



# Costa Mesa Sanitary District

## Costa Mesa, California

### Popular Annual Financial Report

### For the Year Ended June 30, 2016





# Costa Mesa Sanitary District

## Popular Annual Financial Report

### The Year Ending June 30, 2016

The purpose of the Popular Annual Financial Report (PAFR) is to provide a summary of the financial position of the Costa Mesa Sanitary District (District), as reported in the Comprehensive Annual Financial Report (CAFR), along with other information of interest. The CAFR outlines the financial position and operating activities each year, presented in conformity with Generally Accepted Accounting Principles (GAAP) and includes financial statements audited by Rogers, Anderson, Malody & Scott, LLP, Certified Public Accountants. The District received an unmodified (clean) audit opinion that the financial statements present fairly, in all material respects, the financial position of the District.

While the numbers in the PAFR come from an audited source, they are presented in a summarized, unaudited, non-GAAP format. Unlike the CAFR, the PAFR does not include detailed information by individual fund or other disclosures required by GAAP. Additionally, some of the information in the PAFR is from other sources such as the budget. Citizens who wish to review the audited, GAAP-based, full disclosure financial statements can refer to the District's CAFR available online at [www.cmsdca.gov](http://www.cmsdca.gov) or by contacting the Finance Manager at (949) 645-8400 ext. 224.

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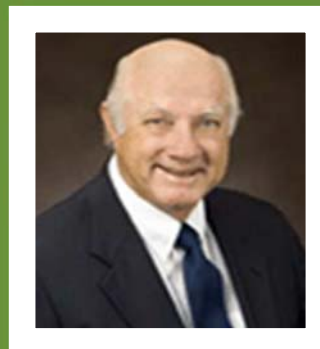




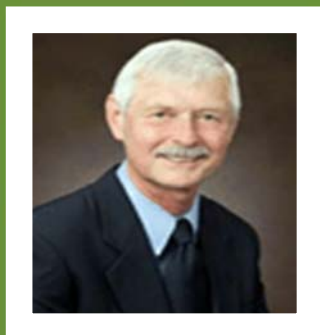
# Board of Directors



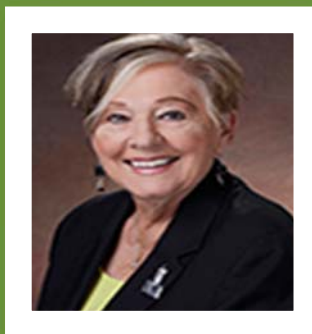
**President**  
**Michael Scheafer**  
Term 2014-2018



**Vice President**  
**Arthur Perry**  
Term 2012-2016



**Secretary**  
**Robert Ooten**  
Term 2014-2018



**Assistant Secretary**  
**Arlene Schafer**  
Term 2014-2018



**Director**  
**James Ferryman**  
Term 2012-2016

## Appointed Officials

Scott Carroll, General Manager  
Alan Burns, District Counsel  
Marc Davis, District Treasurer  
Robin B. Hamers, District Engineer

**Mission:** “Protecting our community’s health and the environment by providing solid waste and sewer collection services.”

**Vision:** Promoting a sustainable environment that is free from sewer and solid waste pollution.

## Core Values We believe in:

**Transparency:** We believe in an open government where information and documents are easily accessible to the public.

**Teamwork:** We will strive to support each other’s efforts to achieve the District’s objectives.

**Integrity:** We act with honesty and integrity, not compromising the truth.

**Respect:** We treat customers, employees and the general public with mutual respect and sensitivity.

**Balance:** We are flexible, helping employees strike a healthy work and life balance.

**Dedication:** Striving to ensure sewer infrastructure is maintained and rehabilitated for the long term.

**Technology:** Striving to utilize advanced technology in meeting our goals.

**Fiduciary Responsibility:** Providing the highest quality service at fair, equitable and adequate rates.

# Letter from the General Manager

Thank you for your interest in reading the Costa Mesa Sanitary District's (District's) Popular Annual Financial Report (PAFR). This report is intended to provide the reader with a very high level understanding of the District's financial activities and other activities during the year.

The District has demonstrated strong leadership towards protecting the environment by implementing new maintenance programs and capital improvement projects that will prevent sanitary sewer overflows (SSOs). For instance, the addition of a second maintenance crew and cleaning truck enables cleaning the entire wastewater system, which consist of 224 miles of gravity pipeline, in 18 months and at a lower cost than private contractors. Other benefits, include a faster response time to SSOs and a better chance of preventing or diminishing the amount of wastewater from entering waterways.

In addition to the cleaning crew, it's been a full year since the District hired a person for the new SCADA Technician/Industrial Electrician position. This position is responsible for regular and routine inspection and maintenance of the District's twenty lift stations. In the past year, the District has had zero lift station related SSOs. On January 28, 2016, the District approved a two year agreement with Professional Pipe Services (Pro Pipe) to televise the entire wastewater system. Pro Pipe will identify the condition of pipe segments and when segments are found to be in Grade 5 condition (imminent failure), the District takes immediate action to design and repair the pipe segment before it fails.

For capital improvement projects, the District has awarded several projects using innovative technology that will enhance the efficiencies of the wastewater system and ensure the system will last for generations. For instance, no-dig technology called horizontal directional drilling, has been used to replace wastewater pipes with less disruption to residents, businesses and motorists. Another no-dig technology utilized by the District is relining using cured-in-place pipe, which is a jointless, seamless pipe within a pipe. Besides maintaining pipes, the District has 20 lift stations that require ongoing maintenance. The Elden Lift Station is the largest station pumping 3,750 gallons of wastewater per minute. The District awarded a contract to replace 38-year old valves and force main piping to ensure this large station is operating at optimum level.

Since 2004, the District's headquarters has been located at 628 W. 19th Street. In May 2016, the District purchased a new building to serve as its headquarters, located at 290 Paularino Avenue, which is large enough to have a Board room with a seating capacity of 50 people and can be used as a community room for the public. The new building has more than double the parking spaces. The cost of the building was \$3,750,000. The building at 628 W. 19th Street was sold for \$1,250,000 with the proceeds used to offset the cost of the new building.

The District's financial management policies and fiscally conservative leadership by the Board of Directors have enabled us to provide efficient and effective solid waste and wastewater services while at the same time provide many specialized programs to our residents. I hope that you will find that our Popular Annual Financial Report for the year ended June 30, 2016 is meeting its purpose of easiness, understandable and informative reading and that CMSD is committed to protecting our community's health and the environment.

Respectfully,



Scott Carroll, SDA, ICMA-CM  
General Manager

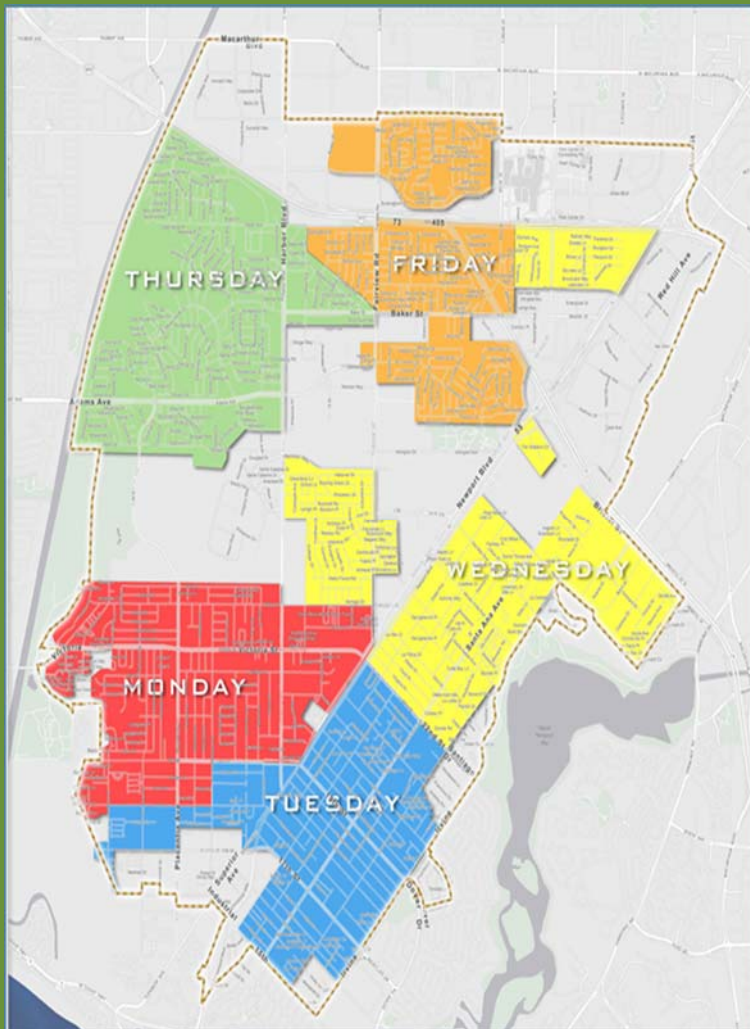
# About the Costa Mesa Sanitary District

The Costa Mesa Sanitary District is a California Special District established and incorporated in February 1944 pursuant to Division VI, Part 1 of the Health and Safety Code of the State of California (sometimes referred to as the Sanitary District Act of 1923). The District is located in the City of Costa Mesa, in the County of Orange and provides solid waste and wastewater services to the City of Costa Mesa, sections of Newport Beach and some unincorporated Orange County areas. The District serves approximately 116,700 residents.

The District throughout its history has used the combination of public and private services. The private services include a trash hauler, recycler, legal counsel, treasury, engineering and inspection services. The solid waste and wastewater charges are collected on the property tax bill as special assessments by the County of Orange Treasurer-Tax Collector.

The affairs of the Costa Mesa Sanitary District are directed by a five member Board of Directors elected at large by the registered voters residing in the District. The Directors are residents and have the same concerns as their constituents. The Board members, who serve four-year staggered terms, are responsible for establishing policy and ordinances, adopting the budget, appointing the District's General Manager, District Counsel and District Treasurer. The General Manager is responsible for carrying out the policies and ordinances of the Board and for overseeing the day-to-day operations. The District Counsel provides legal advice to the Board of Directors while the District Treasurer is responsible for ensuring the safety of District funds by making prudent investments. The District Engineer provides engineering design, plan check and inspection services for the wastewater system and the Capital Improvement Program (CIP).

**Solid Waste Service Area Map**



**Wastewater Service Area Map**





# Local Economy

The Costa Mesa Sanitary District continues to benefit from its unique geographic location, which is in the City of Costa Mesa. The local economy is primarily based on retail commercial business and light manufacturing of electronics, plastics and pharmaceuticals. The District's service area includes several major regional facilities: John Wayne Airport, Orange Coast College, Whittier Law School, Vanguard University, State of California Fairview Development Center, Orange County Fairgrounds, Segerstrom Performing Arts Center, South Coast Repertory Theater, and South Coast Plaza shopping complex. The volume of sales generated by South Coast Plaza, on the strength of over 250 stores, secures its place as the second highest sales volume shopping center in the California.

Changes in the economy do not have an impact on the District's revenues as it does on other government agencies whose major source of revenues are from sales, property and other taxes. As an independent special district having the ability to adjust service rates as required, the District's operating revenues are not impacted by the local economy. The District has a secure revenue stream collected from user fees by the County of Orange through the property tax bills.

The District's Board of Directors is aware of the need to ensure the District's financial stability. Through a coordinated strategic process, the Board has established a series of policies and plans to effectively meet the District's anticipated future needs. The cornerstone of these policies is the District's Strategic Plan for Fiscal Years 2015-20 that serves as a framework for planning and decision making over the next five years. The District utilizes this information to anticipate future expense obligations and to develop and estimate service rates to ensure these expense obligations are fully funded.

# Strategic Goals

The District's Board of Directors is aware of the need to ensure the District's financial stability. Through a coordinated strategic process, the Board has established a series of policies and plans to effectively meet the District's anticipated future needs. The cornerstone of these policies is the District's Strategic Plan for Fiscal Years 2015-20 that serves as a framework for planning and decision making over the next five years (See below). The District utilizes this information to anticipate future expense obligations and to develop and estimate service rates to ensure these expense obligations are fully funded.

## Solid Waste Goals

Behavior Study of Organics Recycling Program  
Annual Contract Audits  
Comprehensive Education Program  
Develop Strategies for 75% Waste Diversion  
Monitor Advancements & Technology in Industry  
Apply for Waste Diversion Grants  
Continue Code Enforcement Presence

## Wastewater Goals

Manhole Cover Maintenance Program  
Inflow Reduction Program  
Reduce Hot Spot Locations to less than 30  
System Wide Sewer Replacement/Repair Prgm  
Sewer Line Cleaning & CCTV Program  
Evaluate Force Main Conditions Regularly  
Pump Station Maint & Standardization Prgm  
Fats, Oils & Grease (FOG) Program  
Sewer Lateral Assistance Program (SLAP)  
Abandon Five Pump Stations on West Side



# Financial Highlights

One of the most important questions asked about the District's finances is; "Is the District better off or worse off as a result of the year's activities?" The Condensed Statement of Net Position report contains information about the District in a way that helps answer this question. This statement includes all assets and liabilities using the accrual basis of accounting, which is similar to the accounting used by most private-sector companies. The net position may serve over time as a useful indicator of a government's financial health. As of June 30, 2016, unrestricted net position increased to \$60,493,035 from \$59,829,080 in the prior fiscal year, a \$663,955 increase.

One of the largest portions of the District's net position reflects the District's investment in capital assets (net of accumulated depreciation). Investments in capital assets represent \$42,348,941, or 70%, of the total \$60,493,035 net position. The District uses the capital assets to provide services to customers within the District's area; consequently, these are physical assets that cannot be spent.

Unrestricted net position represents 30% of the District's net position, which comprises assets that may be used to meet the District's ongoing obligations to citizens and creditors in accordance with the District's fiscal policies. As of June 30, 2016, unrestricted net position decreased to \$18,144,094 from \$20,726,351 in the prior fiscal year, or a \$2,582,257 decrease. The decrease in unrestricted net position is primarily attributable to the purchase of a new District headquarters facility, which is offset by the increase in net investment in capital assets.

## Statement of Net Position As of June 30, 2016

	Condensed Statement of Net Position		
	2016	2015	Change
<b>Assets</b>			
Current assets	\$ 19,598,015	\$ 22,162,492	\$ (2,564,477)
Non-current assets	42,563,370	39,200,177	3,363,193
<b>Total assets</b>	<b>62,161,385</b>	<b>61,362,669</b>	<b>798,716</b>
<b>Deferred Outflows of Resources</b>			
Pension related	250,136	158,197	91,939
<b>Liabilities</b>			
Current liabilities	1,503,442	1,260,847	242,595
Non-current liabilities	321,211	308,333	12,878
<b>Total liabilities</b>	<b>1,824,653</b>	<b>1,569,180</b>	<b>255,473</b>
<b>Deferred Inflows of Resources</b>			
Pension related	93,833	122,606	(28,773)
<b>Net Position</b>			
Net investment in capital assets	42,348,941	39,102,729	3,246,212
Unrestricted	18,144,094	20,726,351	(2,582,257)
<b>Total net position</b>	<b>\$ 60,493,035</b>	<b>\$ 59,829,080</b>	<b>\$ 663,955</b>

So, is the District better off or worse off as a result of the year's activities? The District's overall financial position is better off by \$663,955 over the prior year. The following Statements of Revenues, Expenses and Changes in Net Position will show where the changes from the prior year occurred.

**Statement of Revenues, Expenses and Changes in Net Position  
For the Year Ended June 30, 2016**

	Condensed Statement of Revenues, Expenses and Changes in Net Position		
	2016	2015	Change
Revenues			
Operating revenues	\$11,077,758	\$10,825,377	\$ 252,381
Non-operating revenues	574,652	589,791	(15,139)
Total revenues	11,652,410	11,415,168	237,242
Expenses			
Operating expenses	9,323,731	8,634,912	688,819
Depreciation	1,754,124	1,690,932	63,192
Total operating expenses	11,077,855	10,325,844	752,011
Net income, change in net position	574,555	1,089,324	(514,769)
Capital contributions	89,400	-	89,400
Net position, beginning of year	59,829,080	59,012,967	816,113
Implementation of new pronouncement	-	(273,211)	273,211
Net position, end of year	<u>\$60,493,035</u>	<u>\$59,829,080</u>	<u>\$ 663,955</u>

The Statement of Revenues, Expenses and Changes in Net Position shows how the District's net position changed during the year. For the years ended June 30, 2016 and 2015, net position increased by \$663,955 and \$1,089,324, respectively.

A closer examination of the sources of the changes in net position reveals that:

- Solid Waste and Wastewater assessments increased \$148,565 due to an increase in new customers and a 2% rate increase in the Wastewater assessment.
- Investment earnings and fair market adjustment increased \$87,052 due to better than expected yields.
- Solid Waste recycling and disposal costs increased \$270,100 with the implementation of the Organics Recycling Program.
- Wastewater maintenance salaries increased \$175,332 with the addition of a second cleaning crew; however, this was offset by a \$196,192 decrease in Sewer Line Maintenance by eliminating outside contractors to clean resulting in a net decrease in expenses of \$24,395.
- Sewer line televising increased \$206,543 with the implementation of the two-year District-wide televising program with an adopted budget of \$556,000.



### Total District Revenues as of June 30, 2016

	2016	2015	Change
Operating revenues			
Trash assessments	\$ 4,787,459	\$ 4,768,071	\$ 19,388
Sewer assessments	5,430,408	5,301,231	129,177
Permits and inspection fees	231,850	206,971	24,879
Connection fees	257,323	192,913	64,410
Other services	370,718	356,191	14,527
Total operating revenues	<u>11,077,758</u>	<u>10,825,377</u>	<u>252,381</u>
Non-operating revenues			
Investment income	292,524	205,472	87,052
Taxes	270,876	245,415	25,461
Other revenues	44,760	138,904	(94,144)
Gain on disposal of assets	(33,508)	-	(33,508)
Total non-operating revenues	<u>574,652</u>	<u>589,791</u>	<u>(15,139)</u>
Total revenues	<u><u>\$ 11,652,410</u></u>	<u><u>\$ 11,415,168</u></u>	<u><u>\$ 237,242</u></u>

- The annual Wastewater assessment increased \$129,177 as a result of implementing year three of the five year Sewer Rate Study adopted by the Board in December 2012.
- Connection fees increased \$64,410 due to the continued increase in development and building within the District's service area.
- Investment Income increased \$87,052 from increases in earnings and the fair value of investments.

### Total District Expenses as of June 30, 2016

	2016	2015	Change
Operating expenses			
Solid waste disposal	\$ 2,588,577	\$ 2,329,438	\$ 259,139
Wastewater disposal	1,641,085	1,665,480	(24,395)
Recycling and disposal charges	2,181,635	2,170,978	10,657
Administration and other	2,101,358	2,238,016	(136,658)
Repairs and maintenance	811,076	231,000	580,076
Depreciation	1,754,124	1,690,932	63,192
Total operating expenses	<u>11,077,855</u>	<u>10,325,844</u>	<u>752,011</u>
Non-operating expenses:			
Other expenses	-	-	-
Total expenses	<u><u>\$ 11,077,855</u></u>	<u><u>\$ 10,325,844</u></u>	<u><u>\$ 752,011</u></u>

- Solid waste disposal expenses increased by \$259,139 as a result of an increase in the number of customers due to increased building within the District.
- Administration and other decreased \$136,658 due to a reduction in professional services as a result of completing a compensation and classification study and filling vacant positions which were temporarily filled with contractual assistance.
- Repairs and maintenance in the Wastewater Fund increased as a result of recording of maintenance expense for the Westside Abandonment Project, Pump Station Coating and Manhole Rehab Project and Grade 4 CCTV Improvements totaling \$551,075.

## Solid Waste Fund

The District is one of the few agencies in Orange County that offers co-mingled services method of recycling which allows residents to mix their trash and recycling materials in the same standardized containers without any sorting. The trash is taken to a recycling facility where it is mechanically and hand sorted to remove the recyclables. The District reached 50% diversion prior to the year 2000 and is in full compliance with all State mandates. The District currently has a diversion rate of approximately 60% diversion rate with a goal of 75% by 2020.

Special programs offered to District residents include: Christmas Tree Recycling, Medication Disposal, Large Item Pickups, House Hold Hazardous Waste, Sharps, Electronic and Universal Waste Collections as well as school fundraising programs such as Alkaline Battery Recycling.

<b><u>Solid Waste Performance Indicators:</u></b>	<b><u>Actual</u></b> <b><u>2010-11</u></b>	<b><u>Actual</u></b> <b><u>2011-12</u></b>	<b><u>Actual</u></b> <b><u>2012-13</u></b>	<b><u>Actual</u></b> <b><u>2014-15</u></b>	<b><u>Actual</u></b> <b><u>2015-16</u></b>
<b>Programs:</b>					
Telephone Books Recycled	10,721	5,100	3,955	N/A	N/A
Large Items Tonnage Collected	296	182	281	384	509
White Goods Tonnage Collected	51	30	24	22	8
Christmas Trees Tonnage Collected	103	78	79	82	82
Sharps Pounds Collected	N/A	1,379	1,507	2,137	2,351
Pharmaceuticals Pounds Collected	N/A	837	1,172	1,518	1,806
Materials Recovery Facility Tours Provided	2	1	3	3	3
Alkaline Batteries Pounds Recycled	N/A	N/A	N/A	5,345	4,525
Zero Waste Lunch Program Field Trip*	N/A	N/A	1,343	821	725
Zero Waste Lunch/Traveling Scientists Visit*	N/A	N/A	898	1,474	1,616
Zero Waste Lunch/Service Learning Visit*	N/A	N/A	280	254	387
Plastics/recycling Presentations	N/A	N/A	N/A	N/A	N/A
Discovery Science Center Field Trips*	N/A	N/A	N/A	388	362
Discovery Science Center Field Trips Buses				9	4
Discovery Science Center Assemblies*	N/A	N/A	N/A	388	362
Composting Classes Provided	12	34	79	39	N/A
Kitchen Pails Distributed	N/A	N/A	N/A	870	2,535
<b>Services:</b>					
Residential Customers	21,531	21,565	21,509	21,816	22,398
Residential Waste Tonnage Collected	40,879	39,841	40,255	41,823	34,356
Recycled Waste Tonnage	22,043	22,926	23,180	23,761	16,873
Organic Waste Tonnage	N/A	N/A	N/A	N/A	7,699
Percent Diverted from Landfill	53.92%	57.54%	57.58%	56.89%	60.00%

### **Events:**

Concerts in the Park (4), Costa Mesa Community Run, Costa Mesa Community Summer Safety Expo, Davis Magnet School Eco Night, Costa Mesa-Newport Harbor Lions Club Fish Fry, OC Green Fair, Orange Coast College Green Coast Day, Orange Coast College Science Night, Vanguard University Environmental Sustainable Conference.

\*Number of students that participated.

The breakdown of the Solid Waste customers is as follows:

	<b><u>Units</u></b>	<b><u>Assessment</u></b>
Single Family Residential	17,272	\$3,647,160
Multi-Family Residential	5,126	\$1,107,216
<b>Total Estimated Assessment</b>	<b><u>22,398</u></b>	<b><u>\$4,754,376</u></b>

## Wastewater Fund

The purpose of the Wastewater is to collect and convey all wastewater produced within the District to the Orange County Sanitation District (OCSD) treatment plants in Fountain Valley and Huntington Beach. This is accomplished through establishing specifications for the construction of sewer lines, inspecting lines for compliance with those specifications, conducting preventive maintenance of the system, repairing and replacing defective elements of the system, and managing flow rates to stay within the capacity of the collection system. The collection system includes 224.2 miles of sewer mains ranging from 8-inches to 30-inches in diameter and approximately 4,716 sewer manholes within the system, which are used as access points for cleaning and inspection purposes. There are 20 sewer pumping stations located within the collection system that are necessary to convey flow from low lying areas to higher elevations where the liquid waste can again flow by gravity.

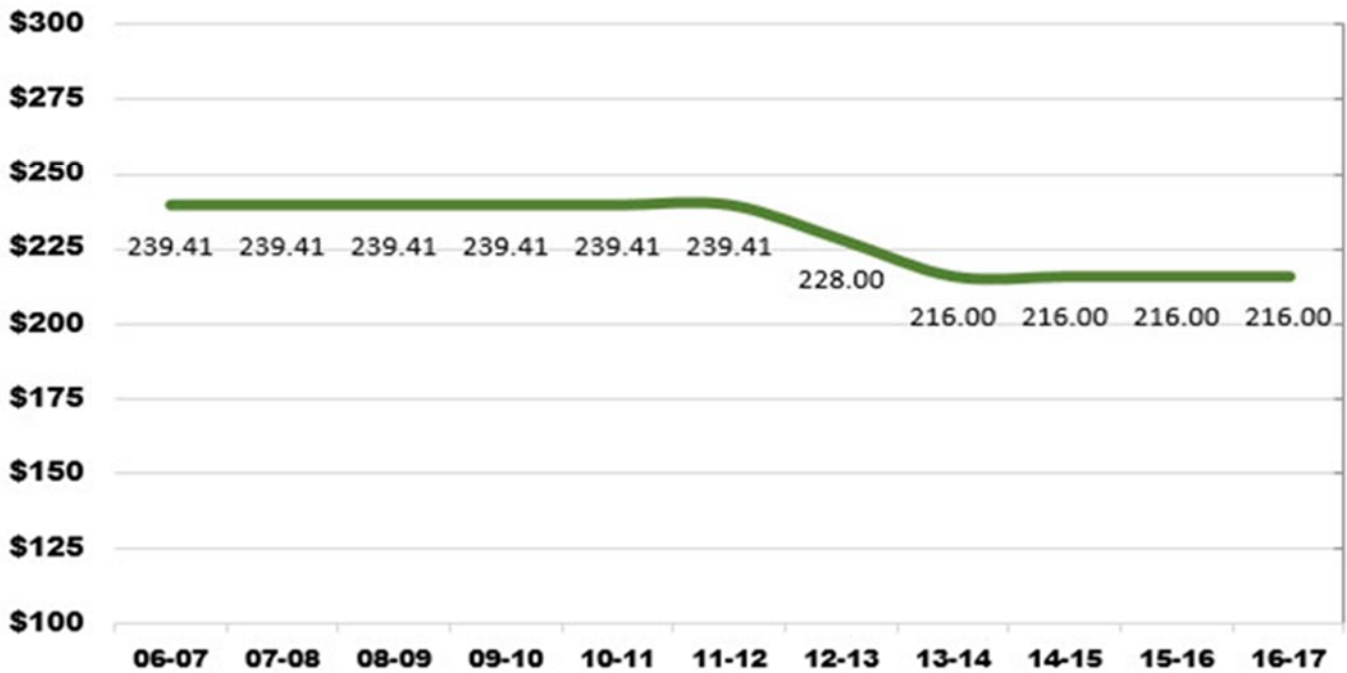
	<u>Actual</u> <u>2011-12</u>	<u>Actual</u> <u>2012-13</u>	<u>Actual</u> <u>2013-14</u>	<u>Actual</u> <u>2014-15</u>	<u>Actual</u> <u>2015-16</u>
<b><u>Wastewater:</u></b>					
<b>Sewer Later Assistance Program:</b>	\$ 1,800	\$ 1,600	\$ 1,600	\$ 1,250	\$ 1,100
Dollars Awarded	199,452	223,523	244,324	201,475	202,182
Applicants Processed	143	168	190	182	203
Applicants Applied	199	226	184	237	242
<b><u>Maintenance:</u></b>					
Manholes Plugged and Sealed	808	200	163	900	408
Total Feet of Sewers Cleaned	625,000	780,000	848,930	910,000	1,096,701
Hotspots Locations	68	62	43	32	26
Sewer Spill Occurrence (SSO)	4	2	3	2	3
Total Sewer Spilled in Gallons	477	79,010	1,385	8,250	144
Total Sewer Recovered in Gallons	422	2,010	1,385	150	144
Total Sewer Unrecovered in Gallons	55	77,000	0	8,100	0

The breakdown of the Solid Waste customers is as follows:

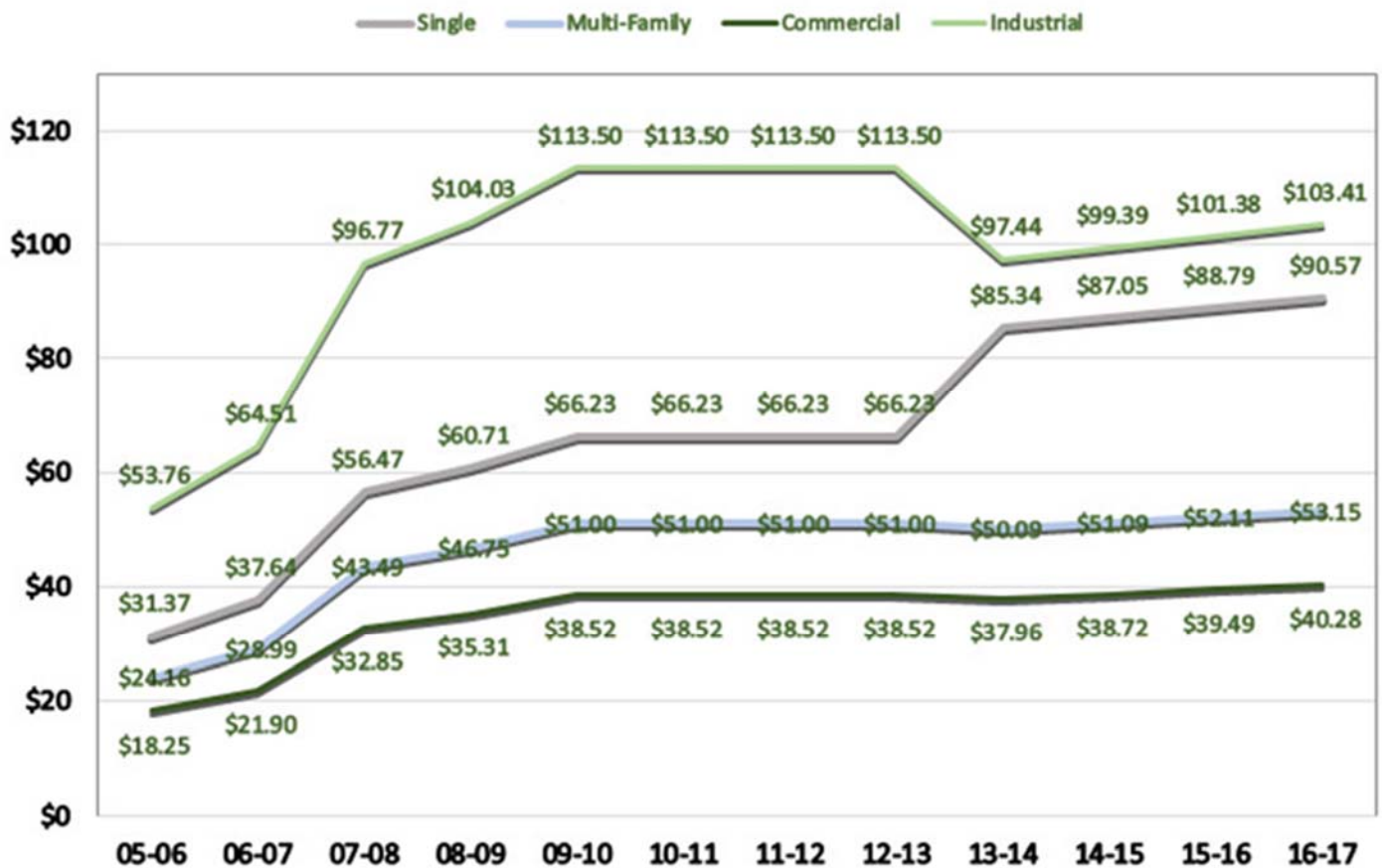
	<u>Units</u>	<u>Assessment</u>
Single Family Residential	20,831	\$1,849,141
Multi-Family Residential	24,296	\$1,257,883
Commercial	1,579	\$1,323,583
Industrial	<u>785</u>	<u>\$969,381</u>
<b>Total Estimated Assessment</b>	<b><u>47,491</u></b>	<b><u>\$5,399,987</u></b>
Commercial Buildings Square Feet		32,379,357
Industrial Buildings Square Feet		<u>9,561,853</u>
<b>Total Square Footage</b>		<b><u>41,941,210</u></b>



## Single Family Trash Rate History



## Wastewater Rate History



## Economic Factors and Next Year's Budgets

Due to the District's healthy position in its Solid Waste Fund, the Board of Directors adopted an Organics Recycling Program without increasing the Solid Waste assessment by using reserves. The Wastewater assessment rate increased 2%. This was year three of the five year Sewer Rate Study increasing rates 2% per year. The District is anticipating a slight increase in property tax revenue in the coming year due to continued development within the District's service area.

In the Solid Waste Fund, the District implemented the Organics Recycling Program requiring residents to separate organic waste to reach the District's diversion goals. The trash hauler's Anaerobic Digestion (AD) Facility was anticipated to be online by October 2015. However, the AD Facility did not come online until September 2016. Therefore, the District did not pay the higher rate for diverting organic materials.

The Wastewater Fund budget for the fiscal year ending June 30, 2017 includes the first full year with a second wastewater cleaning crew and truck, which allows the District's wastewater lines to be cleaned entirely in-house in approximately 18 months. In fiscal year 2015-16, the District began the two-year District-wide televising of the entire wastewater system. As a result of the televising, Grade 5 wastewater pipe deficiencies are documented and put out for emergency repair. The funding for the Grade 5s was transferred from the Westside Abandonment Project #101. The Victoria Force Main Replacement project is budgeted in the upcoming fiscal year as well as the purchase of a new portable televising camera and trailer to view wastewater line issues as needed instead of waiting for a contractor.

## Recognition

- Government Finance Officer Association Certificate of Achievement for Excellence in Financial Reporting for our Comprehensive Annual Financial Report for the years ended 2012 through 2015.
- Government Finance Officer Association Award for Outstanding Achievement in Popular Annual Financial Reporting for our Popular Annual Financial Report for the year ended 2015.
- Special District Leadership Foundation Gold Recognition in Good Governance.
- Special District Leadership Foundation District of Distinction since 2009.
- Special District Leadership Foundation Certificate of Excellence in Transparency 2013-2017
- Solid Waste Association of North America's Silver Excellence Award in Integrated Solid Waste Management Systems 2016.
- Santa Ana River Basins Section of the California Water Environment Association Collection System of the Year Award (0-249 Miles) 2012 and 2015.
- Santa Ana River Basins Section of the California Water Environment Association Supervisor of the Year 2014
- California Special District Association Innovative Project of the Year 2012 for "Avoiding Disasters"
- Special District Rick Management Authority Excellence in Safety 2012
- California Special District Association General Manager of the Year 2012

