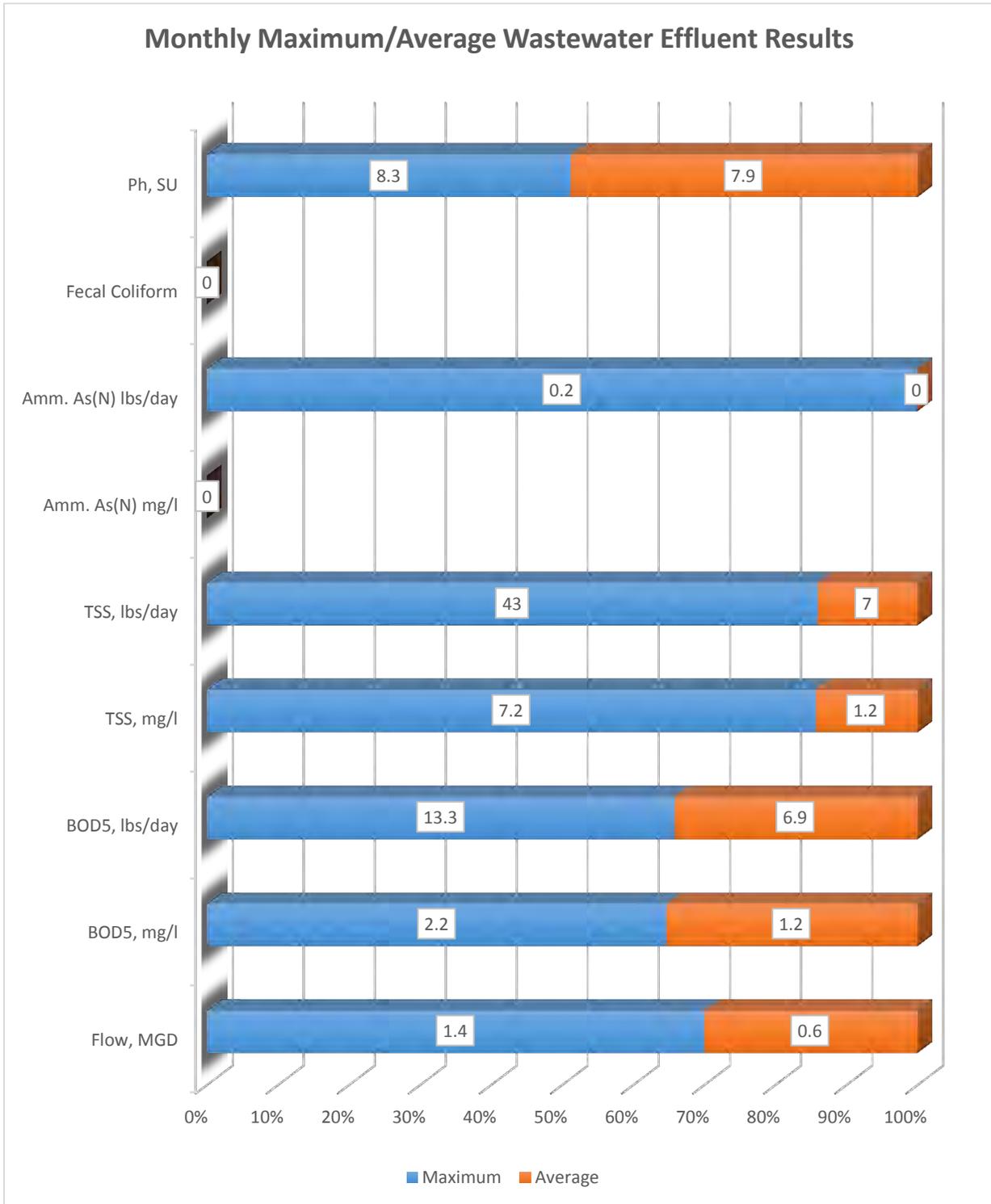


Table 1.3



## 2.0 WATER OPERATIONS

### 2.1 WATER QUALITY

Fluoride and bacteria water samples collected and sent to outside laboratories for analysis. All samples within IEPA and Department of Health water quality standards. All wells checked, inspected, and tested on a daily basis, and the Horseshoe Mound Water Reservoir checked and inspected on a weekly basis to assure a clean and adequate potable water supply.

