

FY 85

MID-YEAR EVALUATION OF REGION V WATER PROGRAMS

NATIONAL OBJECTIVE: Improve State Decision-Making for Pollution Control on Priority Waterbodies

ACTIVITY: Update State Continuing Planning Process (CPP)

ANALYSIS OF REGIONAL PROGRAM:

The Region reviewed the States' CPP elements listed on the following chart. Four of the States have prepared current CPPs (1984 or 1985) and use the CPPs (and WQM Plans) to manage their programs. This is evident in the quality of work produced by the States and their effectiveness in initiating timely actions that respond to environmental issues. Michigan's update was only partial and the State needs to improve their overall management of water quality programs. Michigan's program suffers because there is no centralized planning and grants administration functions. As a result of last year's evaluation, Michigan is developing an analysis of 205(j) State planning needs including CPP. Minnesota has not had any significant update of their CPP in several years. Historically, Minnesota and Indiana did not have centralized planning organization to conduct basic planning and advise the agency on program integration matters. However, in FY 85 both States have agreed to doing WQM plans and stabilizing their planning functions.

The States of Ohio, Wisconsin and Illinois all have good management structures that use CPPs, WQM plans, 305(b) reports and other management tools to direct resources to accomplish work in priority areas.

In reviewing the State CPPs, the Region used the Mid-Year evaluation of 1984 as a starting point for evaluation. The attached chart presents the overall adequacy of CPP elements. The following narrative is designed to present comments and state specific examples on each CPP element. The Region has prepared a more lengthy summary of each State CPP that provides the detailed analysis.

In addition to document program activities, some States use the CPP for staff orientation.

1. Revision of WQS, Effluent Limits, TMDLs and WLA

- a. Each State has a process for conducting WQS, WLA. Several States do not prepare TMDLs as an intermediate step to prepare a WLA. The processes were generally acceptable until the publication of the Part 131 regulations that require each State to describe processes for Section 24 reviews, AT reviews and general use attainability. Only Ohio has a process that is fully compatible with the new guidelines. Illinois, Indiana, Minnesota and Wisconsin still need a modest update of their process. Michigan will have to completely rewrite its processes in light of the guidelines to incorporate the use attainability aspects of the program.

2. Identification of Planning Areas

Each State has a process for identifying planning areas. There are two aspects to consider. The first is the designation of water quality planning areas and agencies. This task was accomplished in the 1970s by the governors' offices for Section 208 planning. In Michigan, there are inactive planning agencies, notably Region II Jackson, that are not supporting State-wide water planning needs. In Indiana, there have been three dedesignations of planning agencies and the State Board of Health, although recognizing the need, has not factored these areas into the State process for planning. In Ohio, one designated planning agency has failed to produce acceptable outputs and is currently not receiving 205(j) funds. Ohio EPA has undertaken priority planning work in this designated area without dedesignating the planning agency. The other States are adequate to exceptional in conducting planning to meet the intent of the Act.

For Construction Grant needs, the WQM plans contain the original facilities planning areas and these areas are reviewed consistent with the SMAP agreements as grants are considered. Plan of study area adjustments tend to be noncontroversial and managed well by the States. The process is judged to be adequate in all States.

3. Intergovernmental Coordination of WQM Planning

This element is adequate in all States. The following three examples are cited. The State of Michigan has established a local/regional/State task force to discuss planning and grant application procedures. They have been meeting for two years and are improving their abilities to make decisions based upon State level priorities. Illinois conducts several task forces for planning, the best documented of which is the Agricultural Task Force. They have involved a broad spectrum of agencies including the Regional office on their task forces. Wisconsin still uses their environmental State Water Quality Action Committee to obtain input to State programs or even draft legislation.

The State of Michigan may produce a total water plan within two years. Some update will be necessary to document the inclusion of Executive Order 12372 (40 CFR 29).

4. WQM Plan Update Process

Five of the States have a process for WQM plan updates. During 1984, Illinois produced a significant plan update that combined the State and 3 areawide plans into a single cohesive document. Minnesota produced an areawide plan update in 1984 and is working on a statewide nondesignated area plan update. In FY 85 Minnesota presented the Region with a concept paper on the development of a new point source standard. Its original

schedule was for 1984, but they have slipped that to 1985. Wisconsin has a five-year cycle for producing plan updates by 1987. Wisconsin will certify a plan update for the nondesignated area this spring. Ohio certified a nondesignated area plan update this year including areawide plans as well.

Michigan has no process for updating the WQM plans. Michigan will address this issue as a part of its effort to assess Statewide planning needs.

5. Construction Grant Priority Lists

(See attached Construction Grants write-up).

6. Public Participation

Each State has a public participation process. The processes are appropriate and consistent with the Part 25 regulations. Examples of public participation are found in number 3 above. Each State sends evidence of public noticing of permits, applications for grants and production of the project priority list. Each State grant application and annual program plan goes through a public noticing process. Michigan has a Environmental Policy Advisory Group that provides a forum for review and comment on major documents and actions.

7. Priority for Permit Issuance

With the promulgation of the 130 regulations, CPPs are now to describe the State process for determining priorities for permit issuance. Most State permitting activity in Region V has focused on eliminating the backlog of major permits or keeping current with the major permit workload. Under this scenario, elaborate process descriptions for determining the priority of permit issuance have not been necessary.

With the issuance of most backlogged major permits in Region V by the end of FY 1985, in addition to minimizing the backlog of major permits, Region V States will be addressing more minor permits. As a part of the State Specific Guidance for FY 86, Region V requested the States to develop a strategy and schedule for issuing minor permits. This integrates well with the need to develop as a part of the CPPs a process for determining the priority for permit issuance. Since this is a new CPP requirement, each State will be addressing this topic during FY 85-86.

8. Process for the Control of Residual Wastes

(See attached Construction-Grants write-up).

CONTINUING PLANNING PROCESS (CPP) STATUS

STATE	IL	IN	MI	MN	OH	WI
LAST UPDATE	85	85	85*	78	85	84
Revision of WQS, determining effluent limits, wasteload allocations, and TMDLs.	U	U	U	U	A	A
Identification of State and areawide planning areas.	A	A	A	A	A	A
Intergovernmental coordination of WQM planning.	A	A	A	A	A	A
WQM plan updates process.	A	U	U	U	A	A
Construction Grant priority list development.	A	A	A	A	A	A
Process for determining controls for disposition of residual wastes.	A	A	A	A	A	A
Public participation procedures	A	A	A	A	A	A
Process for determining the priority of permit issuance.	U	U	U	U	U	A
A = Adequate procedure U = Procedure needs update						

* Partial update in FY 85 program plan

FY 1985 Mid-Year Evaluation of Region V Water Program

Objective: Improve Water Quality

Activity 1: Manage Priority Systems and Lists

Qualitative Measure (A): Have Regions/States demonstrated that priority lists are being used as management tools (page A-52)?

The Project Priority Lists (PPL) are used as management tools to varying degrees in all Region V States for construction grants, water quality, and enforcement programs. For example in Ohio, scheduling of reviews of facilities plans, plans and specifications, and other documents is based on priority ranking. Study areas for the preparation of Comprehensive Water Quality Reports are selected based on PPL projects which require AT reviews or whose effluent limits have yet to be established. The PPL provides information on funding status for writing NPDES permits in terms of schedules or needs for Municipal Compliance Plans. Similar program management activities occur in Illinois, Minnesota, and Wisconsin, except that Wisconsin enforcement actions proceed independent of funding status due to the availability of State grant funds. Indiana has begun to develop communication systems among the programs for use of the PPL as a management tool. Indiana's use of the PPL to guide funding actions has improved significantly over the last 2 years. Michigan uses the PPL to manage the construction grants program as in the other states, but there appears to be room for improvement in other Michigan water quality programs' use of the PPL as a management tool. Although Ohio makes good use of the PPL as a management tool, this fiscal year the extremely late submission of the PPL has caused problems in the decisionmaking process for all water quality programs.

As needs are identified through applications from municipalities, permits and enforcement activities, and water quality management planning; projects to address these needs are subjected to the States' priority system ranking processes. The State priority systems rank projects based on water quality, public health, and other factors permitted by the regulations. Since future growth and some need categories are ineligible for funding, some newly emerging needs will not be fundable.

All Region V States update priority list information on a regular basis, some more frequently than others. Significant updating occurs after submission of information by applicants during the public participation process and at the time applications are completed. Region V reviews the priority lists for accuracy when they are submitted for acceptance as well as when projects are certified for grant award.

Qualitative Measure (B): Have Regions/States demonstrated that grant dollars are going to priority projects with high WQ/PH ranking established at the start of the fiscal year (page A-52)?

Grants in Region V are only awarded for projects in the funding range on the State PPL's or to contingency projects reached through established State bypass procedures. This ensures the funding of priority projects since the priority system rankings are based on WQ/PH. Facilities plans, prepared as prerequisite

to grant award, document public health problems, and waste load allocation reports, prepared to establish effluent limits and to review water quality standards, document biological and chemical water quality impairments. Either one (the facilities plan) or both of these documents are available before a grant is awarded to demonstrate appropriate use of grant dollars. In most of the States enforcement and construction grants staff coordinate enforcement actions being considered or ongoing for those communities which will or have received construction grants. Discussions among the staff occur concerning planning, design, and construction schedules and timing of potential grants.

Qualitative Measure (C): Do priority projects funded in (B) above correlate with priority waterbodies identified in the Water Quality Standards, Planning, and Assessment section of OWAS (page A-52)?

Although all the States coordinate the priority waterbody and construction grants priority list processes, only Illinois and Ohio have reported that priority waterbody maps have been prepared to show the location of PPL projects. For the Region V work plan, each quarter numbers of construction grants projects completed and in compliance with NPDES effluent limits on priority waterbodies are determined to reflect water quality improvements. Numbers of completed pipe or small system projects are used as indicators of public health improvements. In addition, numbers of new awards on priority waterbodies are used as indicators of projected water quality/public health improvement.

Regional Contact: John R. Kelley, Chief, Program Management Section, 353-2123.

SLUDGE MANAGEMENT
MID YEAR REPORT

OBJECTIVE: Ensure Financial/Technical Program Management (A-53)

ACTIVITY 1: Translate National Guidance into Mechanisms for Oversight. Qualitative Measure (A) are sludge management projects being implemented in a manner consistent with existing Agency Guidance?

A direct response to this inquiry would be Yes! We have initiated a self evaluation questionnaire which is being utilized as a means of monitoring sludge management project activities within each State. Thus far, in FY'85, three States have completed the questionnaire and two more are in the process of providing responses to the questionnaire. The entire monitoring process should be completed by June.

The questionnaire was developed so as to clearly indicate whether or not sludge projects are being implemented consistent with existing Agency Guidance. Preliminary results to date indicate an affirmative response to the implementation and consistency aspects of this Qualitative Measure. Pertaining to the States which have thus far been monitored we can say with some confidence:

- The States do monitor and track compliance by POTW's with appropriate guidance and regulations.
- State sludge management programs are applicable to all projects regardless of the source of funding.
- The States within the Region do use EPA guidance and Federal regulations.
- Some of the States are gradually becoming aware of the problems associated with the land application sludge disposal practice within proximity to urbanized areas. Remedial actions are just now being considered.

SLUDGE MANAGEMENT - MID YEAR REPORT

OBJECTIVE: Ensure Financial/Technical Program Management (A-53)

ACTIVITY 2: Adopt Programs to Meet Requirements of the Regulations

QUALITATIVE MEASURE (A): Are the States developing sludge management programs which embody and enforce EPA regulations and guidance (Page A-53).

- Do the States plan to improve their current sludge management programs to embody and enforce EPA regulations and guidance?

Region V has several waste treatment facilities which have reached or exceeded their capacity to store or properly dispose of the residual product (sludge) resulting from the wastewater treatment process. Neither the Region nor the several States can positively state that we have a firm handle on each and every location which may be experiencing sludge management problems. Accordingly, the Region has initiated action with each of the States to ensure that an inventory of each sewage sludge generator and sludge disposal facility will be available. This inventory is ongoing and is scheduled for completion as a part of the FY 1986 Work Plan activities. This inventory will be a major part of each State's sludge management improvement program.

While each delegated State's sludge management program will be actively monitored and evaluated during FY 1985, the Region has noted that in virtually all of the States a lack of resources at the State level has resulted in slow advancement in the improvement of each State's sludge management program. In addition, and without exception, each State is awaiting the promulgation of new EPA sludge management regulations and guidance. Each State is reluctant at this juncture to expend resources toward the improvement of their current program in view of the imminent promulgation of new State program requirements. (See State by State assessment.)

- Which States have an inventory of sewage sludge generators and sludge disposal facilities?

This qualitative measure was originally set forth in February 1985 as a part of the FY 1986 Work Plan objectives, activities and performance measures. It has been duly noted and will be accomplished during FY 1986.

Our FY 1985 monitoring and evaluation activities indicate that some of the States have accomplished significant inventorying as a part of their pretreatment program and despite limited resources, the States will be providing follow-up toward the expansion of this inventory program.

Minnesota

During the first half of FY 1985 the Minnesota Pollution Control Agency continued to be in the forefront of States encouraging the beneficial uses of sludge. Monitoring data indicates that MPCA is currently improving their sludge management program to the point where over 90 percent of the sludge material produced within the State is disposed of through land application. In addition, MPCA is planning improvements to the guidance document "Recommendations for the Application of Municipal Wastewater Sludges on Land", and is providing quality assistance to local municipalities.

Ohio

The Ohio sludge management program continues to be hampered by fragmentation. The majority of project specific implementation activity is disseminated to the several District Offices as well as administrated by the Ohio Air, Land, and Wastewater Operating Divisions. There is little likelihood that changes will take place within the Ohio sludge management program pending the promulgation of the Federal sludge program regulations. Improvement activity has given way to a cautious wait-and-see position.

Wisconsin

The Wisconsin sludge management program continues to be a positive and effective force in the implementation of practices throughout the State toward the beneficial uses of sludge. The State sludge coordinator is active and involved in the preparation of the new Federal sludge program regulations and has contributed significantly toward asserting the States viewpoints as the preparation of the new regulations went forth. WDNR is currently hiring new staff with which to implement improvements not only within the current State program, but also to place into effect the new Federal sludge program regulations, when promulgated.

- Identify the agencies in the States that have sludge management responsibilities.

This qualitative measure has been included in the broader spectrum of our FY 1985 monitoring and evaluation activities. Each State has been requested to "provide an organizational chart or description clearly defining areas of sludge management program responsibility and those within the organization who will administer the sludge management program".

The several States which have been monitored thus far in FY 1985 have indicated that agencies within that State which have sludge management responsibilities can be identified, and we should have this information available by the end of June 1985.

- A State by State assessment of their activities to improve their current sludge management programs.

Illinois

During the early portion of FY 1985, Illinois upgraded and distributed to local agencies, two key sludge management guidance documents. Both of these publications encourage and promote municipal sludge disposal systems which provide for the beneficial use of sludge. The State sludge coordinator is highly competent and continues to show an active interest in improving the State's sludge management performance, as evidenced by his attendance and active participation in the National sludge coordinators conference which dealt primarily with the development of new regulations and guidance as well as continuing improvement in current sludge management programs. Illinois has developed a wait-and-see position concerning any plans for the improvement of current programs, depending upon the requirements of the new State program regulations.

Indiana

The Indiana State Board of Health refined their sludge management program in FY 1984 and in the early part of FY 1985. This refinement took place in order to deal with the complexities involved in several sources of contaminated sludge discovered during the contaminated sludge inventory. The Indiana sludge program continues to be hampered by staffing problems, however these are being resolved slowly and there has been improvement in their current sludge management program.

Michigan

The State sludge coordinator, represented MDNR on the National Sludge State Program Regulation Task Force and has been active in the formulation of National policy. Action leading to any alteration or improvement in the Michigan current sludge management has been placed on hold, as the State prepares to receive the new Federal State Program and Technical Regulation and guidelines. The State sludge coordinator believes that Michigan's current sludge program can be adopted to meet the new Federal Program - only time will tell.

FY 85

MID-YEAR EVALUATION OF REGION V WATER PROGRAMS

NATIONAL OBJECTIVE: Improve State Decision-Making for Pollution Control on Priority Water Bodies

ACTIVITY: Identify Priority Water Bodies

ANALYSIS OF THE REGIONAL PROGRAM:

Region V implemented the priority water body concept in FY 83 and fine tuned the process in FY 84. At the close of FY 84, a complete report on the status of implementation of the tracking of priority water bodies was sent to then Deputy Administrator Al Alm. The Region stressed that nearly 90% of the planned activities in the identified PWBs had been conducted.

For FY 85 the Region again negotiated a list of PWBs with the States, prior to the development of annual program plan negotiations. The list become a part of the work plans and the Water Division integrates the lists and tracks progress on a quarterly basis with the assistance of the States. Many of the activities are already in computerized systems such as GICS and PCS. The Region is committed to entering the total lists into the IBM-PC and then interfacing the lists with the River Reach Files. At the present time, the lists have not been completely entered into the computer due to the late arrival of the computer and higher priority work. Work will be completed in May.

Overall, the States have produced high quality PWBs for FY 85 and there was not much revision by the Region. The PWB lists reflect the highest priority activities that are to be conducted to improve water quality. With the major emphasis on permits and compliance during the past two years, much of the work has been focused to issue high quality permits.

A-total of 314 PWBs were identified by the States for FY 85.

	IL	IN	MI	MN	OH	WI	TOTAL
No. of PWBs	25	85	21	35	120	28	314

2nd 3rd 4th 5th 6th 7th 8th 9th 10th 11th 12th 13th 14th 15th 16th 17th 18th 19th 20th 21st 22nd 23rd 24th 25th 26th 27th 28th 29th 30th 31st 32nd 33rd 34th 35th 36th 37th 38th 39th 40th 41st 42nd 43rd 44th 45th 46th 47th 48th 49th 50th 51st 52nd 53rd 54th 55th 56th 57th 58th 59th 60th 61st 62nd 63rd 64th 65th 66th 67th 68th 69th 70th 71st 72nd 73rd 74th 75th 76th 77th 78th 79th 80th 81st 82nd 83rd 84th 85th 86th 87th 88th 89th 90th 91st 92nd 93rd 94th 95th 96th 97th 98th 99th 100th 101st 102nd 103rd 104th 105th 106th 107th 108th 109th 110th 111th 112th 113th 114th 115th 116th 117th 118th 119th 120th 121st 122nd 123rd 124th 125th 126th 127th 128th 129th 130th 131st 132nd 133rd 134th 135th 136th 137th 138th 139th 140th 141st 142nd 143rd 144th 145th 146th 147th 148th 149th 150th 151st 152nd 153rd 154th 155th 156th 157th 158th 159th 160th 161st 162nd 163rd 164th 165th 166th 167th 168th 169th 170th 171st 172nd 173rd 174th 175th 176th 177th 178th 179th 180th 181st 182nd 183rd 184th 185th 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FY 85

MID-YEAR EVALUATION OF REGION V WATER PROGRAMS

NATIONAL OBJECTIVE: Improve State Decision-Making for Pollution Control
on Priority Waterbodies

ACTIVITY: Update and Improve Water Quality Management Plans

ANALYSIS OF REGIONAL PROGRAM:

The following chart indicates the status and use of WOM plans in the Region.
Details on the adequacy of the update process are also contained in the
Continuing Planning Process and Consistency Review discussions:

WATER QUALITY MANAGEMENT PLANS

STATES

	IL	IN	MI	MN	OH	WI
DATE OF APPROVAL	Feb. 80	April 81	June 82	March 80	March 81	Feb. 80
PROCESS TO UPDATE	YES	NO	NO	YES	YES	YES
STATE PLAN UPDATE	July 1983	-	-	Draft 1983	March 1985	1980-5 1982-2 # 1984-1
AREAWIDE UPDATE	July 1983	-	-	April 1984	March 1985	1985-1
# ELEMENTS UPDATED	6	-	-	6	6	6

* Consistency reviews performed by areawide agencies

6 NPS updates and 2 sewer service area updates

The following is a list of WQM elements that have been updated during FY 1985.

1. WQM Plan Elements Updated:

a. Ohio

Ohio EPA certified its plan update to the Region during January 1985. Region V approval of this plan update is projected for May 1985. The following elements were updated with this certification: Total maximum daily loads, effluent limitations, municipal and industrial waste treatment, nonpoint source management and control, management agencies, implementation measures and ground water.

b. Wisconsin

Wisconsin will certify this summer a plan update for the lower Wisconsin Basin. The following elements will be updated with this certification based on Region V's review of the draft plan update: Total maximum daily loads, effluent limitations, municipal and industrial waste treatment, nonpoint source management and control, management agencies and implementation measures.

PLAN UPDATES

Five States, Indiana, Ohio, Wisconsin, Illinois, Minnesota, have a process to update the Water Quality Management Plans. Minnesota does not have a point source plan at the present time for the nondesignated area outside of the Twin Cities, but they have excellent basin plans that serve most of the basic function of a WQM plan. They have presented a schedule to EPA to produce a point source plan. Ohio and Wisconsin are using a basin by basin approach to update their plans and will be producing plans on a continuous basis. Illinois has an overall State plan that encompasses the entire State including the areawide plans. The areawides are utilized by the State in the update process.

Indiana recently provided a process to partially update the plans. Three areawides have been dedesignated and these areas have been subsumed under the State plan. There is no centralized planning activity in the ISBH.

Michigan has no update process and their original plan did not contain point source elements. The Michigan areawide WQM plans have limited point source elements and provide a basis for consistency reviews.

NONPOINT SOURCE REVIEWS

Nonpoint Source reviews are conducted in Illinois, Ohio and Wisconsin. These States have well-written CPP elements that show the inter-relationships of program areas. They have used a basin approach to planning and recognized

the impact of nonpoint sources of pollution of streams. Illinois has gone one step further in recognizing that the major NPS impacts are related to inland lakes and have now focused their attention on their lakes. Wisconsin's inland lake management program was not funded during FY 84 but additional State funding may occur in FY 86. Wisconsin has found, similar to Illinois, that the major problem facing their lakes is agricultural NPS problems.

Integration of Section 106 and 205(j) Funding

All States are now preparing unified work plans as the basis for their Section 106 and 205 grants. All States have met the basic requirements for public participation related to Section 205(j) funds.

Illinois, Wisconsin and Ohio use an integrated approach on their funds and involve the areawide agencies by contract to produce State specific outputs. Minnesota integrates its funding but does not anticipate using Metro Council to perform work. So far there have not been any funds awarded to Indiana areawide agencies, although some funds were passed through to other sub-state entities for State priorities.

Michigan has involved areawide agencies in their 205(j) awards. They have established a local/regional/State work group for reviewing and recommending projects.

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MID-YEAR EVALUATION OF REGION V WATER PROGRAMS

NATIONAL OBJECTIVE: Improve State Decision-Making for Pollution Control on Priority Waterbodies

ACTIVITY: WQM Plan Consistency

ANALYSIS OF REGIONAL PROGRAM:

Region V

Permits: The Permits Section of the Water Quality Branch receives from each of the Region V States copies of proposed major permits prior to issuance by the States. The Permits Section, in turn distributes copies of the proposed major municipal permits to the Planning and Standards Section of the Water Quality Branch. The latter Section reviews effluent limits and monitoring requirements in the proposed permit against limits and monitoring requirements in the WQM Plan, if applicable, and against current monitoring data and wasteload allocations, for consistency.

Region V reviews proposed NPDES industrial permits against BPJ and available BAT guidelines and pretreatment requirements. Since WQM plans have only limited data on industrial discharges, no consistency reviews are possible.

Region V reviewed the following major municipal permits which were public noticed during the first two quarters:

<u>IL</u>	<u>IN</u>	<u>MI</u>	<u>MN</u>	<u>OH</u>	<u>WI</u>	<u>Total</u>
17	48	28	2	16	13	124

Construction Grants: Consistency reviews for proposed construction actions have been delegated to the States.

States in Region V

Consistency reviews are handled in a variety of ways by the Region V States. Illinois, Ohio and Wisconsin conduct a formal consistency review for population projections, wasteflow and load allocations, treatment plant locations and sewer service areas, for both areawide and nondesignated areas.

These same States delegate a consistency review of the proposed action to the appropriate designated areawide WQM plan agency. The State then uses the areawide review in their final review of the proposed actions. Illinois, allows their areawide agencies to perform the consistency reviews and then simply does a quality check of the consistency completed by the designated agency, rather than also conducting a separate review of the proposed action. Indiana reviews the proposed municipal action against that data in the WQM Plan that is still current. The remaining states in Region V, Michigan and Minnesota, do not have a certified point source element for their WQM Plan.

These states rely on their monitoring and standards sections to generate appropriate waste flows, water quality data and wasteload allocations. These data are used to directly determine state permit limitations and construction grant facilities plan requirements. Minnesota has made arrangements for the Metro Council to perform consistency reviews for all construction grant projects and permits based upon the councils current WQM plan. Michigan requires that areawide agencies (they completely blanket the state) review proposed facilities plan actions for consistency with areawide WQM plans. These reviews are then used in the state review of the proposed action. All states in Region V use best professional judgement, BAT guidelines where available, and pretreatment programs requirements to generate NPDES permits for industries.

Consistency reviews conducted by the States in Region V:

<u>Permits (Municipal)</u>		<u>Construction Grants</u>
IL	80 (includes minors)	
IN	26	2
MI	5 (includes minors)	5
MN	6	8
OH	32	8
WI	1	1
<hr/>		<hr/>
Totals	181	72

ISSUES: States do not formally certify their wasteload allocation actions for inclusion as WQM Plan amendments, or do not do so in a timely manner. Region V has successfully negotiated with Indiana and Michigan to revise their CPPs in FY 85 to include formally certifying wasteload allocations as part of the WQM Plan.

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STATE BY STATE ANALYSIS

Illinois

Illinois prepared a list of 25 PWBs for FY 85 based on the identification of severe and moderately impacted waterbodies developed for the STEP project. Illinois' PWB list also reflects necessary planning, monitoring, standards and implementation work by PWB.

Indiana

Indiana's Water Monitoring Committee developed the PWB list. Prior to committee meetings, each program manager lists anticipated monitoring data needs according to program priority. Thus the PWB list shows where multiple program activities need to be focused in order to achieve an environmental result.

Michigan

Michigan has based its PWB list on the need to issue or reissue more than 1,300 NPDES permits.

This strategy entailed (1) identifying all surface water dischargers who were required to have an NPDES permit; (2) disaggregating the State into 67 major river basins and compiling a list of dischargers for each basin (3) having each water related functional unit within the MDNR assess each discharger in each basin and rank, by each unit's function, whether the facility was high, low or unknown in terms of requiring action.

Since the issuance or reissuance of an NPDES permit entails a broad spectrum of activities such as monitoring and wasteload allocations, possible compliance schedules or actions, and may affect the construction grants priority list or the Michigan Municipal Strategy, the five year strategy functions both as a priority water body list and a resource management tool.

Minnesota

The MPCA currently identifies Priority Water Bodies using three separate lists. These are: 1) The stream segments receiving the discharges from the 20 municipalities on the current Construction Grant Priority List; 2) The stream segments receiving the discharges from the industries on the industrial portion of the Compliance Monitoring Priority List current for that year; and 3) those lakes with active Phase 2 Clean Lakes (Section 314) Projects on them. Thus, the MPCA PWB List is generated by existing water quality management programs. The process is not comprehensive. Streams where designated uses are not being met may not be on the PWB list.

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Ohio

Ohio's priority water body list, developed during FY 1983, reflected both water quality and program based criteria.

The FY 1985 priority water body lists developed during FY 1984 is designated to eliminate program based criteria. The primary basis for Ohio's priority water body list is significant problems or threats to high quality water uses or conditions. This approach reflects Ohio's primary concern for public health and habitat protection. Ohio is also investigating ways of coordinating its priority water body list with its municipal project priority system. The Ohio CPP includes a description of the priority water body list and system developed during FY 1984. Ohio EPA's system and list is among the best in Region V and was forwarded to USEPA Headquarters as a good example.

Wisconsin

The concept of prioritizing Department activities by waterbody is currently being refined in conjunction with the re-evaluation of areawide Water Quality Management Plans. Beginning with the Lower Wisconsin River Basin, WDNR will be updating all river basins within the State. The projected completion date for updating all the river basins is 1987.

During the update process, a list of priority water bodies will be prepared for each basin. During 1985 WDNR is expected to finalize a methodology which will ensure a consistent, comprehensive approach to program planning which will focus on waterbodies identified in the WOM Plans as "Priority" waterbodies. This approach relies on both water quality and program criteria. However, WDNR has always implicitly prioritized Department activities to address severe water quality problems. For example, major staff resources have concentrated on the Lower Fox and Upper Wisconsin Rivers as well as the Milwaukee Water Pollution Abatement Program. With resolution of these projects, it is WDNR's intent to redirect staff and resources to other areas of the State through an effort concentrated around WOM plans.

Summary

Region V States determine control priorities through a mixture of program and water quality based criteria. The PWB list for Region V States reflect this mixture with Michigan's list most program based and Ohio and Illinois the most water quality based.

The impediments to achieving environmental results in Region V can be summarized as follows:

1. Relatively high population density and industrialization.
2. Prevalence of low flow streams.

3. Extensive agricultural land use.
4. Insufficient effective resources for pollution control activities exacerbated by slowly recovering State economics.

ISSUES:

1. There is still reluctance on the part of some States to integrate the PWB approach into their program planning process. They have expressed uncertainty as to the regulatory requirements of this approach when faced with a priority water quality area approach to the Construction Grants Priority List under the new 40 CFR Part 35, and Priority Water Quality Limited Stream Segments under the new 40 CFR Parts 35, 130, and 131 Water Quality Standards Regulations as well as 305(b) report requirements. The States have expressed that they have major commitments in place to fulfill obligations under these various program mandates and are reluctant to reorient program priorities. All six States have committed to preparing an updated list for FY 86 and two of the States have included the process for identifying PWBs in their CPPs.
2. PWB list development is not a statutory nor regulatory requirement.

Program: Water Quality Management Planning

Activity: Manage Clean Lakes Program and Provide Technical Assistance

Narrative:

New Awards

The FY 85 Clean Lakes funding target for Region V was \$585,000. Because the funding criteria limited FY 85 monies to previously funded Phase II projects that would be completed with FY 85 funds, only Minnesota applied for these funds. MPCA requested and received a total of \$1,269,381 (217% of the Regional target) for five projects. The projects funded are listed below:

Big Stone Lake, Big Stone County	\$404,521
Clearwater River Chain of Lakes Wright, Stearns and Meeker Counties	238,824
Long Lake, Chain of Lakes, Northern suburbs of St. Paul and Minneapolis	255,999
Golden Lake, City of Circle Pines	158,871
Lake Como, City of St. Paul	211,166

Clean Lakes Environmental Management Report Strategy

Region V revised the EMR Clean Lakes Strategy to redirect the Regional Clean Lakes Program toward preventing/reducing pollution problems on site/in the watershed, before they enter the lake and impact water uses. The Ag NPS policy was also updated along with this strategy and together, these are the central portions of the Regional total NPS Strategy.

Technical Assistance

Region V added a new staff person to assist with Clean Lakes technical assistance, and initiated a technical transfer program to assist the six Region V states with resolving problems in inland lakes.

Issues:

- Several of the Region V states have candidate lakes for new Phase I studies. Additional Clean Lakes funds and HQ authority to begin new Phase I studies are necessary to address this need.
- Two Region V states have several Phase I studies that were prepared with other than EPA Section 314 funds. HQ authority is needed to fund Phase II projects based on the independently prepared Phase I studies in Wisconsin and Illinois.

FY 85 MID-YEAR EVALUATION

NATIONAL OBJECTIVES: Implement the Revised Water Quality Standards (WQS) Regulation

ACTIVITY: Work With the State to Identify Problems and to Ensure Effective Implementation of the WQS Regulation

ANALYSIS OF REGIONAL PROGRAM:

Are The States Making Significant Revision To State WQS?

Yes, a significant amount of work was recently accomplished in response to Section 24 requirements.

Highlights by State:

	<u>REVISIONS</u>	<u>TYPE REVIEW</u>	<u>COVERAGE</u>	<u>DATE APPROVED</u>
ILLINOIS	None	Section 24	Statewide	3/29/85
INDIANA	Use Categories	Comprehensive and Section 24	Selected	11/1/85
MICHIGAN	Toxic Protocols	Selective and Section 24	Statewide	3/14/85
MINNESOTA	General Refinement	Selective and Section 24	Statewide	3/12/85
OHIO	Criteria for Conventional and Toxics	Comprehensive and Section 24	Statewide	Pending
WISCONSIN	None	Limited and Partial Section 24	Segment	1/23/85

Are The States Encountering Problems?

Each State encounters some problems in meeting WQS review requirements. Illinois' main problem appears to be one that lies outside the control of Illinois EPA. Illinois EPA has had to change on its approach to WQS several times in the past 6-7 years, due to the inability of other State agencies, such as the Department of Conservation, to complete their assigned portions of the WQS work on a timely basis. A recent proposal by Illinois EPA to change the State's internal WQS review process has been prepared and the Region is hopeful that this will lead to completion of WQS work on a much more timely basis.

Indiana lacks basic resources but accomplishes a great deal given its modest staffing. Indiana will need assistance as it begins to review the numerous waters that are designated for less than full swimming recreational uses.

Michigan also requires assistance in use attainability analyses as evidenced by the quality of the few reviews completed. Michigan needs to evaluate numerous waters with less than full swimmable designation. Minnesota is quite similar to Michigan in this regard.

Ohio does a good job with attainability analyses, but has been slow in expanding its capabilities in toxic substances and toxic water quality criteria.

Wisconsin has capable staff but has suffered from lack of program priority. This problem may be solved by recent adoption of a comprehensive WQS review strategy. The Region will cautiously monitor.

The Region in cooperation with HQ has provided several forms of assistance to the States. Aside from conference calls and commentary on products submitted, the following highlight the major events during the first half of FY 85.

- ° Headquarters sponsored a workshop in November on "Water Quality Based Permit Limits for Toxics" which was valuable in relating WQS to the TMDL/WLA process. Substantial Region V assistance was provided in setting up this conference; very substantial attendance and participation by Region V staff and by the staff of Region V States was noted.
- ° Region V sponsored and conducted a WQS Workshop in December for State management and technical staff. Headquarters participation was requested and provided.
- ° As a result of the December workshop, a WQS Work Group comprised of State and Federal officials was formed, and met initially on February 12, 1985. The group will continue to meet periodically for the purpose of exchanging information and solving common problems.
- ° On February 13, a workshop was conducted by consultants on the topic of new bacteriological criteria. Representatives of all Region V States attended and participated.

Are The States Encountering Problems In Defining WQ Limited Segments?

The States identified Water Quality limited segments several years ago. However, Region V has asked for updates by the end of FY 85. We anticipate problems identifying some segments impacted by pollutants where BAT has not been defined.

ISSUES:

- ° Region V would benefit from a clear policy on designating water quality limited segments where a pollutant of concern has no BAT limits defined.

FY 85 MID-YEAR EVALUATION

NATIONAL OBJECTIVES: Implement the Revised Water Quality Standards (WQS) Regulation

ACTIVITY: Undertake Use Attainability Analyses and Include Toxic Criteria into Standards

ANALYSIS OF REGIONAL PROGRAMS:

Are The States Developing Use Attainability Analyses?

Thirty use attainability analyses were submitted by the States and reviewed by Region V at mid-year. Over 60 additional reviews are in various stages of development at the State offices. Because these analyses usually cover waters that are less than fishable-swimmable, these reviews have or will be sent to Headquarters (HQ) for their concurrence. Experience to date indicates that the Standards Branch staff is helpful and reflective of Regional views. The Region particularly benefitted from a HQ decision on the adequacy of the Ohio attainability analysis for swimming uses.

Highlights by State:

- ° Illinois: One analysis was reviewed in draft and final forms covering four waterways in the Chicago area. As a result of our approval of this analysis, Illinois has satisfied the Section 24 requirements. The State recently revised the WQS for Deep Run Creek. This action is waiting formal submission by Illinois EPA.
- ° Indiana: Seventeen attainability analyses were submitted to justify proposed limited use designation for standards revision. These analyses are part of the State's program of evaluating attainability for over 200 stream segments. The State must also conduct attainability analyses for the Grand Calumet River and Indiana Harbor Ship Canal and the less than swimmable use designation applied to most of the intrastate waters.
- ° Michigan: No analyses were submitted, but the State was advised that many waterways in southern Michigan require attainability analyses to support less than full swimming uses. These must be finished within the next three years, but the State was also informed that Section 24 does not apply to these analyses.
- ° Minnesota: Three analyses were submitted, but the State has over 200 streams that require them. The State agreed to a three year review schedule whereby approximately 70 streams per year will be reevaluated in FY 85, FY 86 and FY 87.
- ° Ohio: Nine attainability analyses were reviewed within the context of comprehensive water quality reports. Ohio nevertheless identified over 60 segments that need analyses as do hundreds of miles of generic acid mine drainage streams.

2-2-85 Ohio: 1-2-85

- ° Wisconsin: No analyses were submitted as part of Wisconsin's limited WQS review package. The state has agreed to a three year schedule for completing numerous studies on their less than fishable/swimmable waterways.

Are The States Identifying Toxic Problems And Incorporating Toxic Criteria Into Water Quality Standards (WQS)?

The States vary in terms of their capabilities to identify toxics problems and in their approach to criteria development.

Highlights by State:

- ° Illinois: The Illinois EPA is actively developing its biomonitoring capability. In addition, the State relies on a list of substances for WQS that have been developed and adopted. These include metallic toxins and selected pesticides. The State has also submitted a preliminary package that will update more than 15 criteria for toxic substances.
- ° Indiana: Indiana has initiated a review of the WQS for the Indiana Harbor and Ship Canal. This will address about 8 toxic criteria.
- ° Michigan: Michigan develops site-specific toxic criteria for numerous substances following the procedures in Rule 57. This Michigan rule was approved recently and can serve as a model for other States.
- ° Minnesota: Minnesota is currently developing a procedures document for deriving WQS criteria for toxic substances. The procedures are well developed and should assist Minnesota PCA's program.
- ° Ohio: Ohio has been very effective in using USEPA guidance in updating 15 criteria for metallic toxic substances. The State is behind, however, in developing criteria for organic toxins a procedures document is currently in preparation.
- ° Wisconsin: Wisconsin has not been active in the review of WQS for toxic substances. The state has committed to a 3 year plan which will yield a comprehensive review.

ISSUE:

The Region has not been granted access to the COGENT data base. This data base has all segments in Region V listed along with use designations. This computerized data base must be made available in order for Region V to track segments which are less than fishable/swimmable. There are too many to track manually.

FY 85 MID-YEAR EVALUATION

NATIONAL OBJECTIVES: Improve the Effectiveness of Monitoring Activities to Support Water Quality Objectives

ACTIVITIES: Implement Regulatory Monitoring Programs and Develop TMDLs/WLAs

ANALYSIS OF REGIONAL PROGRAM:

To What Extent are the States Developing Water Quality Based Controls?

The Region received and reviewed 28 draft TMDLs in the first half:

Illinois - 0	Minnesota - 2
Indiana - 1	Ohio - 20
Michigan - 4	Wisconsin - 1
TOTAL - 28	

In addition to 28 draft WLAs reviewed, Michigan reported the completion of an additional 63 WLAs for POTWs and industries, and Indiana reported an additional 20 WLAs finished for POTWs. This yields a total reported production of 111 WLAs in the first half of FY 85. The States have reported many additional WLAs in progress which will be completed by the end of FY 85. Through the delegation of the construction grants program in Michigan it was agreed that only WLAs for projects of over-riding Federal interest would be reviewed. The Region notifies Indiana of the need to supply appropriate WLAs and then reviews them as necessary to conduct permit and/or construction grant reviews.

Are WLAs/TMDLs Being Developed for Toxic Substances?

Of the 28 reviewed by Region V or under review, approximately 30% evaluate toxics as part of the analysis and load allocate where appropriate. Most of these substances are metallic toxins. The balance of the WLAs address conventional and nonconventional pollutants pertaining to POTWs.

Are WLAs for Toxic Substances Based on Biomonitoring?

During first half, no WLAs were submitted based on allocation of toxicity units. However, biomonitoring was employed in several situations to assess the relative toxicity of a discharge.

What has Region V Accomplished Regarding the Scott Decision?

The Region obtained input from each of the four affected States. This data was analyzed with results incorporated into a draft report on Lake Michigan TMDL requirements that summarized the region opinion. The initial results indicate that several TMDLs maybe necessary for conventional and nonconventional substances. The report also identifies several data gaps that preclude a firm decision on TMDLs for toxic substances. This paper will be fully discussed during the mid-year visit.

ISSUES:

- ° An other potential issue includes the relationship of revised WLAs with the "anti-backsliding" provision of the permit rules needs to be clarified. In some cases, new information is available which justifies a revised, sometimes less restrictive WLA for a given discharger. An emerging issue concerns "transferrable discharge allocation" and cluster permits. Wisconsin is holding hearings on the transferrable discharge approach which essentially would allow the transfer of loads from one discharge to another when certain conditions are satisfied. USEPA needs to examine this approach within the context of "anti-backsliding" and other rules.

FY 85 MID-YEAR EVALUATION

NATIONAL OBJECTIVES: Improve the Effectiveness of Monitoring Activities to Evaluate Progress in Meeting Water Quality Objectives

ACTIVITIES: Improve State §305(b) Report

ANALYSIS OF REGIONAL PROGRAM:

During the first half of FY 85 the Region reviewed all of the State final 1984 §305(b) reports and identified significant problems with the reports, suggested potential improvements and emphasized the need to use the report as a water quality planning and management tool. Both Minnesota and Wisconsin have indicated that they intend to use the report primarily as an informational document because this purpose best suits their needs while still satisfying the mandated requirements of §305(b).

In terms of incorporating groundwater data in the §305(b) reports, all States in the Region included a specific section on groundwater in their 1984 report some of which included specific data on well closures and quality while other reports only included narrative descriptions of the State groundwater quality. Additionally, all State reports contained data and narrative information on lakes from various sources. Only Illinois made specific reference of data from a Clean Lakes project. This is not to say that other States did not use Clean Lakes data, it was simply not cited as such.

The Region is not aware that the States specifically use 305(b) reports to set monitoring priorities and aid in reduction of permit back logs. It is unclear to the Region how the type of information contained in the 305(b) reports would be used to reduce permit back logs. The permit program is basically driven by the National priority to eliminate the backlog. Efforts will be made in FY 86 to ensure that 305(b) reports are used in developing further permit strategies. In general monitoring priorities are not determined solely by the existence of water quality degradation but by program needs (i.e., permit issuance, construction grants, WQS revision which may or may not be indicated by degraded water quality).

All Region V states currently utilize some type of biological data in their §305(b) reports. All States include data on fish flesh concentrations for various toxic pollutants. In addition, Illinois and Ohio include specific biological data in their reports and their appendices and the other States conduct some narrative analyses of the health of biological communities. All States in the Region currently include biological information in their reports or intend to do so in the 1986 report.

Finally, the Region is attempting to improve the State §305(b) reports by actively participating in the guidance development and requesting comments from the States to assure the usefulness of the report to satisfy multiple needs. To date, all Region V States have provided comments to Headquarters on the draft §305(b) guidance.

FY 85 MID-YEAR EVALUATION

NATIONAL OBJECTIVES: Ensure Commitments to Great Lakes Water Quality Agreement are Met

ACTIVITIES: Revised Water Quality Standards (WQS) to Determine Impact on Great Lakes

ANALYSIS OF REGIONAL PROGRAMS:

Proposed WQS changes have been reviewed for all Region V states. As a result of these reviews, Ohio and Indiana were put on an accelerated schedule for revising their WQS as they impact the Great Lakes. Minnesota has been advised that its WQS for Lake Superior should be made more inclusive and restrictive. Wisconsin is proceeding with a detailed use attainability analysis for the Milwaukee Estuary and Harbor. Michigan adopted Rule 1057 as the basis for establishing toxicant water quality criteria for all waters including the Great Lakes.

Region V has identified 10 parameters (toxicants) in Lake Michigan that require development of specific Water Quality criteria. A program to accomplish this will be developed in the last half of FY 85.

ISSUES:

The IJC objective for selenium is much more stringent than ¹USEPA recommended criteria. Can we defend the IJC objectives on technical grounds?

National Objective: Improve the effectiveness of monitoring activities

Activity: Implement National Dioxin Study in Region V

Analysis of Regional Dioxin Study

Sampling activity has proceeded with limited problems. As of 3/21/85, 87% of national workplan sampling commitments were met, compared with 73% nationwide. All sampling plans are prepared except for two tier 3 sites which are momentarily delayed by disputes with the facilities over access.

States are participating in the Federal investigation and have limited independent activities of their own, most prominently in Wisconsin. The expense of chemical analysis has generally precluded significant activities outside the federal study.

All but 2 of the 25 Tier 3 and 6 facilities have been sampled, roughly 1/2 of the data is back with one positive finding for 2,3,7,8 - TCDD. Other isomer data incorporated into the regional study has not yet produced actionable results.

National Tier 4 sites have been sampled with the exception of incinerator ash. The region has added extra sites to the ash program as well as the analysis for scrubber water at a group of sites, using analytical services to be provided by Dow Chemical as settlement of a consent judgement.

The Region's Tier 5 site is mostly sampled. Additional isomer work will be done at this site by the Duluth Lab as part of a pilot project.

All of the Region's Tier 7 soil sites have been sampled, no data has been returned as yet.

11 of 80 Tier 7 fish samples have been taken with some results returned, positive results have been obtained in some Michigan and Wisconsin locations. Other isomer analysis is intended on all the fish but the contract for the purpose has not been let.

Issues

Some difficulties are being experienced in the disposal of barrels from tier 3 and 6 sites

Some delays are of concern for the other isomer and priority pollutant contract for tier 7 fish. This is a regional add on to the national study.

Some delays are being experienced in getting lab data back but nothing terribly serious thus far.

FY 85 MID-YEAR EVALUATION

NATIONAL OBJECTIVES: Improve State Decision-Making for Pollution Control on Priority Waterbodies

ACTIVITIES: Develop list of Waterbodies Impacted by Nonpoint Source (NPS) and Implement NPS Control Programs

ANALYSIS OF REGIONAL PROGRAMS:

All States within the Region are updating their priority waterbody list to include waterbodies impacted by NPS. All the states are using their priority waterbody list to target special NPS control efforts to such waterbodies. New priority waterbody lists are scheduled to be submitted in May and June and used to negotiate FY 86 work plans.

Two of the States (Ohio and Wisconsin) have approved Agricultural NPS Strategies, 3 States (Minnesota, Michigan and Indiana) are developing NPS Strategies and Illinois is revising its strategy. Four States are actively participating in the ASIWPCA project for the "NPS STEP" report. The Region was involved in the ASIWPCA meeting in St. Paul in January 1985. NPS implementation activities are occurring within each of the States.

Four States have agricultural cost-sharing programs and one State has a proposed an agricultural cost-share program. Region V States on an average allocate a lower percentage of their annual ACP allocation for water quality than the national average. There are five NPS/Clean Lakes demonstration projects being implemented within the Region.

The Region has prepared a NPS strategy that is consistent with the National policy. The implementation of the Regional policy is through two EMR strategies and the Division's work plan. Further work is anticipated to link Clean Lakes program activities to the NPS efforts and wetland protection program.

ISSUES:

- ° Proposed reductions in ongoing USDA technical and financial assistance programs may seriously impact NPS control efforts, without some funding support from USEPA.

FY 85 MID-YEAR EVALUATION

NATIONAL OBJECTIVES: Ensure that Commitments to the Great Lakes Water Quality Agreement and to the Chesapeake Bay Plan are Met

ACTIVITIES: What Efforts are GLNPO/Region/States Making to Ensure Schedule of Appropriate Activities, Work Plan Development and Interim Outputs are Provided in a Timely Fashion so that Draft Reduction Plans can be Completion by November 30, 1984.

ANALYSIS OF REGIONAL PROGRAM:

The Region has provided substantial technical and financial assistance to the State Water Quality Management Agencies in Michigan, Ohio and Indiana for NPS-focused water quality monitoring and planning. In addition, the Region has initiated a cooperative review of USDA program activities in the Saginaw Bay and Lake Erie Basins.

Regional staff reviewed all Task Force Reports and Draft U.S. Plans in the allotted timeframe. The Regional staff also provided technical assistance to states while they were preparing their Phosphorus Load Reduction Plans. The Water Division is providing staff support to work with the State NPS contacts, review data and draft reports, analyze the data, and recommend solutions as a portion of the Region's efforts to develop a Phosphorus Load Reduction Plan. Two staff people are providing weekly support on this project. (See details in the GLNPO write-up.)

The Region maintains communication with the State Water Quality Management Agency, USDA Agencies and local DMA's via a NPS newsletter ("Vth Connection"), technology transfer process and responding to requests for technical assistance. The Regional staff tracks USEPA programs (108a Demonstration Projects, Clean Lakes Projects), USDA programs and projects including RCWP, as well as participating on the National NPS Task Force and the ASIWPCA Project.

Water Division staff also provide technical assistance to GLNPO on the Section 108a demonstration projects and the Upper Great Lakes Connecting Channels Study and to Headquarters and the States on the RCWP Projects.

Regional staff has provided each State with a copy of "Model State NPS Program" and technical assistance upon request.

ISSUES:

There are a number of anomalies among the State Phosphorus Load Reduction Strategies which must be resolved. Insufficient manpower and financial resources for NPS programs appear to be widespread problems at the State level.

FY 85 MID-YEAR EVALUATION

NATIONAL OBJECTIVES: Ensure That Commitments to the Great Lakes Water Quality Agreement and to the Chesapeake Bay Plan are Met

ACTIVITIES: Assess Municipal Compliance With Objectives of Great Lakes Water Quality Agreement

ANALYSIS OF REGIONAL ACTIVITIES:

The major activity in this area is the Phosphorus Load Reduction Plan that is being prepared by the GLNPO. The Water Division is providing staff support to work with the State NPS contacts, review data and draft reports, analyze the data, and recommend solutions. Two staff people are providing weekly support on this project. (See details in the GLNPO write-up.)

The Region maintains communication with the State Water Quality Management Agency, USDA Agencies and local DMA's via a NPS newsletter ("Vth Connection"), technology transfer process and responding to requests for technical assistance. The Regional staff tracks USEPA programs (108a Demonstration projects, Clean Lakes projects), USDA programs and projects including RCWP, as well as participating on the National NPS Task Force and the ASIWPCA project.

Water Division staff also provide technical assistance to GLNPO on the Section 108a demonstration projects and the Upper Great Lakes Connecting Channels Study and to Headquarters and the States on the RCWP projects.

Regional staff has provided each State with a copy of "Model State NPS Program" and technical assistance upon request.

ISSUES:

There are a number of anomalies among the State Phosphorus Load Reduction Strategies which must be resolved. Insufficient manpower and financial resources for NPS programs appear to be widespread problems at the State level.

Don't know if this is a problem or not. It's a problem if it's a problem.

FY 85 MID-YEAR EVALUATION

NATIONAL OBJECTIVES: Ensure That Commitments to the Great Lakes Water Quality Agreement and to the Chesapeake Bay Plan are Met

ACTIVITIES: Implement Nonpoint Source (NPS) Controls in Lake Erie and Saginaw River Basins

ANALYSES OF REGIONAL ACTIVITIES:

The Region has provided substantial technical and financial assistance to the State Water Quality Management Agencies in Michigan, Ohio and Indiana for water quality monitoring and planning. In addition, the Region as initiated a cooperative review of USDA program activities in the Saginaw Bay and Lake Erie Basins.

(See GLNPO write-up for details.)

ISSUES:

The length of time it takes to get end of year information on USDA programs. Anomalies of program costs and effectiveness among Lake Erie and Saginaw Bay States (Indiana, Michigan and Ohio).

NATIONAL DIRECTIONS: Implement the Ground-Water Protection Strategy

ACTIVITY: Implement Section 106 grant program in accordance with guidelines and FY 1985 budget allocations, monitor State progress, conduct mid-year reviews, assist States with program management problems, identify innovative and exemplary State ground water programs and projects for distribution to other States.

Regional Analysis:

Headquarters funding guidance was the basis for Region V's State ground water guidance. The guidance directed what type of activity Region V would consider for funding under the Section 106 supplemental, 205(j) and UIC, and served as the format for the State consolidated work plans.

Initial and supplemental state specific guidances were sent on July 5, 1984, and August 14, 1984, respectively, to each of Region V's States. Draft work plans were received from Illinois (2-1-85), Indiana (1-18-85), Michigan (1-25-85), Minnesota (12-21-84), Ohio (1-8-85), and Wisconsin (2-1-85). State visits and or telephone conference calls were made to discuss the guidance documents and to resolve any outstanding issues.


The State ground water program plans were reviewed by the Regional Ground Water Coordinating Committee (RGWCC) whose membership includes program Directors for all ground water related programs. On February 4, 1985, RGWCC determined funding targets and identified priority activities for each State's assistance application. The States were informed of the decision on February 6, 1985. Final work plans were received and grant awards offered as follows; Indiana (2-26-85 \$238,656), Michigan (3-13-85 \$131,959), Minnesota (2-13-85 \$389,770), Ohio (3-6-85 \$75,000), and Wisconsin (2-24-85 \$270,896). Through these awards all supplemental FY 1985 106 grant dollars were allocated.

In its February 4, 1985, meeting RGWCC decided not to fund the Illinois assistance application as proposed. Illinois' application focused on the establishment of an ambient ground water monitoring network. The Office of Ground Water is currently negotiating a work plan with the State that more fully reflects National and Regional priorities.

Additionally, each State has designated an accountable lead agency which is responsible for managing the ground water grants. Moreover, the State work plans contain milestones and due dates for activities and attendant technical documents.

As a part of each ground water grant awarded, Region V included a Monitoring and Evaluation Plan (MEP). The MEP calls for quarterly reporting by the States on 1) the status of each funded activity, 2) programmatic problems and recommended changes and 3) the impacts of related ground water efforts.

As previously noted, in Region V ground water assistance applications are reviewed within the context of the National Ground Water Protection Strategy funding guidance and Regional priorities. Only those activities which lead to enhancing or institutionalizing a State's ground water effort/program have been approved for funding. Examples of specific benefits are enhanced data management efforts, increased public awareness of the State's efforts to resolve/remediate ground water problems and development of regulatory efforts to address inadequately or unaddressed ground water problems



Since the grants have just been awarded it is premature to identify exemplary State programs and projects for distribution to other States.

Internal coordination at the States and delineating specific commitments for the water protection program were the principal problems which had to be overcome.

1. Indiana: The Indiana State Board of Health experienced difficulty in pulling together the appropriate State agencies necessary to begin developing a comprehensive ground water program proposal.
2. Illinois: Reorganization to establish a lead ground water department did not occur until the end of the first quarter FY 1985. This resulted in a significantly reduced effort towards the development of a viable ground water grant application.
3. Minnesota: The traditional recipient of the CWA 106 funds was not the designated department for the State's ground water efforts. Consequently, the designated department experienced difficulty in dealing with the grant process.
4. Michigan and Ohio: Both States expressed little enthusiasm about the completion or development of a ground water strategy. They wanted to focus their grant request strictly on program implementation without developing the conceptual bases for those activities.

Issues:

Ground water funding guidance needs to be provided to the Regions in conjunction with Agency Operating Guidance.

Detailed State Specific Analysis:

In FY 1984 OGW representatives reviewed the status of ground water programs in the six Region V states. The results of this review provided the basis for FY 85 State specific program guidance. Regional program guidance, as well as National funding guidance directed the type of activities Region V considered for funding. Grants were issued to all of Region V's states, except Illinois at or near the end of the second quarter of FY 85. Since the grants have just been awarded, it would be premature to report on the States' progress.

Illinois:

During OGW state visit, the Illinois Environmental Protection Agency (IEPA) indicated a need for federal assistance in (1) the establishment of a State wide ambient ground water monitoring program, (2) development of a computerized ground water data base management system, (3) improvement of laboratory capability, (4) site inventory and mapping, (5) and information on other States' ground water programs. FY 1985 state specific guidance reflected items 2, 3, 4 and 5 since they were consistent with National and Regional program guidance which emphasized strengthening State program capabilities. The establishment of an ambient ground water monitoring (Item 1) program was considered to be an implementation activity, and therefore would not receive funding support.

On February 1, 1985, IEPA submitted a draft assistance application for \$360,100 in supplemental 106 funds, to support the purchase of equipment and the hiring of personnel necessary to carry out an ambient ground water monitoring network. In its February 4, 1985, meeting, RGWCC decided not to fund IEPA's assistance application as proposed. The OGW is currently negotiating a work plan with IEPA that more fully reflects National and Regional guidance. We anticipate receiving a revised application from IEPA by May 15, 1985, and awarding a grant by June 7, 1985.

Indiana:

In FY 84 the Indiana State Board of Health (ISBH) used a relatively small portion of their EPA grant dollars to support ground water activities. ISBH had received a \$26,000, 205(j) grant to fund the development of local ground water controls by the Elkhart County Health Department and to fund staff in a newly created Ground Water Unit.

With the establishment of this Ground Water Unit, ISBH's ground water activities have been directed toward problem assessment. Since ISBH is just beginning a ground water program, OGW's FY 85 State specific guidance placed a high priority on the development of a comprehensive ground water strategy. The ISBH assistance application proposed, and EPA's grant provided, \$238,656 in 106 and 205(j) funds to put into place the staff and the prerequisite documentation necessary for a comprehensive ground water protection program.

ISBH has embarked on an eight point program which will culminate in the development of a ground water protection strategy during FY 1986. The key elements of ISBH's program are: 1) organization of an interprogrammatic/interagency ground water coordinating committee; 2) public participation in program development; 3) development of a ground water policy; 4) regulatory analysis; 5) aquifer identification and evaluation; 6) case studies; 7) evaluation of local ground water protection programs; and 8) initiation of state ground water strategy.

Michigan:

Historically, more ground water projects were funded under Sections 106, 208 and 205(j) of the CWA in Michigan (almost \$2.3 million) than in any other Region V State. Included in these grants was \$939,000 of Section 208 CWA funds for the Michigan Department of Natural Resources (MDNR) to develop a comprehensive State ground water strategy.

Due to internal reorganization and a shift in priorities, MDNR did not complete the State ground water strategy in FY 1984. During its FY 84 State evaluation, OGW staff received copies of two of the five remaining tasks. However, there was no indication of any intent to finish the remaining three tasks.

On October 16, 1984, staff from the OGW and the PSS met with Richard S. Johns, Chief of the Ground Water Division of MDNR. The primary purpose of this meeting was to secure the completion of the EPA funded State ground water strategy. At this meeting MDNR agreed to complete Task 21: Final Strategy. This document, based on the Governor's Cabinet Council report entitled "Ground Water Protection Initiatives", was submitted on February 18, 1985.

MDNR agreed to complete Task 14: A Compliance and Enforcement Strategy. A detailed outline was submitted on January 18, 1985, a final product will be completed by January 31, 1986. At the October 16th meeting, Mr. Johns supplied EPA with copies of the final Facility Design and Operations report prepared to fulfill the requirements of Task 13.

The products submitted for completion of Tasks 13 and 21 were reviewed in light of the agreement reached at the October 16, 1984, meeting. These products have been accepted in that they minimally meet the criteria established at said meeting.

MDNR's FY 85 assistance application for supplemental 106 funds reaffirmed the State's emphasis on remedial action activities. In an application for \$888,010, \$756,051 was earmarked for implementation of a State LUST program. The remaining component called for the establishment of a public information program.

Pursuant to the Assistant Administrator for Water's memorandum of November 21, 1984, RGWCC decided not to fund the LUST component of MDNR's assistance application. RGWCC did approve \$131,959 for MDNR's public information effort.

The OGW is currently working with PSS to develop a strategy which will encourage MDNR to reexamine its intensive involvement in remedial action activities; a course of action which has occurred at the expense of ground water program planning efforts. MDNR has not been receptive to Region V's recommendation that it increase its program planning efforts. MDNR's position on this issue stems from the fact that it has sixty million dollars in State funds for ground water activities. The primary focus of State appropriations is remedial action not program planning.

Minnesota:

In FY 84 the Minnesota Pollution Control Agency (MPCA) did not use any of its 106 or 205(j) funds for ground water activities. During its FY 84 State visit, the OGW was informed that ground water protection activities are the responsibility of MPCA's Division of Solid and Hazardous Waste. However, MPCA's Division of Water Quality administers 106 and 205(j) CWA funds and has committed these funds to meet surface water program priorities.

Since long term funding for ground water activities was limited, the primary focus of OGW's FY 85 program guidance was on activities that would enhance ground water program capabilities. MPCA's Ground Water Protection Strategy Framework provided the basis for these activities. On December 21, 1984, MPCA submitted its consolidated ground water program application. On January 14, 1985, RGWCC decided to fund the development of a data management system, and evaluation of ground water monitoring programs at waste water treatment facilities, and a program management component for \$389,770. These activities will be accomplished over the course of 20 months and thus two grants were awarded, one for the remainder of FY 85, the other for FY 86.

Ohio:

The focus of OGW's interaction with the Ohio Environmental Protection Agency (OEPA) in FY 85 has been to secure the completion of a previously funded comprehensive State ground water protection strategy. The OEPA has received funds under Section 208 and 205(j) to develop a state strategy. The document was prepared by the Battelle Columbus Laboratories under OEPA WQM Planning Grant P005630 (FY 1981). It was reviewed by OGW on August 23, 1984.

OEPA was informed in the August 23rd letter that its ground water strategy did not fulfill OEPA's commitment under its WQM Planning Grant. Additionally, U.S. EPA would not consider funding ground water programs in Ohio until a satisfactory strategy was completed.

As a result of this review, subsequent letters and meetings OEPA committed to completing the strategy. OEPA would submit a consolidated ground water work plan/grant application by December 4, 1984. U.S. EPA agreed to process OEPA's grant application concurrent with OEPA's efforts to complete the strategy. However, no award would be made until OEPA showed that it was making substantial progress toward completion of the strategy.

On January 17, 1985, OEPA submitted an "Interim Ground Water Protection Strategy." This document was to function as a framework which would guide the development of a comprehensive ground water protection strategy. Based on the strength of this document, it was decided to fund, for \$75,000, several of the activities proposed in OEPA's consolidated workplan.

Ground water data management, program administration, aquifer classification and public participation activities were funded. These activities are an expansion of existing efforts and would be accomplished over the course of FY 85 and FY 86 and were awarded as two separate grants.

In the same action, OEPA was allowed to incur costs on previously awarded, but related Section 205(j) funds. OEPA had not been allowed to incur costs against these 205(j) funds until the strategy issue had been resolved.

The only remaining issue pertains to an OEPA proposed task to do additional site-specific landfill work and related regulatory development work. The work program did not describe the level of effort associated with the two phases of work. OGW was concerned that more emphasis than necessary was placed by OEPA on the site-specific landfill work rather than on the regulatory development work. Consequently, a special grant condition prevents OEPA from incurring costs on this work pending further negotiations.

Finally, in conjunction with this review, Region V on March 18, 1985, allowed the Miami Valley Regional Planning Commission to proceed with its proposed ground water work with Section 205(j) funds.

Wisconsin:

Ground water is incorporated into Wisconsin's Department of Natural Resources (WDNR) ongoing water planning program. An active 205(j) grant is funding the preparation of ground water related policies, guidelines and administrative rules associated with the State's ground water legislation, and the development of site-specific and or regional ground water management plans for incorporation into the "area wide" water quality management plans.

WDNR's consolidated ground water assistance application, for \$270,896, corresponded with OGW guidance which encouraged the States to focus on activities which would enhance broad based program capabilities. Under its ground water 106 grant, WDNR will develop programs which addresses agricultural best management practices, nitrate sampling, waste water (standards evaluation, data management, and field inspections) and animal waste management. These activities are scheduled to be completed by the end of FY 85.

NATIONAL DIRECTIONS: Implement the Ground Water Protection Strategy

ACTIVITY: Implement the organization and staffing proposal by December 1 in accordance with approved plan, including established coordinating committee consisting of division director level participants who will engage in specific substantive review affecting all Regional programs impacting on ground water.

Analysis:

Region V has in place an Office of Ground Water (OGW) as approved by Headquarters. The OGW is currently staffed with one supervisor, three technical staff and one secretary. The OGW is responsible for providing staff support to RGWCC. The OGW coordinates Region V's activities pertaining to inadequately addressed sources of ground water contamination. It provides the maximum possible assistance to the States in the development of ground water protection programs. Also, OGW is responsible for insuring that aquifers or aquifer systems are afforded formal U.S. EPA recognition as "sole source aquifers."

The OGW is assisted by the Planning & Standards Section (PSS) in the review and approval of work plans and preparation of grant awards. A MOU was developed two years ago that details the responsibilities of each group. Essentially, each State Project Officer in PSS assists OGW on an individual basis to assure timely grant awards.

Region V has had a RGWCC for approximately two years. The RGWCC has a charter which is in the process of being re-drafted to reflect the Regional priorities and requirements under the National Ground Water Protection Strategy. The RGWCC meets at least once per month.

The RGWCC and Office of Ground Water have identified those principal issues associated with the National Ground Water Protection Strategy and Regional ground water priorities. An annual agenda which identifies those issues in which the RGWCC will be involved throughout the fiscal year has been prepared. Issues to be addressed include, but are not limited to: MOU's to ensure ground water coordination among Regional programs, state ground water work planning efforts, status of legislation (state and federal) and Regional/State priority sources of ground water contamination.

The RGWCC has established a number of work groups and efforts to facilitate the development and enhancement of Region V ground water programs in the area of ground water monitoring, data management, public information and technical and administrative coordination of related ground water programs.

Issues:

None.

NATIONAL DIRECTIONS: Implement the Ground Water Protection Strategy

ACTIVITY: Develop Regional work plan or comparable management mechanism.

Analysis:

The OGW is actively involved in the mainstream Water Division Planning Process. All actions are conducted in the context of this overall schedule. (see the Planning Process write-up for details)

The Region V ground water work plan represents a realistic approach to implementing the primary objectives of the National Ground Water Protection Strategy and the Region V ground water priorities. There are 12 key items identified in the FY 1985 workplan. The ground water work plan provides for participation for all ground water related programs directly and through the RGWCC. This represents 11 program offices. Principal objectives of the work plan include:

1. Increasing inter-divisional coordination of all ground water related programs.
2. Increasing inter-agency/institutional coordination of all ground water related activities.
3. Developing and coordinating public information, ground water monitoring and data management efforts with States, other Federal agencies and EPA Headquarters.
4. Working with the States to develop programs, thereby insuring State participation in preventive and remedial action activities.
5. Providing an overview of EPA financial assistance earmarked to support ground water activities.

The work plan provides milestones for each key ground water activity and the progress of implementing these activities are reviewed quarterly by senior management.

Issues:

Operating guidance should be more definitive in the outline of objectives for the Regional Offices of Ground Water. As the program becomes more mature, what direction(s) does H.Q. see the Regional Offices going?

The workload model activities need to reflect actual Regional ground water issues along with National priorities.

The ground water measures of the evaluation guide should address environmental concerns.

NATIONAL DIRECTIONS: Implement the Ground-Water Protection Strategy

ACTIVITY: Protect Aquifers that are Sole or Principal Sources of Drinking Water.

Analysis:

Within Region V there are currently no designated sole source aquifers. In the first quarter of FY 85 OGW staff met with Oscar Boyea of the Oakland County Health Department (Michigan) to discuss a previously filled petition. The Oakland County sole source petition had been reviewed in FY 84 and returned after OGW determined that said petition was incomplete.

Oakland County intends to resubmit and therefore requested further guidance and clarification of proposed sole source regulations, which was provided at the October 16, 1984, meeting.

Region V is currently reviewing a sole source petition submitted by the Village of Pleasant City located in Guernsey County, Ohio. We will be requesting, from the Village, additional information concerning population, well location, stratigraphic and geologic location and boundaries of the aquifer and the recharge zone or zones for the aquifer.

Issues:

Based on telephone and written inquiries, there appears to be an increased public awareness of the sole source provisions of the Safe Drinking Water Act. The proposed sole source regulations issued in September of 1977 serve as our yard stick for evaluating petitions and insuring compliance. These regulations need to be finalized so that the Agency can uniformly implement the sole source aquifers program.

Mid-Year Evaluation of Region V Water Program

National Objective: Improve the Effectiveness of Monitoring Activities to Support Water Quality Control Decisions and to Evaluate Progress in Meeting Water Quality Objectives

Activity: Implement Ambient Water Quality Monitoring Program

Analysis of Regional Program:

Monitoring Strategy

The Final Region V Water Monitoring Strategy was submitted to Regional Administrator on May 25, 1984. The Region V Water Monitoring Strategy will be reviewed to assure conformance with the new Headquarters Basic Water Monitoring Strategy which is due May 25, 1985. A Region V water monitoring work group was established in first quarter of FY 85 to assure better communication among all water programs, to surface monitoring needs for the future and to review the State Water Monitoring Strategies during FY 85. Illinois and Michigan submitted their first draft Water Monitoring Strategy in late March 1985. Outlines of their proposed water monitoring strategies were also received from Ohio EPA and Minnesota Pollution Control Agency. These documents were sent to the Regional Water Monitoring Workgroup members for comments. The workgroup members were also asked to review the Final Region V Water Monitoring Strategy for updates. The workgroup members are to comment by April 15, 1985. Comments will be coordinated and a meeting will be scheduled in early May to discuss the comments. Final comments from the workgroup will be sent to the States for responses.

A brief State Water Monitoring Strategy was included as Appendix I of Indiana's FY'85 Program Plan. The State of Indiana's letter dated October 19, 1984 indicated that "during our FY'85 negotiations, we agreed that during the fiscal year, we would review and revise our Water Monitoring Strategy as appropriate." A comment letter from Region V will be sent to the State for response.

No State Water Monitoring Strategy has been reviewed from the State of Wisconsin. At the FY'86 program guidance visit on March 21 - 22, 1985, with WDNR, it was indicated that an outline and draft would be forwarded to USEPA during the third quarter FY'85 to assure completion by the end of FY 85.

Monitoring Data

Monitoring data are used in a number of ways, including NPDES permitting, establishing and implementing water quality standards, 305(b) reporting, non point source impact, trend analysis, use attainability studies, and toxics evaluations through biomonitoring.

A description of State's Monitoring activities is described below:

ILLINOIS

The Illinois EPA operates an ambient water quality monitoring network designed to support the State monitoring needs and the national ambient monitoring system. The network currently includes 206 stream stations and 80 Lake Michigan stations as well as 37 ambient program lakes and 60 volunteer lakes. Forty of the 206 stream stations are in PWB's (19%).

Data are analyzed by basin for water quality standards violations and trends for the 305b report to Congress every two years. Percent standard violations and means are also calculated for each station, and printed along with the raw data on microfiche. USGS also publishes raw data every year for the preceding water year.

Data are not available in STORET within 90 days of the end of each fiscal quarter because there is a 6 month time lag in the transfer of data from WATSTORE to STORET. WATSTORE is the USGS computer systems. USGS is under contract to Illinois EPA to obtain water quality data within the State.

Illinois has had no field activity for intensive survey work during the first half of FY'85.

Reports have been prepared for 87 facility-related stream surveys, 3 of which were in PWB's.

Reports were prepared for 85 volunteer lake monitoring surveys, 4 of which were in PWB's. These were summarized in a state-wide lake monitoring report.

Phase III report was completed for Highland/Silver Lake watershed, a section 208-related project.

A Lake Michigan PWB report concerning 1983 data was completed and distributed.

A basin survey is planned for this summer (1985) on the Rock River.

INDIANA

Since 1957, the State has maintained a network of 92 fixed stream monitoring stations at key locations throughout the State. Of the 92 fixed stations, 21 are "core stations" for use in the EPA national water quality monitoring network. Currently, most are sampled monthly. Forty Six (50%) of the fixed stations are located in priority water bodies.

The Fixed Station Monitoring Network was established to provide basic information which would reveal pollution trends and provide water quality data for the many existing and potential users of surface water in Indiana.

Indiana completed two intensive surveys on Lick Creek at Hartford City, Indiana.

MICHIGAN

Michigan's ambient network consists of monthly monitoring of 43 fixed station tributary mouths and urban area stations. Of the 43 fixed Stations, 36 (84%) are located in priority water bodies. The urban area program is intended to assess water quality impacts of urban areas. Monitoring is conducted upstream and downstream of 11 urban areas. The Detroit urban area network consists of 20 fixed stations sampled on the Detroit River - 10 at the head and 10 at the mouth. The sampling design was intended to allow water quality trends to be observed and to calculate annual pollutant loads to Lake Erie, particularly for phosphorus.

Michigan committed to conduct one intensive water quality field study. To date, two surveys have been completed on the Kalamazoo River. The purpose of these surveys were model calibration and model verification. In addition, two quantitative surveys were completed on Shiawassee River at Owasso.

Michigan committed to 5 water quality site investigations. To date, two site investigations have been completed. These were performed on the S. Branch of the Black River and on Silver Creek.

MINNESOTA

Minnesota maintains 71 fixed network stations; eight of these are on PWBs. State routinely enters data into STORET within 30 days of receipt from their laboratory. They have also taken the Lead in Region in integrating STORET with program data system PCS. Eight of the 71 stations are in priority water bodies (11%).

To date state has completed the following surveys: Four AT justification for PWB's, nine Use Attainability Studies, three Site-Specific Water Quality Studies and Four Surveys for WQS/WLA. All in total, Minnesota completed 20 surveys and seven reports were written for these surveys, nine of the surveys were on PWBs.

OHIO

The State is operating 49 stations. Thirty nine of these are "CORE" stations. The stations are sampled monthly. Thirty two (65%) are in priority water bodies.

Twenty one field surveys were completed. Four reports were written. Fourteen of the surveys were in priority water bodies.

WISCONSIN

The primary monitoring network, or monthly ambient monitoring network consists of 46 stations on significant water courses which document statewide trends of water quality improvement or degradation and provide a data base for the biennial Wisconsin Water Quality Report to Congress. In addition intensive surveys of limited duration and scope are used to address specific issues and support permit revision and planning. Categories of intensive surveys are (1) response, (2) basin assessment, (3) statewide problem, and (4) specially funded surveys.

Twenty three (23) intensive surveys were completed. The 23 completed intensive surveys include 13 point source impact related and 10 were for stream classification. Sixteen (16) out of 23 were also biological in nature. Forty six (46) fixed stations are operated on a regular basis statewide, with 8 of these stations on priority waterbodies (17%). Though the majority of Wisconsin's point source dischargers have met their permit requirements, a select group of watersheds have been chosen for non point source and toxics impact.

Biomonitoring Activities

The Region does have a Regional Biomonitoring work plan which is being imple-

mented this FY with Region V States participating. Pete Redmon is Chairman of the Regional Biomonitoring Committee. The laboratory work is being done at the CRL, which consists primarily of AMES tests as well as some static bioassays conducted at selected industrial and municipal sites.

A description of biomonitoring activities for each State is given below:

ILLINOIS

Macroinvertebrate samples are collected at approximately six week intervals during the summer months on an annual basis. Fish tissue analyses are conducted biennially during low flow periods at each core network station. No work has been done in these areas during the first half of the FY. All fish are collected in cooperation with the State Department of Conservation. This work is usually done during 3rd and 4th quarters.

There are no biosassay tests completed thus far this FY. Illinois is in the process of developing a bioassay program which is projected to be operable sometimes during FY'85.

Macroinvertebrate sampling and fish tissue analyses are done at core network stations. Illinois is involved in a basin assessment program where biological sampling is conducted. This work is done during the summer months (3rd and 4th quarters).

INDIANA

Each core network station is sampled biennially for biological parameters, with one half of the stations being sampled one year and the remaining half the following year. Fish and macroinvertebrate sampling will be completed during the 4th quarter of FY'85.

Twenty 48 hour static bioassays using daphnia as the test organism have been completed thus far this FY. Eighteen were from industries and two from municipalities taken from the "Majors" list. No flow-through bioassays are being conducted. Indiana has also completed four habitat evaluations which included biological studies.

Fish tissue data are entered directly into STORET.

MICHIGAN

Michigan does not conduct biological sampling at designated core network stations except if it involves a special study. Fish tissue analyses are conducted at locations where toxic problems are suspected, but not necessarily related to the core network activities. Fish sampling is conducted during the fourth quarter.

Michigan's commitment to biological work for FY'85 includes 3 flow-through bioassays and 20 static bioassays. To date, one flow-through bioassay and all 20 static bioassays have been completed. Michigan has completed four of twenty full scale biological field surveys and eight of fifty investigations. The remainder will be completed during the third and fourth quarter.

MINNESOTA

Biomonitoring is not done at ambient sampling sites but State conducts biomoni-

toring and toxics on specific aspects of PWBs as part of Use Attainability and Site-Specific Water Quality Studies. Minnesota is primarily concentrating its efforts on lake surveys. Fish are collected and analysed for special toxics program activities in streams, acid lakes but not necessarily related to core network activities. State does not have a routine fish tissue analysis program at core network stations. Furthermore, state is not doing any biological field surveys or biology at any of the core network stations.

Minnesota has completed 30 static bioassays to date and plans to complete 40 more within 3 to 4 weeks thus meeting their 70 static bioassays commitment for FY'85. State selects one of their five Regions in the State each year and conducts bioassays at all POTW's and some industries within that Region.

OHIO

During the first half of FY'85, Ohio completed nineteen (19) 48 hour screening (static) bioassays and fourteen (14) 96 hour definitive (static) bioassays using Ceriodaphnia and fathead minnows as test organisms.

Ohio is committed to doing 58 screening tests and 14 definitive tests during FY'85. They are well on their way to meeting this commitment.

Ohio conducts macroinvertebrate sampling at 15 core network stations. This work is done during the 3rd and 4th quarters. No fish tissue sampling is done as part of the ambient monitoring program.

Sixteen biological field surveys for construction grants have been completed. All samples have been analysed and reports are being written. Reports are to be completed in early June.

WISCONSIN

With respect to biomonitoring activities, WDNR performs only fish tissue analysis and only at six "core" ambient stations statewide in FY 85 to be completed during the fourth quarter. The agency, however, presently limited by manpower and funding constraints, sees an important need to expand monitoring of sediment and fish in Northern lakes and have requested additional funding from the state legislature for this expanded capability. It looks very promising for the biennial budget submitted in June for FY 86-87. This effort would support work on the Great Lakes, and the Mississippi River for FY 85. The agency attached a Task Description to the final FY 85 program plan entitled Toxic Investigations and Evaluations and will be further defined in the anticipated State Water Monitoring Strategy. Finally, a Wildlife Contaminant Monitoring Program in cooperation with the DNR and State Lab of Hygiene was established to investigate accumulation and residuals of agricultural pesticides, PCB's and heavy metal contaminants in the tissue of selected wildlife. No flow through and static bioassays are scheduled. Six intensive surveys which included biological sampling were conducted during the first half of FY 85.

Status of QA/QC

Illinois and Indiana have an approved Quality Assurance Program Plan for water monitoring programs.

In FY'84 Michigan received approval of selected portions of the QAPP. At this time, some of Michigan's test procedures for organic analyses are not approved by the Quality Assurance Office. The areas needing further improvement are: scan 4 for fish tissue analysis, whole fish analysis, and the methodology for phenols. The deficiencies in organic analysis may impact the total amount of grant dollars earned by Michigan for FY'85.

Minnesota has an approved Quality Assurance Program Plan for water monitoring programs. However, State needs to provide laboratory capability to analyze pesticides and PCBs.

Ohio has approved Quality Assurance Program Plan for water monitoring program. However, OEPA's laboratory has not developed an acceptable organics capability. The problem arose because OEPA terminated the contract with the Ohio Department of Health for organics in water samples. OEPA has since not been able to develop water organic analysis capability due to staff and resource shortages.

Wisconsin has an approved Quality Assurance Project Plan and at this time has no major problems with respect to QA/QC procedures.

Laboratory Capabilities

The evolution of the toxic/hazardous programs has generated the need to purchase sophisticated complex equipment capable of detecting and measuring low levels of toxic and hazardous substances. This type of equipment requires a high level of expertise and has generated increased salary demands. These salary demands cannot be met in some states and is causing the States to lose or not be able to hire key staff. Some other general problem areas are listed below.

1. The handling of hazardous/toxics samples requires the availability of a high hazardous laboratory area to prevent contamination and to meet health, and safety requirements. The cost of these "hot labs" run from about \$100k to \$500K. Most State laboratories do not have the space nor the funding to meet this need.
2. Laboratory automation coupled with automated data management is needed to improve efficiency on existing procedures and to implement new procedures. State laboratories are aware of this and some hardware and/or software is being implemented. If new program are going to be implemented in the laboratories, this total computerization process must be expedited.
3. In several States means must be found to increase the salaries of the laboratory scientists. If the continued lost and inability to hire qualified scientists cannot be turned around, some state laboratories will be incapable of operating full environmental laboratories.
4. Most State laboratories are currently operating at close to the maximum of their usable analytical capacity as defined by space, equipment and expertise of staff. Generally, the present level of laboratory capability is probably 50-80% of what programs want. Obviously any new program analytical needs will tend to increase an already existing problem. This problem is especially acute in the organic analyses area.

Specific State Needs

Illinois:

State needs additional organic laboratory space and the new space should contain a high hazardous laboratory area.

Indiana:

To increase the laboratory out-put of the Water and Sewage laboratory additional staff is needed.

Michigan:

Additional space is needed to accommodate the laboratory equipment and personnel. This space should be equipped with a high hazardous laboratory area.

Minnesota:

Minnesota is currently addressing additional space needs in that some new space has been acquired. Also, the ventilation system in the existing lab space is being updated but a problem of having an imbalance in the incoming air supply may be a major problem.

Ohio:

Both the Ohio EPA laboratory and the Ohio Department of Health laboratory have an inadequate staffing problem. Recent staff losses at the Ohio EPA laboratory reflect the problem.

Wisconsin:

State needs PC (computers) to link the automated analytical systems to the central computer (a systems report will be needed to fully define this need).

Data Integration

ESD, GLNPO and Water Division have jointly identified monitoring needs and are working on several items to improve the existing systems.

ESD designed a Fortran program to monitor the Great Lakes Tributary Stations and parameters of interest to GLNPO. This "Quik-Look" report which reads an inventory listing as input data provides a one line per site summary along with a table indicating the parameter analyzed. Station identification information includes the primary station number, a core station indicator, the agency collecting the sample, the county code, sampling type, location description, major basin and latitude and longitude. The sampling summary indicates the last year and quarter the analysis was performed for each parameter.

ESD wrote a SAS program for GLNPO correlating concentrations of various metals with aluminum. The outputs will be used in a report.

ESD created a report to focus on the O & M problems experienced by the POTW with respect to industrial wastes. This report will be provided to the Water Division quarterly.

ESD has established the basic structure for a Water Monitoring Activities computed file. The purpose of this file is to facilitate the tracking of monitoring activities conducted on priority water bodies. The software package being used is INFORM. INFORM programs are now being developed.

ESD has rewritten the documentation on the Use Impairment Program. The Use Impairment Computer Program provides an assessment of water quality based on available data at monitoring stations. This documentation provides the detailed steps necessary to modify and properly execute the program. In addition, ESD wrote a SAS program that generates required input lines; a detailed account of how to use this program is also provided in the documentation. In essence, executing the Use Impairment Computer Program is a straight-forward process due to the documentation.

ESD is currently developing a "Fish Kill Computer Data Base" for storing and tracking fish kill events in Region V.

Integration of NPDES Facility information and effluent data with STORET using River Reach and Industrial Facilities Discharge Files has continued especially with respect to Wisconsin, Minnesota, and Illinois. The Statistical Analysis System (SAS) was used to create STORET compatible records. Approximately 1500 Wisconsin NPDES facilities were recently updated to the system, and the corresponding pollutant discharge information will be updated when the software is completed.

Operation and Maintenance

The Region solicits nominations for O & M award from each State in October of each year. From these submissions a panel at EPA, Region V reviews projects in three size categories (small plant < 2.0 mgd; medium plant > 2.0 to < 20 mgd; large plant >20 mgd), with two types of treatment (secondary and advanced) under each, for a total of six Regional categories. The results of the review become recommendations for awards presented to the Regional Administrator. This FY, the awards will be presented during May and June, 1985. Region V is currently the only Region in EPA to have a municipal wastewater treatment plant O & M award program.

Problems encountered and approaches for resolving them

The "Issues" section (page 9) of this report identifies the major problems, concerns, and short comings facing Region V States in implementing their Water Quality Monitoring programs. The overriding limiting factors in bringing about stronger programs are (1) need for additional laboratory equipment and space, especially to handle increased loads in biomonitoring and hazardous materials analyses; and (2) need for additional personnel to fill critical skills areas to accomplish the need in item (1) above.

Recently, the Central Regional Laboratory through a contract with ICF Contractors of Washington D.C. has completed, or is in the process of completing a comprehensive laboratory assessment of all Region V State laboratories. Data gathered

from these assessments will be valuable tools in providing added emphasis in negotiating with Federal, state and local governments for better laboratory programs.

Some Region V States have expressed an interest in developing the capability to run Ames tests. The Biology Section of the Central Regional Laboratory is prepared to conduct training sessions at the CRL as the need arises. Illinois, for one, has expressed an interest in receiving this training.

Another area of concern is in data integration as it relates to the Management of Water monitoring data. The Environmental Services Division's Water Monitoring Team has contributed much in this area as discussed on page 7 and 8.

Illinois, Michigan, and Indiana have submitted their draft Water Monitoring Strategies. Region V will be sending comment letters in May 1985. Ohio has submitted an outline and will submit a draft strategy by the end of April, 1985. Minnesota has also submitted an outline and plans to complete a draft strategy by early June 1985. Wisconsin indicated that an outline and draft would be forwarded to USEPA during the third quarter FY'85 to assure completion by the end of FY'85.

Issues

- ° All the States committed to a water monitoring strategy for FY 85, yet only three States have submitted draft strategies.
- ° The QA deficiencies regarding organic chemical analysis must be resolved prior to FY 86.
- ° Ohio's QA program will have to be expanded in order to include increased laboratory capability. The QA project plan will have to be expanded to reflect newly added organic analysis responsibilities which was previously performed by Health Department Labs.
- ° The Federal-State "partnership concept" involves the U.S. EPA delegation of environmental programs to the States. While the programmatic aspects of this delegations rely on the States' management capability, programs such as RCRA, CERCLA, (Superfund), SDWA (Drinking Water), and the other standard environmental program covered by the 106 and 105 Grants require extensive laboratory capability. Laboratory capability needs can be delineated in terms of space, personnel, and equipment needs. The major problem is that the programs analytical needs have increased without commensurate growth in equipment, space, and personnel.

MID-YEAR EVALUATION OF REGION V WATER PROGRAMS

National Objective: Improve Performance of Completed Facilities

Activity: Improve Facilities Performance

Regional Analysis:

Qualitative Measure (A-1): Are States effectively implementing on-site training and technical assistance programs for bringing small facilities into improved compliance?

Qualitative Measure (A-2): Are States conducting annual on-site O&M reviews?

Overall the six Region V States are doing a good job of implementing on-site operator training. The FY 85 work plans were developed by each State to address the national guidance. State-by-State summaries are:

Illinois

Illinois conducts regular on-site O&M reviews of completed facilities. Utilizing the EPA Form 7500-5, they have completed 52 inspections thus far in FY 85, with their commitment being 55 inspections. These were completed at major municipalities, mostly on PWB's.

Illinois also has a substantial program for inspection of minor municipal WWTP's, construction grant compliance inspections, and operational assistance.

Overall, Illinois has an effective O&M program.

Indiana

Indiana conducts regular on-site O&M reviews of completed facilities. Utilizing EPA Form 7500-5, they have completed 13 inspections so far in FY 85, with the commitment being 15 inspections. These were completed at major municipalities, mostly on PWB's.

Indiana also has a substantial program for inspection of minor municipal WWTP's, and operational assistance. The construction grant compliance inspection program shows minimal activity, but the Corp of Engineers performs additional inspections.

Overall, Indiana has an effective O&M program.

Michigan

Michigan conducts regular on-site O&M reviews of completed facilities. Utilizing EPA Form 7500-5, they have completed 14 inspections so far in FY 85, with the commitment being 15 inspections. These were completed at major facilities, mostly on PWB's.

Michigan also conducts inspections at minor municipalities, a few construction grant compliance inspections, and operational assistance. A short-coming of the Michigan program is that most of their field inspection resources are used for 24-hours sampling surveys with little or no evaluation of the O&M of the plant surveyed.

Michigan should devote more resources to O&M inspections, with less resources for 24-hr. sampling surveys.

Minnesota

Minnesota conducts regular on-site O&M reviews of completed facilities. Utilizing EPA Form 7500-5, they have met their commitment of 25 inspections at major municipalities, mostly on PWB's (thru second quarter FY 85).

Minnesota also has a substantial program for inspection of minor municipal WWTP's, construction grant compliance inspections, and operational assistance.

Overall, Minnesota has an effective O&M program.

Ohio

Ohio conducts regular on-site O&M reviews of completed facilities. Utilizing EPA Form 7500-5, they have met their commitment of 50 inspections at major municipalities, mostly on PWB's (thru second quarter FY 85).

Ohio also has a substantial program for inspection of minor municipal WWTP's, and operational assistance. The construction grant compliance inspection program shows minimal activity, but the Corps of Engineers conducts additional inspections.

Overall, Ohio has an effective O&M program.

Wisconsin

Wisconsin conducts regular on-site O&M reviews of completed facilities, but they refuse to use EPA Form 7500-5. Utilizing narrative reports with EPA Form 3560-3, they have met their commitment for 25 inspections thus far in FY 85, mostly major facilities on PWB's.

Wisconsin also has a substantial program for inspection of minor municipal WWTP's, construction grant compliance inspections, and operational assistance. Wisconsin is the only State in the Region to make commitments for intensive operational assistance studies. They have exceeded their commitments for 6 such studies thus far in FY 85.

Overall, Wisconsin has an effective O&M program.

Qualitative Measure (A-3). In regard to operator training. Are the Regions/ coordinating the operator training, technical assistance, construction grants. permits and enforcement program?

The Regional O&M program consists of three separate parts located in the Municipal Facilities Branch and Water Quality Branch of the Water Division and in the Environmental Monitoring Section in the Environmental Services Division. The work activities are coordinated through the Chief of the Water Quality Branch, who implements the Regional Operations and Maintenance Procedures established in May 1983. This memorandum delineates the specific responsibilities for all involved programs (Construction Grants, Permits, Compliance, Great Lakes National Program Office and Environmental Services Division). The Region solicits nominations for O&M awards from each State in October of each year. From these submissions a panel at EPA, Region V reviews projects in three size categories (small plant < 2.0 mgd; medium plant > 2.0 to < 20 mgd; large plant > 20 mgd), with two types of treatment (secondary and advanced) under each, for a total of six Regional categories. The results of the review become recommendations for awards presented to the Regional Administrator. This FY, the awards will be presented during May and June 1986. Region V is currently the only Region in EPA to have a municipal wastewater treatment plant O&M award program.

The Regional office makes operating training grants to the State agencies in order to enhance the activities funded by either the States (109(b) funds) and/or USEPA (Section 106 funds). The grants awarded under Section 104(g)(1) to the State during FY 84 and FY 85 are summarized on the table below. The Section 104 grants have been used as supplemental funding to the States to augment Sections 106 and 205(g) activities. This has happened due to the delayed availability of funds over the past several years. The Regional coordinator of the technical portion of the O&M awards is located in the Compliance Section in the Water Quality Branch. The coordinator is assisted by the Planning and Standards Section in the preparation of grant awards.

During FY 85 the following resource distributions were made by the States.

		IL	IN	MI	MN	OH	WI
	WY	10.6	1.75	0	4	265	0
Section 106	\$1000	599.6	49.9	0	20.90	11.6	0
	WY	6.0	0	0	3	0	4.92
Section 205(g)	\$1000	242.4	0	0	154.0	0	245.0
Section 104(g)(1)	WY	1.2	1	<u>1</u>	1	+	+
(FY 84 funds)	\$1000	75.0	75.0	75.0	50.0	50.0	50.0

Mid Year Evaluation of Water Programs
National Direction: Ensure that commitments to the
Great Lakes Water Quality Agreement are Met

Introduction

Oversight of U.S. commitments resulting from the Agreement are the primary responsibility of the Great Lakes National Program Office (GLNPO). Implementation of programs to achieve the commitments is the joint responsibility of several federal and state agencies, but in large part rests upon the Water Divisions in EPA's Regions II, III & V. GLNPO's implementation/direct operational responsibility is for monitoring of conditions in the Lakes. The coordinative arrangements between GLNPO and Region V Water Division are summarized in the memorandum of agreement between the two organizations. A description of GLNPO's programs and strategic directions are contained in the Great Lakes Strategy. It includes the Great Lakes monitoring strategy which is also reflected in the Region V monitoring strategy. Water Division's programs and strategy directions are set by national policies and strategies such as the National Municipal Policy. Further detail on objectives and activities is contained in the GLNPO and Water Division FY '85 work plans.

Areas of Concern require special comment. Areas of Concern (AOC) designation has been given to the geographic areas of the Great Lakes basin which continue to contain nearshore and estuary waters where beneficial uses are seriously impaired. All of the areas involve the permit program; most involve the construction grant program, and most involve a large number of other EPA programs. The importance of addressing pollution problems in the AOC's is gaining increasing recognition by both state and federal agencies. For example, all of the AOC's within Region V are now included on the States Priority Water Body lists. There is also an increasing awareness of the need for action plans that define the problems and clearly describe the key steps needed to solve them. This is reflected by the IJC Water Quality Board's recent revision of the classification system for AOC's to focus on progressive stages from problem definition to full remediation. Also, the Board has asked the states to identify dates by which remedial action plans will be completed. A table listing the areas and projected dates is attached. GLNPO plays a major role in the development of the new AOC system. In order to assist the states in preparing the plans, GLNPO is providing consultant support through contract. In preparation for the effort, prototype plans have been prepared for the Indiana Harbor/Grand Calumet and Rouge River areas using consultant assistance.

The Rouge River plan is being coordinated with the Upper Great Lakes Connecting Channels study which includes the Rouge and three binational AOCs: the St. Mary's, St. Clair and Detroit Rivers. The study includes both intensive ambient work on the rivers and remedial action plans. Preparation of all plans is being coordinated with the preparation of 305(b) reports and water quality management plans.

Mid Year Evaluation of Region V Water Program

NATIONAL DIRECTIONS: Ensure that Commitments to the Great Lakes Water Quality Agreement are Met

Activity: #1-6 OWOAS Great Lakes Basin Program

1. Areas of Concern (AoC): All of the Areas of Concern were listed in the Priority Waterbody Lists of Region V States for 1985. This includes one each for Minnesota (St. Louis River), Illinois (Waukegan Harbor), and Indiana (Grand Calumet River/Indiana Harbor Canal), four each in Wisconsin (Fox River - So. Green Bay, Sheboygan, Milwaukee Estuary, Menominee River) and Ohio (Maumee River, Black River, Cuyahoga River, and Ashtabula River) and fourteen for Michigan (Torch Lake, Deer Lake, Mainistique River, Menominee River, Fox River/So. Green Bay, Sheybogan, Milwaukee Est., Saginaw River/Bay, Clinton River, Rouge River, Raisin River, St. Mary's River, St. Clair River, and Detroit River), for a total of 24 in Region V. There are an additional six Areas of Concern in New York and seventeen in Ontario, Canada. Revised waterbody lists were sent to the GLNPO for review and comment, as they were received from the States. GLNPOs comments regarding omissions were brought directly to the States' attention or through the State Project Officers located in Water Division, who ensured that the GLNPO comments were brought to the States' attention. The States cooperated by amending their Priority Water Body Lists.

Actions taken by the Great Lakes National Program Office to ensure that the Areas of Concern were considered and that priority activities to abate problems are underway in these locations are:

- A. Support for the Water Quality Programs Committee in its re-evaluation and reclassification of the IJC Areas of Concern. This reclassification over-came the difficulties of the previous classification - lack of specificity in classification guidelines and data interpretation, data gaps, and the slowness of environmental systems to respond to remedial measures.
- B. The Office was also instrumental in obtaining commitments from the States to submit Category 4 (Causitive factors known and Remedial Action Plans developed, but remedial measures not fully developed) plans for review by June 1985, and to make commitments to submit plans for other Areas of Concern as soon as ongoing studies are completed.
- C. GLNPO also participated in the Niagara River Toxics Committee and provided funding to support the activities of this Committee.
- D. Initiated and provided leadership to the binational, multi-agency Upper Great Lakes Connecting Channel Study, which is a special study to better identify problems and remedial actions for the connecting

channels, which encompasses 3 AoC's (St. Mary's River, St. Clair River and Detroit River.) This major study at present has a budget of 5 million dollars and participation by 12 agencies and the City of Detroit. It is a major work commitment for GLNPO.

- E. Two prototype remedial plans have been prepared. Water Division took the lead in the development of a Master Plan for the Grand Calumet River, coordinating the overall work with the GLNPO and the State of Indiana local environmental groups. GLNPO is also providing input to the U.S. Army Corps of Engineers (Chicago District) research to study the dredging, disposal and management of highly contaminated sediments, so that more information about the proper means of handling and disposing of highly contaminated dredged materials in the Great Lakes becomes available. The locus of this study will be the Indiana Harbor.

A second prototype AOC plan has been prepared for the Rouge River in Michigan. It is in draft form at present.

- F. Nonpoint Source Control: (1) Supported and participated in the development of the United States Plan for Phosphorus Load Reductions from Nonpoint and Point Sources on Lake Erie, Lake Ontario and Saginaw Bay. Regional input was provided for this major effort. A draft of the report is now available and the plan will be submitted to the International Joint Commission in May 1985. (Affects Saginaw Bay, Maumee River, Black River and Cuyahoga River). (2) Supported Tillage Demonstration Project in 31 counties of Lake Erie Basin (Affects all Lake Erie Areas of Concern). (3) Supported the Saginaw Bay Monitoring and Evaluation Project and Defiance Tillage Projects, major studies of agricultural phosphorus controls as related to tillage changes (Affects Saginaw and Maumee AoC's). (4) Supported phosphorus fertility management study in several counties of the Saginaw Bay drainage area (Affects Saginaw Bay AoC). (5) Supported development of a phosphorus budget and longterm Bay model for the Fox River/Southern Green Bay Area of Concern. (6) Supported nonpoint source loading evaluations and hi-flow monitoring in the major tributaries of Lake Erie and for Saginaw Bay (Affects all four Lake Erie AoC's and Saginaw Bay AoC). (7) Supported Answers Model Evaluation and Development, affecting the Fox River/Southern Green Bay and Milwaukee Estuary AoC's in Wisconsin as well as other Great Lakes areas where ANSWERS model applications are anticipated - (affects the Maumee AoC and Saginaw AoC). (8) Finally, the Office supported a demonstration project in the Lake Ontario Basin which relates phosphorus fertility management on muck soils to phosphorus discharges to the Lake (affects to Rochester and OSWEGO AoCs-).

- G. CSO Control: (1) The GLNPO funded and managed CSO control demonstrations, using best management practices and in-line storage in Cleveland AOC and the Saginaw River - Bay AoC working with ORD in technical oversight. (2) GLNPO negotiated a CSO study with the Water Division for a full evaluation of issues in the Grand Calumet River/Indiana Harbor AoC. The study was conducted by the Water Division's LOE EIS contractor and technically managed by the GLNPO project officer.
- H. Toxics Assessments: (1) Laboratory results and data analysis completed for nearshore fish, with reports to be published by close of FY'85 for all AoC's (2) Cooperated with EPA ORD on study of toxics and failures in fish reproduction in the Fox River (Green Bay). (3) Negotiated (with Water Division assistance) fish trend monitoring in Waukegan Harbor AOC. (4) Published results of sediment sampling in numerous AOC's. (5) Convened an interagency meeting on coordinating activities and providing funding for a study of potential removal of in-place pollutants in the Sheboygan River and Harbor.
- I. TOXICS AND NUTRIENT ASSESSMENTS, LAKE SURVEYS: Conducted trend analysis of Lake Michigan, Lake Huron and Lake Erie Open Waters through interpretation of annual surveillance data for chemical contaminants, trophic status, microbial contaminants, radionuclide contaminants and biological community and habitat status. GLNPO also supported toxic trend monitoring of Open Lake Fish, (according to elements #3 and #4 of the Great Lakes Fish Monitoring Strategy) and cooperated with the National Dioxin Survey.
- J. Provided for contractor assistance for States in preparing AOC remedial action plans.

Actions taken by Water Division to ensure that priority activities to abate problems in Areas of Concern include operation of the national baseline grant and regulatory water programs throughout the Great Lakes basin. Some specific activities are summarized below.

- A. WLAR's: The Regional staff maintained oversight on the development of the WLAR for the Grand Calumet River/Indiana Harbor Canal AoC.
- B. PERMITS: Sixty-six Great Lakes associated permits were reviewed by the Region in connection with issuance/reissuance of major permits over the first two quarters of FY 1985. Of these 66 permits, 28 (42%) were targeted for streams/harbors associated with Areas of Concern, an increase over the number reviewed at this time last year (when 21 permits were reviewed for AoC's. All of the necessary permits have been reissued in three AoC's.

(St. Louis River, and the Rouge River and St. Mary's River in MI.) Overall eighteen Areas of Concern benefitted, at least partially, from State permit revisions, as tracked and reported by the Water Division. For key dischargers GLNPO provided review and technical support. In some cases Water Division referred permits for review, in others, GLNPO made special requests to ensure review. Cooperation has been good, but GLNPO has been able to devote only very limited work effort to this area during FY '85 and '86.

- C. **PRETREATMENT ACTIVITIES:** Regional pretreatment reviews/actions affected 19 of the 24 Areas of Concern, at least partially, as reported by the Water Division's special tracking of "special interest cities". Two AoC (Sheboygan, Wisconsin, the Black River, Ohio) are benefitting from completion of the pretreatment-permit issuance process. There was a very substantial improvement in the amount of pretreatment work done in the State of Michigan over the past six months, which affects the 12 Areas of Concern in that State very positively. This improvement was due in large part to the Region's dedicating considerable time and effort and resources for training MDNR staff, in connection with a legal suit brought by environmental groups which sued for dedelegation of the Pretreatment Program from the Michigan DNR and back to Region V.
 - D. **CONSTRUCTION GRANTS:** Construction is progressing on key facilities in four Areas of Concern (Grand Calumet River/Indiana Harbor, Fox River/Southern Green Bay, Milwaukee Estuary, and the Saginaw Bay/River System). Sixteen additional AoC facilities have high construction grant priorities, and most of these are well into the process of facilities planning. (The affected AoC's include: Menominee River, Michigan/Wisconsin, St. Clair River, Clinton River, Rouge River, Detroit River and Saginaw River in Michigan; the Maumee River, Black River, Cuyahoga Rivers in Ohio.)
 - E. **GROUNDWATER CLEANUPS:** Two cleanups are in progress in Areas of Concern - Menominee River, MI and White Lake, MI.
 - F. **SUPERFUND:** A superfund project proposal for cleanup of PCB's in Waukegan Harbor has been published, heard at public hearings, and has been accepted by Headquarters and the Illinois EPA. Because site access has been denied by the landowner, superfund monies are being reallocated and implementation has been indefinitely delayed. Superfund has also been involved in initial planning for the St. Louis Bay, MN., Sheboygan, WI and Milwaukee Estuary Areas of Concern.
 - G. **RCRA:** Regional on-site inspections and cleanup of hazardous waste dumps have occurred at two Areas of Concern - Ashtabula, Ohio, and the Grand Calumet/Indiana Harbor in Indiana.
2. Review Revised Water Quality Standards to Determine Impact on Great Lakes:

In the past six months the Great Lakes National Program Office has reviewed the proposed water quality standards changes from five States - all except Illinois. In each case, the Office recommended changes in toxic substances

standards. Water Division sent these recommendations to the States, asking for comments or clarification regarding GLNPO's recommendations. Two states, ^{Ohio and Indiana}, recognized the need to revise their toxics standards. These states were put on an accelerated schedule for revising the toxics standards. Evaluation of the proposed Minnesota water quality standards changes led the GLNPO staff to recommend revision and improvement - that the water quality standards for Lake Superior needed to be more inclusive and restrictive. The GLNPO staff is awaiting Minnesota's response to these recommendations and expects to be actively involved in evaluating the proposed revisions to the Lake Superior water quality standards for toxic pollutants. Wisconsin is still in the process of developing its Toxic Substances Strategy, consulting with the GLNPO and Water Division as it works on the Strategy, as well as in the development of a use attainability analysis for the Milwaukee Estuary/Harbor. Michigan submitted Rule 323.1057 as the basis for its toxic substances water quality standards, which were accepted, pending clarification from the IJC as to whether the concentrations in water are consistent with requirements of the 1978 Water Quality Agreement.

3. Assess Municipal Compliance with Objectives of the Great Lakes Water Quality Agreement: There are currently 205 major dischargers in Region V which discharge to the Great Lakes. Of this number, 34 dischargers need to construct facilities to meet the 1.0 mg/l phosphorus requirement. Two dischargers in Indiana, East Chicago Municipal STP and Portage Municipal STP, have constructed facilities but are not meeting their final limits of 1.0 mg/l phosphorus. Thus, 169 major dischargers are in compliance with the IJC phosphorus requirement - for a compliance rate of about 82%. Of the 36 major dischargers in noncompliance with the IJC requirements, U.S. EPA has taken action against five and the states have taken action against an additional six dischargers. Furthermore, ten of these noncompliant dischargers have been issued permits or orders where they are under construction. These permits/orders place the facilities on a fixed date schedule requiring them to meet the 1 mg/l phosphorus requirement by at least July 1, 1988. The remaining 15 dischargers are being tracked by the Compliance Tracking Unit during monthly/bi-monthly calls to the States to determine the most current compliance status. These facilities are also reviewed during the quarterly compliance report evaluations and file audits. Dischargers that are not actively moving to meet the phosphorus requirement will be surfaced through these procedures and considered for Federal enforcement action.

During the past several years, significant phosphorus dischargers to the Great Lakes have been tracked by the Compliance Tracking Unit. Over this time period, 23 major dischargers have been moved off of the CTU tracking report, as they have come into compliance with IJC requirements. The major reason for these facilities coming into compliance was that they had completed construction of phosphorus removal and/or sludge handling equipment. Additionally, two of the facilities ceased discharge, as the treatment plant was closed when the influent lines tied into regional facilities.

At the request of GLNPO, Water Division established and maintains a list of the 30 municipal STP's that would provide the largest reductions in phosphorus if brought into compliance. These 30 receive special monitoring and prompting toward compliance.

Overall during the first six months of FY 85 compliance remained about the same as last year. Minnesota and Wisconsin continued to maintain their 100% compliance record. Indiana continued to have three noncompliant plants (Valpariso, East Chicago, Portage), Michigan added one noncompliant plant to the "Dirty Thirty" special tracking list - Saline, while Ohio improved slightly with the dropping of Lake County-mentor, which has consistently achieved 1 mg/l. Illinois industrial dischargers continued to meet permit limitations.

Action which the States are taking to reduce NPS loading to the Great Lakes include:

Illinois: Encouraging the local regional planning agency to obtain implementation of the Lake County construction erosion controls in nine cities and villages in that county.

Indiana: Participated in Great Lakes Phosphorus Task Force; developed State Plan to achieve reduction in Lake Erie loadings.

Michigan: Participated in Great Lakes Phosphorus Task Force; developed a State Plan to achieve reduction in Lake Erie and Saginaw Bay loadings. The State has constructed with two regional planning agencies to develop a statewide nonpoint source strategy, one for urban and the other for rural areas. The State is also cooperating with local agricultural agencies in developing erosion control/water quality elements for several sections of the Upper and Lower Penninsulas.

Ohio: Participated in the Great Lakes Phosphorus Task Force and developed a State Plan to achieve reduction of phosphorus in Lake Erie loadings. The State also cooperated with local planning and agricultural agencies to identify critical areas and develop abatement plans and initiate implementation of these plans.

Minnesota: Minnesota is developing a statewide nonpoint source abatement element for its Water Quality Management Plan.

Wisconsin: Wisconsin has a viable, active nonpoint source control program in place, funded by the Wisconsin Fund. Over the past six months, the State has been evaluating the ANSWERS model as a management tool for this nonpoint source control program.

4. Implement the Great Lakes Monitoring Program: GLNPO assures that the Great Lakes monitoring program is being implemented by the States through quarterly receipts of Quik-Look data summaries received from Environmental Services Division. Inspection of the Quik-Look data for State monitoring stations

and parameters analysed. (ESD volunteered this service and wrote the Quik-Look program after GLNPO provided tributary names, station numbers and parameters desired.) GLNPO is checking to determine whether resources are being used for trend monitoring when it checks the Quik-Look retrieval for tributaries, station numbers and parameters analyzed. Detection of emerging problems usually is not provided by monthly tributary monitoring reports. Rather it comes from fish flesh analyses obtained through implementation of the Great Lakes Fish Monitoring Strategy and the annual fish flesh collections. Element Number 4 relates to collections for toxic contaminant trend analyses, while Element Number 3 relates to collections for toxic contaminant emerging problem analyses. The States agreed to the Great Lakes Fish Monitoring Strategy by signing agreements drafted by the GLNPO.

The results of tributary monitoring conducted in the past few years show that tributary loadings are higher than anticipated, given the load reductions reported by the POTW's. The causes of the discrepancy may have been due to unmonitored phosphorus loading from (1) POTW bypasses; (2) lack of CSO controls; (3) data quality problems associated with some analytical laboratories; and (4) phosphorus processing and removal by the sediments in the rivers.

The results of the atmospheric deposition network are not conclusive because only 1981 data are available. Analysis of the 1982 atmospheric deposition data is being conducted during Spring 1985, and results are likely to be released in June 1985. GLNPO is undertaking a major analysis of the Great Lakes Atmospheric Deposition Network.

The results of recent lake surveys indicate that the open waters of Lake Superior, Lake Michigan, and Lake Huron are oligotrophic with localized areas of degradations in several nearshore areas. Remedial programs for reducing phosphorus loadings attributable to sewage treatment plants have resulted in a substantial decrease in total phosphorus loadings to Lake Erie. Total phosphorus loadings from all sources have decreased by 56% over the last 15 years, and annual mean total phosphorus concentrations in the surface waters of the central basin have declined approximately 44%.

The open waters of Lake Ontario showed an average decline of 1.0 ug P/L/Yr since 1970, raising expectations that the target concentration of 10.0 ug P/L will be reached in 1986. Loading reductions in Lake Ontario are also due to POTW performance and decreased loadings from Lake Erie.

For complete analysis of trends for several nutrients and contaminants in the Great Lakes, please refer to Chapter 4 of the Water Quality Board Report for 1985.

5. Implement NPS Controls in Lake Erie and Saginaw River Basins: Efforts which the States and GLNPO are making to ensure NPS implementation include: various State plans to track agricultural land use changes and implementation of BMP's; tracking plans contained in the U.S. Plan; GLNPO's support of a demonstration project utilizing remote sensing to track changes in conservation tillage implementation; and GLNPO's support to Ohio DNR to identify cost-effective tracking systems, using existing data bases. Results of NPS implementation will be modeled to determine changes in water quality improvements, and annual/periodic surveys will be utilized to check the predictions of the models.

Ohio EPA gives this estimate of the number of acres in the Lake Erie Basin with BMP's in place from 1983 and 1984 as:

6. Prepare Phosphorus Load Reduction Plans for Lake Erie, Lake Ontario and Saginaw Bay. Drafts of the "U.S. Plan for Phosphorus Load Reductions from Non-point and Point Sources on Lake Erie, Lake Ontario and Saginaw Bay" and the detailed "Task Force Report" were submitted to Headquarters during April 1985. The final versions of these reports will be completed in May.

The States generally enlisted aid from other institutions in the State to expand their staff: Michigan relied heavily on the senior staff of the Soil Conservation Service; Indiana relied heavily on faculty at Purdue University; and OEPA relied for help on Ohio DNR. GLNPO assigned a staff detail to the work and obtained expert assistance to aid in developing the full U.S. Plan as well as writing the summary of the U.S. Plan. GLNPO also relied on Water Division staff for assistance.

FY85

Mid-Year Evaluation of Region V

National Objective: Implement the Section 404(b)(1) Guidelines

Activity: Review and assess the environmental impact on Public Notices for permit and refer those projects for evaluation where the COE/EPA disagree.

Analysis of Regional Program:

The Region receives approximately 1500 public notices a year from (9) Corps of Engineers Districts. All public notices are reviewed and comments prepared and submitted in accordance with applicable regulations. The response time vary between 15, 20, and 30 days from the COE publication of the public notices. Due date for responding was met 90% of the time. The Region was successful 89% of the time in convincing the COE to incorporate EPA's comments and/or recommendation in permit decision on all public notices reviewed.

SPMS Reporting

The tables below depict the actions that have been taken through the reporting period.

PUBLIC NOTICES THAT WERE RECEIVED AND RESPONDED TO
DURING THE REPORTING PERIOD

	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE	JULY	AUG	SEPT
RECEIVED	138	69	80	104	109	91						
CUMULATIVE TOTAL		207	287	391	500	591						
RESPONDED	129	67	78	80	82	64						
CUMULATIVE TOTAL		196	274	354	436	500						

NUMBER OF UNRESOLVED §404 PUBLIC NOTICES FROM PREVIOUS QUARTERS
WHICH RAISED SIGNIFICANT ISSUES

CARRY OVER	1st QT.	2nd QT.
	53	32

These numbers will vary based on the COE ability to issue or deny applications for permits. The resolution to these applications are reflected in the monthly reports Region V receives from the COE. These reports are received one month behind.

ACREAGE OF WETLANDS IMPACTED BY ACTIVITIES WITH SIGNIFICANT EPA INPUT

Acres of Wetlands Proposed to be Filled by Applicants	Acres of Wetlands that EPA has Recommended be Permitted to be Filled	The Percent Reduction in Acreage Filled that would Result from Implementing EPA's Recommendation
233.28 Acres	31.54 Acres	86%
	Acres of Wetlands Permitted to be Filled by the COE	The Percent Reduction in Acreage Filled that Resulted from the COE Issued Permit.
	33.35 Acres	85.7%

Status On AID ProgramWISCONSIN

EPA and COE have signed and distributed the public notice initiating AID for all primary environmental corridors in the SEWRPC area on March 4, 1985. The identification process should be completed by May 4, 1985, and we expect to find that all primary environmental corridors are unsuitable for the disposal of dredged or fill material. We have already received support from USF&WS and BLM.

ILLINOIS

Twenty-nine sites were found unsuitable for filling under AID in Lake County. The comment period closed on February 6, 1985, and EPA and COE will prepare and maintain a final Basis and Record of Decision for those sites. However, IDOT (DWR) raised an objection to the process and asked for a meeting with EPA and COE to resolve differences. Dave Beno will arrange the time and place. The earliest tentative date for all participants to meet is May 21, 1985.

Aerial surveillance of Mc Henry, Cook, Kane, Du Page and Will Counties was conducted on November 15 and 16, 1984, by Tom Glatzel. Photos and list of sites were turned over to Dave Beno. He will prepare a Public Notice for these sites as soon as possible.

INDIANA

The survey of Kosciusko County is complete, and all AID participants on the site visits had reached tentative agreement on a list of suitable and unsuitable sites and the language of the Public Notice. However, the management level of the Louisville COE District objected to the inclusion of the entire Tippecanoe River and we are now attempting to resolve this disagreement.

MINNESOTA

A request to OFA for funds to designate the Savage Fen as unsuitable under AID was denied for FY85. They may reconsider for FY86. We also asked Gene Wojcik about EOY FY85 EIS funds. We discussed focusing AID on major wetland systems adjacent to lakes that may play a part in WQ control. MDNR is interested, as is USF&WS and St. Paul COE.

Status On State Delegation

A draft of the final revised State regulations were completed on March 28, 1985. As an on-going policy, we have discussed assumption of the 404 program with each State. A special effort was made with the State of Minnesota regarding assumption of the 404 program in the first quarter, however the State advised that they were not interested in the assumption at that time. The reason is that they have taking on other initiatives that requires all of their attention. On August 1, 1984, Michigan became the first State in the Nation to receive Federal authority to administer and enforce within its boundaries the Clean water Act (CWA) Section 404 program. Since the assumption of the 404 Permit Program, EPA has received 26 public notices for proposed projects to review and evaluate. All public notices were coordinated with U.S. Fish and Wildlife Service and COE for their input. The Region has conducted an audit on January 23, 1985 on the State program and found no irregularities in their operation. The State submitted their Annual Report with an analysis of their program. Our analysis indicates that Michigan has an acceptable program.

FY 85

Mid-Year Evaluation of Region V Water Program

National Objective: Improve NPDES Program Management to Reduce Backlog of Expired Major Permits and Issue Major NPDES New Source and New Discharge Permits

Activity: Issue/Reissue Industrial and Municipal Permits

Analysis of Regional NPDES Permit Programs:

A Regional Summary

In Region V, all NPDES permit issuance programs are delegated to the States and FY 84 and FY 85 Regional program guidance emphasizes the need for substantial reduction of the major permit backlog by the end of FY 85. State projections for reissuing industrial and municipal permits received and State commitments are being tracked. State programs are monitored closely and technical assistance is being provided as resources allow. The following is a summary of commitments and accomplishments.

<u>Cumulative Total</u>	<u>2nd Q</u>			<u>3rd Q</u>			<u>4th Q</u>		
<u>Category</u>	<u>P</u>	<u>A</u>	<u>%</u>	<u>P</u>	<u>A</u>	<u>%</u>	<u>P</u>	<u>A</u>	<u>%</u>
		*	*						
Industrial	(127)	80 (91)	63 (72)	(194)			(292)		
Municipal	(122)	98 (102)	80 (84)	(180)			(250)		
Total	(249)	178 (193)	71 (78)						

* Includes "no permits required (NPR)" determination

For the second quarter the major municipal backlog was reduced by 102 permits, 84% of the 122 permit commitment. The 102 permits included 98 reissued permits and 4 that were reviewed and officially determined to be no permit required (NPR). Three States, Illinois, Indiana, and Michigan, issued at least 100% of their major municipal commitments. The major industrial backlog was reduced by 91 permits, 72% of the 127 permit commitment. The 91 permits included 80 reissued permits and 11 NPRs. Michigan also achieved 92% of its industrial commitment, the highest of all the States, with 24 permits, which included 21 reissuances and 3 NPRs. Refer to Table 1, Monthly Status Report For Major Industrial and Municipal NPDES Permits, period ending March 31, 1985, for analysis of Regional and State permit activities, Attachment 1.

The difference between the Regional commitments to Headquarters and accomplishments, and those of the States, is due to Headquarters reluctance to credit NPRs. Since such NPRs reduce the backlog, we are crediting NPRs for the States. We have also raised this as an item to be resolved as soon as possible with Headquarters. (See April 15, 1985, memorandum from Sutfin to Prothro, following the table and graphs) State and Regional commitments for FY 85 included some NPRs. The slight difference between projected accomplishments for Headquarters (Part A) and the States (Part B) results from allowing Michigan to reduce its mid-year commitments by one industrial and four municipals and to increase its third quarter and fourth quarter commitments. The change was so slight that the Headquarters commitment was never revised.

Of the 193 permits processed, 77 (40%) were in priority water bodies.

Other Significant Accomplishments

- Detailed evaluations of State NPDES permit programs were conducted in Indiana on December 5-6, 1984, Wisconsin on December 10-12, 1984, and Illinois on January 13-14, 1985. Written reports were transmitted to Illinois, Indiana and Wisconsin.
- The Permits Section is utilizing the IBM/Personal Computer to track State permitting commitments. This information is being used in monthly conference calls with the States and in written reports to identify progress.
- The EPA Industrial Technology Workshops, conducted with Headquarters and Regional staff, were held for Ohio (January 29-30, 1985), Michigan (February 5, 1985), and Illinois (February 20-21, 1985), and Indiana (April 17, 1985) to cover areas of effluent guidelines where States are expected to have questions. These meetings were well attended by State permit writers. Wisconsin and Minnesota were not scheduled because of no outstanding guideline issues.
- JRB contract assistance has been provided to help the Ohio EPA to draft five major industrial permits. JRB assistance was also obtained to help Minnesota draft a permit for the 3M Chemolite Plant. Region V's EDO is also providing technical permit drafting assistance to Ohio.
- A grant was obtained for Michigan DNR to enable the State to start a chronic biomonitoring program addressing toxicant controls in NPDES permits. A similar grant for Wisconsin is expected in April. The Region expanded its biomonitoring capability from 1 W.Y. to 3.5 W.Y.
- The Region raised concern to Headquarters regarding proposed regulations that would establish an additional mixing zone (zone of initial dilution (ZID)). The Region's comments were largely instrumental in modifying the policy so that it is now considered acceptable.
- A number of face-to-face meetings have been held with the States to address policy and procedure issues to better address toxicants and reduce administrative problems. This has resulted in better quality and quantity of permits (Wisconsin municipal toxicant strategy, Ohio water quality toxicant issues, etc.). The Region has worked with Wisconsin to revise their toxicant water quality permit strategy. Wisconsin is now addressing organic and other industrial toxicants in municipal discharges. This will result in toxicant limitations and special monitoring requirements being established for most major municipal discharger permits. This joint policy resulted from the Region's previous proposed veto of the Milwaukee permit. The new policy has also tightened the State's industrial limitations policy.
- Regional Combined Sewer Overflow (CSO) policy activities ongoing. Initial CSO draft policy completed 9-30-84, and subsequently revised. (Revised draft to State on 1-9-85, for this review. Several States are utilizing permit reopening clause until CSO-Bypass Policy is finalized and approved by States. All States except Illinois and Michigan responded. Michigan has committed to respond after April WRC meeting. Illinois has review underway and comments expected soon. CSO policy will be discussed during meeting in May with States.

- Permit Section is working with Planning and Standards Section on Water Quality Standards work group that includes State representatives.

NPDES PERMITS

Response to Questions in Qualitative Measures for Mid-Year

1. FY 85 Regional Guidance to the States focused on issuance of NPDES permits that limit the discharge of pollutants, including toxicants, to navigable waters to meet water quality and technology based requirements as soon as practicable and on the elimination of the backlog of expired major permits in FY 85 and reissuance of permits consistent with priorities, deadlines in national policy, guidance and regulations. A State/EPA mutually agreed major dischargers list was available prior to the start of FY 85. All States except Illinois, submitted schedules, with named facilities, for drafting, public noticing and reissuance by month or fiscal quarter. These were entered into the Permits Section IBM/Personal Computer and are being tracked. Illinois submitted only the number of permits it will issue each month. State commitments are being tracked and include monthly conference calls with permitting and pretreatment staff to update status and resolve issues impacting permit issuance. Letters assessing progress are sent to the State Directors and staff routinely.

It is anticipated that most of the major permit backlog will be eliminated this year. There will be an agreed upon permit carryover in two States, Ohio and Michigan. Because of the tremendous workload it is anticipated that water quality and other issues will arise that may prevent the issuance of some permits. However, the Region will continue to actively work with the States to reduce to a minimum the backlog while continuing to ensure the quality of permits.

Each major permit is reviewed by the Region prior to issuance by the States for consistency with Federal and State requirements. Usually, the Region works with the States early to assure that all significant water quality toxicant and other issues are addressed. However, at times, policy or technical differences have occurred. A misunderstanding arose in Ohio concerning use of water quality standards to develop toxicant limits. Coordination with Water Quality Standards Section resulted in several telephone conversations with State staff followed by a conference in Columbus that appears to have resolved the issue. Similarly, Wisconsin was not fully addressing toxicants in municipal permits. We then worked with them to develop a municipal toxicant strategy which they are now implementing. We have asked Minnesota for additional justification for four permits on matters dealing with design flow, and limits less stringent than those in the previous permits. State progress is mixed. State-by-state and mid-year evaluations are covered in Attachment 2. Because of the large number of permits to be issued, continuing effort is needed by each State to draft, public notice and reissue permits to meet FY 85 commitments. Any new activity or competing activity reduces the limited resources available for the State permitting effort. All EPA programs must be careful not to identify new activities in FY 85 that take away the already limited State effort devoted to permitting.

Minnesota and Ohio are being provided contract support, Headquarters and Regional, to help develop permit conditions. However, Ohio contract assistance has been discontinued because the contractor developed permits that did not address water

quality toxicant issues. All other States decided not to use EPA contract support. There is a feeling in these States that the amount of time and effort required in working with the contractor and the resultant product is not worth the effort. Some States asked that the contractor staff be assigned full time to the State. This could not be accommodated.

States are utilizing biomonitoring, special chemical analyses and other monitoring requirements and reopening clauses in permits to surface and confirm toxicant discharge problems which need to be controlled. The States have or are increasing their staffing and efforts in this area. Along with the previous static monitoring they and we are developing and implementing the capability to conduct chronic biomonitoring tests and in addition to do limited Ames or other tests to try to surface mutagenicity problems. Presently five of our States are doing biomonitoring on a routine basis at selected sites. Major effort is being focused on the municipal toxicant problem through pretreatment program development and implementation. The focus is on toxicants outside the national priority pollutants that may cause local water quality problems. The existing national monitoring strategy has not been of assistance since it has very little focus on emerging problems. Hopefully, proposed revisions will rectify this.

The Region and Headquarters Industrial Technology Division staff conducted State specific training sessions for four States that needed help in addressing questions regarding implementation of the guidelines. These workshops were very effective in moving the permit issuance process. The States are issuing permits where guidelines are issued and utilizing limited BPJ to cover parameters not addressed by guidelines. However, the States, in general, have been reluctant to move ahead to utilize BPJ in the organic chemical or other industries where BAT has not been issued. We would suggest that because of the highly complex nature of the organic chemical and related industries that the most reasonable way to move forward would be to turn guideline information over to the States/Regions and have them develop site specific BAT/BPJ. Headquarters guidelines staff would provide technical assistance.

Generally, the States are incorporating the new secondary treatment definition, case-by-case, at the time of reissuance rather than by permit modification. Several cases of potential backsliding have been identified. The backsliding regulations are vague in some cases, such as "new information", and open to several interpretations. States are continually reminded to develop fixed date schedules for municipalities consistent with the National Municipal Policy. Some of the municipalities have objected to complying with the NMP without federal financing and litigation is expected; therefore, their permits cannot be issued as projected.

Issues: Headquarters needs to recognize that in pressuring the Regions and States to reissue permits that they must also address quality, as well as quantity. We have been told by dischargers with facilities in other Regions that Region V and its States are requiring more than other Regions in the control of toxicants. They report that others are not fully addressing toxicants unless they are covered by effluent guidelines and certainly are not looking at human health implications. The Headquarters draft permit toxicant strategy is a good strategy. We would like to see a more active role by Headquarters in assuring that all Regions are addressing toxicant issues and not just focusing on acute toxicity. We do not want to place our dischargers, both direct and indirect, at an undue economic disadvantage.

2. Activity: Issue/Reissue General Permits

The Regional strategy for FY 85 has been to assist States in obtaining general permit authority where needed and utilize general permits to reissue minor permits without impacting the issuance of major permits or pretreatment activities. All States were provided with guidance and sample permits. Michigan and Ohio must first take legislative action to amend their laws before they can issue general permits. The Region and Headquarters assisted Michigan by funding a contractor study on the necessary revisions to the State's rule to allow issuance of general permits. The first phase was completed; however, additional work on general permits has been postponed until FY 86 because of the press to reissue major permits. Michigan is expected to need contract assistance in FY 86 to develop needed legislation and regulations. Ohio also received the same type of assistance and the contractor has reviewed the State's statutory authority. There is a need for additional Headquarters funding to continue work in Ohio. Illinois received authority to issue general permits on January 4, 1984, but has not issued any to date. Indiana has statutory authority but the Region has been unable to get the State to submit a program modification to date. The Wisconsin general permit modification was processed and is awaiting Headquarters approval (submitted on 2-1-85) which is overdue and expected shortly. The Region has been working with Minnesota. A draft request was reviewed and the State is expected to submit a formal program modification in the fourth quarter of FY 85.

Issues: Need for Headquarters contract assistance

3. Activity: Conduct Evidentiary Hearings

There are no EPA evidentiary hearings pending in the Region since all programs are delegated. FY 85 guidance to the States required expedited processing of permit hearings affecting major permit issuance. EPA provided supplemental Section 106 funds to Michigan DNR to hire a hearing officer to help reduce the backlog of permits under litigation. To date, no State other than Wisconsin has cited scheduled or ongoing hearings as a serious impediment to reissuing any specific majors. There is a reluctance among the States to go to hearing; however, because of the large amount of staff time required to negotiate and resolve permit issues. Wisconsin has had to divert resources to work on the Scott Paper, Owens Illinois and Milwaukee MSD hearings.

Issues: None

4. Activity: Review and Approve/Deny Variance Requests

The Region has been working with the States and Headquarters to process variance requests that impact major permit reissuance. A summary of variance requests is shown in Attachment 3.

Issues: The 301(g) variance process has been very resource demanding, the format for Headquarters approval revised and several major permit reissuances delayed. We are updating several of our previously submitted 301(g) variances utilizing the new format. We understand Headquarters is considering the delegation of approval authority for 301(g) variances to the Regions. The Regions supports this effort.

TABLE 1
MONTHLY STATUS REPORT FOR MAJOR INDUSTRIAL AND MUNICIPAL NPDES PERMITS
DATE: March 31, 1985

A. REGION'S FY 1985 PERMIT ISSUANCE COMMITMENT TO HEADQUARTERS - SPMS

Cumulative Total	1st Qtr			2nd Qtr			3rd Qtr			4th Qtr			P = Projected
	P	A	%	P	A	%***	P	A	%	P	A	%	
INDUSTRIAL	(42)	35	83	(127)	80	(91)	63(72)	(194)		(292)			% = Percent projected
MUNICIPAL	(61)	37	61	(122)	98(102)	80(84)	(180)			(250)			

B. STATE'S FY 1985 PERMIT ISSUANCE COMMITMENT TO REGION (FY 85 PROGRAM WORK PLANS)

State	Total Majors Expired or Expiring in FY 85	State Commitments Cumulative					Public Noticed Not Issued	EPA Comments		Issued	% of Commitment	
		Major						Exceed 30 days *	Not Resolved 60 days **		Q2	Total
		10	20	30	40							
		13	36	54	73							
IL	IND 73						5	0	0	27	75	37
	MUN 86	25	35	55	75		19	0	0	36	103	48
IN	IND 41	8	24	33	41		15	0	0	12	50	29
	MUN 59	7	24	41	59		11	0	0	26	108	44
MI	IND 104	9	26	46	74		14	0	0	24	92	32
	MUN 26	5	8	23	26		9	0	0	8	100	31
MN	IND 7	0	5	5	7		1	0	0	2	40	29
	MUN 16	6	10	12	16		7	0	4	5	50	31
OH	IND 121	10	33	62	107		34	0	0	25	76	23
	MUN 59	16	27	39	56		12	0	0	17	63	30
WI	IND 4	1	2	2	4		1	0	0	1	50	25
	MUN 26	5	14	15	23		3	0	2	10	71	43
TOTAL	IND 350	41	126	202	306		70	0	0	91	72	30
	MUN 271	64	118	185	255		61	0	6	102	86	40

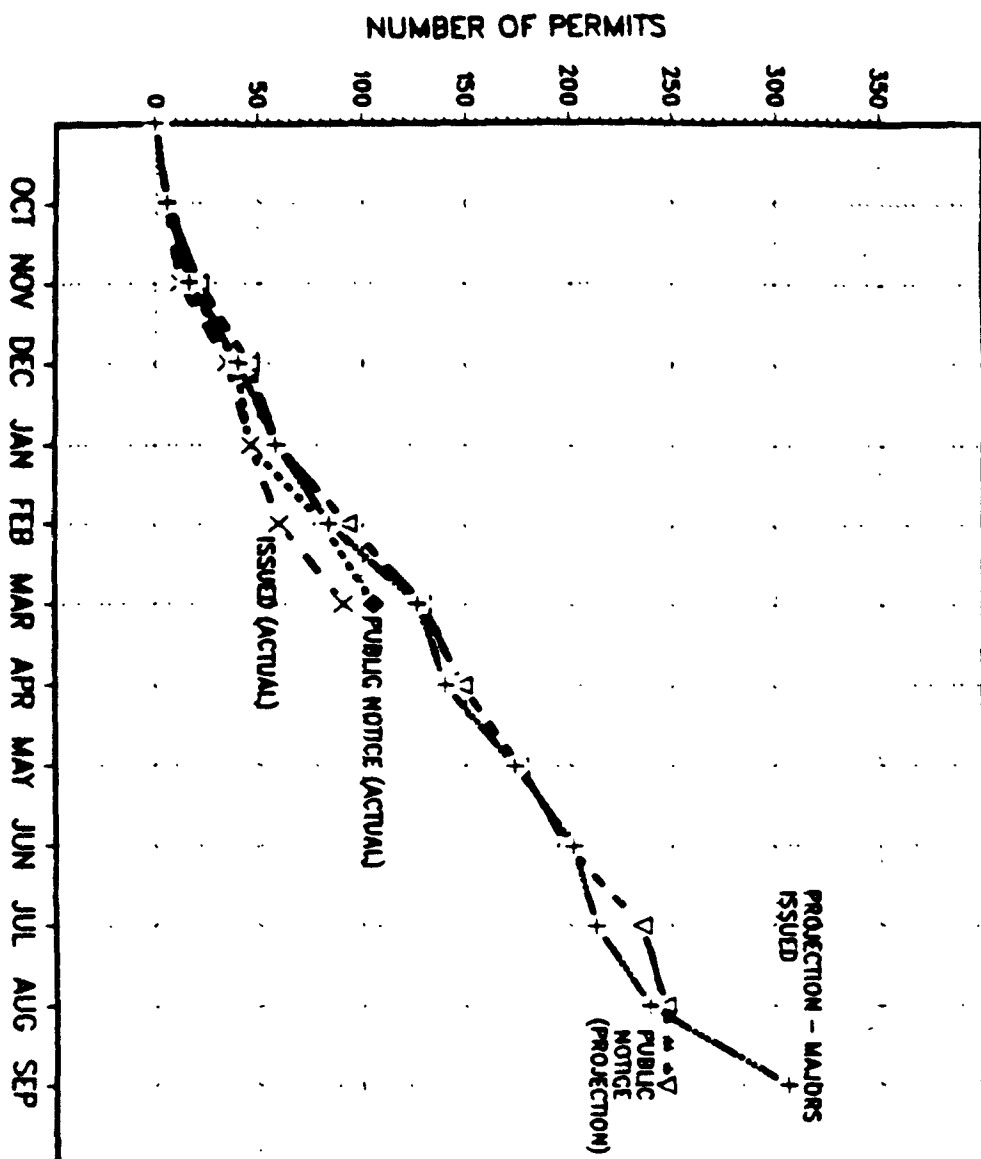
* Number of permits. Region has not formally commented on state permit and period exceeds 30 days from date of receipt.

** Number of permits. Region's comments still unresolved and period exceeds 60 days from date of transmittal.

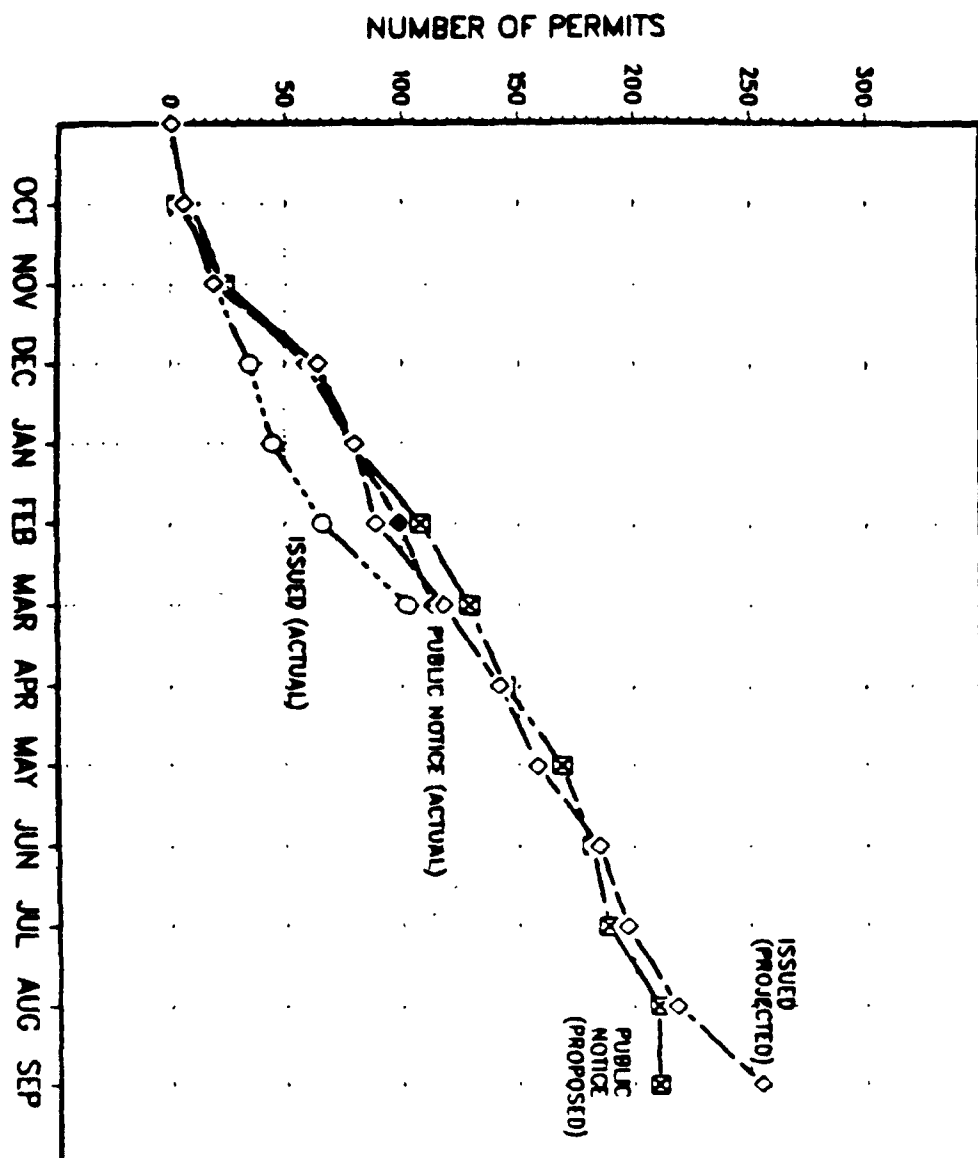
*** If NPRs are credited, the 63% for industrials would increase to 72% and the 80% for municipals would increase to 84%.

NOTE: See Regional and State graphs following tables

FY85 NPDES MAJOR INDUSTRIAL PERMIT ISSUANCE REGION V

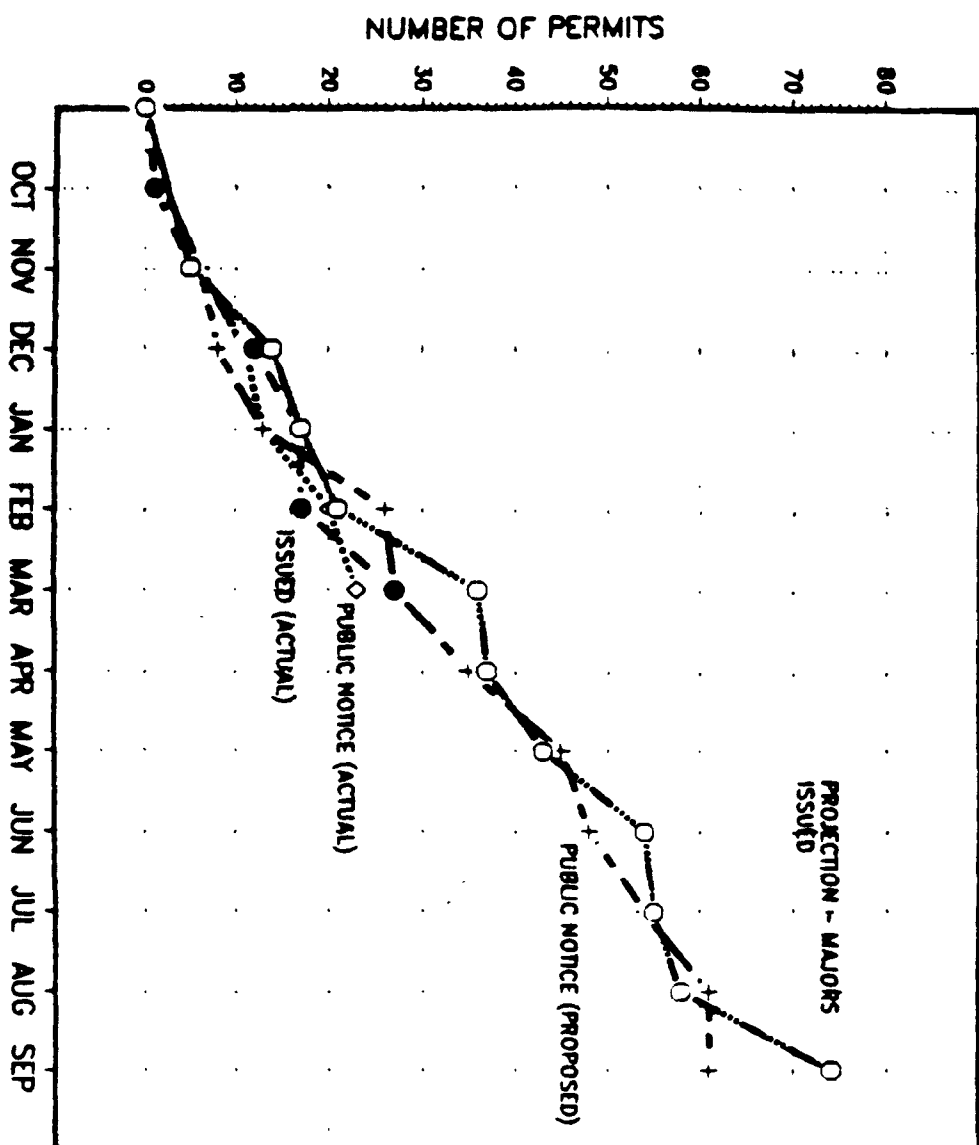


REGION V MAJOR MUNICIPAL PERMIT ISSUANCE FY85 STATUS REPORT - AS OF MARCH 31, 1985

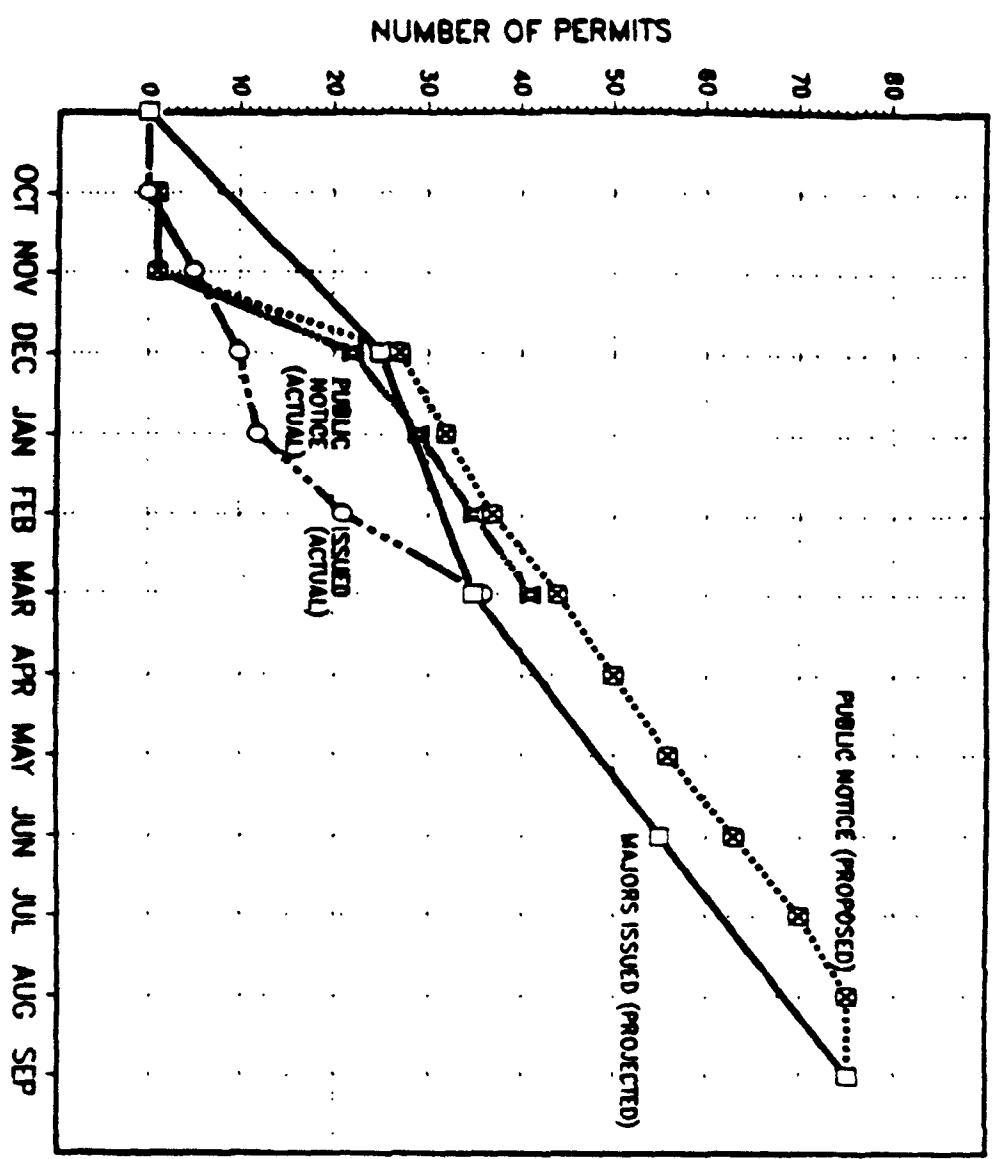


APR 22 1985

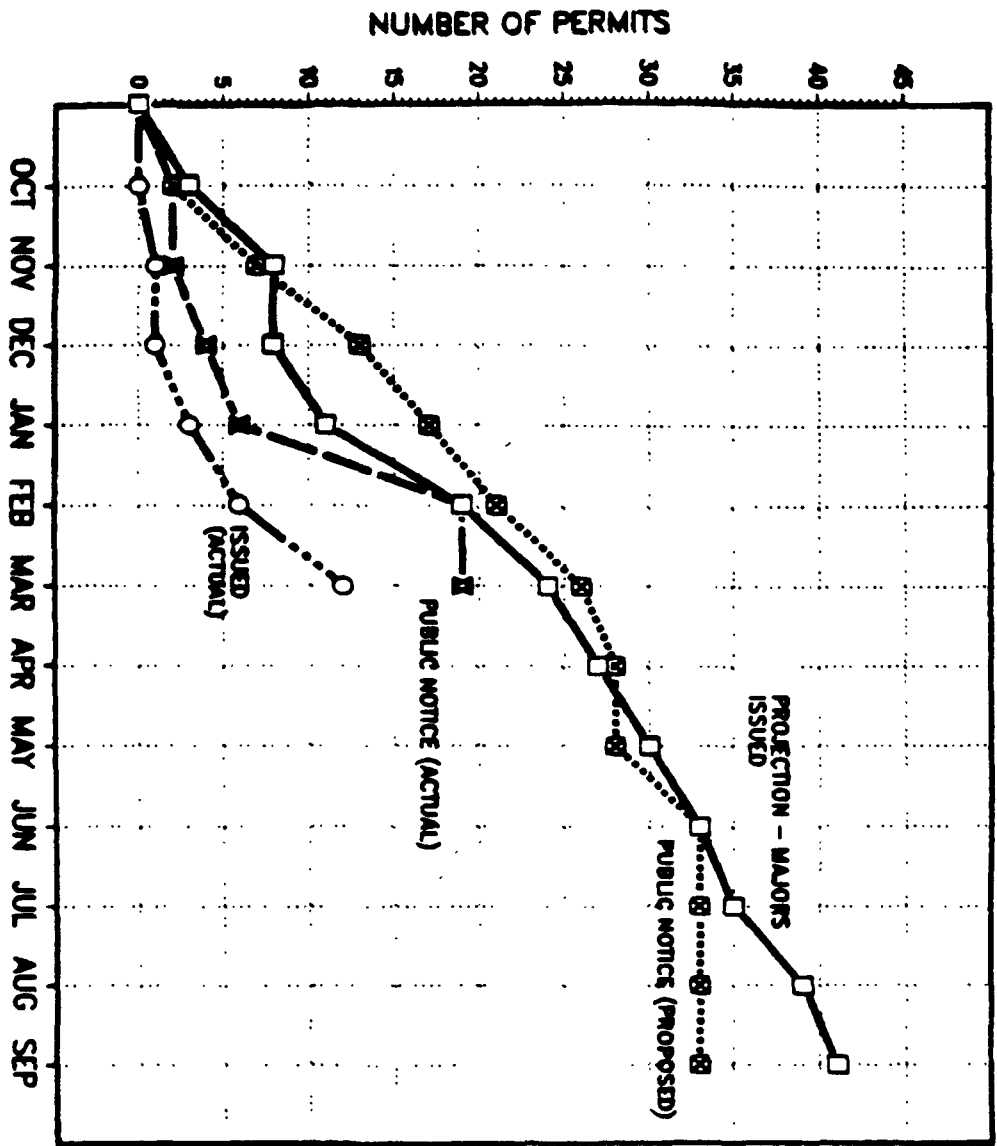
STATUS ILLINOIS FY85 NPDES MAJOR INDUSTRIAL PERMIT ISSUANCE MARCH 31, 1985



STATE OF ILLINOIS
STATUS REPORT FY85 PERMIT ISSUANCE
MUNICIPAL MAJORS
AS OF MARCH 31, 1985

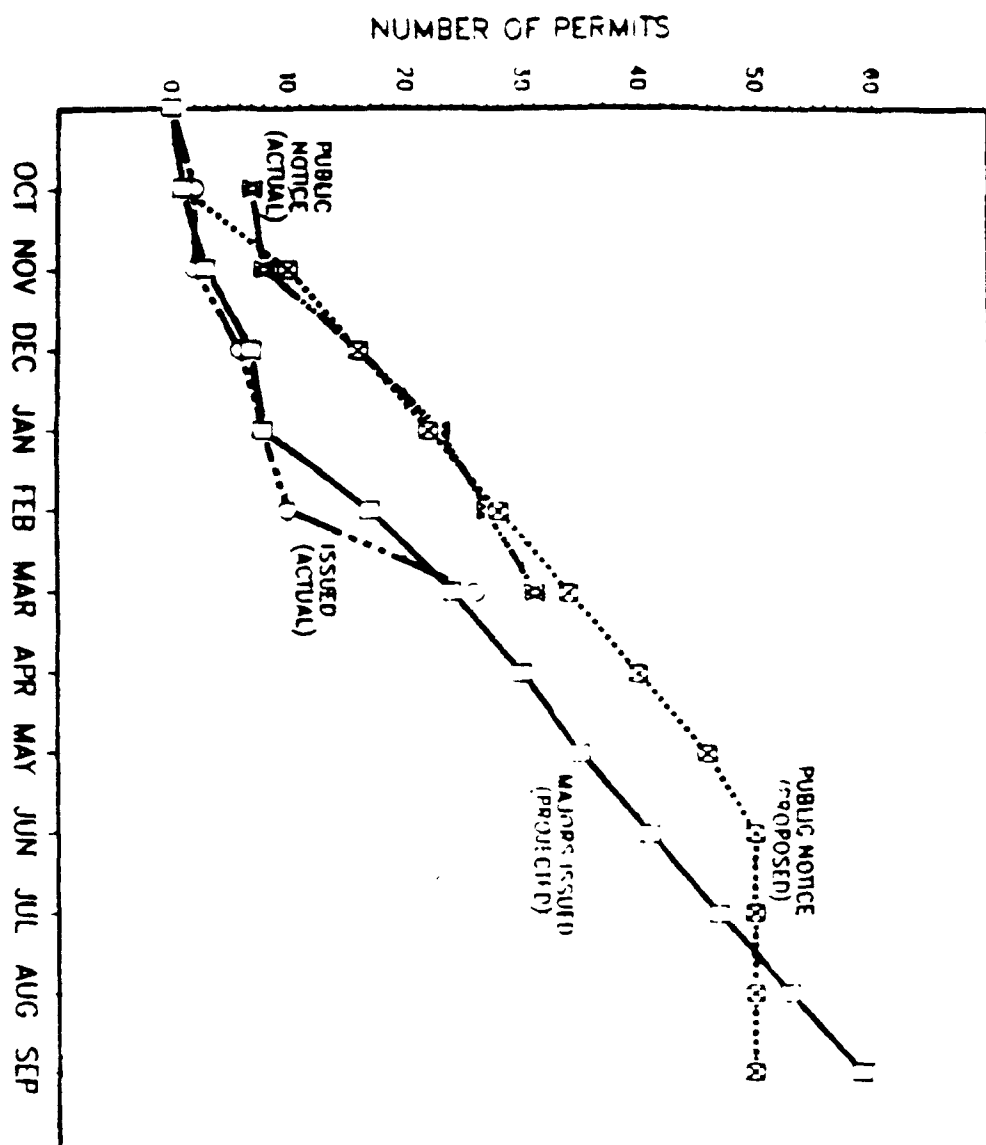


STATUS INDIANA FY85 NPDES
MAJOR INDUSTRIAL PERMIT ISSUANCE
AS OF MARCH 31, 1985



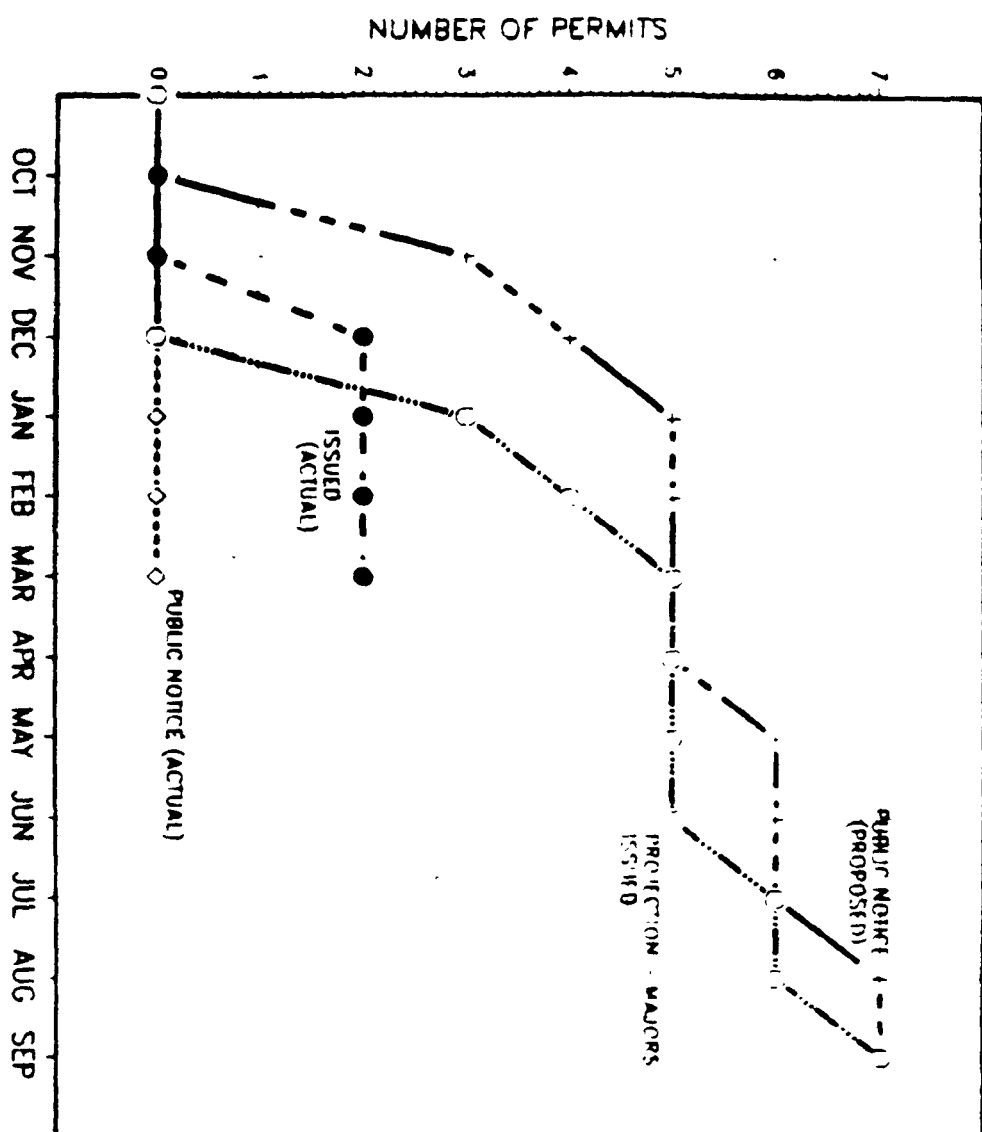
APR 22 1985

STATE OF INDIANA
STATUS REPORT FY85 PERMIT ISSUANCE
MUNICIPAL MAJORS
AS OF MARCH 31, 1985

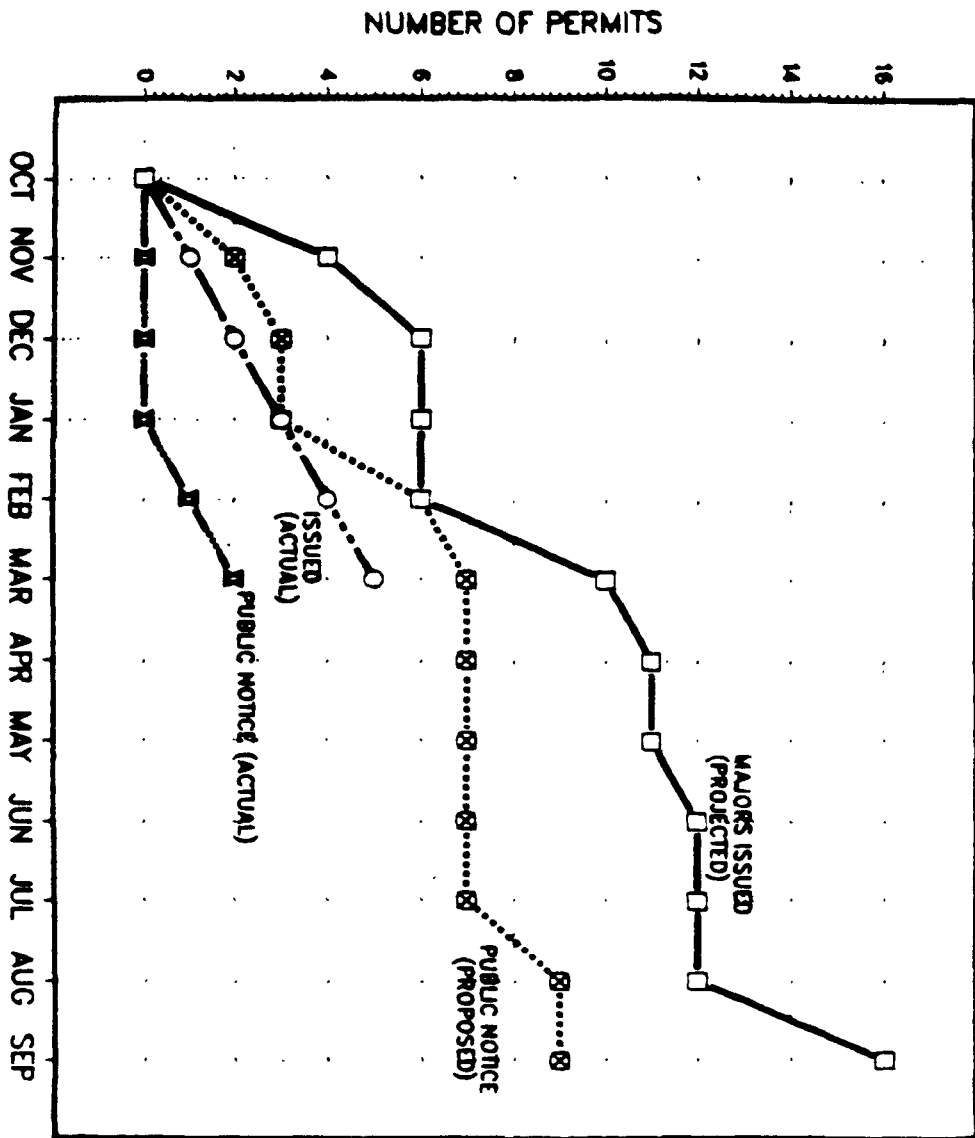


APR 22 1985

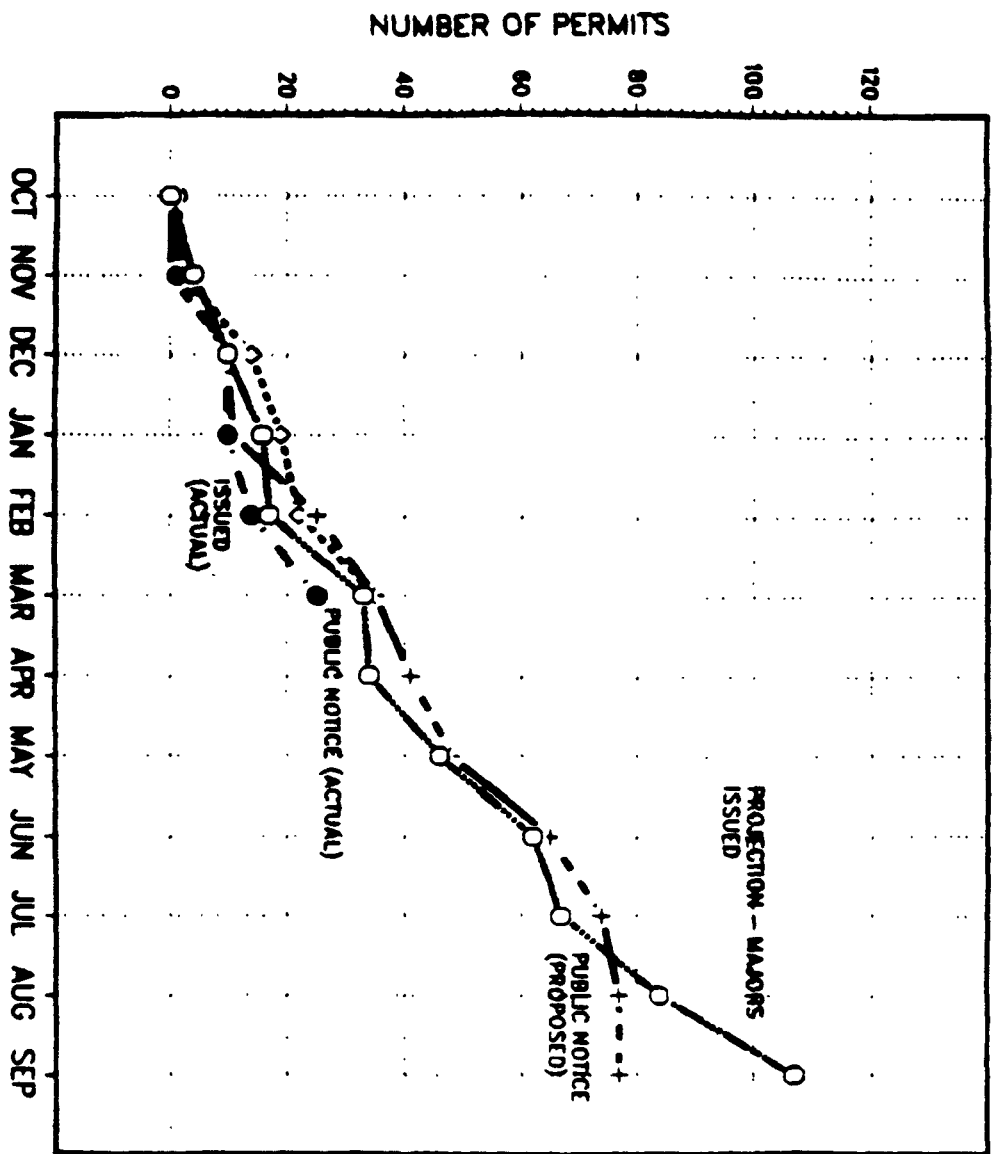
STATUS MINNESOTA FY85 NPDES MAJOR INDUSTRIAL PERMIT ISSUANCE AS OF MARCH 31, 1985



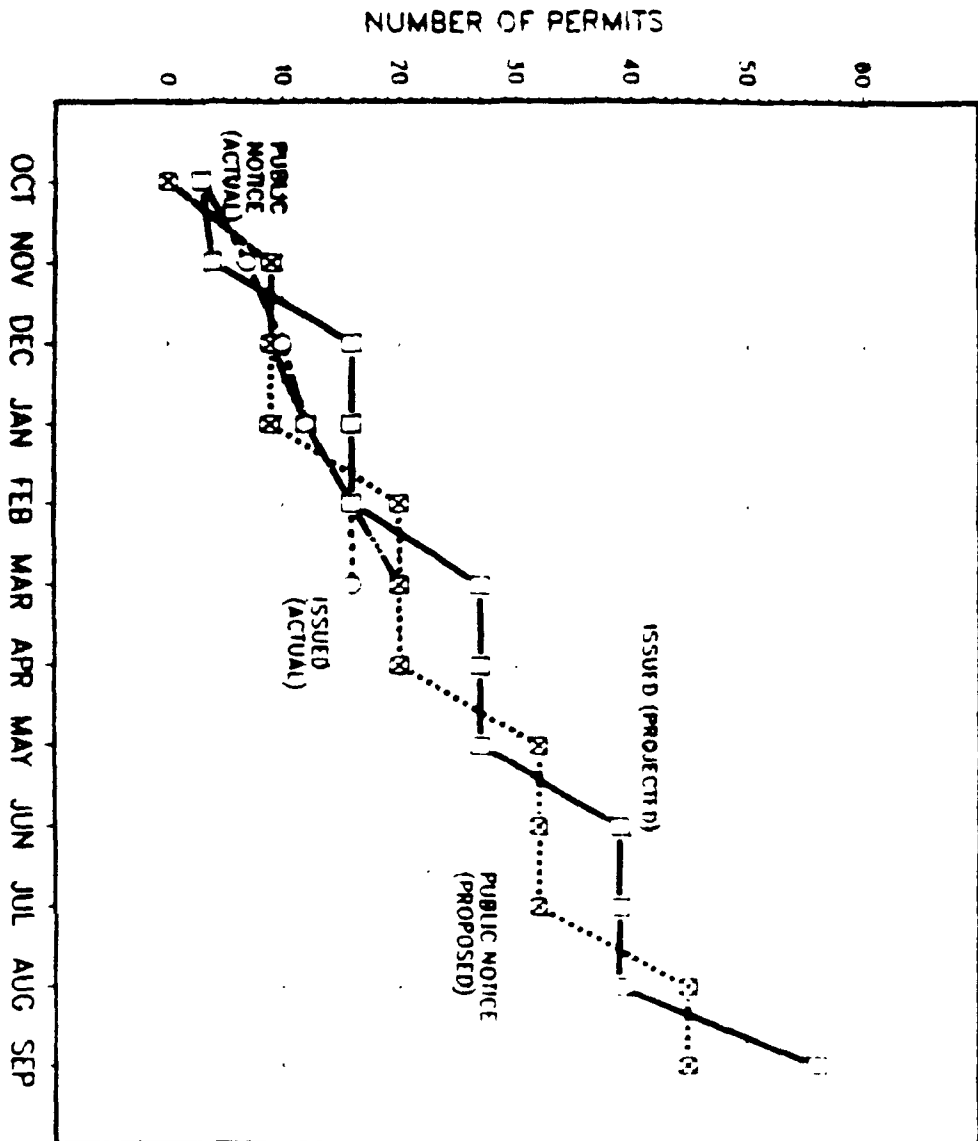
STATE OF MINNESOTA
STATUS REPORT FY85 PERMIT ISSUANCE
MUNICIPAL MAJORS
AS OF MARCH 31, 1985



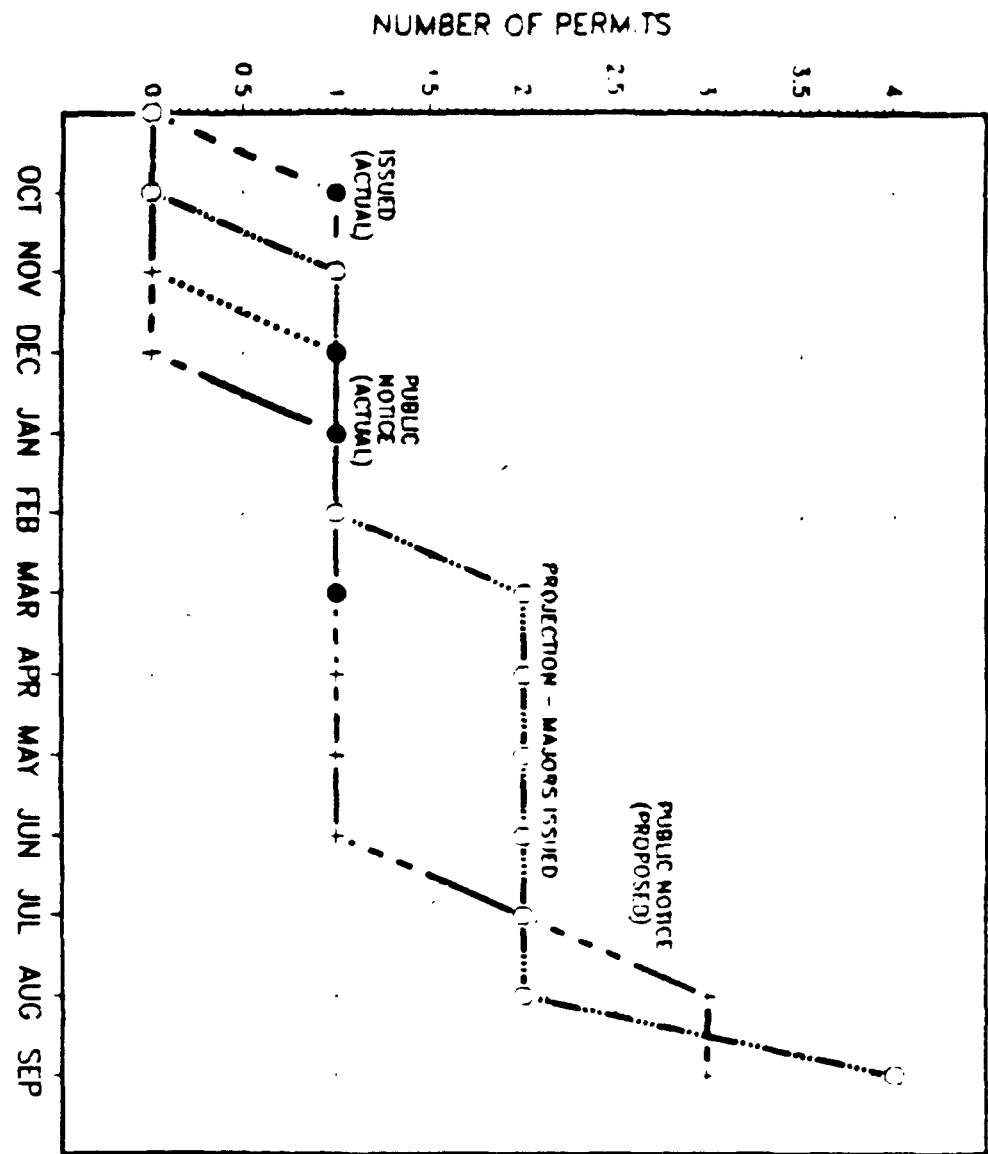
STATUS OHIO FY85 NPDES
MAJOR INDUSTRIAL PERMIT ISSUANCE
AS OF MARCH 31, 1985



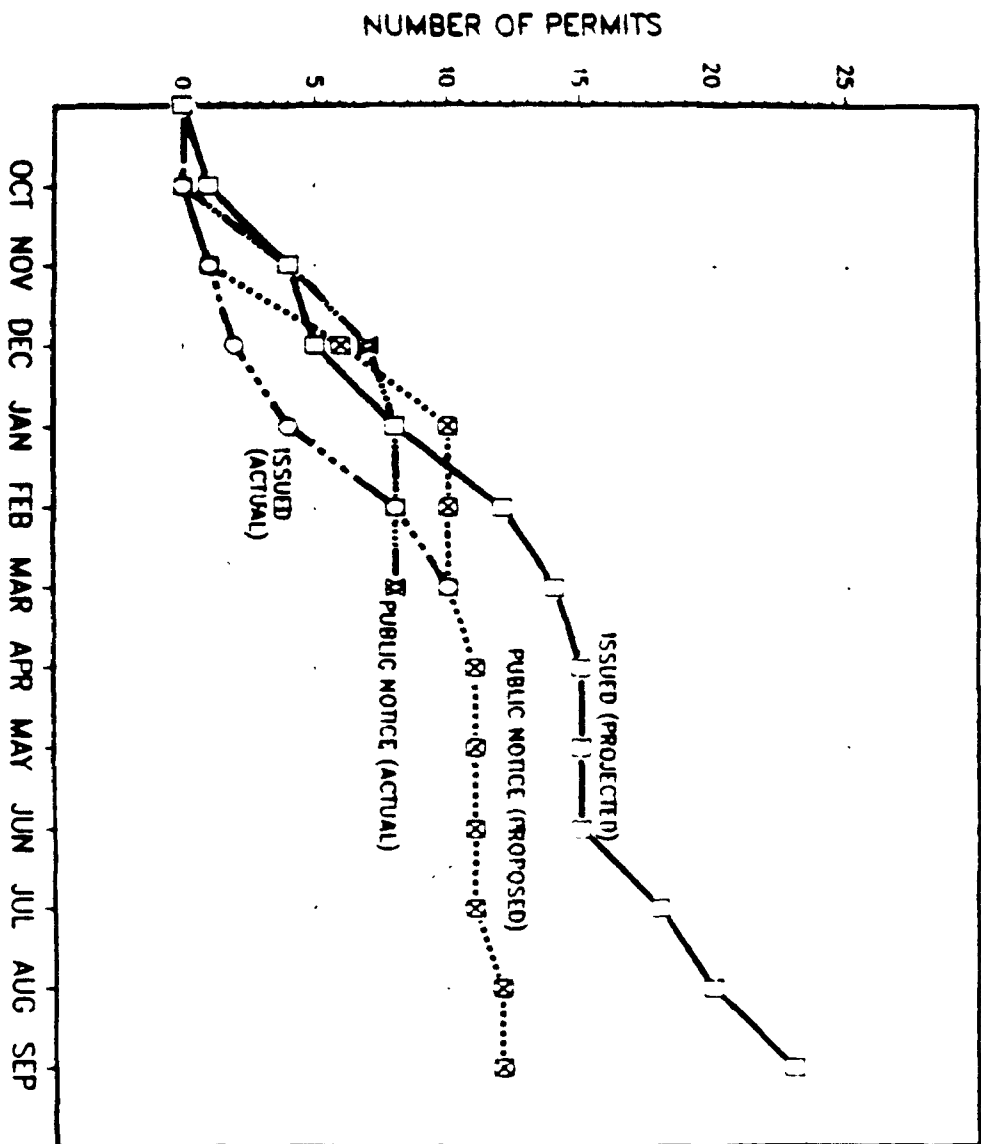
STATE OF OHIO
STATUS REPORT FY85 PERMIT ISSUANCE
MUNICIPAL MAJORS
AS OF MARCH 31, 1985



STATUS WISCONSIN FY85 NPDES MAJOR INDUSTRIAL PERMIT ISSUANCE AS OF MARCH 31, 1985



STATE OF WISCONSIN
STATUS REPORT FY85 PERMIT ISSUANCE
MUNICIPAL MAJORS
AS OF MARCH 31, 1985



APR 22 1985

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION V

DATE: APR 5 1985

SUBJECT: Reducing the Backlog of Major NPDES
Permits and FY 85 SPMS Commitments

FROM: Charles H. Suttin, Director, Water Division (5K)

TO: Martha Prothro, Director,
Permits Division (EN-336)

In our negotiations with the States, we clearly defined that our goal was to eliminate the backlog of major permits by the end of FY 1985. State and Regional commitments, except for a few, generally reflect that goal. At the beginning of the year, States reported that a few of the majors may not require permits (NPR) because they may have been required to cease discharging or to connect to some other facility and would thus have eliminated their discharges. We directed the States to make certain that either the discharge was eliminated or that a permit was reissued in FY 1985. Therefore, State/Regional commitments include a few major permits that will become official NPRs in FY 1985. An official NPR is a facility which is formally identified by the State as having no discharge and, as such, no longer needing a NPDES permit.

These facilities are then coded "inactive" in PCS. Since this reduces the backlog we have been crediting these as issued majors. We understand that Headquarters may have some difficulty crediting these, even though they can be identified as NPRs in the PCS inactive section.

The following sheets for NPDES Industrial Permits, WQ 1-4, and Municipal Permits, WQ 5-8, show only the actual permits reissued. The actual number of permits eliminated from the backlog through the second quarter is shown below:

<u>Category</u>	<u>Target</u>	<u>NPR</u>	<u>Reissued</u>	<u>Total</u>	<u>% of Target</u>
Industrial	127	11	80	91	72
Municipal	122	4	98	102	84

If Headquarters will not count NPRs as issued permits, the Regional commitment must be reduced by the number of official NPRs, otherwise it would be impossible for the Region/States to meet 100% of the commitments. This matter needs to be resolved as soon as possible.

Attachments

cc Johnsie Webster (EN 336)

APR 22 1985

WD-1
WD-2
WD-3
WD-4NPDES INDUSTRIAL PERMITS

Region	10/1/84 Baseline		1st Quarter		2nd Quarter (Cumulative)		3rd Quarter (Cumulative)		4th Quarter (Cumulative)	
	#Expired By EOY 84 85		Target Actual		Target Actual		Target Actual		Target Actual	
<u>I</u>										
EPA	53	56	5	3	13		27		56	
NPDES										
States	63	104	12	5	30		42		51	
<u>II</u>										
EPA	15	20	0	6	0		0		5	
NPDES										
States	182	200	29	10	60		107		156	
<u>III</u>										
EPA	0	0	1	0	5		5		5	
NPDES										
States	209	222	46	14	77		106		137	
<u>IV</u>										
EPA	17	30	4	0	10		18		25	
NPDES										
States	157	172	42	17	79		110		135	
<u>V</u>										
EPA	-	-	-	-	-		-		-	
NPDES										
States	333	353	42	35	127	80	194		292	
<u>VI</u>										
EPA	99	108	10	3	20		35		60	
NPDES										
States	-	-	-	-	-		-		-	
<u>VII</u>										
EPA	-	-	-	-	-		-		-	
NPDES										
States	15	24	5	7	13		17		21	
<u>VIII</u>										
EPA	1	1	0	0	0		0		0	
NPDES										
States	11	21	0	2	1		10		10	
<u>IX</u>										
EPA	7	9	0	0	1		1		2	
NPDES										
States	40	47	10	3	11		12		13	
<u>X</u>										
EPA	59	60	0	1	9		14		19	
NPDES										
States	40	43	2	3	13		25		27	
<u>NATIONAL</u>										
EPA	251	284	20	13	58		100		172	
NPDES										
States	1050	1186	188	81	411		623		842	
Total	1301	1470	208	94	469		723		1014	

NPDES MUNICIPAL PERMITS

1985

WO-5
WO-6
WO-7
WO-8

Region	10/1/84 Baseline		1st Quarter		2nd Quarter (Cumulative)		3rd Quarter (Cumulative)		4th Quarter (Cumulative)	
	*Expired By EOY 84 85		Target Actual		Target Actual		Target Actual		Target Actual	
<u>I</u>										
EPA	61	82	15	11	35		47		60	
NPDES										
States	25	93	5	0	36		56		78	
<u>II</u>										
EPA	3	8	0	2	0		0		3	
NPDES										
States	148	229	34	16	70		122		175	
<u>III</u>										
EPA	1	1	0	0	0		0		1	
NPDES										
States	98	213	34	22	82		131		176	
<u>IV</u>										
EPA	14	33	5	0	12		18		25	
NPDES										
States	69	111	35	27	65		90		101	
<u>V</u>										
EPA	-	-	-	-	-		-		-	
NPDES										
States	224	263	61	37	122	98	180		250	
<u>VI</u>										
EPA	95	175	25	10	50		75		130	
NPDES										
States	-	-	-	-	-		-		-	
<u>VII</u>										
EPA	-	-	-	-	-		-		-	
NPDES										
States	55	106	24	24	43		56		82	
<u>VIII</u>										
EPA	22	26	6	5	9		10		11	
NPDES										
States	27	32	8	4	10		13		13	
<u>IX</u>										
EPA	11	13	1	0	2		3		4	
NPDES										
States	37	53	33	4	37		42		47	
<u>X</u>										
EPA	20	27	1	3	8		12		19	
NPDES										
States	35	44	6	2	10		19		20	
<u>NATIONAL</u>										
EPA	227	365	53	31	116		165		253	
NPDES										
States	718	1144	240	126	475		709		942	
Total	945	1509	293	157	591		874		1195	

FY 85

Mid-Year Evaluation of Region V Water Program

National Objective: Provide National Direction and Assistance to the Pretreatment Program

Activity: Establish and Overview Local Pretreatment Programs

Analysis of Regional Program: All pretreatment programs are delegated to the States except in Illinois and Indiana. In these two States, a cooperative agreement has been worked out whereby these States review and public notice proposed program approvals which are formally approved by the Region. In FY 85 Regional guidance emphasized program approvals as a first priority effort and permit modifications to include approve programs as a secondary effort. State activities are monitored closely and assistance provided where necessary as resources allow. The following is a summary of commitments and accomplishments.

<u>Cumulative Total</u>	<u>2nd Q</u>			<u>3rd Q</u>			<u>4th Q</u>		
<u>Category</u>	<u>P</u>	<u>A</u>	<u>%</u>	<u>P</u>	<u>A</u>	<u>%</u>	<u>P</u>	<u>A</u>	<u>%</u>
Non-403 States	(35)	29	83	(57)			(95)		
403 States	<u>(65)</u>	<u>66</u>	<u>102</u>	<u>(138)</u>			<u>(230)</u>		
Total	(100)	95	95	(195)			(325)		

For the second quarter, the delegated States and EPA approved 89 pretreatment programs and completed 6 referrals for a total of 95, achieving 95% of the second quarter commitment to Headquarters. In addition to the 95 programs processed, 10 applications were reviewed and determined not to require pretreatment programs. Also, at the end of the second quarter, a total of 38 programs had been public noticed as approvable but not yet approved. Refer to Table 2, Pretreatment Program Status Report for Period Ending March 31, 1985, for analysis of Regional commitments to Headquarters (Part A) and State commitments to Region (Part B), and Table 3 Summary of Pretreatment Activities, Attachment 1. State-by-State mid-year evaluations are covered in Attachment 2.

The difference between Part A and Part B results from requiring States to process as many programs as possible early in the fiscal year to assure the greatest chance of accomplishing end of year commitments to Headquarters. It should be noted that end of year commitments for Parts A and B are identical at 325.

Of the 95 pretreatment programs fully processed 60, (63%) were in priority water bodies.

Other Significant Accomplishments

- A considerable amount of time and resources has been devoted by Headquarters, Region and State relative to MWF's suit over our delegation of the pretreatment program to Michigan in June 1983. A public hearing held in Lansing on January 29, 1985, was attended by 30 individuals representing industrial, municipalities, environmental groups and MDNR. The Regional staff in coordination with Headquarters staff have reviewed the comments and prepared an Action Memorandum for the Regional Administrator, requesting concurrence by Headquarters, to approved

Michigan's pretreatment program. The Michigan program was reconfirmed by the Regional Administrator on April 16, 1985, and that decision is scheduled to be published in the Federal Register on April 26, 1985.

- On November 19 and 20, 1984, the Region held its first Pretreatment Program Implementation Seminar. This Seminar was attended by over 350 people representing local, State and Federal agencies, industries, and consultants. Compilation of the evaluations completed by the attendees resulted in an overall rating of "good" to "very good".

Response to Questions in Qualitative Measures for Mid-Year

Establish and Overview Local Pretreatment Programs and Establish State Pretreatment Programs

A. Of the 123 local programs approved to date, all incorporate categorical standards into their legal authority documents. However, industries must comply with the applicable pretreatment standard that is the most stringent. Consequently, what we have found (in most cases) is that local limits are more stringent and became the enforceable standard under Section 307(d) of the Act.

Problems encountered with evaluating baseline monitoring reports and compliance requirements vary from State-to-State. The major problem we have found is the lack of available resources and time to conduct detail review and follow-up on these reports since the first priority is to get all local programs approved and secondly, modification of NPDES permits to incorporate approved program conditions. Contract funds are needed to supplement our efforts for this activity.

<u>Quantitative Measures</u>	<u>EPA</u>	<u>*States</u>
2(a) # of Categorical Determinations Made	5	21
# of Removal Credits Applications Received	5	9

*NOTE: Final approval cannot occur without EPA's concurrence.

B. The Region is the Approval Authority for Illinois and Indiana. All remaining States (Michigan, Minnesota, Ohio, Wisconsin) have been delegated this authority. Audits have been conducted and more are planned for the third and fourth quarter of FY 85.

If a program is denied, the Region/State may allow the city additional time to remedy the deficiencies or we initiate the appropriate enforcement response. Each situation is evaluated on a case-by-case basis.

After a local program is approved, an informational notice pursuant to 40 CFR 403.11(e) is issued for a 1 day period. The NPDES permit for that City's program is subsequently public noticed and issued to include the conditions of the approved program. Some of our States (Indiana, Wisconsin) have concurrently public noticed the program approval action with the permit notice action to conserve resources and time, as well as enhancing the enforceability of the program immediately.

Local audits by the Region and State of approved programs have been, and will be, conducted to ensure effective enforcement activities are being implemented by the cities. To date, very few audits have been conducted by the Region/State. However, several are planned for the third and fourth quarter of FY 85, provided no travel constraints or other issues prevail. Contract assistance would be ideal for this activity.

NOTE: No C. and D. in Mid-Year Evaluation.

E. Problems we and our States encounter with the review of categorical determinations, FDF variances, removal credit requests, net gross request, and sulfide waivers are the lack of available resources to conduct timely reviews; lack of review guidance for these requests and the large number of requests required to be processed.

F. In Region V, the impediments to local pretreatment program approvals vary from city-to-city; however, the major impediments are:

- 1) enacting local sewer use ordinances is a very lengthy process;
- 2) local limits are not adequate and require more work before approval can be made;
- 3) multi-legal agreements are not adopted; and
- 4) program procedures are deficient.

G. Contract support for development and review of local program is not extensively used in Region V. However, the limited support we have received in Michigan, Ohio, and Minnesota has been adequate.

H. Criteria for review of local pretreatment programs has been established with all of our States and this criteria has served in development of National Guidance to other States, Cities, and Regions. This criteria is consistent from State-to-State and we confirm and ensure consistency via Regional audits of State and local programs. In addition, we confirm and ensure consistency in technical and administrative requirements for local programs via Regional/State audits.

Issues: There is a need to revise the number of pretreatment programs in SPMS WQ 18 from 370 to 336 for FY 85 to account for cities that have been determined not to require programs. This matter is discussed in more detail in the April 12, 1985, memorandum from Sutfin to Prothro, subject FY 85 SPMS Municipal Pretreatment Commitments, following graphs, Attachment 1.

2. Activity: Establish State Pretreatment Programs. (Approve NPDES State Program Requests and Overview Program Implementation).

a. Program Approvals and Modification for Pretreatment

All States in Region V have full NPDES permit and pretreatment programs except for Illinois and Indiana. Although the Region did not make a formal commitment to approve the Illinois and Indiana pretreatment programs in FY 85, the Region has been working with these States to help them submit complete applications which can be approved. See Table 4, for tentative schedule for delegating pretreatment programs in Illinois and Indiana, Attachment 3.

A complete program application was received on March 29, 1985, from Indiana. The Region has been coordinating its review with Headquarters staff to resolve any remaining issues and begin the public notice process. Public notice is anticipated in early July with approval possible, if no significant public comments are received in September 1985.

The Illinois EPA is now expected to submit a draft application in June 1985. It is anticipated that with timely coordination with Headquarters, Region and State, Illinois could submit a complete application by September 1985, which could be then taken to public notice.

Issues: Although not confirmed from the Indiana Attorney General Office, it appears that the State lacks the necessary authority to seek and assess criminal penalties for industrial users noncompliance with pretreatment standards. If the statute requires amendment, then it will be difficult to fully authorize the 403 program to Indiana by September 30, 1985.

b. Overview NPDES State Program Implementation

As a first step to ensuring that approved States are implementing the programs and are upgrading regulations revisions, the Region is conducting formal evaluations of State permit and pretreatment programs in FY 85. These evaluations consider the universe of facilities requiring permits and pretreatment programs, the adequacy of resources to operate these programs and the technical quality of issued permits and approved pretreatment programs. They also help to identify potential statutory or regulatory problems. Three States, Illinois, Indiana and Wisconsin, have had their NPDES permit program evaluated. The remaining three States will be evaluated in the third and fourth quarters. Also, for four States, Illinois, Indiana, Michigan and Ohio, a general evaluation of the pretreatment program has been conducted. The two remaining States will be evaluated in the third and fourth quarters. These evaluations will be used to move into the second and more detailed phase of State program evaluations for statutory and regulatory authority. For FY 86, a key State performance measure is to have States assign responsibility and conduct program authority reviews of their NPDES programs and submit findings or certify to EPA Region that programs are current and consistent with Federal laws and regulations. Where necessary, States must take appropriate action to obtain adequate authority. We are also asking States to identify the extent of procedural consistency with Federal law and regulations, identify changes to State laws and regulations where necessary, and develop schedules for obtaining adequate authority. Even though authority may be consistent with Federal requirements, States are asked to identify and take action to implement improvements to facilitate operation of their programs.

Issues: None. The Region will be coordinating with Headquarters to assure these reviews are conducted consistent with National procedures.

TABLE 2

PRETREATMENT PROGRAM STATUS REPORT FOR PERIOD ENDING MARCH 31, 1985A. REGION'S FY 85 PRETREATMENT APPROVAL COMMITMENT TO HEADQUARTERS - SPMS

<u>Category</u>	<u>2nd Qtr*</u>			<u>3rd Qtr*</u>			<u>4th Qtr*</u>		
	<u>P</u>	<u>A</u>	<u>%</u>	<u>P</u>	<u>A</u>	<u>%</u>	<u>P</u>	<u>A</u>	<u>%</u>
Non-403 States	(35)	29	83	(57)			(95)		
403 States	(65)	66	102	(138)			(230)		
Total	(100)	95	95	(195)			(325)		

*Cumulative Total P = Projection A = Actual % = Percent of P

**Cumulative Total Actual includes referrals. (5 in Non-403 States and 1 in Ohio).

B. STATES' FY 85 COMMITMENT TO REGION (WORK PLANS)1. APPROVE PROGRAMS

<u>State</u>	<u>2nd Qtr*</u>			<u>3rd Qtr*</u>			<u>4th Qtr*</u>		
	<u>P</u>	<u>A**</u>	<u>%</u>	<u>P</u>	<u>A</u>	<u>%</u>	<u>P</u>	<u>A</u>	<u>%</u>
Illinois	23	5	22	38			53		
Indiana	30	24	80	42			42		
Michigan	112	13	12	112			112		
Minnesota	9	0	0	9			9		
Ohio	50	45	90	96			96		
Wisconsin	13	8	62	13			13		
TOTAL	237	95	40	310			325		

2. MODIFY PERMITS WITH APPROVED PREREATMENT PROGRAMS

<u>State</u>	<u>2nd Qtr</u>			<u>3rd Qtr</u>			<u>4th Qtr</u>		
	<u>P</u>	<u>A</u>	<u>%</u>	<u>P</u>	<u>A</u>	<u>%</u>	<u>P</u>	<u>A</u>	<u>%</u>
Illinois	23	0	0	38			53		
Indiana	28	19	68	43			49		
Michigan	20	0	0	40			60		
Minnesota	5	0	0	7			11		
Ohio	10	2	20	30			50		
Wisconsin	11	13	118	21			21		
TOTAL	97	34	35	179			244		

NOTE: See Regional and State graphs following Tables.

ATTACHMENT 1

TABLE 3

SUMMARY OF PRETREATMENT ACTIVITIES
 (Period Ending March 31, 1985)

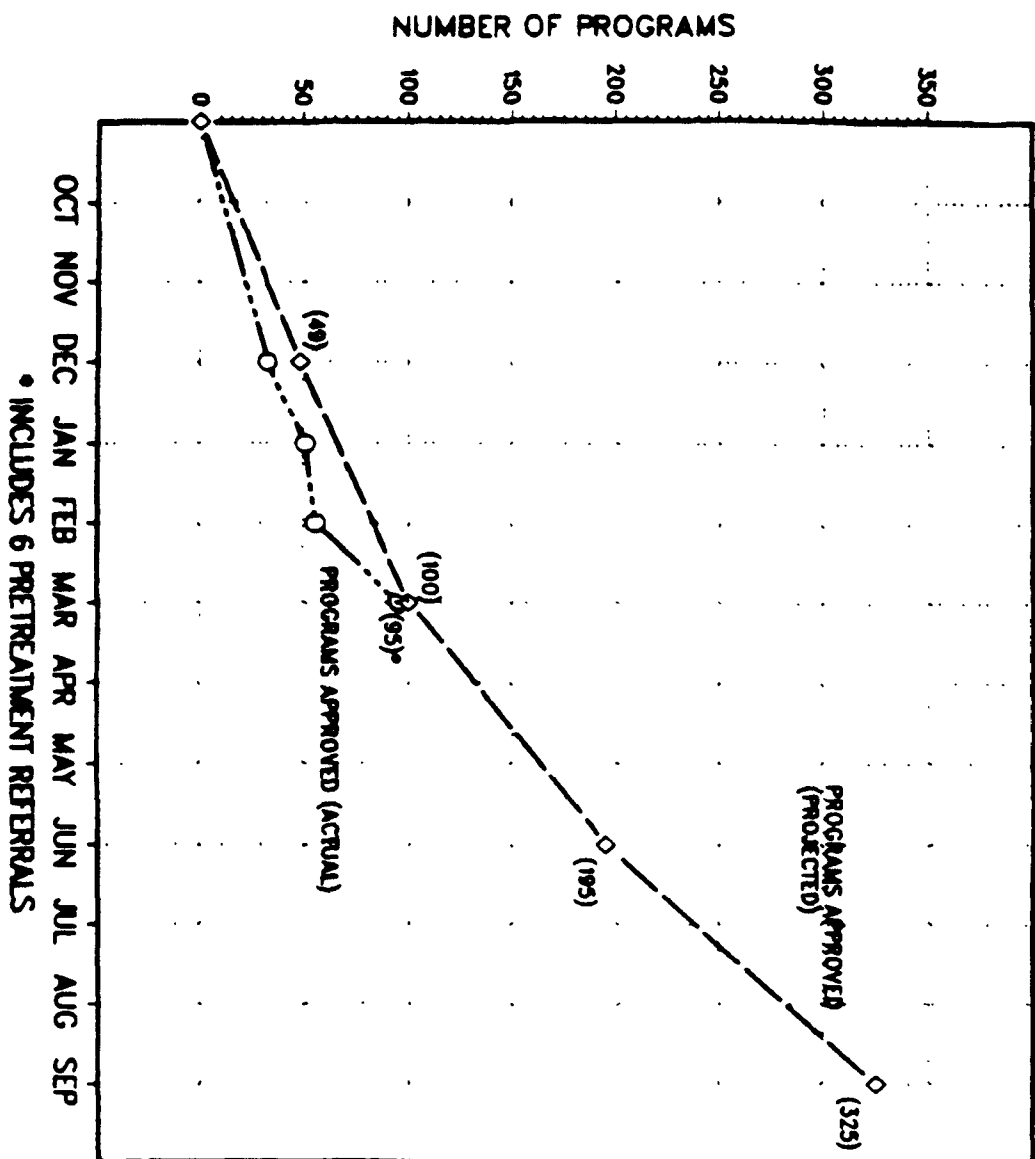
	FY84					FY85							
	PRETREATMENT PROGRAMS APPROVED IN FY84 (USING FY85 DEFINITION)	POTW'S IDENTIFIED AS REQUIRING PROGRAMS AT BEGINNING OF FY85 AND NOT APPROVED FOR APPROVAL	ADMINISTRATIVE ORDERS RECEIVED REQUIRE SUBMITTAL OF COMPLETE PROGRAMS	POTW'S DETERMINED NOT TO REQUIRE LOCAL PROGRAMS	LOCAL PROGRAMS APPROVED	REFERRALS (EPA & STATE)	TOTAL (APPROVED COL. 6 + 7)	PROGRAMS PUBLIC NOTICED BUT NOT YET APPROVED	PERMITS PUBLIC NOTICED BUT NOT PROGRAMS BUT NOT YET MODIFIED.	AUDITS CONDUCTED OF APPROVED PROGRAMS	AUDITS CONDUCTED OF APPROVED USERS		
State	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
IL	1	53	39	13 E 0 S	2	3	2 E	5	7	2	0	0 E 0 S	0 E 0 S
IN	6	45	45	1 E 0 S	0	21	3 E	24	11	18	19	0 E 0 S	0 E 0 S
MI	0	112	101	0 E 0 S	3	13	0	13	83	0	0	0 E 0 S	0 E 0 S
MN	2	9	4	5 E 0 S	5	0	0	0	2	0	0	0 E 0 S	0 E 0 S
OH	3	101	99	0 E 2 S	0	44	1 S	45	18	6	2	0 E 0 S	0 E 0 S
WI	7	16	16	0 E 0 S	0	8	0	8	0	1	13	0 E 0 S	0 E 0 S
TOTAL	19	336	304	19 E 2 S	10	89	6	95	121	27	34	0	0

E = U.S. EPA
 S = State

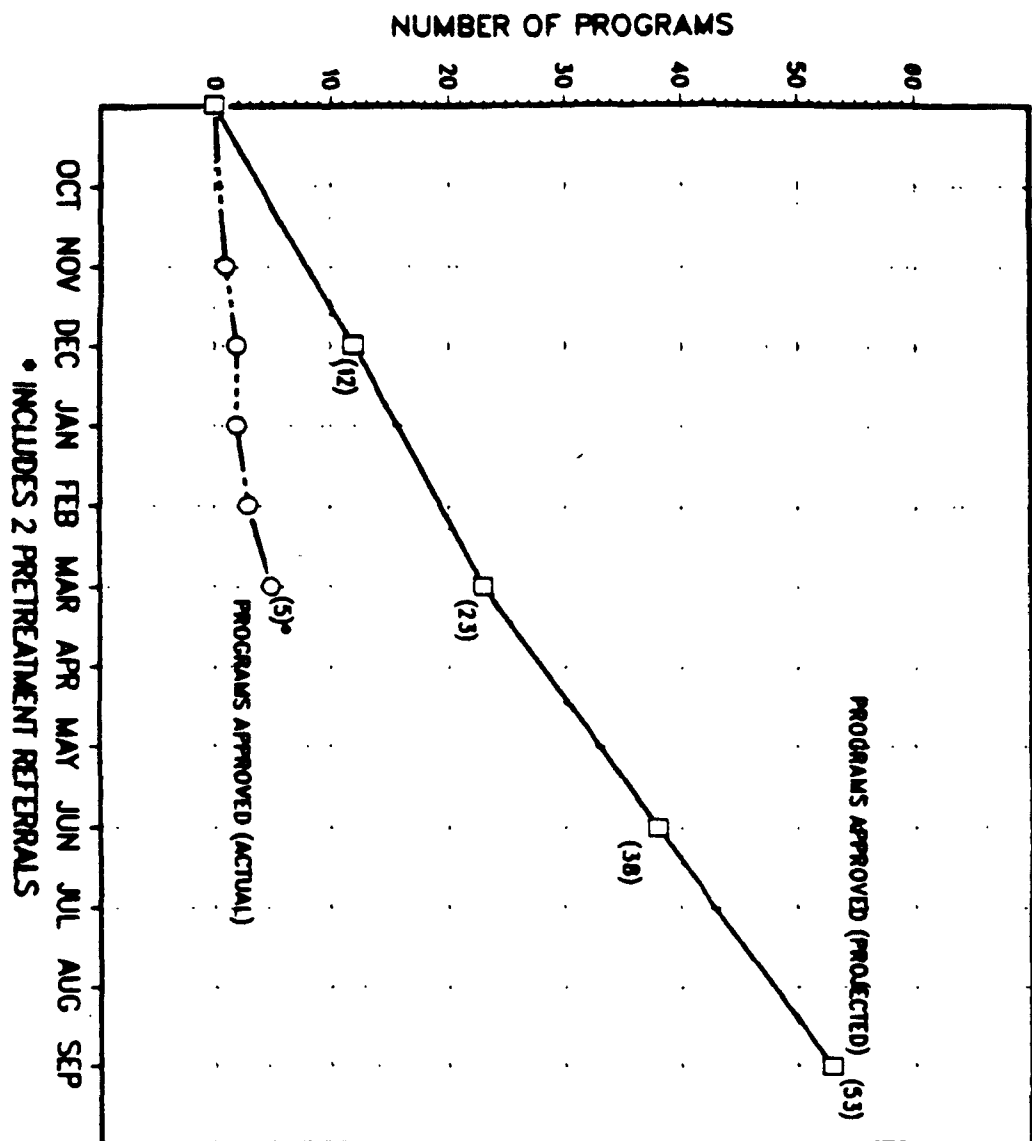
Columns (1) + (2) = Total program required at beginning of FY 85
 $19 + 336 = 355$

Programs currently required $355 - 10$ (Col. 5) = 345

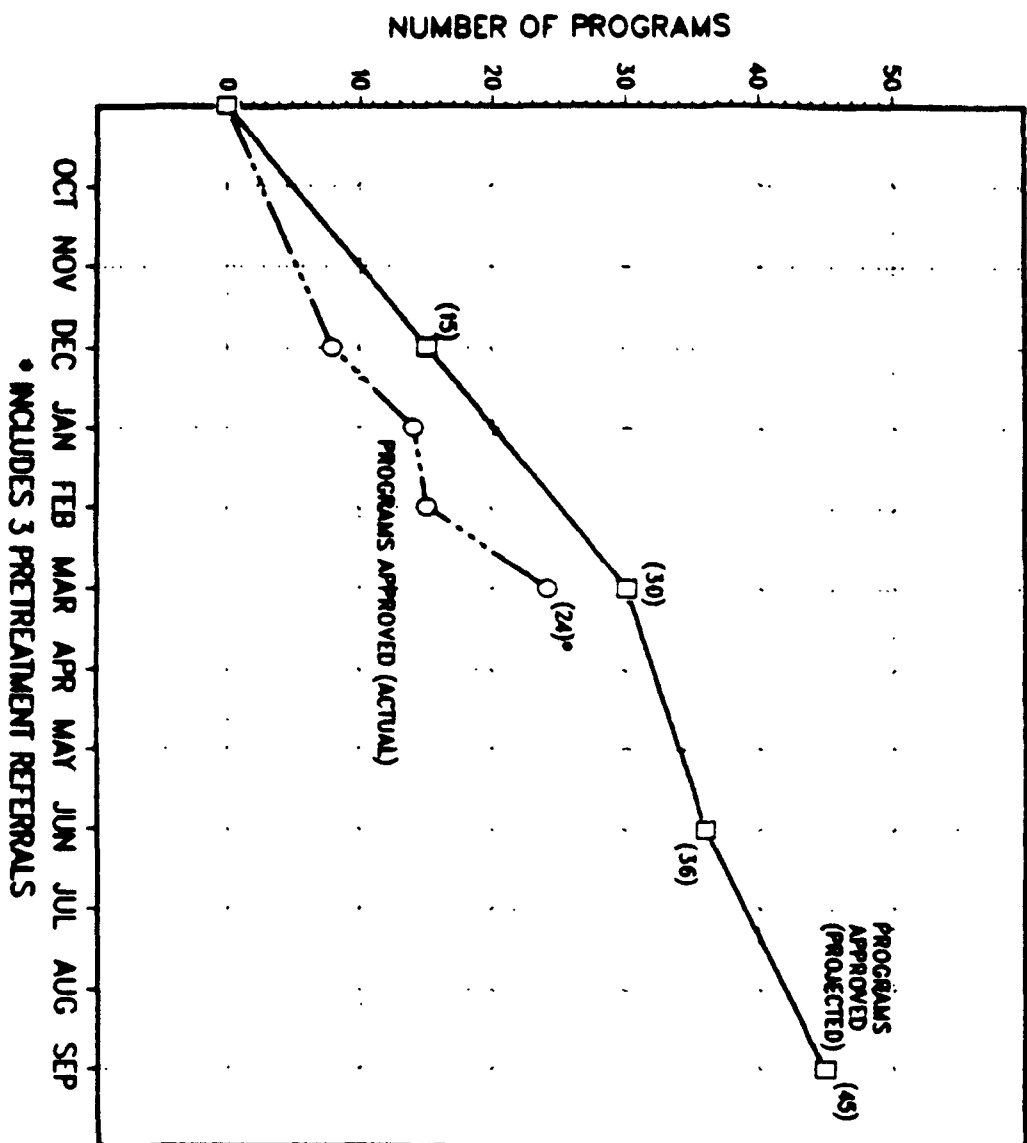
REGION V FY85 COMMITMENT TO HEADQUARTERS STATUS REPORT - AS OF MARCH 31, 1985 PRETREATMENT PROGRAM APPROVALS



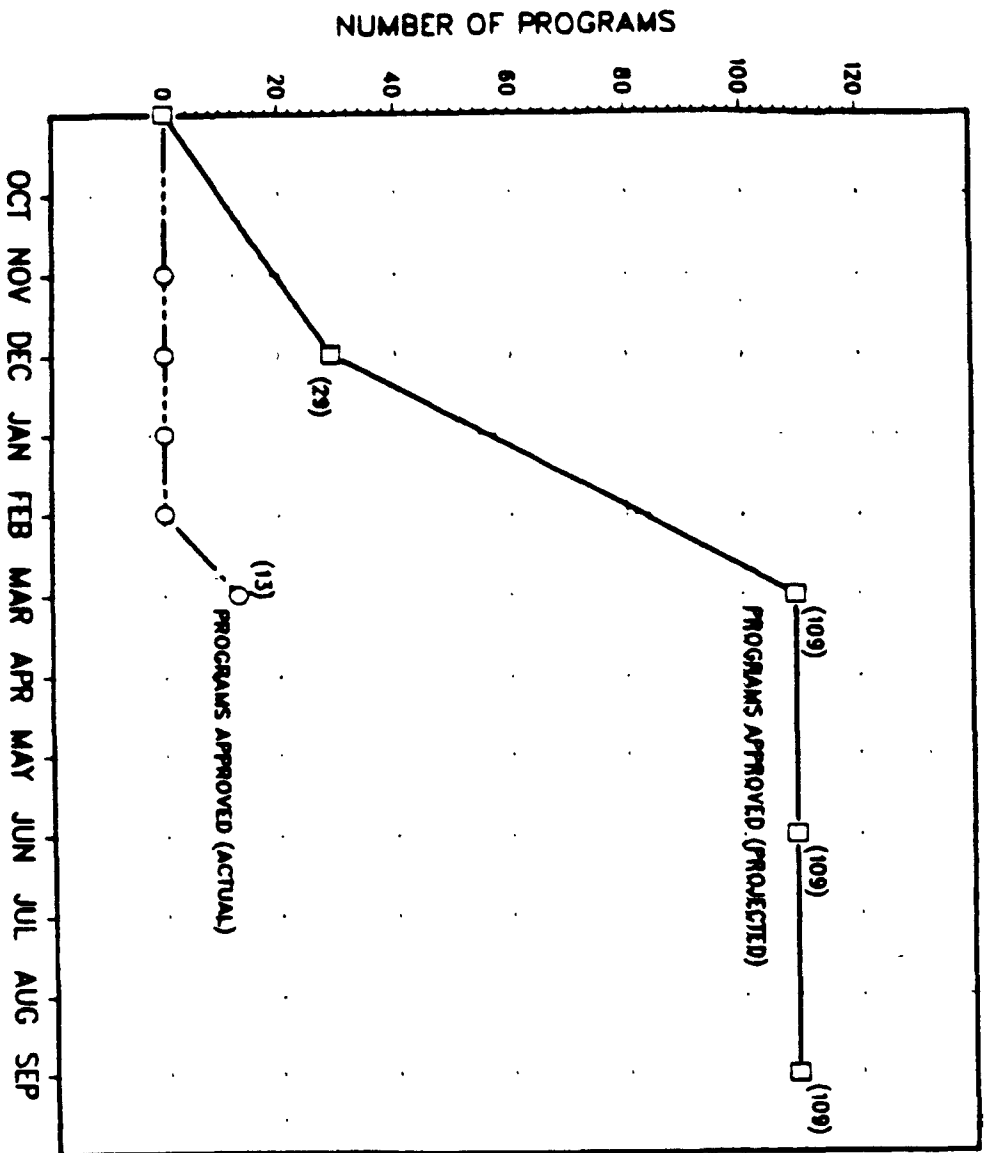
STATE OF ILLINOIS FY85 PRETREATMENT PROGRAM APPROVALS STATUS REPORT AS OF MARCH 31, 1985



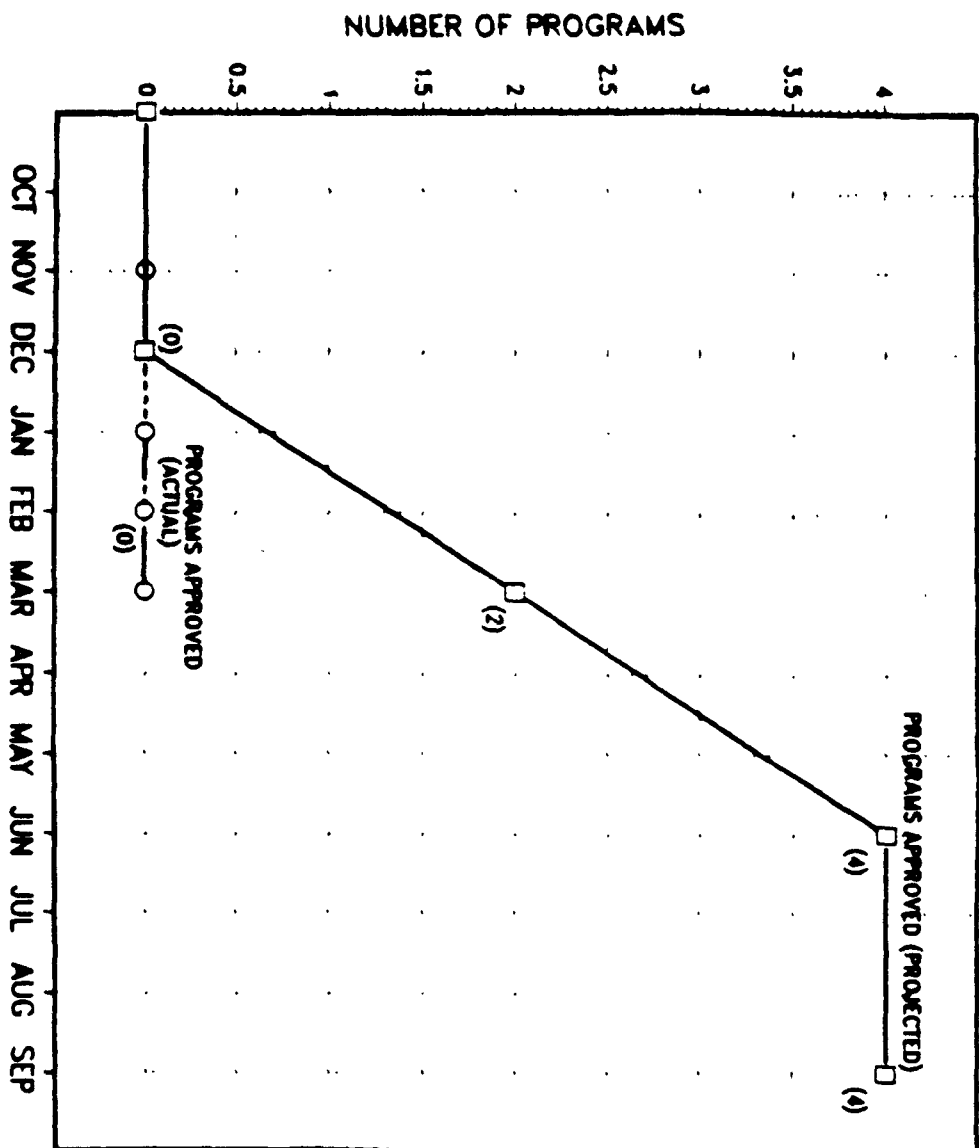
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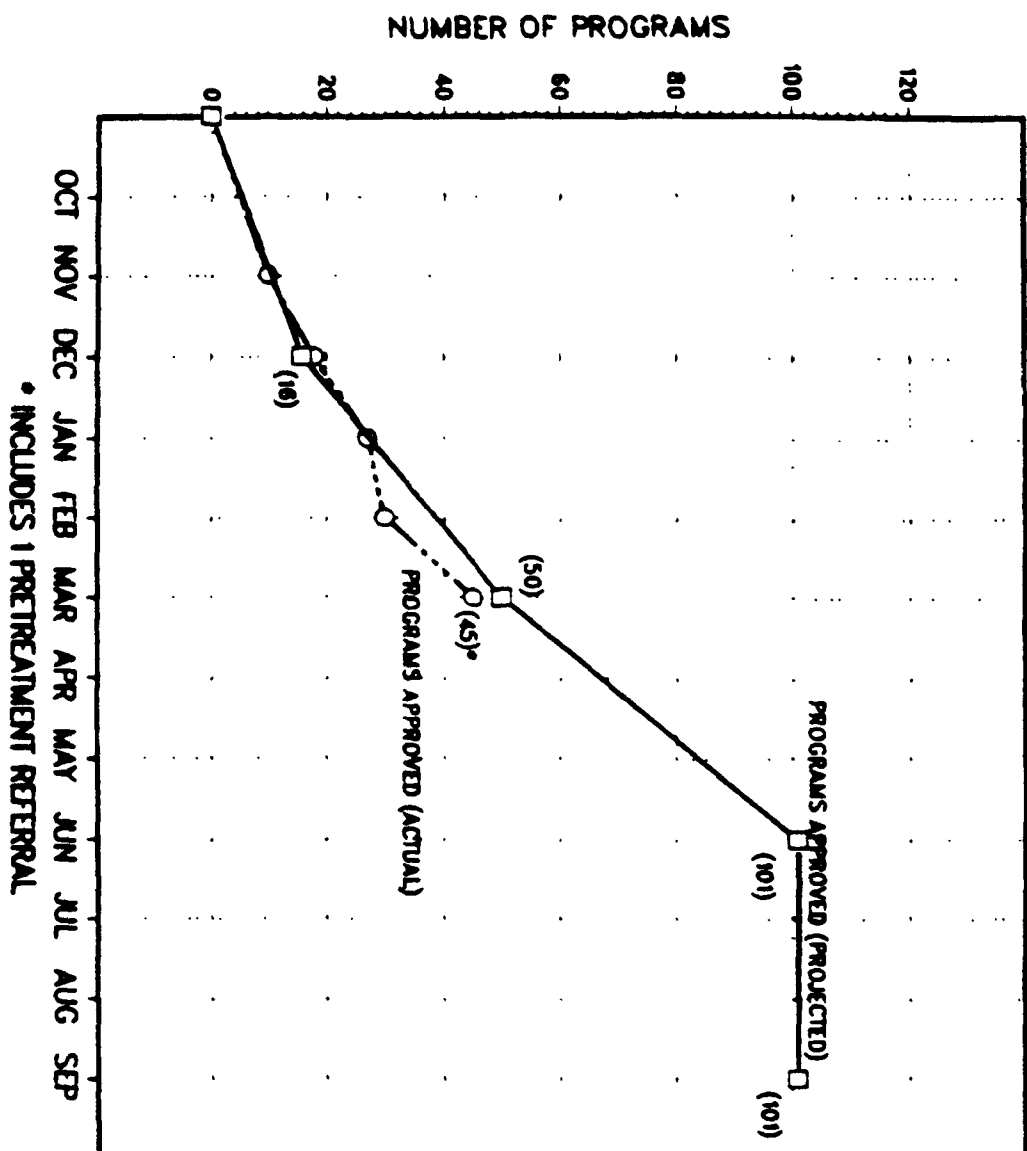
STATE OF MICHIGAN
FY85 PRETREATMENT PROGRAM APPROVALS
STATUS REPORT AS OF MARCH 31, 1985



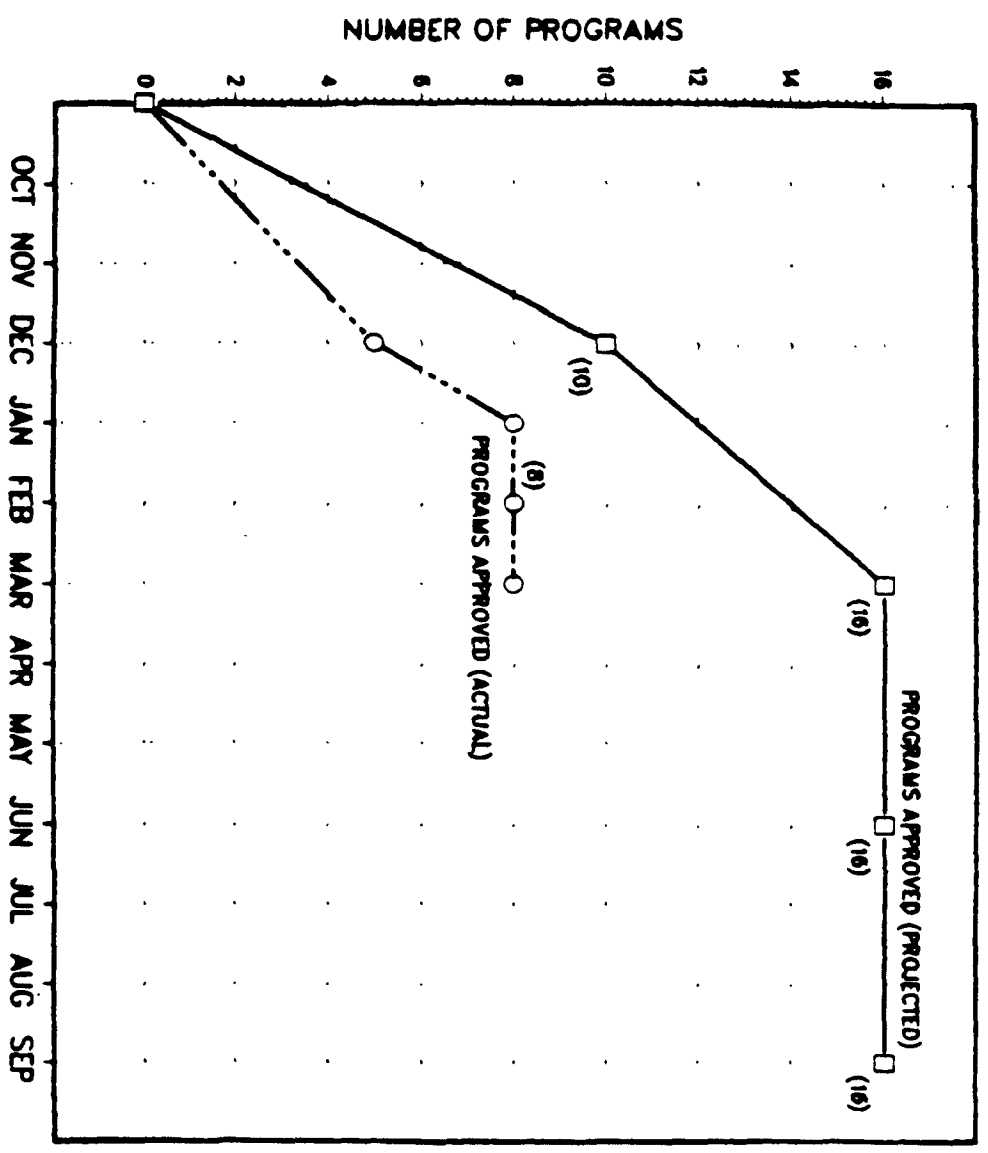
STATE OF MINNESOTA FY85 PRETREATMENT PROGRAM APPROVALS STATUS REPORT AS OF MARCH 31, 1985



STATE OF OHIO FY85 PRETREATMENT PROGRAM APPROVALS STATUS REPORT AS OF MARCH 31, 1985



STATE OF WISCONSIN FY85 PRETREATMENT PROGRAM APPROVALS STATUS REPORT AS OF MARCH 31, 1985



APR 12 1985

FY 85 SPMS Municipal Pretreatment Commitments

Charles H. Sutfin /S/ Charles H. Sutfin
Director, Water Division (SW)

Martha Prothro, Director
Permits Division (EN-336)

I am writing to clarify the Region's FY 85 SPMS commitments as they relate to WO-18, Municipal Pretreatment reporting format. There appeared to have been some misunderstanding concerning the number of pretreatment programs required at the beginning of the fiscal year.

Early on, the Region and States identified many cities that might be required to develop local pretreatment programs. This number included many cities with flows less than 5 MGD and was based on best available information or judgement without benefit of a formal program application. Initially, many of these cities were required to submit only part of the information which included the industrial inventory for evaluation. As a result of this effort, many of the cities with flows less than 5 MGD were relieved of further program development requirement because no known or potential pass-through/interference problems existed or the delegated States decided to operate the pretreatment program in lieu of requiring a local program. For facilities under 5 MGD, delegated States have the option to either require a local program or to implement a State operated pretreatment program.

Minnesota is the only State that has elected to go this route, and we believe the difference in the total number of programs required as of 10-1-84, is largely due to this factor. However, since we were informed that the Region would not be given credit for the Minnesota "limited" local pretreatment program, our commitment was based on 355 Federal programs required and not the 370 programs reflected in your report.

In FY 84, 19 of the 355 programs were approved consistent with the current definition of approved which we understand is after public notice and a letter of approval sent to the city. This left 336 programs to be approved in FY 85. Our FY 85 commitment of 325 anticipated a few more might be dropped and represented our best estimate of all remaining programs to be approved in FY 85.

The attached two sheets for WO-18, Municipal Pretreatment, have been marked to show the number of municipalities needing approved programs as of 10-1-84, and our first and second quarter commitments and accomplishments. We have also identified the six facilities which we received credit for program approval based on referrals for civil action. I trust this clarifies the number of facilities identified in our FY 85 commitments.

If you are unable to revise the number required from 370 to 336, then I suggest reconsideration by your office be given allowing us to receive credit for the limited local programs approved in Minnesota. Unless some adjustment is made now, it will be virtually impossible for us to achieve our full commitment by the end of the fiscal year since the additional 34 programs being tracked as needing to be approved, do not exist.

If you have any questions on this matter, please contact me directly. We will be prepared to discuss this further, if necessary, at the mid-year review.

Attachments

cc: Chuck Prorok (EM-336)

bcc: (w/Attachments)

Sutfin/Bryson

Springer

Fenner

D. Newman

B. Lawrence

Ehorn

~~Manzardo~~

Pratt

Jones

Dzikowski

LeBlanc

Barriball

Diks

O'Grady

MUNICIPAL PRETREATMENT

On the attached form, please provide, by Region and nationally, the actual cumulative number of municipal pretreatment programs approved through the quarter by EPA and the number approved by NPDES States with approved pretreatment programs. Indicate what percent of the quarter's target was achieved for each. Please note under "COMMENTS," below, any Regions or States which received credit for "program approval" based on a "referral" and how many of the "approvals" were actually "referrals."

COMMENTS:

6 referrals - Geneva, Illinois	-	U.S.
Carol Stream, Illinois	-	U.S.
Lafayette, Indiana	-	U.S.
Terre Haute, Indiana	-	U.S.
South Bend, Indiana	-	U.S.
Mahoning County, Ohio	-	Ohio A.G.

MUNICIPAL PRETREATMENT

Region	# Municipalities Needing Ap- proved Program As of 10/1/84	1st Quarter		2nd Quarter		3rd Quarter		4th Quarter	
		Programs Approved	Percent	Programs Approved	Percent	Programs Approved	Percent	Programs Approved	Percent
		Target	Actual	Target	Actual	Target	Actual	Target	Actual
I									
EPA	40	7	7	20		29		38	
NPDES									
States	6	1	1	4		5		5	
II									
EPA	30	3	4	9		14		30	
NPDES									
States	10	2	2	4		6		10	
III									
EPA	58	7	3	30		44		58	
NPDES									
States	22	1	0	7		9		22	
IV									
EPA	0	-	-	-		-		-	
NPDES									
States	124	25	28	50		75		110	
V									
EPA	107 98	15	10	35 ✓	29	57 ✓		95 ✓	
NPDES									
States	263 238	34	23	65 ✓	66	138 ✓		230 ✓	
VI									
EPA	42	10	4	21		31		42	
NPDES									
States	0	-	-	-		-		-	
VII									
EPA	0	-	-	-		-		-	
NPDES									
States	8	0	1	4		6		8	

FY 85

Mid-Year Evaluation of Region V Water Program

National Directions: Improve Compliance Rates for Municipals and Industrials

Activity: Identify Municipal and Industrial Compliance Problems and Guide Corrective Actions

Analysis of Region V Program: Review of SPMS/OWEG Data for Fixed Base, Exception Report, Moving Base, and P.L. 92-500 Facilities

Fixed Base

Under the Strategic Planning and Management System (SPMS) Region V was required to commit to insure that all fixed base permittees either return to compliance or be subjected to State or Federal action. Any fixed base permittees which were unresolved by March 1, 1985, were to be placed on the April 1, 1985, Exception Report. The fixed base facilities for FY 1985 are those which were in significant noncompliance at the conclusion of the April-June 1984 reporting period and which had not been subjected to formal enforcement action. A table describing the status of the FY 1985 fixed base permittees is attached.

Of the 52 facilities on the fixed base at the start of the fiscal year, 44 or 85% have been returned to compliance or are under formal enforcement action. Eight facilities were unresolved by March 1, 1985, and were placed on the April 1, 1985, Exception Report. Since that time many of these facilities have attained compliance or received formal enforcement action from the States. The names of the fixed base facilities are included in the attached list of persistent noncompliers.

Exception Report

Under SPMS, tracking of the FY 1985 fixed base facilities ceased after the evaluation of the October-December 1984, QNCR and was replaced by the SPMS Exception Report. Any facilities appearing on the QNCR for two consecutive quarters which have not returned to compliance or been subjected to formal enforcement must be listed on the exception report. The Regional office has until the next Exception Report to initiate formal enforcement or otherwise insure that exception report facilities return to compliance. The status of these facilities is being closely monitored by compliance staff and Federal action will be initiated if appropriate. Facilities which were in SNC on the July-September and October-December 1984 QNCRs and have not been addressed by a formal action by March 1, 1985, have been included on the April 1, 1985 Exception Report. Thirteen facilities are listed on the Exception Report. Many of the 13 were either under State enforcement initiated after the reporting cut off date or in the process of starting up new treatment facilities. These facilities are identified in the already mentioned list of persistent noncompliers.

Moving Base

- ° The moving base facilities are all major dischargers in the Region.
- ° Regionally there is a 12% significant noncompliance rate for major municipal dischargers and an 8% significant noncompliance rate for major industrial facilities with interim and final effluent limitations and compliance schedule requirements.
- ° A table containing all of the Moving Base compliance statistics is attached.
- ° EPA and the states have completed reviews of EPA/state enforcement agreement checklists. This process identified instances where state Enforcement Management Systems needed updating. These agreements are formalized in state 106 program plans. Our states have stressed that they do not desire separate agreements but rather, for management purposes, that all program requirements be folded into the 106 planning process. This approach has been successful in that states clearly understand what is expected. There can be problems however if there are late changes to the national guidance after state program plans have been negotiated.
- ° A recent study has been completed by the Division of causes of noncompliance by dischargers on the FY 1984 Fixed Base. While causes of noncompliance are often complex and in fact caused by multiple factors, a number of observations were made.

The most frequent cause of noncompliance was operations and maintenance (O&M) related. The next most significant factor in the study was weather. Conditions such as cold winter temperatures, high spring precipitation and snow melt runoff, and a tornado were instances cited by the study. The study also found that the least influential variables causing noncompliance were such items as service area changes and industrial pretreatment.

- ° Each Region V state has an Enforcement Management System (EMS) which is comparable to the Federal EMS. The states use their EMS in day-to-day program operations. Region V utilizes the EMS in reviewing and approving the state/EPA agreement checklists and 106 program plans and in conducting our state file audits. All of the EMS principles are strictly implemented in the states. The states' EMSs are included in their program plan. If the states do not follow their EMS, this often will result in the Region detecting violations during file audits and initiating Federal enforcement action due to the state's failure to take timely and appropriate enforcement as required in the EMS.

The SPMS commitment for Fixed Base dischargers is that they either return to compliance or be subjected to state or Federal action by March 1, 1985. To meet this commitment the Region and states use these lists as the driving force for enforcement action. During monthly conference calls, the Region reviews that status of these dischargers with the state. The discharger file is also reviewed during the quarterly file audit. The high emphasis of compliance tracking and enforcement for these dischargers points out their priority. If the State fails to take timely and appropriate enforcement action, Federal action will be initiated. Exception reporting has been a very effective management tool and should contribute to improved compliance rates.

All facilities that are not on final effluent limits are actively tracked by the Region and the states. In developing the list of facilities that need Municipal Compliance Plans (MCPs) as part of the National Municipal Policy (NMP), all municipal facilities were reviewed and prioritized as to whether or not they needed construction and would not be able to receive grants. To meet the commitment for March 1, 1985, enforcement action would be taken at these priority dischargers.

National Directions: Improve Compliance Rates for Municipals and Industrials

Activity: Improve Quality of PCS Data

Analysis of Region V Program: Status of PCS Implementation/Interface

Region V is undertaking a number of activities to improve the quality of data in the Permit Compliance System (PCS). Activities at this point consist of developing interfaces for three states which will load discharge monitoring report data into PCS from state systems and working with three remaining states in their assumption of PCS data entry responsibilities. Each states' status is discussed below:

- ° Indiana, Ohio and Wisconsin will be interfaced with PCS. The Indiana interface is operational. A major problem is the timely receipt of data tapes from the State of Indiana. The Ohio and Wisconsin interface should be completed by the end of the fiscal year.
- ° Illinois has begun inputting Discharge Monitoring Report Data and permits for major municipal dischargers into PCS. They have submitted a work plan that will result in the State assuming full PCS responsibility as soon as staff are hired and trained. PCS should be fully on-line in Illinois by late this summer.
- ° The Michigan interface has been debugged and the system is now capable of converting State facility and limits data into PCS format and adding it to PCS. A detailed plan for verifying data is under development.
- ° Minnesota has submitted a draft workplan for implementation of PCS. Development has been slow due to problems with the STORET interface.

- ° Region V does not at this time routinely enter DMRs for all states into PCS because we do not receive self-monitoring reports for most major dischargers since the NPDES programs are delegated. If self-monitoring reports were received the Region does not have the data entry staff that would be required in order to accomplish this task. The Regional office only enters DMRs for major industrial permits in the State of Illinois. When the state takes over this responsibility we will begin providing assistance to other states assuming PCS responsibility.
- ° Changes to the PCS majors list are negotiated by the Permits Section in the state planning process. These changes are coordinated with the compliance and enforcement program and nationally established procedures are followed for making changes in the majors list. The PCS majors list is the official list of priority facilities in the compliance programs both at the state and Regional levels. This list is used for planning inspections, NMP activities and compliance status is reported on the quarterly noncompliance reports.
- ° PCS is used as the primary data system in the compliance program, however, its use is somewhat limited because it does not contain all effluent data. The Region has a number of regional tracking systems set up on the personal computer as well as a separate enforcement action tracking system similar to the GREAT system in Headquarters (ENF-V). We expect to phase out the ENF-V system as soon as the modifications are made that allow for entry of our enforcement action information. We currently enter all Federal enforcement actions into PCS.
- ° A particular problem with PCS is it's slowness in anticipating program needs. For example, we have developed a Regional system for tracking National Municipal Policy Actions primarily because there was no national tracking system. We may have to keep our Regional system for NMP because the tracking capability currently being proposed is extremely limited.
- ° Another major problem is that the conversion to ADABAS has seriously impaired the efficiency of our interfaces. The old system contained a master file which was used in the interface process. The master file was used to detect differences between the state system and PCS. Now that the master file is no longer available changes in permits must be manually coded into PCS. The interfaces can only be used to input DMR data.

National Directions: Improve Compliance Rates for Municipal and Industrials, and Federal Facilities

Activity: Improve Quality of Monitoring Data

Analysis of Region V Program: Review of Discharge Monitoring Report -
Quality Assurance Program (DMR-QA) Follow-up

- ° The States of Illinois, Indiana, Michigan and Ohio have not actively followed up on the latest DMR-QA Study #4. The States do use the results, however, to assist in identifying problem facilities and conduct follow-up during their periodic compliance inspections.
- ° Region V has assisted the above states by contacting nonrespondents. In Indiana three nonrespondents were sent Administrative Orders and one nonrespondent was sent a warning letter. In Illinois, three nonrespondents were sent Administrative Orders and five nonrespondents were sent warning letters. In Michigan, one nonrespondent was sent a warning letter. In Ohio, 17 nonrespondents received telephone calls and were instructed to submit sample results.
- ° It is difficult to assess whether the quality of self-monitoring has been improved as a result of the DMR QA effort. However, there is a definite trend toward improved analytical capability in the DMR QA results. DMR results are frequently evaluated by the states when split samples are taken and compared with the permittees' results.
- ° In addition to state efforts VERSAR conducted approximately 50 Performance Audit Inspections (PAI) this past year at facilities which did not complete Round 3 analyses successfully.
- ° Because of resource constraints at the state level, four Region V states have indicated that they will not be able to actively follow-up on Round 5 activities. Regional resources will also limit our offices' ability to do more follow-up work in this area. Delays in the JRB contract for the VERSAR PAI's will also contribute significantly to the delay in the Region's ability to follow-up in this area.

National Directions: Improve Compliance Rates for Municipals

Activity: Identify Municipal Compliance Problems and Guide Corrective Actions

Analysis of Region V Program: Status of National Municipal Policy Implementation

- ° All states except Wisconsin have developed a Municipal Compliance Strategy (MCS). Wisconsin was not required to implement an MCS since the state essentially has achieved compliance with their state statutory deadline of July 1, 1983.
- ° There are a total of 114 major dischargers in the Region that require MCPs. To date, the States have taken 51 actions and Region V has taken eight actions requiring municipalities to submit MCPs. The states have taken seven actions and Region V has taken two actions establishing MCP fixed date schedules.

- ° There are a total of 24 major dischargers in the Region that require CCPs. To date, the States have taken three actions and Region V has taken seven actions requiring municipalities to submit CCPs. The States have taken 10 and Region V has taken two actions establishing CCP fixed date schedules.
- ° Attached is a computer listing (MUNICOMP) of all major and minor MCP and CCP candidates and all other major nonmunicipalities on interim effluent limits. Also attached is the Region V NMP Status Report.

The Region and states have developed and are implementing MCSs to ensure that compliance schedules are established by 9/30/85 for all POTWs that need construction to comply with permit requirements. Most states have committed in their MCS to issue actions for at least all major dischargers by this time except Ohio which anticipates that approximately 20 schedules will not be finalized. In addition, Region V has developed a computer tracking system (MUNICOMP) which identifies POTWs needing action and tracks actions that are taken. In instances where the states have been unable to issue enforcement schedules, Region V has initiated enforcement action and begun to place POTWs under enforcement schedules.

- ° As part of Region and state MCSs, the states are required to identify and initiate enforcement action on a priority basis to all noncomplying P.L. 92-500 POTWs. The states have committed to addressing, and in many cases have already addressed noncomplying P.L. 92-500 POTWs with Composite Correction Plans (CCPs).
- ° Where states have not initiated enforcement against noncomplying P.L. 92-500 facilities, the Region has conducted diagnostic evaluations using contractor support and has issued Administrative Orders requiring POTWs to return to compliance in as short of time as possible. In one instance, Hamilton County-Mill Creek, Ohio, Region V proceeded through litigation and finalized a Consent Decree placing the facility on a construction schedule for plant improvements and included a \$750,000 set aside to be used for environmentally beneficial projects.
- ° States are required to report any violations of Consent Orders on the Quarterly Noncompliance Report. By definition, outlined in the states Enforcement Management Systems (EMS), any violation of a Court Order is a significant violation and should be pursued by a formal enforcement action including referral to the State Attorney General's Office. Also, during monthly telephone calls to the State, Region V receives the number and name of final actions taken the previous month by the state. These figures include actions taken for violating Court Orders. Any Court Orders that were issued as a result of Federal action are tracked by Region V and enforcement action is escalated if Court Orders are violated.

- ° The Region and state MCSs have been developed as a tool for achieving NMP requirements. The documents themselves are dynamics and are updated as new information is discovered or policies are interpreted. In particular, the various categories that municipalities were placed in to determine their need for an MCP are very dynamic and change as a result of municipalities receiving grants, completing water quality studies, etc. Categories are routinely updated almost every six months. The Region and states' also track status of NMP facilities on a day-to-day basis.
- ° The foundation of the Regional and states MCS is the coordination between the permit issuance, compliance and construction grant activities. Various agreements have been reached among these groups to coordinate their activities. Draft permits, enforcement actions and grant offers are routed to the various groups for review and concurrence. Any discrepancies discovered are discussed/resolved through meetings of the Water Quality and Municipal Facilities Branch Chiefs. Similar activities are carried out by the state staffs.

National Dischargers: Improve Compliance Rates for Municipals and Industrials

Activity: Identify Municipal and Industrial Compliance Problems and Guide Corrective Actions

Analysis of Region V Program: Review of SPMS/OWEG Data for State and Federal Inspections

- ° Inspections are credited and completed when they are received by the Compliance Tracking Unit and entered into PCS. So far this fiscal year, Region V has conducted 205 inspections (189 are SPMS countable). This is well above the mid-year commitment of 140. The following numbers of Federal and State major inspections have been received in the Compliance Tracking Unit and have been coded into PCS. These numbers reflect inspections coded into PCS from July 1, 1984 to the present.

Compliance Inspections

Major Municipals	Minor P.L. 92-500	Major Industrial	Major Fed. Facilities	Total	2nd Qtr. Target
86	28	89	2	205	140
423	70	192	4	689	184

TE

- ° As part of the program planning cycle, states develop their compliance inspection plan. The states make specific commitments for conducting municipal and nonmunicipal inspections with emphasis on major

dischargers. The program plan includes these commitments and a permittee specific schedule for conducting the inspections. After the inspection commitments were made and a schedule was in place, Region V used it to determine which permittees will receive Federal inspections. This is done to avoid duplication of effort for inspections conducted by the state and Region V.

- ° Region V and the states have specific commitments for minor P.L. 92-500 facilities. Other minor facilities, however, are also inspected. Region V conducts a portion of inspections at minor dischargers usually as a result of citizen complaints or others knowledge of potential problems at the specific minor facility. The states conduct numerous reconnaissance inspections at all their dischargers annually. A large part of this effort is to verify permittee compliance.

National Directions: Improve Compliance Rates for Major Federal Facilities

Activity: Identify Federal Facility Compliance Problems and Guide Corrective Actions

Analysis of Region V Program: Review of SPMS/OWEG Data for Major Federal Facilities

- ° There are 12 major Federal facilities in Region V. Nine or 75% of these are in compliance. The three facilities in noncompliance are U.S. Department of Energy (U.S. DOE) facilities in Ohio. The State has been active in addressing these noncompliers, and all three have been or will soon be subjected to formal State enforcement action. On September 15, 1984, the U.S. DOE Feed Materials Production Center (Fernald) was referred to the State Attorney General's Office for failure to complete construction of the necessary treatment facilities to meet final effluent limits by July 1, 1984. Director's Final Findings and Orders (DFFOs) with a fixed date compliance schedule and interim effluent limits were issued to the U.S. DOE Mound Facility (Miamisburg) on February 26, 1985, for noncompliance with effluent limits. DFFOs are also being finalized for the U.S. DOE Gaseous Diffusion Plant (Piketon).

National Directions: Improve Compliance Rates for Municipal, Industrials and Federal Facilities

Activity: Take Actions as Required to Attain Compliance with NPDES Permits

Analysis of Region V Program: Review of SPMS/OWEG Data for Regional Enforcement Actions

- ° Through the mid-year, 27 Administrative Orders have been issued. Nineteen (19) of these were issued to facilities for failure to submit completed pretreatment programs and 6 were issued for failure to

participate in the DMR-QA program. One was issued to begin the development of a MCP and one was issued to an industrial user of a municipal facility for failure to submit baseline monitoring reports.

- ° One NOV was issued to the City of Berea, Ohio for delays in developing a MCP.
- ° Seven facilities have been surfaced for referral for civil litigation. They are:

U.S.S. Lead Refinery, East Chicago, IN	- NPDES violations
Inland Steel Corp., East Chicago, IN	- NPDES violations
Carol Stream, IL	- Pretreatment Municipality
Geneva, IL	- Pretreatment Municipality
Lafayette, IN	- Pretreatment Municipality
South Bend, IN	- Pretreatment Municipality
Terre Haute, IN	- Pretreatment Municipality

- ° Both the Region and states follow the Enforcement Response Guide which is part of their EMS. This tool is a basis to evaluate the most effective enforcement action that should be used for a particular violation. By definition the Enforcement Response Guide identifies the most effective enforcement action to be taken. Overall, effectiveness can also be determined by the number of escalated enforcement actions that are taken where an original enforcement action did not result in compliance. Also, the overall compliance rates can serve as a guide to determine effectiveness of actions. Recent high compliance rates are indicative of the effectiveness of current activities.
- ° The Region has been assisting the states in identifying violators of pretreatment schedules and in issuing follow-up enforcement actions. Currently, the states are reporting directly to the Region on their efforts to get municipalities to develop and implement pretreatment programs and on industrial user noncompliance with categorized pretreatment standards. Through the mid-year, Region V has issued 19 Administrative Orders' to municipalities for failure to submit completed pretreatment programs. In addition, one Administrative Order was issued to an industrial user of a municipal facility for failure to submit baseline monitoring reports. See the pretreatment portion of Permit's mid-year for details of pretreatment enforcement efforts.

National Directions: Improve Compliance Rates for Municipals and Industrials

Activities: Initiate Enforcement Actions as Required to Obtain Compliance with Non-NPDES Requirements of the Clean Water Act

Analysis of Region V Program: Review of Non-NPDES Activities

The non-NPDES enforcement actions are of three types. Under the SPCC program, violators are issued a warning letter or a Notice of Violation,

depending on the type of the violation. For spills that require use of Federal funds to effect clean-up, referrals are made to the U.S. Coast Guard for cost recovery. During the first half of FY 1985, 54 warning letters and 52 Notices of Violations were issued. These resulted from 168 SPCC inspections completed during this period. Six Federally funded oil spill clean-ups were completed. Five actions were referred to District 9, U.S. Coast Guard for consideration for cost recovery.

REGION V

OWEG DATA SHEET
OFFICE OF WATER ENFORCEMENT AND PERMITS

	MUNICIPAL	MAJOR PERMITEES REGION V N/MUNICIPAL	FEDERAL
COMPLIANCE TRACKING OF FY 1985 FIXED BASE			
STATUS AS OF DECEMBER 31, 1984			
A.NO. IN SNC WITH FEL.	22	14	3
1. RETURNED TO COMPLIANCE	16	11	1
2. NOT IN COMPLIANCE BUT ADDRESSED THROUGH ENFORCEMENT ACTION	4	2	1
B.NO. IN SNC WITH CONSTRUCTION SCHEDULES			
a. RETURNED TO COMPLIANCE	0	0	0
b. NOT IN COMPLIANCE BUT ADDRESSED THROUGH ENFORCEMENT ACTION	0	0	0
C.NO. IN SNC WITH INTERIM EFFLUENT LIMITS			
a. RETURNED TO COMPLIANCE	13	0	0
b. NOT IN COMPLIANCE BUT ADDRESSED THROUGH ENFORCEMENT ACTION	9	0	0

OWEG DATA SHEET

OFFICE OF WATER ENFORCEMENT AND PERMIT

MAJOR PERMITTEES

REGION V

MUNICIPAL N/MUNICIPAL FEDERAL

III. EXCEPTION REPORT TRACKING OF PERSISTENT NONCOMPLIERS.

*A. NO. IN SNC WITH FINAL EFFULENT LIMITS (FEL) ON 9/30/84 AND 12/31/84 QNCRs & NOT ADDRESSED WITH A FORMAL ENFORCEMENT ACTION BY 3/1/85:	3	3	1
*B. NO. IN SNC WITH CONSTRUCTION SCHEDULE (CS) ON 9/30/84 AND 12/31/84 QNCRs & NOT ADDRESSES WITH A FORMAL ENFORCEMENT ACTION BY 3/1/85:	0	0	0
*C. NO. IN SNC WITH INTERIM EFFLUENT LIMITS (IEL) ON 9/30/84 & 12/31/84 QNCRs & NOT ADDRESSED WITH A FORMAL ENFORCEMENT ACTION BY 3/1/85:	7	0	0

*NAMES ATTACHED

REGION V

STATUS OF PERSISTENT NONCOMPLIERS

NAMES	NPDES.NO.	STATUS
-------	-----------	--------

1A.

1 EDWARDSVILLE CITY OF IL0026310 NEW TREATMENT FACILITY HAD BREAKAGE OF CHLORINATOR. EQUIPMENT WAS REPAIRED FEBRUARY 1985. COMPLIANCE OF CHLORINE RESIDUAL IS EXPECTED.

3 COMMONWEALTH EDISON CO-POWERTON IL0002232 CONSTRUCTION COMPLETED 12/84. IN COMPLIANCE 01/85.

4 BRONSON MFG PLATING CO MI0000825 PERMITTEE SHOULD COMPLY WITH LESS STRINGENT LIMITS OF MODIFIED PERMIT OF JANUARY 1985.

5 MAC STEEL, DIV. MICH. SEAMLESS MI0028461 STATE HAS ENFORCEMENT ACTION IN SIGN-OFF PROCESS.

7 WAYNE CO.-WYANDOTTE MI0021156 PERMIT ISSUED 01/17/85 WITH INTERIM LIMITS WHICH THE PERMITTEE IS MEETING.

12 MAHOMING COUNTY(NEANDER CREEK) OH0045721 OEPA REFERRED TO AG ON 03/21/85.

14 USDOE PORTMTH GAS DIFF PLANT OH0006092 OEPA ORDER BEING FINALIZED.

1B. NO RECORDS

1C.

2 NAPERVILLE SPRINGBROOK WTR REC IL0034061 CONSTRUCTION RECENTLY COMPLETED. PLANT IN START-UP.

6 WAYNE CO.-TRENTON MI0024317 PERMIT ON PUBLIC NOTICE WITH RELAXED INTERIM LIMITS. FACILITY TO CEASE OPERATION AND CONNECT TO HURON VALLEY SYSTEM BY 12/01/87.

8 SALINE STP MI0024023 USEPA ISSUED AD 8/30/82. STATE ISSUED PERMIT 8/17/84 WITH RELAXED INTERIM PHOSPHORUS LIMIT. CHRONIC NONCOMPLIANCE DUE TO FORD'S INDUSTRIAL CONTRIBUTION. STATE EVALUATING FORD'S REDUCTION IN OPERATION & REDUCED IMPACT ON POTW.

9 LAPEER, CITY OF MI0020460 CONSTRUCTION OF NEW FACILITY TO BE COMPLETED BY 4/1/85.

10 SAGINAW TWP. MI0023973 STATE STIPULATION & ORDER DRAFTED AND UNDER NEGOTIATION WITH PERMITTEE. AS SOON AS COMPLEX ISSUES ARE RESOLVED STATE WILL ISSUE THE ORDER.

11 AMHERST, CITY OF OH0021628 CONSTRUCTION WHICH WILL ENABLE A RETURN TO COMPLIANCE WILL BE COMPLETED BY MAY 1985.

13 LANCASTER, CITY OF OH0026026 RECENTLY DETERMINED THAT CITY IS NOT ELIGIBLE FOR FY 1985 GRANT AND OEPA L ISSUE ORDER FOR CONSTRUCTION (PLANS SUBMITTED). OEPA HAS DRAFTED A DIRECTOR'S LETTER REQUESTING AN ENFORCEMENT MEETING.

REGION V
OWEG DATA SHEET
OFFICE OF WATER ENFORCEMENT AND PERMITS

	MUNICIPAL		MAJORS		MINORS		NON-MUNICIPAL		FEDERAL	
	PERMITTEES REGION V PL 92-5008									
COMPLIANCE TRACKING OF THE MOVING BASE.										
FOR THE QUARTER ENDING DEC.31,1984.										
A. NO ON FINAL EFFLUENT LIMITS (FEL):	417		193		299		569		11	
1. NO. AND PERCENT IN SIGNIFICANT NONCOMPLIANCE (SNC) WITH FEL:	42	10	15	8	12	4	44	8	2	
B. NO. NOT ON FEL	220						18		1	
1. NO. AND PERCENT IN SNC WITH CONSTRUCTION SCHEDULES:	8	4					0	0	0	
2. NO. AND PERCENT IN SNC WITH INTERIM EFFLUENT LIMITS:	26	12					3	17	1	10
C. TOTAL NO. OF FACILITIES	637		198		310		587		12	

* APPLIES TO COMPLETED, OPERATIONAL PLANTS ONLY

**WHERE A FACILITY IS IN SNC WITH BOTH ITS SCHEDULE AND AND INTERM LIMITS, IT SHOULD BE REPORTED IN NONCOMPLIANCE WITH ITS SCHEDULE.

Mid-Year Evaluation Report
Region V

This report is composed of two parts. Part 1 consists of 48 pages which follows the Headquarters suggested format. Part 2 consists of the Regional monthly monitoring report. Where activities and the respective quantitative and/or qualitative measures are addressed in Part 2, there is a cross reference in Part 1.

Questions on this report should be addressed to one of the following:

Todd A. Cayer, Chief, Municipal Facilities Branch
John R. Kelley, Chief, Program Management Section
Robert E. Lee, Chief, Policy and Management Unit

FY 1985 Mid-Year Evaluation of Region V Water Program

Objective: Improve Water Quality

Activity 1: Manage Priority Systems and Lists

Qualitative Measure (A): Have Regions/States demonstrated that priority lists are being used as management tools (page A-52)?

The Project Priority Lists (PPL) are used as management tools to varying degrees in all Region V States for construction grants, water quality, and enforcement programs. For example in Ohio, scheduling of reviews of facilities plans, plans and specifications, and other documents is based on priority ranking. Study areas for the preparation of Comprehensive Water Quality Reports are selected based on PPL projects which require AT reviews or whose effluent limits have yet to be established. The PPL provides information on funding status for writing NPDES permits in terms of schedules or needs for Municipal Compliance Plans. Similar program management activities occur in Illinois, Minnesota, and Wisconsin, except that Wisconsin enforcement actions proceed independent of funding status due to the availability of State grant funds. Indiana has begun to develop communication systems among the programs for use of the PPL as a management tool. Indiana's use of the PPL to guide funding actions has improved significantly over the last 2 years. Michigan uses the PPL to manage the construction grants program as in the other states, but there appears to be room for improvement in other Michigan water quality programs' use of the PPL as a management tool. Although Ohio makes good use of the PPL as a management tool, this fiscal year the extremely late submission of the PPL has caused problems in the decisionmaking process for all water quality programs.

As needs are identified through applications from municipalities, permits and enforcement activities, and water quality management planning; projects to address these needs are subjected to the States' priority system ranking processes. The State priority systems rank projects based on water quality, public health, and other factors permitted by the regulations. Since future growth and some need categories are ineligible for funding, some newly emerging needs will not be fundable.

All Region V States update priority list information on a regular basis, some more frequently than others. Significant updating occurs after submission of information by applicants during the public participation process and at the time applications are completed. Region V reviews the priority lists for accuracy when they are submitted for acceptance as well as when projects are certified for grant award.

Qualitative Measure (B): Have Regions/States demonstrated that grant dollars are going to priority projects with high WQ/PH ranking established at the start of the fiscal year (page A-52)?

Grants in Region V are only awarded for projects in the funding range on the State PPL's or to contingency projects reached through established State bypass procedures. This ensures the funding of priority projects since the priority system rankings are based on WQ/PH. Facilities plans, prepared as prerequisite

to grant award, document public health problems, and waste load allocation reports, prepared to establish effluent limits and to review water quality standards, document biological and chemical water quality impairments. Either one (the facilities plan) or both of these documents are available before a grant is awarded to demonstrate appropriate use of grant dollars. In most of the States enforcement and construction grants staff coordinate enforcement actions being considered or ongoing for those communities which will or have received construction grants. Discussions among the staff occur concerning planning, design, and construction schedules and timing of potential grants.

Qualitative Measure (C): Do priority projects funded in (B) above correlate with priority waterbodies identified in the Water Quality Standards, Planning, and Assessment section of OWAS (page A-52)?

Although all the States coordinate the priority waterbody and construction grants priority list processes, only Illinois and Ohio have reported that priority waterbody maps have been prepared to show the location of PPL projects. For the Region V work plan, each quarter numbers of construction grants projects completed and in compliance with NPDES effluent limits on priority waterbodies are determined to reflect water quality improvements. Numbers of completed pipe or small system projects are used as indicators of public health improvements. In addition, numbers of new awards on priority waterbodies are used as indicators of projected water quality/public health improvement.

Regional Contact: John R. Kelley, Chief, Program Management Section, 353-2123.

SLUDGE MANAGEMENT
MID YEAR REPORT

OBJECTIVE: Ensure Financial/Technical Program Management (A-53)

ACTIVITY 1: Translate National Guidance into Mechanisms for Oversight. Qualitative Measure (A) are sludge management projects being implemented in a manner consistent with existing Agency Guidance?

A direct response to this inquiry would be Yes! We have initiated a self evaluation questionnaire which is being utilized as a means of monitoring sludge management project activities within each State. Thus far, in FY'85, three States have completed the questionnaire and two more are in the process of providing responses to the questionnaire. The entire monitoring process should be completed by June.

The questionnaire was developed so as to clearly indicate whether or not sludge projects are being implemented consistent with existing Agency Guidance. Preliminary results to date indicate an affirmative response to the implementation and consistency aspects of this Qualitative Measure. Pertaining to the States which have thus far been monitored we can say with some confidence:

- The States do monitor and track compliance by POTW's with appropriate guidance and regulations.
- State sludge management programs are applicable to all projects regardless of the source of funding.
- The States within the Region do use EPA guidance and Federal regulations.
- Some of the States are gradually becoming aware of the problems associated with the land application sludge disposal practice within proximity to urbanized areas. Remedial actions are just now being considered.

SLUDGE MANAGEMENT - MID YEAR REPORT

OBJECTIVE: Ensure Financial/Technical Program Management (A-53)

ACTIVITY 2: Adopt Programs to Meet Requirements of the Regulations

QUALITATIVE MEASURE (A): Are the States developing sludge management programs which embody and enforce EPA regulations and guidance (Page A-53).

- Do the States plan to improve their current sludge management programs to embody and enforce EPA regulations and guidance?

Region V has several waste treatment facilities which have reached or exceeded their capacity to store or properly dispose of the residual product (sludge) resulting from the wastewater treatment process. Neither the Region nor the several States can positively state that we have a firm handle on each and every location which may be experiencing sludge management problems. Accordingly, the Region has initiated action with each of the States to ensure that an inventory of each sewage sludge generator and sludge disposal facility will be available. This inventory is ongoing and is scheduled for completion as a part of the FY 1986 Work Plan activities. This inventory will be a major part of each State's sludge management improvement program.

While each delegated State's sludge management program will be actively monitored and evaluated during FY 1985, the Region has noted that in virtually all of the States a lack of resources at the State level has resulted in slow advancement in the improvement of each State's sludge management program. In addition, and without exception, each State is awaiting the promulgation of new EPA sludge management regulations and guidance. Each State is reluctant at this juncture to expend resources toward the improvement of their current program in view of the imminent promulgation of new State program requirements. (See State by State assessment.)

- Which States have an inventory of sewage sludge generators and sludge disposal facilities?

This qualitative measure was originally set forth in February 1985 as a part of the FY 1986 Work Plan objectives, activities and performance measures. It has been duly noted and will be accomplished during FY 1986.

Our FY 1985 monitoring and evaluation activities indicate that some of the States have accomplished significant inventorying as a part of their pretreatment program and despite limited resources, the States will be providing follow-up toward the expansion of this inventory program.

- Identify the agencies in the States that have sludge management responsibilities.

This qualitative measure has been included in the broader spectrum of our FY 1985 monitoring and evaluation activities. Each State has been requested to "provide an organizational chart or description clearly defining areas of sludge management program responsibility and those within the organization who will administer the sludge management program".

The several States which have been monitored thus far in FY 1985 have indicated that agencies within that State which have sludge management responsibilities can be identified, and we should have this information available by the end of June 1985.

- A State by State assessment of their activities to improve their current sludge management programs.

Illinois

During the early portion of FY 1985, Illinois upgraded and distributed to local agencies, two key sludge management guidance documents. Both of these publications encourage and promote municipal sludge disposal systems which provide for the beneficial use of sludge. The State sludge coordinator is highly competent and continues to show an active interest in improving the State's sludge management performance, as evidenced by his attendance and active participation in the National sludge coordinators conference which dealt primarily with the development of new regulations and guidance as well as continuing improvement in current sludge management programs. Illinois has developed a wait-and-see position concerning any plans for the improvement of current programs, depending upon the requirements of the new State program regulations.

Indiana

The Indiana State Board of Health refined their sludge management program in FY 1984 and in the early part of FY 1985. This refinement took place in order to deal with the complexities involved in several sources of contaminated sludge discovered during the contaminated sludge inventory. The Indiana sludge program continues to be hampered by staffing problems, however these are being resolved slowly and there has been improvement in their current sludge management program.

Michigan

The State sludge coordinator, represented MDNR on the National Sludge State Program Regulation Task Force and has been active in the formulation of National policy. Action leading to any alteration or improvement in the Michigan current sludge management has been placed on hold, as the State prepares to receive the new Federal State Program and Technical Regulation and guidelines. The State sludge coordinator believes that Michigan's current sludge program can be adopted to meet the new Federal Program - only time will tell.

Minnesota

During the first half of FY 1985 the Minnesota Pollution Control Agency continued to be in the forefront of States encouraging the beneficial uses of sludge. Monitoring data indicates that MPCA is currently improving their sludge management program to the point where over 90 percent of the sludge material produced within the State is disposed of through land application. In addition, MPCA is planning improvements to the guidance document "Recommendations for the Application of Municipal Wastewater Sludges on Land", and is providing quality assistance to local municipalities.

Ohio

The Ohio sludge management program continues to be hampered by fragmentation. The majority of project specific implementation activity is disseminated to the several District Offices as well as administrated by the Ohio Air, Land, and Wastewater Operating Divisions. There is little likelihood that changes will take place within the Ohio sludge management program pending the promulgation of the Federal sludge program regulations. Improvement activity has given way to a cautious wait-and-see position.

Wisconsin

The Wisconsin sludge management program continues to be a positive and effective force in the implementation of practices throughout the State toward the beneficial uses of sludge. The State sludge coordinator is active and involved in the preparation of the new Federal sludge program regulations and has contributed significantly toward asserting the States viewpoints as the preparation of the new regulations went forth. WDNR is currently hiring new staff with which to implement improvements not only within the current State program, but also to place into effect the new Federal sludge program regulations, when promulgated.

ACTIVITY 3: Manage the Program to Ensure Priority Legislative Requirements are Effectively Implemented.

Qualitative Measure (A-1): Is the Region/delegated State management approach achieving maximum utilization of I/A set-aside (page A-53)?

The States of Illinois, Minnesota, Ohio and Wisconsin did not lose any FY 84 I/A set-aside. These States anticipate obligation of all FY 85 I/A set-aside funds.

Indiana lost a significant portion of the FY 84 alternative set-aside due to the funding of a large number of conventional projects listed at the upper portion of the State Project Priority List (PPL). The State has modified its priority system to allow funding of more rural I/A projects and has stepped up efforts to promote the use of I/A projects which will minimize if not eliminate any loss of FY 85 I/A set-aside.

The State of Michigan did not lose any FY 84 I/A set-aside, but anticipates losing a minimum amount of set-aside for FY 85. Although it encourages the use of I/A technologies by way of obligating all of its small community set-aside funds (projects are at least 50 percent innovative or alternative) and as part of facilities planning reviews, assuring the consideration of I/A alternatives, the State does not have provisions in the project priority system to advance I/A projects listed on the PPL nor does it make any special efforts to ensure obligation of all I/A funds. The issue, from the State of Michigan's point of view, is related to an inconsistency in objectives between obligating all I/A funds and directing CG funds to the highest priority environmental needs. As such, the State recommends the legislative and regulatory provisions be changed to expand the small community set-aside concept, and eliminate the I/A set-aside. Under the State-recommended plan, the 20 percent bonus for I/A components would still apply, and would be an incentive for communities to assure I/A alternatives are considered in the facilities planning process.

Qualitative Measure (A-2): What criteria does the Region utilize to ensure consistent, high quality designations of I/A technology (page A-53)?

Subsequent to the August 20, 1984 GAO Report on innovative technology designations, the Region has taken steps to ensure that project files are complete and clearly document innovative (and alternative) technology designations. These steps include - (1) expansion of the innovative (and alternative) technology reviews and designation memoranda to include either the discussion of or reference to all applicable innovative technology criteria, technological risk assessment, detailed description of the proposed technology, State agency recommendation, and documents reviewed; (2) coordination with EPA/WERL in terms of either their review or analysis of the specific proposed technology by means of telephone conversations or written memoranda; (3) increase in the number of precertification reviews and documentation of this Region's positions taken on projects which are controversial in terms of National, Regional, or State perspective; (4) with respect to those States where delegation agreements for I/A technology reviews have been formalized, initiation

of oversight/program management and periodic reviews of State-reviewed innovative (and alternative) technology designations to ensure that those States can benefit from current national and regional guidance on applications of specific technologies; and (5) regular involvement of first, second (and other, if appropriate,) management levels in finalizing any innovative (and alternative) technology designations.

ACTIVITY 3

Qualitative Measure (B-1): (From the FY 84 Annual Value Engineering Summary Report - per Headquarters instructions)

<u>State</u>	<u>VE Recommendations in Millions of \$</u>	<u>VE Recommendations Implemented in Millions of \$</u>	<u>%</u>
IL	8.5	2.1	24.7
IN	11.9	5.0	42.0
MI	13.9	5.2	37.4
MN	2.6	0.6	23.0
OH	21.3	11.1	52.1
WI	<u>20.3</u>	<u>2.3</u>	<u>11.3</u>
TOTAL	78.5	26.3	Average 33.5

In the current delegation agreements with the States in the Region, the States have not been asked to report what percentage of VE recommendations were implemented for the annual report to EPA Headquarters; the delegation agreements will need to be modified to include same.

Qualitative Measure (B-2):

The VE program has been delegated to each State in the Region except Indiana. VE training was provided to the State of Indiana in December 1984. The consensus is that delegation of the VE program to Indiana will take place during the third quarter of FY 85. This decision will be made after an evaluation of Indiana's efforts in reviewing two additional VE reports.

To date, there have been no VE studies reviewed during FY 85. Tracking of those projects needing VE studies for FY 85 awards is being done by the States. No problems are anticipated to prevent meeting the Regional obligations projections.

The Region has scheduled a performance evaluation of the Wisconsin VE program this August, since Wisconsin has the lowest percentage of VE recommendations implemented of all the states. The intent is to ensure that the state is making sufficient efforts to maximize project cost savings on each VE project, and to highlight any potential obstacles to a successful VE program in the State.

Based on the information from the Annual Value Engineering Summary Report, only 5 of the 18 projects that had VE studies, had two or more VE workshops completed. Although the scope of the VE effort depends on the size and complexity of the facilities, the EPA guidance anticipates that two VE studies are normally performed on \$10 million projects. This may be an emerging trend in the Region, which could effect the success of the VE program in the future. The Region is concerned with this situation and will have discussions with the States to examine the situations and take action as necessary.

ACTIVITY 3: Manage the Program to Ensure Priority Legislative Requirements are Effectively Implemented.

Qualitative Measure (C-1): Have the Region and States taken steps to ensure that grantees have established programs to perform the 1-year certification on projects funded after December 29, 1981 (page A-54)?

The Region tracks initiation of operation (N7) and project performance certification (KA) dates for projects on the GICS system. All Region V States have been notified that these data elements must be kept current and updated regularly. For most Region V States, target dates for N7 and KA are established and included in the schedules negotiated with applicants prior to grant award. Upon grant award, these dates are entered into GICS. The States then monitor the dates to make sure that the grantee is following its schedule. Region V employs a quarterly exception report as a basis for follow-up contacts with States to assure that overdue events are investigated and corrected by timely State action.

Regionally, in FY 85, the Municipal Engineering Section (MES) is performing a Special Evaluation Project (SEP) on the project performance certification requirements. Through the SEP, it is intended to: (1) ascertain whether the legislative requirements are being implemented and (2) begin an assessment of the effects of the new requirement. The information and knowledge acquired by the various State agencies will be shared and disseminated so that Regional improvements can be instituted in this program area. A mid-year SEP report (copy attached), prepared by the MES, provides greater detail not only on some of the items presented here but also on other aspects of the project performance certification process.

Generally, prior to grant award, grantees are notified by Region V States that they must comply with the project performance certification requirements. Proposed A/E subagreements are reviewed by the States to assure that appropriate training, performance evaluation and certification support services are included. The States review Final Plans of Operation to determine that project performance certification activities are duly integrated into project schedules. COE and State project inspectors ascertain and report these activities as they occur.

Grantees that received grants prior to the promulgation of program regulations that established the specific performance certification services requirements were contacted by States, informed of the requirements and are being assisted to establish programs to perform the 1-year certification activities. This activity, ongoing since 1983, is now complete in all Region V States excepting Indiana and Michigan.

The Table on the following page presents a statistical summary of certification program status in Region V. Five affirmative certifications have been received. No non-affirmative certifications have been reported to date.

**PROJECT PERFORMANCE CERTIFICATION
MID-YEAR STATISTICAL SUMMARY**

		IL	IN	MI	MN	OH	WI	TOTAL
nts awarded ...								
fiscal year								
82/09/30	FY 1982	17	9	6	6	26	9	73
83/09/30	1983	61	21	21	30	22	11	166
84/09/30	1984	46	16	27	27	34	16	166
Present	1985	2	0	0	2	0	6	10
		126	46	54	65	82	42	415

***s in 1st Year Operation
get (Estimated at Qo / Q1)**

Qo	(21/12)	(1/2)	(7/3)	(3/2)	(3/3)	(6/6)	(41/28)
	13	1	6	0	2	6	28
Q1	(39/29)	(1/3)	(11/7)	(10/9)	(6/6)	(17/17)	(84/71)
	28	1	8	4	5	12	58
Q2	(50/38)	(3/5)	(12/8)	(11/11)	(6/6)	(17/17)	(99/95)
	36	4	10	7	5	14	76
Q3	(64/55)	(8/5)	(16/14)	(15/13)	(13/13)	(19/19)	(135/119)
	53	13	16	9	13	18	122
Q4	(80/68)	(8/5)	(18/18)	(20/19)	(21/20)	(21/20)	(168/150)
	65	16	20	17	28	19	165

***s in 1st Year Operation
ual**

Qo	5	1	2	0	0	2	10
Q1	6	1	4	0	3	2	16
Q2	20	2	6	4	4	4	40

*** Certified
get-Cumulative
estimated at Qo / Q1)**

Qo	(2/1)	(0/0)	(0/0)	(1/0)	(1/2)	(2/2)	(4/5)
	1	0	0	0	2	2	6
Q1	(2/2)	(0/0)	(0/0)	(1/0)	(1/2)	(3/3)	(7/7)
	2	0	2	0	2	3	9
Q2	(2/2)	(0/0)	(0/0)	(1/0)	(1/2)	(4/5)	(8/9)
	4	0	2	0	2	5	13
Q3	(8/8)	(1/1)	(2/2)	(1/0)	(3/3)	(5/6)	(20/20)
	10	1	4	0	3	6	24
Q4	(16/12)	(1/2)	(3/3)	(6/2)	(4/3)	(5/6)	(35/28)
	13	1	6	0	3	6	29

***s Certified
ual - Cumulative**

Qo	0	0	0	0	1	2	3
Q1	1	0	0	0	1	3	5
Q2	1	0	0	0	1	3	5

tifications Overdue

Qo	1	0	1	0	1	0	4
Q1	1	0	2	0	1	0	4
Q2	1	0	2	0	1	2	7

E: Qo = 09/31/84

Q1 = 12/31/84

Q2 = 3/31/85

Qualitative Measure (C-2): What strategies or programs have been developed by the Region and States to address non-affirmative certification?

Currently, Minnesota and Illinois have written procedures and strategies in place to deal with this issue. Wisconsin and Ohio have draft strategies, Michigan and Indiana are in the process of assembling a strategy to deal with the certification process, including non-affirmative certifications.

Generally, the State strategies that have been submitted to the Region provide that prior to grant award, the grantees are notified by the state that they must comply with the project performance certification requirements. This entails the state establishing project performance standards, to be agreed to by the grantee, as well as reviewing proposed A/E contracts (generally with the prime A/E) for services to be performed in conjunction with the certification. Generally, project performance standards are established during plan and specification review. Performance standards are documented by individual States: (See SEP mid-year report for details).

Grant agreements incorporate schedules that identify target dates of initiation of operation and certification. Target dates are verified by States during Final Plan of Operation review and at the point of 90 percent project completion. Grantees are required to report the actual date of initiation of operation in writing and the actual date is confirmed by COE/State inspectors.

During the construction period on the project, the COE/State inspectors keep the central offices of the states informed on the progress of the construction and, accordingly, the projects status with respect to its schedule.

Region V States enter initiation of operation (N7) and certification (KA) dates in GICS, monitor grantees schedule compliance and update GICS data as appropriate. The Region employs a quarterly exception report for management purposes.

A couple of the states have indicated that they and/or the COE will be taking an active role in assisting the grantee during the 1-year certification period. This assistance would take the form of special inspections, meetings with the grantee, etc.

Grantee compliance with discharge-related performance standards is monitored by State review of discharge monitoring reports. State strategies provide for coordination of grant administration and compliance/enforcement actions if significant non-compliance occurs for a prolonged period after initiation of operation.

To date, the Region has had five affirmative certifications and no non-affirmative certifications. However, the states have indicated through their strategies that should a non-affirmative certification be issued, the

grantee will be required (pursuant to 40 CFR 35.2218) to submit a corrective action report as well as a schedule for undertaking the corrective action necessary to bring the project into compliance. In general, these items are required by the states at the time of the nonaffirmative certification itself (1 year after initiation of operation), although Minnesota, in its current guidelines, provides the grantee an additional 30 days.

All of the states (with the exception of Indiana) have indicated that once a corrective action report and schedule have been submitted to the state by the grantee, further coordination will be undertaken with the states' compliance and/or enforcement staff to ensure consistency with compliance schedules and enforcement actions.

FY 85 Mid-Year Report
on the
Special Evaluation Project
on
Project Performance Certification Requirements

A. Introduction

1. Background

The 1-year project performance certification (PPC) requirement was added to the requirements of the construction grants program through section 204(d) of the Clean Water Act on December 29, 1981. Any Step 3 or Step 2+3 grant award made on or after this date is subject to the PPC requirement. The goal of the PPC requirement is to assure that Federally funded treatment works are meeting, and will continue to meet, design specifications and effluent limitations at the end of the first year of operation.

2. Purpose

The FY 85 Special Evaluation Project (SEP) on PPC requirements has a twofold purpose: (1) To ascertain whether this legislative requirement is being implemented, and (2) To begin an assessment of the effects of the new requirement. The information and knowledge acquired by the various State agencies will be shared and disseminated, so that Regional improvements can be instituted in this program area.

3. Scope of Effort on SEP

The first focus of this SEP has been to collect and analyze quantitative program data on municipal treatment projects that are subject to PPC requirements. At the beginning of FY 85, the universe of projects affected by this requirement was identified. Since then, an ongoing attempt has been made to get the States to update this universe of projects in the Grants Information and Control System (GICS).

The second focus on PPC's has been to obtain some qualitative data on the various aspects of this legislative requirement. Towards this end, a questionnaire was developed and sent to the States and the COE, requesting information on those projects that are, or are targeted to be, in operation at the present time and scheduled for performance certification by or before the end of FY 85. The SEP report on PPC's covers this class of projects. At the present time, the States of Wisconsin, Indiana, and Minnesota have returned their questionnaires. An on-site visit was made to obtain the requested information from the State of Illinois.

Although the questionnaire covers all aspects of the project performance certification requirements, this report will focus on only the services to be performed by the A/E (or through force account) during the 1-year period and the establishment of the performance standards. This is because only five of the 21 projects in our universe (for which questionnaires were filled out) have completed the 1-year certification period and, as such, an analysis of the data relating to the certification process itself would be inappropriate at this time. However, an analysis of the complete project performance certification system will be done at the end of FY 85 when the projects in our universe will have all completed the 1-year certification process.

B. Findings

1. Procedures followed on projects in SEP universe (State-by-State)

a) Project Performance Period Services

Indiana

Currently, Indiana has only one certified project. This is a sewer rehabilitation project. The A/E did not have project performance period services included in his original contract, nor was an amendment to include these services processed. There was no dollar amount involved in the project performance period services. Essentially, the A/E certified to the grantee that the work was performed in accordance with design specifications and that it was complete. No start-up services were provided.

Wisconsin

Wisconsin has five projects that are in operation at the present time and are either certified or targeted to be certified by the end of FY 85. Three of these five projects have been certified. None of the certified projects had project performance period services included in either the original A/E contract or contract amendments, although one of the projects had a statement in their certification that some project performance period services had been performed. Of the two remaining projects, one had start-up services lumped together with project performance period services as start-up services and incorporated by an amendment to the original A/E contract. The other was performing project performance period services by force account. In general, most of these projects did not appear to have had project performance period services, although since most of these projects were sewer projects, only minimal services would have been required.

Minnesota

Minnesota has three projects that fall into the universe of projects examined for this SEP. All of these projects have project performance period services incorporated by amendments to the original contracts. The services are being performed by the prime Step 3 A/E for two of the projects. