



Failing Water Systems: The Human Right to Water (HR2W) List Criteria

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Background

On September 25, 2012, Governor Edmund G. Brown Jr. signed Assembly Bill (AB) 685, making California the first state in the nation to legislatively recognize the human right to water (HR2W). Now in the Water Code as Section 106.3, the state statutorily recognizes that “every human being has the right to safe, clean, affordable, and accessible water adequate for human consumption, cooking, and sanitary purposes.” The HR2W extends to all Californians, including disadvantaged individuals and groups and communities in rural and urban areas.

On February 16, 2016, the State Water Board adopted a resolution identifying the human right to water as a top priority and core value of the State Water Board and Regional Water Quality Control Boards (collectively the Water Boards). The resolution stated the Water Boards will work “to preserve, enhance, and restore the quality of California’s water resources and drinking water for the protection of the environment, public health, and all beneficial uses, and to ensure proper water resource allocation and efficient use, for the benefit of present and future generations.”

Failing Systems

The State Water Board assesses water systems that fail to meet the goals of the HR2W and maintains a list and map of these systems on its website. Systems that are on the Failing list are those that are out of compliance or consistently fail to meet drinking water standards. Systems that are assessed for meeting the Failing criteria include Community Water Systems (CWSs) and Non-Community Water Systems (NCWSs) that serve schools and daycares. The Failing criteria was expanded in March 2021 to better align with statutory definitions of what it means for a water system to “consistently fail” to meet drinking water standards.¹ The Failing criteria was expanded again in March 2024 to include new source capacity and water outage related violations.

Table 1 summarizes the new expanded criteria. The expansion of the criteria results in approximately 19 water systems being added to the Failing list. The following sections provides an overview of the criteria methodology for identifying systems that meet the Failing criteria. Additional details regarding the history of the Failing list can be found on the State Water Board’s HR2W webpage.²

Table 1: Expanded Criteria for Failing Water Systems

Criteria	Jan. 2017 – Apr. 2021	Apr. 2021 – Apr. 2024	After Apr. 2024
Primary MCL Violation with an open Enforcement Action	Yes	Yes	Yes
Secondary MCL Violation with an open Enforcement Action	Yes	Yes	Yes

¹ California Health and Safety Code Section 116275(c)

² [Human Right to Water | California State Water Resources Control Board](https://www.waterboards.ca.gov/water_issues/programs/hr2w/)
https://www.waterboards.ca.gov/water_issues/programs/hr2w/

Criteria	Jan. 2017 – Apr. 2021	Apr. 2021 – Apr. 2024	After Apr. 2024
<i>E. coli</i> Violation with an open Enforcement Action	No	Yes	Yes
Treatment Technique Violations <ul style="list-style-type: none"> One or more Treatment Technique violations with an open Enforcement Action. Three or more Treatment Technique violations within the last three years regardless of Enforcement Action status. 	Partially	Expanded	Yes
Monitoring and Reporting Violations <ul style="list-style-type: none"> Must have at least 3 Monitoring and Reporting Violations where: <ul style="list-style-type: none"> At least one must have an associated Enforcement Action that has been open for greater than 15 months and has not come back into compliance; and One or more Monitoring and Reporting violation(s) that have occurred within the last three years (with or without an open associated Enforcement Action) 	No	Yes	Yes
Source Capacity & Water Outage Violations with an open Enforcement Action	No	No	Yes

Failing List Criteria

Primary MCL Violation with an Open Enforcement Action

In accordance with federal regulations, California requires public water systems to sample their sources and have the samples analyzed for inorganic and organic substances in order to determine compliance with drinking water standards, also known as maximum contaminant levels (MCLs). Primary MCLs are based on health protection, technical feasibility, and costs. The water system must notify the State Water Board and the public when a primary MCL has been violated and take appropriate action.

Failing Criteria

- At least one Primary MCL Violation with an associated open Enforcement Action.

Methodology

- **Step 1:** Determine which systems have incurred a Primary MCL Violation using the SDWIS database.
 - Query systems that only have MCL violations. See list of violation codes below.
 - Search violations in SDWIS for all associated with primary contaminants – see table below for the analyte codes.

Table 2: Violation Types Related to a Primary MCL

Violation Number	Violation Type	Description
01	MCL, Single Sample	MCL violation based on a single sample, or an organic analyte that is 10X the MCL.
02	MCL, Numeric Average of Samples Taken	A violation for an inorganic, organic, or radiological constituent where compliance is based on a running annual average or more monitoring period average.
MB	Primary State MCL	An MCL violation of State regulated contaminants.
MP	POU/POE³ MCL	MCL violation for a water system using POU/POE. This is a failure to properly implement POU/POE and is considered a violation of a variance/exemption granted by the State.

Table 3: Analytes with a Primary MCL in SDWIS

Analyte Name	SDWIS Analyte Code
1,1,1-TRICHLOROETHANE	2981
1,1,2,2-TETRACHLOROETHANE	2988
1,1,2-TRICHLOROETHANE	2985
1,1-DICHLOROETHANE	2978
1,1-DICHLOROETHYLENE	2977
1,2,3-TRICHLOROPROPANE	2414
1,2,4-TRICHLOROBENZENE	2378
1,2-DIBROMO-3-CHLOROPROPANE	2931
1,2-DICHLOROETHANE	2980
1,2-DICHLOROPROPANE	2983

³ Point-of-Use (POU) and Point-of-Entry (POE)

Analyte Name	SDWIS Analyte Code
1,3-DICHLOROPROPENE	2413
2,3,7,8-TCDD	2063
2,4,5-TP	2110
2,4-D	2105
38-STRONTIUM-90	4174
ALUMINUM	1002
ALUMINUM, DISSOLVED	C250
ANTIMONY, TOTAL	1074
ARSENIC	1005
ASBESTOS	1094
ATRAZINE	2050
BARIUM	1010
BENTAZON	2625
BENZENE	2990
BENZO(A)PYRENE	2306
BERYLLIUM, TOTAL	1075
BHC-GAMMA	2010
BROMATE	1011
CADMIUM	1015
CARBOFURAN	2046
CARBON TETRACHLORIDE	2982
CHLORATE	1007
CHLORITE	1009
CHLOROBENZENE	2989
CHROMIUM	1020
CIS-1,2-DICHLOROETHYLENE	2380
CIS-1,3-DICHLOROPROPENE	2228
COMBINED RADIUM (-226 & -228)	4010
COMBINED URANIUM	4006
CYANIDE	1024
DALAPON	2031
DI(2-ETHYLHEXYL) ADIPATE	2035
DI(2-ETHYLHEXYL) PHTHALATE	2039
DICHLOROMETHANE	2964

Analyte Name	SDWIS Analyte Code
DIQUAT	2032
ENDOTHALL	2033
ENDRIN	2005
ETHYLBENZENE	2992
ETHYLENE DIBROMIDE	2946
FLUORIDE	1025
GLYPHOSATE	2034
GROSS ALPHA PARTICLE ACTIVITY	4109
GROSS BETA PARTICLE ACTIVITY	4100
HEPTACHLOR	2065
HEPTACHLOR EPOXIDE	2067
HEXACHLOROBENZENE	2274
HEXACHLOROCYCLOPENTADIENE	2042
LASSO	2051
MANGANESE, DISSOLVED	1034
MERCURY	1035
METHOXYCHLOR	2015
METHYL TERT-BUTYL ETHER	2251
MOLINATE	2626
NICKEL	1036
NITRATE	1040
NITRATE-NITRITE	1038
NITRITE	1041
O-DICHLOROBENZENE	2968
OXAMYL	2036
P-DICHLOROBENZENE	2969
PENTACHLOROPHENOL	2326
PERCHLORATE	1039
PICLORAM	2040
SELENIUM	1045
SIMAZINE	2037
STYRENE	2996
TETRACHLOROETHYLENE	2987
THALLIUM, TOTAL	1085

Analyte Name	SDWIS Analyte Code
THIOBENCARB (BOLERO)	2727
TOLUENE	2991
TOTAL HALOACETIC ACIDS (HAA5)	2456
TOTAL POLYCHLORINATED BIPHENYLS (PCB)	2383
TOTAL RADIUM FOR NTNC PER §64442(B)(3)	C080
TOXAPHENE	2020
TRANS-1,2-DICHLOROETHYLENE	2979
TRICHLOROETHYLENE	2984
TRICHLOROFLUOROMETHANE	2218
TRICHLOROTRIFLUOROETHANE	2904
TRITIUM	4102
TTHM	2950
TURBIDITY, FIELD	C254
VINYL CHLORIDE	2976
XYLENES, TOTAL	2955

- **Step 2:** Determine which systems have an associated open Enforcement Action associated with those Violations.
- **Step 3:** Determine which systems **do not have a SOX (State Compliance Achieved) Enforcement Action** associated with the Enforcement Action. A SOX Enforcement Action indicates when the system has returned to compliance or met the obligations of the Enforcement Action.
 - These systems meet the failing criteria and are added to the Failing list.
- **Step 4:** A system will no longer meet the Primary MCL Violation Failing criteria once a SOX Enforcement Action associated with the open Primary MCL Violation has been entered into SDWIS.
 - Per U.S. EPA guidance:
 - A new permitted source with contaminant levels below the MCL will automatically qualify the water system to return to compliance and a SOX Enforcement Action will be issued.
 - Installation of treatment requires a running annual average less than an MCL before a SOX Enforcement Action is issued.

Secondary MCL Violation with an Open Enforcement Action

In accordance with federal regulations, California requires public water systems to sample their sources and have the samples analyzed for inorganic and organic substances in order to determine compliance with drinking water standards, also known as MCLs. Secondary MCLs are based on consumer acceptance, using parameters such as odor, taste, and appearance as measures of acceptability. The water system must notify the State Water Board and the public when a secondary MCL has been violated and take appropriate action.

Failing Criteria

- At least one Secondary MCL Violation with an associated open Enforcement Action.

Methodology

- **Step 1:** Determine which systems have incurred a Secondary MCL Violation using the SDWIS database.
 - Query systems that only have Secondary MCL violations. See list of violation codes below.
 - Search violations in SDWIS for all associated with secondary contaminants – see table below for the analyte codes.

Table 4: Violation Types Related to a Secondary MCL

Violation Number	Violation Type	Description
01	MCL, Single Sample	MCL violation based on a single sample, or an organic analyte that is 10X the MCL.
02	MCL, Numeric Average of Samples Taken	A violation for an inorganic, organic, or radiological constituent where compliance is based on a running annual average or more monitoring period average.
MA	Secondary MCL	Violation where the water system exceeded the secondary MCL contaminant levels as stated in Title 22 CCR §64449

Table 5: Analytes with a Secondary MCL in SDWIS

Analyte Name	SDWIS Analyte Code
TURBIDITY	0100
ALUMINUM	1002
CHLORIDE	1017
COPPER, FREE	1022

IRON	1028
MANGANESE	1032
SILVER	1050
SULFATE	1055
CONDUCTIVITY @ 25 C UMHOS/CM	1064
ZINC	1095
COLOR	1905
ODOR	1920
TDS (TOTAL DISSOLVED SOLIDS)	1930
METHYL TERT-BUTYL ETHER	2251
THIOBENCARB (BOLERO)	2727
FOAMING AGENTS (SURFACTANTS)	2905

- **Step 2:** Determine which systems have an associated open Enforcement Action associated with those Violations.
- **Step 3:** Determine which systems **do not have a SOX Enforcement Action** associated with the Enforcement Action. A SOX Enforcement Action indicates when the system has returned to compliance or met the obligations of the Enforcement Action.
 - These systems meet the failing criteria and are added to the Failing list.
- **Step 4:** A system will no longer meet the Secondary MCL Violation Failing criteria once a SOX Enforcement Action associated with the open Secondary MCL Violation has been entered into SDWIS.

***E. coli* Violation with an Open Enforcement Action**

Total coliform, fecal coliform, and *E. coli* are all indicators of drinking water quality. The total coliform group is a large collection of different kinds of bacteria. Fecal coliforms are types of total coliform that mostly exist in feces. *E. coli* is a sub-group of fecal coliforms. When a water sample is sent to a lab, it is tested for total coliform. If total coliform is present, the sample will also be tested for either fecal coliform or *E. coli*, depending on the lab testing method. The presence of *E. coli* in a drinking water sample almost always indicates recent fecal contamination, meaning there is a greater risk that pathogens are present.

If a system incurs an *E. coli* MCL violation, it must perform a Level 2 assessment and provide Tier 1 public notification to its customers. RTCR requires public notice within 24 hours after receiving confirmation of an *E. coli* MCL violation. There are four ways a water system can have an *E. coli* MCL violation:

- A total coliform-present repeat sample follows an *E. coli*-present routine sample.
- An *E. coli*-present repeat sample follows a total coliform-present routine sample.
- There is a failure to test a total coliform-present repeat sample for *E. coli*.
- The system fails to take all required repeat samples following an *E. coli*-present routine sample.

A system that incurs an *E. coli* Treatment Technique Violation occurs when a system:

- Fails to conduct or fully complete a required Level 1 or Level 2 Assessment within 30 days of the regulatory trigger.
- Fails to correct any sanitary defect by taking required corrective action within the required timeframe.

Failing Criteria

- At least one *E. coli* Violation with an open associated Enforcement Action.

Methodology

- **Step 1:** Determine which systems have incurred *E. coli* Violations using the SDWIS database.
 - Search violations in SDWIS for all associated with *E. coli* Analyte Code: 3014 and 8000.
 - Query systems that only have *E. coli* related treatment technique and/or MCL violations. See list of violation codes below:

Table 6: Identified Violation Types Related to *E. coli*

Violation Number	Violation Type	Description
1A	MCL, <i>E. coli</i>, Positive <i>E. coli</i> (RTCR)	<i>E. coli</i> MCL violation based on a single sample.

- **Step 2:** Determine which systems have an Enforcement Action associated with those Violations.
- **Step 3:** Determine which systems **do not have a SOX Enforcement Action** associated with the Enforcement Action. A SOX Enforcement Action indicates when the system has returned to compliance or met the obligations of the Enforcement Action.
 - These systems meet the failing criteria and are added to the Failing list.
- **Step 4:** A system will no longer meet the *E. coli* Violation Failing criteria once a SOX Enforcement Action associated with the *E. coli* Violation has been entered into SDWIS.

Treatment Technique Violations (in lieu of an MCL)

Primary drinking water standards, as defined in Section 116275 of the CHSC, includes specific treatment techniques adopted by the state board in lieu of maximum contaminant levels. Treatment technique violations in these cases have similar potential for adverse public health effects as maximum contaminant levels. Systems must carry out specified treatment when there is no economically and technically feasible method to measure the concentration of a contaminant to determine if there is a public health concern.

A treatment technique is an enforceable procedure or level of technological performance, which public water systems must follow to ensure control of a contaminant. The treatment technique rules also list the best available technology for meeting the standard, and the compliance technologies available and affordable for small systems. Some examples of treatment technique rules are the:

- Surface Water Treatment Rule⁴ (disinfection and filtration)
- Ground Water Rule⁵
- Lead and Copper Rule (optimized corrosion control)
- Acrylamide and Epichlorohydrin Rules (purity of treatment chemicals)

This type of violation is incurred when a water system does not follow required treatment techniques to reduce the risk from contaminants, *e.g.* exceeding turbidity performance requirements at a surface water treatment plant, failing to provide required disinfection, *etc.*

Failing Criteria

- One or more Treatment Technique violations (in lieu of an MCL), for primary contaminants, with an open Enforcement Action; and/or
- Three or more Treatment Technique violations (in lieu of an MCL), for primary contaminants, within the last three years.
 - This criterion is being added because treatment technique violations are often associated with a violation for a single month. Therefore, a series of treatment technique violations is assumed to be indicative of a larger treatment issue.

Methodology

⁴ [Title 22 CCR, Division. 4, Chapter 17 Surface Water Treatment](https://govt.westlaw.com/calregs/Browse/Home/California/CaliforniaCodeofRegulations?guid=I501543B0D4BA11DE8879F88E8B0DAAAE&originationContext=documenttoc&transitionType=Default&contextData=(sc.Default))

[https://govt.westlaw.com/calregs/Browse/Home/California/CaliforniaCodeofRegulations?guid=I501543B0D4BA11DE8879F88E8B0DAAAE&originationContext=documenttoc&transitionType=Default&contextData=\(sc.Default\)](https://govt.westlaw.com/calregs/Browse/Home/California/CaliforniaCodeofRegulations?guid=I501543B0D4BA11DE8879F88E8B0DAAAE&originationContext=documenttoc&transitionType=Default&contextData=(sc.Default))

⁵ [Title 22 CCR, Division 4, Chapter 15, Article 3.5 Groundwater Rule](https://govt.westlaw.com/calregs/Browse/Home/California/CaliforniaCodeofRegulations?guid=I729BEDE0B98711E0B493EB23F8012672&originationContext=documenttoc&transitionType=Default&contextData=(sc.Default))

[https://govt.westlaw.com/calregs/Browse/Home/California/CaliforniaCodeofRegulations?guid=I729BEDE0B98711E0B493EB23F8012672&originationContext=documenttoc&transitionType=Default&contextData=\(sc.Default\)](https://govt.westlaw.com/calregs/Browse/Home/California/CaliforniaCodeofRegulations?guid=I729BEDE0B98711E0B493EB23F8012672&originationContext=documenttoc&transitionType=Default&contextData=(sc.Default))

- **Step 1:** Determine how many Treatment Technique violations (in lieu of an MCL), for primary contaminants, water systems have incurred over the last three years.

Table 7: Treatment Technique Violations in Lieu of an MCL

Violation Number	Treatment Technique Violation Type	Description
07	Treatment Techniques (Other)	A violation where the water system failed to treat water using acrylamide and/or epichlorohydrin as part of their treatment process.
11	Non-Acute, MRDL	A violation of the maximum disinfectant residual level (MRDL) for chlorine, chloramine, or chlorine dioxide.
13	MRDL, Acute	A violation where the public water system has a daily sample taken at the entrance to the distribution system which exceeds the maximum disinfectant residual level (MRDL) for chlorine dioxide and on the following day, one or more, of the three samples taken in the distribution system exceed the MRDL.
40	Treatment Technique (FBRR)	For public water systems with conventional or direct filtration that recycle flows only, failure to return filter backwash through all treatment elements.
41	Failure to Maintain Microbial Treatment	A violation where water system that provides treatment failed to maintain 4-log virus removal and/or did not restore proper operation within hours of becoming aware of the problem; or where the system failed to take actions specific by the state to address the contamination of cryptosporidium 40 CFR 141.711(d); or where a water system using surface water failed to achieve a combined filter effluent turbidity level of 0.5 NTU in 95% of the monthly measurements for conventional or direct filtration or failed to achieve a combined filter turbidity level that at no time exceeded 1.0 NTU for conventional or direct filtration, or does not meet the residual disinfectant concentration level for longer than the specified period of time.

Violation Number	Treatment Technique Violation Type	Description
42	Failure to Provide Treatment	A violation where a water system using surface water fails to install filtration and the system does not meet filtration avoidance criteria; or where a multiple source water system fails to install treatment in response to a positive source sample; or where a filtered water system fails to achieve treatment credit requirements according to the stated provision for one month, failure to provide LT2 treatment.
43	Single Turbidity Exceedance (Enhanced SWTR)	A violation where a water system using filtered surface water failed to achieve a combined filter turbidity level that at no time exceeded 1.0 NTU for conventional or direct filtration or failed to achieve combined filter turbidity level that at no time exceeded the primary agency set maximum performance standard for alternative filtration technology.
44	Monthly Turbidity Exceedance (Enhanced SWTR)	A violation where a water system using filtered surface water failed to achieve a combined filter effluent turbidity level of 0.3 NTU in 95% of the monthly measurements for conventional or direct filtration or failed to achieve a combined filtration effluent turbidity level performance standard set by the primary agency in 95% of the monthly measurements for alternative filtration technology.
45	Failure to Address a Deficiency	A violation where a water system fails to respond in writing to Significant Deficiency how and on what schedule the system will address deficiency within 45 days of report receipt; or where a water system failed to meet approved corrective action schedule, or the schedule contained in the system's response; or where a water system failed to address a Significant Deficiency within the State or County's specified schedule or 120 days from the date of notification of Significant Deficiency.

Violation Number	Treatment Technique Violation Type	Description
46	Treatment Technique Precursor Removal	For public water systems with conventional filtration only, failure to meet the disinfection byproduct precursor removal ratio.
47	Uncovered Reservoir	A violation where a water system constructed an uncovered finished water storage reservoir facility on or after 02.16.1999; or where a water system fails to cover any uncovered finished water storage facility or fails to treat the discharge from the uncovered finished water storage facility to the distribution system.
48	Failure to Address Contamination	A violation where a water system failed to take corrective action in response to a positive fecal indicator sample within 120 days, including failure to satisfy a State/County specified schedule.
57	OCCT/SOWT Recommendation (Lead and Copper)	A violation where a water system failed to submit an optimal corrosion control treatment (OCCT) study/recommendation.
58	OCCT/SOWT Install Demonstration (Lead and Copper)	A violation where a water system failed to install/demonstrate optimal corrosion control treatment (OCCT) or source water treatment (SOWT).
59	WQP Level Non-Compliance (Lead and Copper)	A violation where a water system failed to maintain optimal water quality parameters (OWQP) minimum or ranges or meets daily values for more than 9 days in a 6-month monitoring period for entry point and tap sampling.
63	MPL Level Non-Compliance (Lead and Copper)	A violation where a water system failed to meet the maximum permissible level (MPL).
64	Lead Service Line Replacement	A violation where a water system failed to replace the requirement amount of lead service line (LSL) by the annual deadline. Provide PN, report information, collect TAP samples, and/or mail/post results.

Violation Number	Treatment Technique Violation Type	Description
65	Public Education	A violation where a water system failed to provide public education that meets the lead content, reporting, and delivery requirements.
2B	Level 2 Assessment	A violation where a water system fails to conduct a Level 2 Assessment or complete the form; or where the Level 2 Assessment is inadequate, or the content is insufficient; or where the Level 2 Assessment assessor is not State-approved.
2C	Corrective Actions/Expedited Action	A violation where a water system fails to complete corrective actions within the required timeframe when a Level 1 or Level 2 Assessment is triggered; or failure to comply with State-required expedited/additional actions when an E. coli MCL happens.
2E	Treatment Technique Violation	A system fails to complete the initial lead service line inventory ⁶ by October 16, 2024. CFR §141.80(f)(3) & CFR§141.80(a).
T1	State Violation – Treatment Technique	A violation where the water system failed to treat water using a treatment process that the state has primacy to regulate (i.e. treatment failed per their permit).

- **Step 2:** Determine which systems have had three or more Treatment Technique violations (in lieu of an MCL) within the last three years.
 - These systems meet the failing criteria and are added to the Failing list.
- **Step 3:** Determine which systems have an open Enforcement Action related to one or more Treatment Technique violation in SDWIS.
 - These systems meet the failing criteria and are added to the Failing list.

⁶ Absence of a service line inventory presents unknown service lines that could be of concern. The only way to address this issue is by completing the service line inventory, which is a “Treatment Technique.”

- **Step 4:** A system will no longer meet the Treatment Technique Violation Failing criteria once:
 - SOX Enforcement Actions associated with all Treatment Technique violations have been entered into SDWIS; and
 - The water system has less than three Treatment Technique violations within the last three years.

Monitoring & Reporting Violations

Water systems must meet health-based federal standards for contaminants, including performing regular monitoring and reporting. The State Water Board's primary means of monitoring water system compliance with the Safe Drinking Water Act (SDWA) and its implementing regulations is the review and evaluation of analytical results of water samples collected by public water systems. These reports provide the water systems and regulators with the data they need to ensure that drinking water monitoring is ongoing and that the drinking water standards are being met.

When results indicate that a contaminant is present at a level that exceeds standards, the State Water Board works with water systems to take steps to prevent or remove the contaminants. Under the SDWA, water systems are also required to inform their customers of any violations of the state's drinking water standards. In the absence of adequate data, serious health violations may be obscured from regulatory oversight.

A Monitoring & Reporting Violations as discussed in this section occurs when a water system fails to conduct regular monitoring of drinking water quality or to submit monitoring results in a timely fashion to the primacy agency or the State Water Board. Monitoring and reporting violations are included in the definition of primary drinking water standards in CHSC Section 116275(c). The State Water Board recognizes that there are various types of monitoring and reporting violations. Only those violations related directly to a contaminant associated with a primary drinking water standard, *e.g.* MCLs or treatment techniques, are being included.

The State Water Board also recognizes that a single monitoring and reporting violation may not represent a failing condition. However, multiple monitoring and reporting violations, particularly those that remain unaddressed, do represent a condition where significant water quality violations may go undetected and unaddressed.

Failing Criteria

- Must have **at least 3** Monitoring and Reporting Violations where:
 - One or more violation(s) has an open Enforcement Action older than 15 months (has not come back into compliance).
 - Zero or more violation(s) occurring within the last three years (no Enforcement Action required, may have returned to compliance).

Methodology

- **Step 1:** Determine how many Monitoring & Reporting violations have occurred over the last three years and how many violations have an open associated Enforcement Action that have been open for 15 months or greater. (Does not have to be within the last three years.

Table 8: Monitoring & Reporting Violations

Violation Number	Monitoring & Reporting Violation Type	Description
03	Regular Monitoring	A violation for inorganic, organic, or radiological constituent where compliance is based on routine samples.
04	Monitoring, Check, Repeat, or Confirmation	A violation for an inorganic, organic, or radiological constituent where compliance is based on repeat or confirmation samples.
19	Failure to Conduct Assessment Monitoring	Failure to complete source water assessment monitoring.
27	Routine Monitoring (DBP)	A violation where the water system failed to have a DBP Monitoring Plan, failed to comply with monitoring and reporting requirements, or failed to monitor and report the DBP samples in accordance with their DBP Monitoring Plan.
29	Failure Submit Filter Profile/CPE Report	For a public water system using surface water only, failure to conduct a comprehensive performance evaluation and/or produce a filter assessment due to an individual filter turbidity exceedance.
31	Monitoring of Treatment (Surface Water Treatment Rule – Unfiltered/GWR)	A violation where a water system using unfiltered surface water failed to perform and/or repeat monitoring for TC/FC and turbidity; A violation where a water system that is implementing 4-LOG removal treatment for viruses failed to monitor or report compliance monitoring; A violation for LT2 where an unfiltered water system fails to monitor according to 40 CFR 141.701(a)(2)
32	Monitoring, Source Water (LT2)	For a public water system using surface water only, failure to submit a complete source water monitoring plan and/or failure to complete monitoring from said plan.

Violation Number	Monitoring & Reporting Violation Type	Description
34	Source Water Monitoring (Groundwater Rule)	A violation where a water system failed to conduct surface water monitoring for either – triggered, additional monitoring, or for assessment purposes (PWS's without 4-log removal treatment must perform source water monitoring when a TCR monitoring results on a Total Coliform-positive).
36	Monitoring of Treatment (Surface Water Treatment Rule – Filter)	A violation where a water system using filtered surface water failed to perform routine and/or repeat monitoring for filtration or disinfection process.
38	Turbidity (Enhanced Surface Water Treatment Rule) Monitoring	A violation where a water system using filtered surface water failed to monitor and report the required combined filter effluent samples or individual filter effluent sample.
51	Initial Tap Sampling for Lead and Copper	A violation where a water system failed to monitor and report the initial lead and copper TAP samples (this violation type is no longer applicable for most water systems and now only applies to new water systems or systems that were not previously required to conduct lead and copper tap monitoring).
52	Follow-Up or Routine Lead and Copper Tap Monitoring & Reporting	A violation where a water system failed to monitor and report the routine or follow-up lead and copper tap samples.
53	Water Quality Parameter M/R	Failed to collect and report routine or follow-up water quality parameter samples.
3A	Routine Monitoring (RTCR)	A violation where the water system fails to collect routine samples at the appropriate site or frequency.
3B	Additional Routine Monitoring	A violation where a water system that is required to conduct monitoring less than monthly (e.g. quarterly, annually, or twice a year) fails to collect at least three routine samples (during the month following one or more TC+ (routine or repeat) sample the month following a TC+ sample results) AND does not meet all the criteria listed in 141.854(j)(1),(2), or (3) and

Violation Number	Monitoring & Reporting Violation Type	Description
		141.855(f)(1)(2), or (3) to be exempt from additional routine monitoring.
3C	TC Samples (triggered by turbidity exceedance) Monitoring	A violation where a water system that uses GWUDI, SW, or GWUDI/SW blended sources and does not practice filtration in compliance with Subparts H, P, T and W fails to collect at least one total coliform sample near the first service connection each day the turbidity level of the source water exceeds 1 NTU, where turbidity is measured as specified in 141.74(b)(2).
4D	EC+ Notification Reporting	A violation where a water system has an E. coli positive routine or repeat sample and fails to notify the State by the end of the day when the system is notified of the test result, unless the system is notified of the result after the State office is closed and the State does not have either an after-hours phone line or alternative notification procedure, in which case the system must notify the State before the end of the next business day.
4E	E. coli MCL Reporting	A violation where a water system fails to notify the State by the end of the day when the system incurs an E. coli MCL violation, unless the system learns of the violation after the State office is closed and the State does not have either an after-hours phone line or an alternative notification procedure, in which case the water system must notify the State before the end of the next business day.
4F	Level 1 or Level 2 Treatment Technique Violation or Corrective Action Reporting	A violation when a water system fails to notify the State by the end of the day when the system incurs a RTCR Treatment Technique violation for failure to complete the assessment/assessment form or failure to conduct corrective actions as described in 141.859. 141.861(a)(2); or when a system fails to notify the State in accordance with 141.859 when each scheduled corrective action is completed

Violation Number	Monitoring & Reporting Violation Type	Description
		for corrections not completed by the time of submission of the assessment form. 141.861(a)(3)
4G	Monitoring & Reporting Violation	A system that fails to submit an initial inventory of service lines to the State no later than October 16, 2024. CFR§141.80(e)(1).
S1/S2	State Violation – Monitoring & Reporting (Major)	A violation for an inorganic, organic, or radiological constituent where compliance is based on routine, repeat, or confirmation samples.
SP	POU/POE M&R	POU/POE monitoring and reporting failure. This is a failure to properly implement POU/POE and is considered a violation of a variance/exemption granted by the State.
RR	State Reporting Requirement Violation	Water system fails to report drought information pursuant to drought order.

- **Step 2:** Determine if identified violations have a count of 3 or more and at least one of them has an open EA that is greater than 15 months.
 - These systems meet the failing criteria and are added to the Failing list.
- **Step 3:** A system will no longer meet the Monitoring & Reporting Violation Failing criteria once:
 - SOX Enforcement Actions associated with all open Monitoring & Reporting violations, greater than 15 months, have been entered into SDWIS.

Source Capacity and Water Outage Violations

California Waterworks Standards require public water systems to always have the capacity to meet the system's maximum day demand and peak hourly demand both in the system as a whole and in each individual pressure zone as determined pursuant to California Code of Regulations Title 22 Division 4 Chapter 16.12 The State Water Board developed new source capacity violation codes in 2021 to better track and identify water systems failing to meet source capacity standards. Historically, the State Water Board has responded to source capacity violations with targeted citations, curtailment orders, and service connection moratoriums.

New source capacity and water outage violations include:

- Failure to maintain adequate source capacity (may include curtailment order and/or service connection moratorium).
- Failure to maintain adequate pressure leading to a water outage.
- Failure to complete a required source capacity planning study.

Failing Criteria

- At least one Source Capacity Violation with an Open Enforcement Action

Methodology

- **Step 1:** Determine which systems have incurred a Source Capacity Violation in the SDWIS database.

Table 9: Source Capacity and Water Shortage Violations

SDWIS Analyte Data Field Code	Violation Type Code	Description
C277	Violation of a Waterworks Standard - CCR §64554 – SRC CAPACITY	Water system fails to have adequate source capacity.
C278	Violation of a Waterworks Standard - CCR §64554 – SRC CAPACITY (CURTAILMENT)	Water system fails to have adequate source capacity due to curtailments.
C279	Violation of a Waterworks Standard - CCR §64602 – WATER OUTAGE (DROUGHT)	Water system fails to have adequate pressure, leading to outage caused by drought.
C295	Violation of a Waterworks Standard - CCR §64602 – WATER OUTAGE (OTHER)	Water system fails to have adequate pressure, leading to outage not related to drought.

- **Step 2:** Determine which systems have an Enforcement Action associated with those Violations.
- **Step 3:** Determine which systems do not have a SOX (State Compliance Achieved) Enforcement Action associated with the Enforcement Action. A SOX Enforcement Action indicates when the system has returned to compliance or met the obligations of the Enforcement Action.
 - These systems meet the failing criteria and are added to the Failing list.
- **Step 4:** A system will no longer meet the Source Capacity or Water Outage Violation Failing criteria once:
 - SOX Enforcement Actions associated with the Source Capacity or Water Outage Violations have been entered into SDWIS.