### 2.2 WATER PRODUCTION

Total water produced **12,346,000 gallons**. The daily average water produced **411,533 gallons per day**. Monthly pumping shown in Table 2.3. Monthly residual data shown in table 2.4. Daily water produced shown in Table 2.5.

Table 2.3

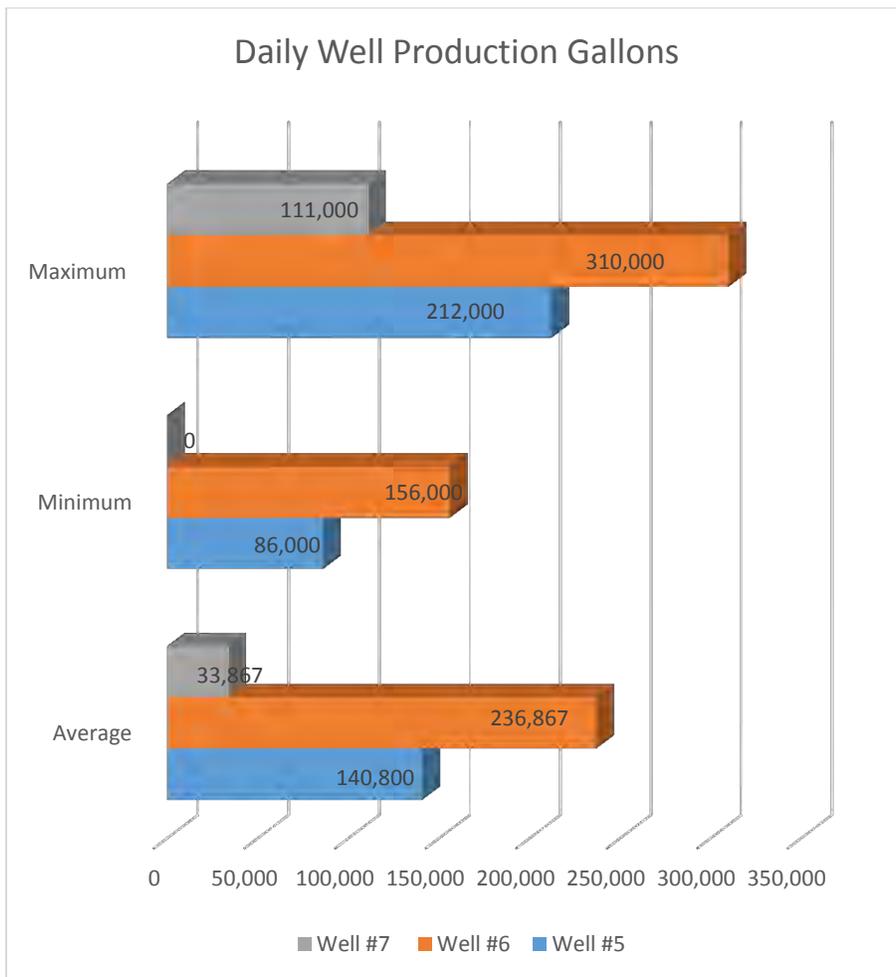


Table 2.4

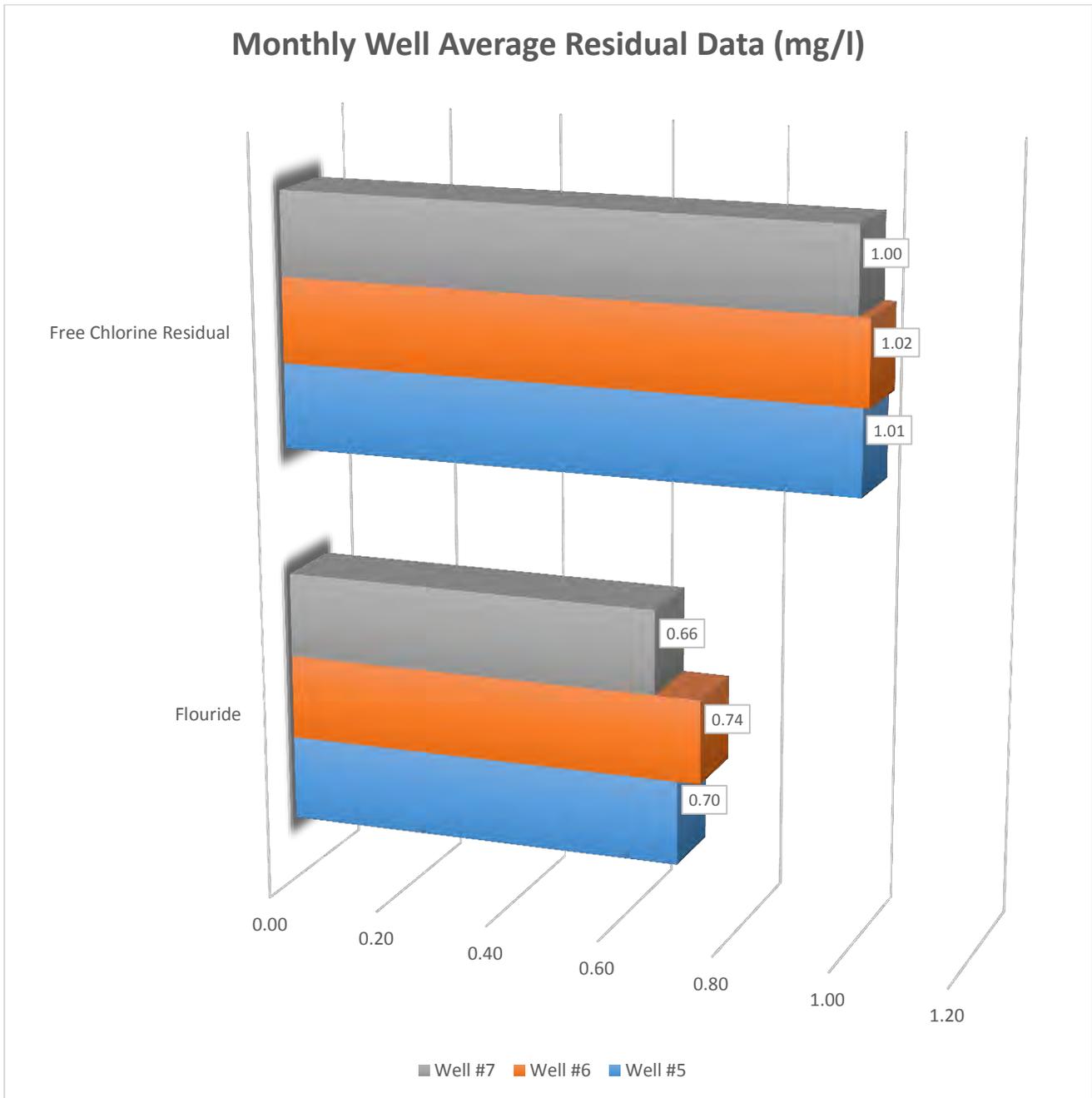
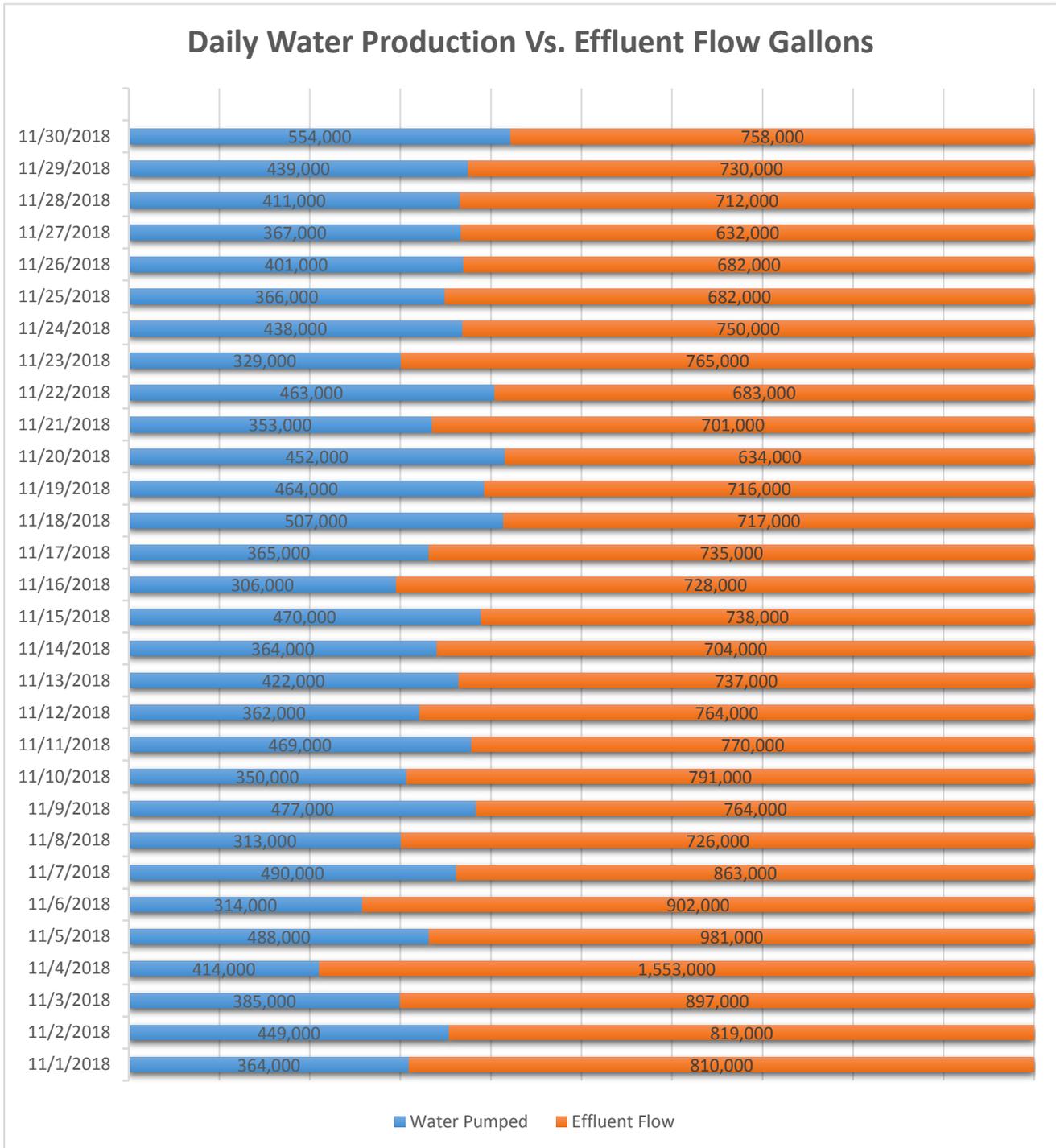


Table 2.5



## 2.6 WATER LOSS

Un-metered water used in the City of Galena equates to lost revenue in water and sewer user fees. Water accounting for the period of January 1, 2018 – November 31, 2018 in Table 2.7 and table 2.8.

Table 2.7

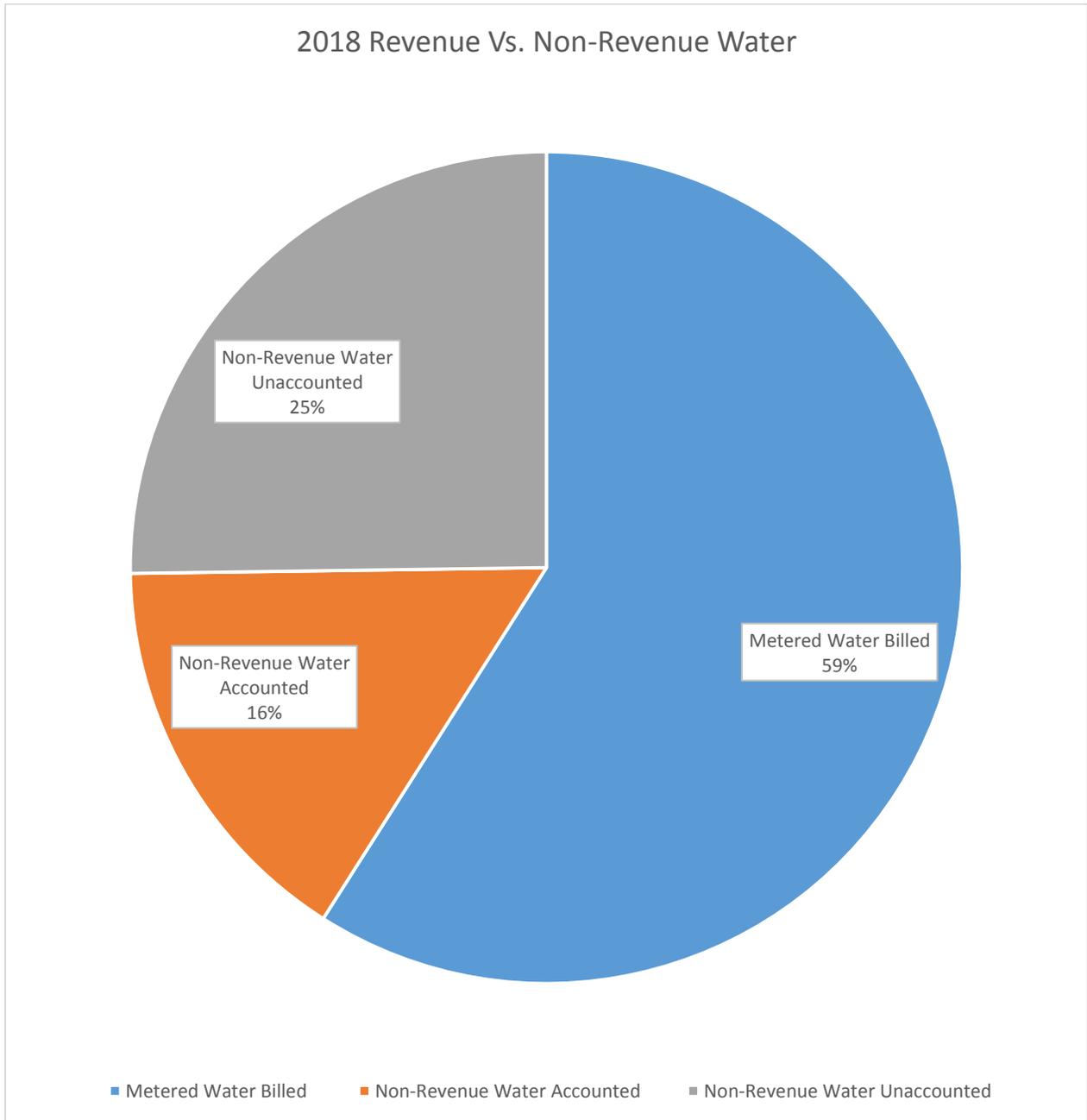
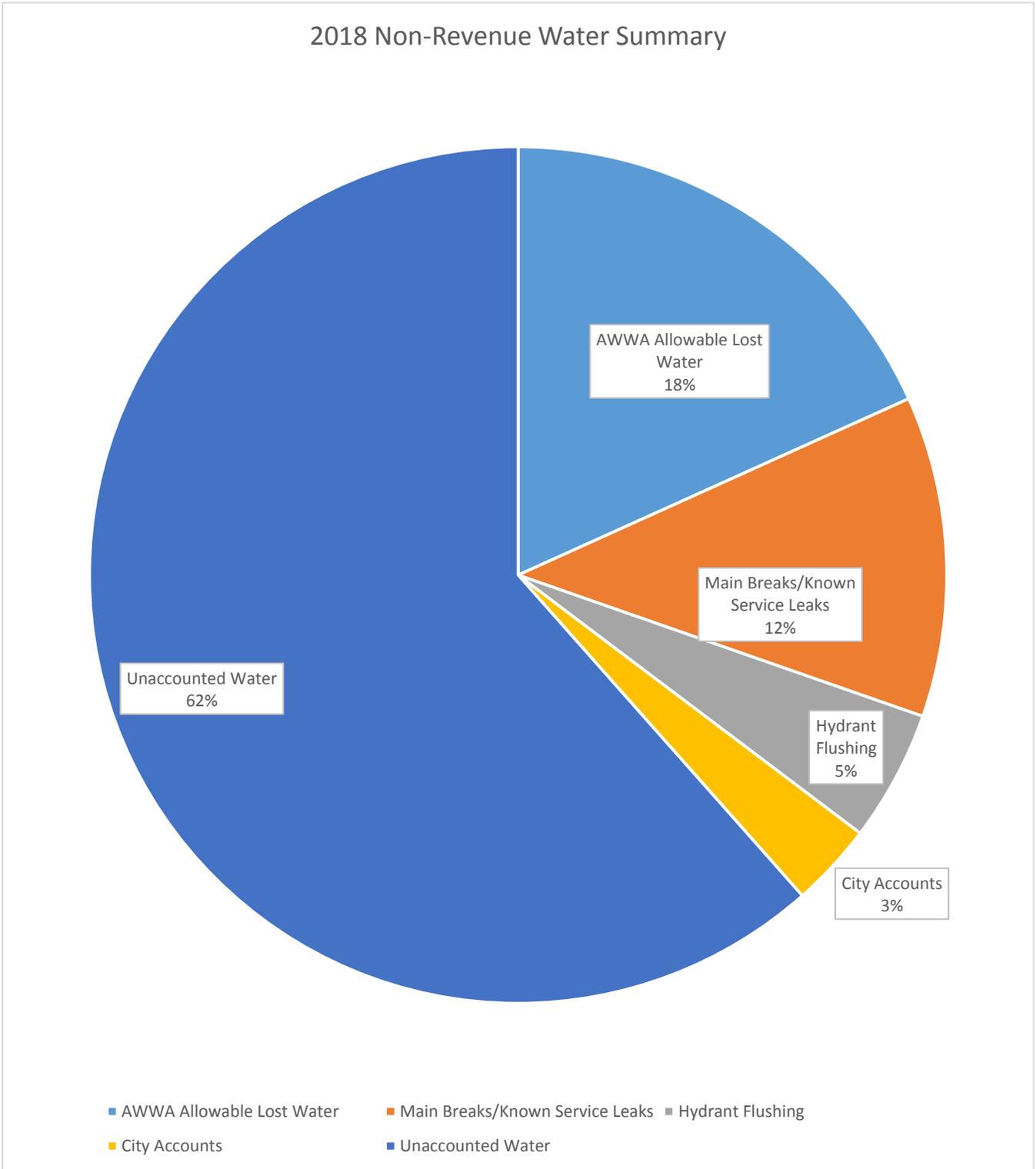


Table 2.8

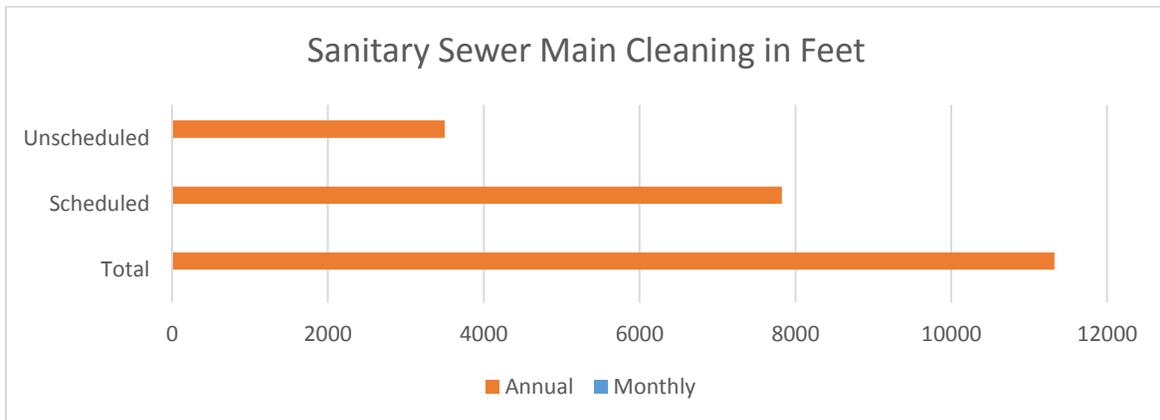


### 3.0 Collection and Distribution

#### 3.1 COLLECTION SYSTEM OPERATIONS

All lift stations operated properly during the month of November. All lift stations and wet wells were routinely checked each week for proper operation during the month. Table 3.4 shows Sewer Main Maintenance for the month of November 2018.

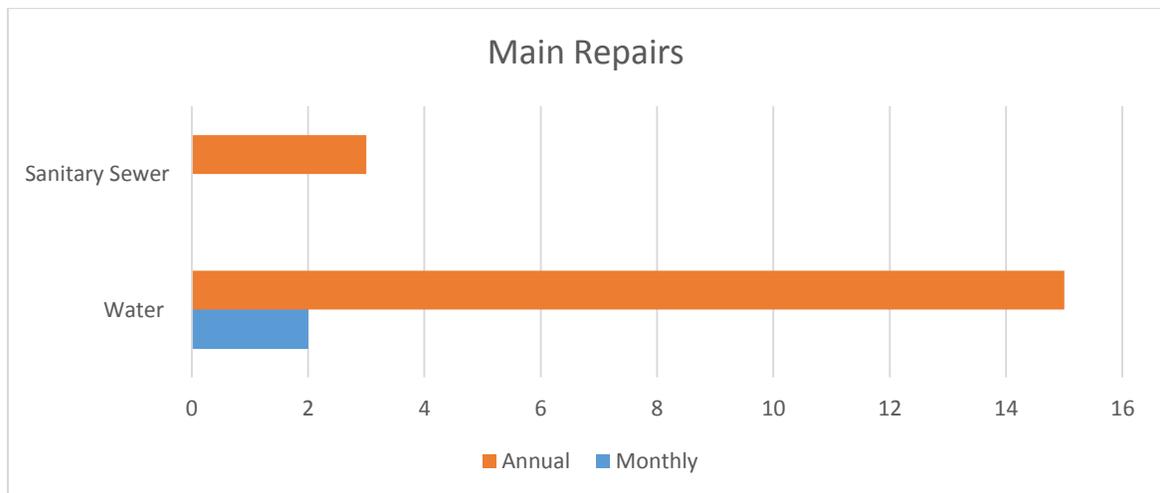
Table 3.2



#### 3.3 DISTRIBUTION & COLLECTION SYSTEMS

All routine maintenance completed for the month of November 2018. Table 3.6 summarizes main repairs.

Table 3.4



**EXHIBIT K**

**Distribution List**

**Request for Proposals for City of Galena Private Full-Service Operations and Maintenance  
of the Water and Wastewater Facilities, Distribution and Collection Systems**

Inframark Water and Infrastructure Services  
Attn. Thomas Krall  
Business Development Manager  
480 Spruce Drive  
Exton, PA 19341  
[Thomas.krall@inframark.com](mailto:Thomas.krall@inframark.com)

Midwest Contract Operations  
P.O. Box 2108  
Neenah, WI 54957-2108  
[mco@mco-us.com](mailto:mco@mco-us.com)

People Service Inc.  
Attn. Dennis White  
Region Manager  
209 S. 19<sup>th</sup> Street, Suite 555  
Omaha, NE 68102  
[dwhite@peopleservice.com](mailto:dwhite@peopleservice.com)

USW Utility Group  
Attn. Cathy Gardner  
1406 Central Avenue  
Fort Dodge, Iowa 50501  
[cgardner@uswatercorp.net](mailto:cgardner@uswatercorp.net)

Veolia North America  
Attn. Jim Perron  
Director, Municipal and Commercial Business  
700 East Butterfield Road, Suite 201  
Lombard, IL 60148  
[James.perron@veolia.com](mailto:James.perron@veolia.com)

Woodard & Curran  
Attn. Brian E. Bzdawka  
Senior Vice President  
1520 S. 5th Street  
St. Charles, MO 63303  
[bbzdawka@woodardcurran.com](mailto:bbzdawka@woodardcurran.com)