Sanitary Sewer Capacity Assurance Program (CAP) Audit Results

Environmental Quality & Public Works Committee

September 18, 2018

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AGENDA

- What is CAP?
- CAP Task Force History
- CAP Audit Requirements and Findings
- Questions

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What is CAP?

Sanitary Sewer **C**apacity **A**ssurance **P**rogram

- Consent Decree Requirement:
  - Resolution #722-2012
  - Go live date - July 1, 2013
  - Received EPA approval – July 3, 2014
- Accounting System of:
  - Deposits – system repairs and/or capacity expansions.
  - Withdraws – new or expanded service connections.

Ledger » CTIMS Portal

Not secure | ctims.lexingtonky.gov/default.aspx

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Capacity Tracking IMS

LFUCG Division of Water Quality

Welcome, Guest User
LexingtonKY.gov | Login
Role: Public

Download New Request Form

Stantec

Home | Ledger | Waitlist

Ledger Table

Ledger Key

CAP Banks

Show 10 entries

Search:

Showing 21 to 30 of 45 entries

First Previous 1 2 3 4 5 Next Last

	Bank	Harvested Capacity	New Earned Capacity	Category 1 Grandfathered[1]	Category 2 Grandfathered[2]	Allocated Capacity	Current Balance	Net Credit Impact	Available Capacity
Details	NE1_25	2666.7	45274.2	-100.0	-192.0	-72.0	47576.9	45202.2	47576.9
Details	North Elkhorn PS	82669.3	357195.0	-1050154.5	-247051.1	-226382.7	-1083724.0	130812.4	130812.4
Details	South Elkhorn PS	401326.2	122848.0	-139563.6	-35728.1	-331575.2	17307.3	-208727.2	17307.3
Details	TB WWTP	603982.5	22665236.9	-361566.0	-484187.2	-191117.7	22232348.5	22474119.2	22474119.2
Details	TB1_155	5527.1	39240.7	-69034.0	0.0	-31812.4	-56078.7	7428.3	7428.3
Details	TB1_172A	56787.3	54011.2	-616.0	-576.0	-99428.8	10177.7	-45417.6	10177.7
Details	TB1_489A	26676.4	0.4	0.0	0.0	0.0	26676.8	0.4	26676.8
Details	TB2_33	69632.5	188868.3	-32095.0	-192.0	-182977.5	43236.2	5890.7	43236.2
Details	TB3_254A	70732.7	112192.8	-66765.0	-192.0	-83577.1	32391.4	28615.7	32391.4
Details	Town Branch PS	0.0	1432.4	0.0	0.0	-560.0	872.4	872.4	872.4

[1] Category 1 Grandfather Credits refer to those that were accounted for and flows calculated prior to July 3, 2013.
[2] Category 2 Grandfather Credits refer to those that were unaccounted for on July 3, 2013, such as those from qualifying plans approved prior to 2008 or isolated lots with a plat of record.

Bank Ledger

Production Release (vm)
CTIMS Version 20171208

CAP Task Force

- Formed to define a CD required program that was of significant concern to the community.
- Task Force began work in April 2012.
- Chaired by former CM Tom Blues, voting members comprised of five (5) other councilmembers and Derek Paulsen.

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CAP Task Force (cont.)

- Stantec, under contract with LFUCG, facilitated the Task Force meetings, assisted in internal and external stakeholders engagement, and drafted a final report along with the required submittals to EPA.
- Task Force work completed in November 2012 with nineteen (19) recommendations that became framework of program moving forward.

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CAP Task Force (cont.)

CAP Task Force Recommendation #19

The Task Force approved the following recommendation for **Program Auditing**: *Collected fees and program expenses associated with DWQ's Sanitary Sewer Program are to include an initial, independent audit after two (2) years from CAP implementation and followed by an independent audit every second year thereafter. Quarterly Reports submitted to the EPA (and publicly available on LFUCG's website) document credit ledger transactions and are subsequently subject to regulatory reviews and public scrutiny.*

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CAP Audit Requirement

Requirement – Article XIII: Code of Ordinances

Sec. 16-307. - Review; audit.

An independent formal review and audit of the **Capacity Assurance Program** and collected fees shall be performed on or before July 3, 2015 and every two (2) years thereafter and the audit reports shall be sent to the urban county council.
(Ord. No. 63-2013, § 1, 6-6-13)

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CAP Audit Process

- FY16 and FY17 records audited.
- Procured independent auditor – Bell Engineers.
- 32 randomly selected applications reviewed (from a total of 350 applications).
- Final audit report submitted in May 2018.

CAP Audit Content

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CAP Audit Report 4-12-16 with Appendix D small.pdf - Adobe Acrobat Reader DC

File Edit View Window Help

Home Tools CAP Audit Report 4... Sign In

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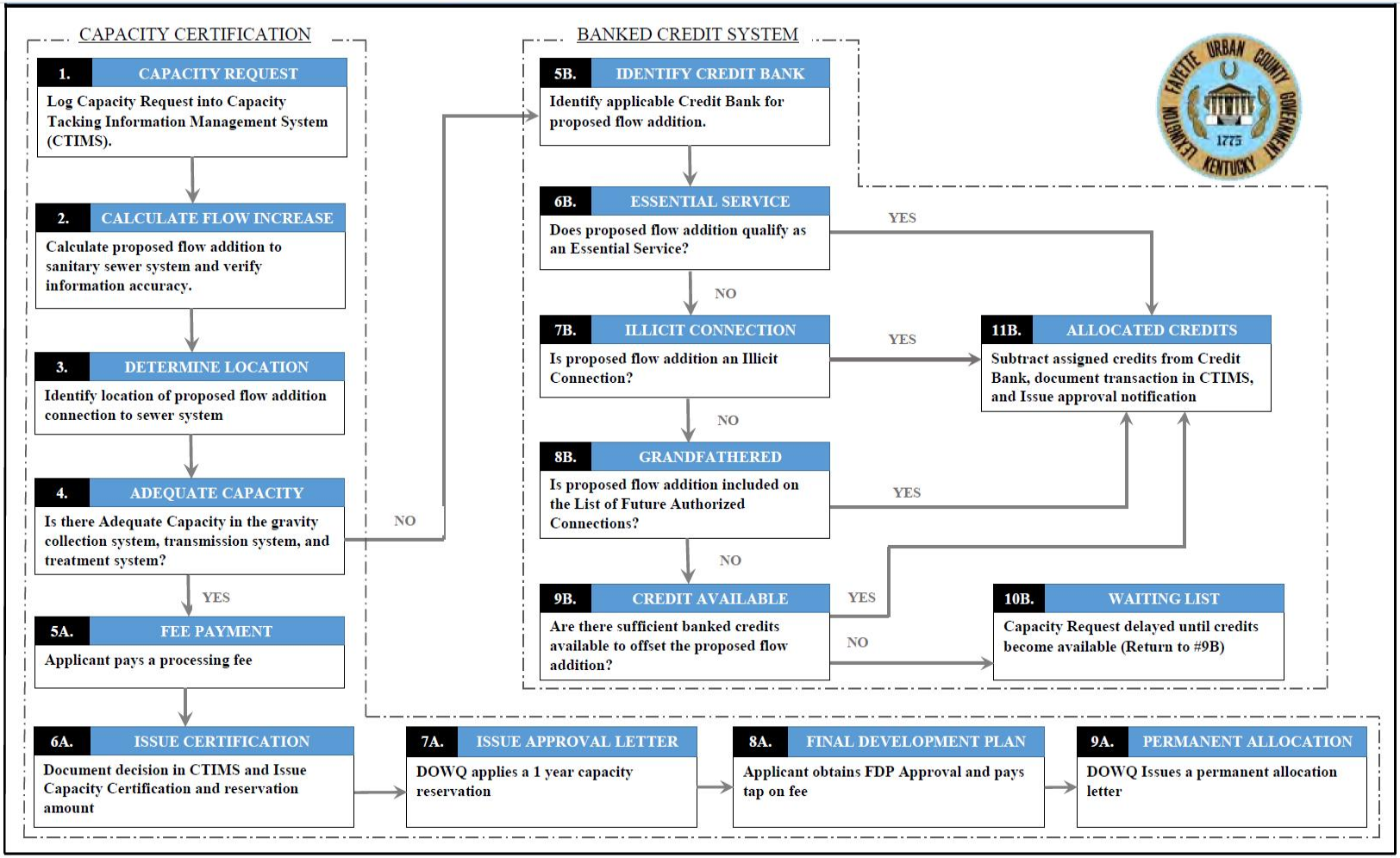

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CAP Audit Findings

May 2018 Report, Page 7

"It is our opinion based on information obtained through record research of 32 randomly selected applications, interviews with personnel, and examination of the CTIMS website that the process for assuring sewer capacity is in compliance with the intent of the ordinance."

Capacity Assurance Prog

Secure | https://www.lexingtonky.gov/capacity-assurance-program-0

Home / Infrastructure and streets

Capacity Assurance Program

Lexington's Capacity Assurance Program has been in effect since July 3, 2013.

For more information, please visit the links below.

Frequently Asked Questions

Informational brochure

Informational flier

Sewer Capacity Application

Contact

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Lexington, KY

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Additional Information Available

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Questions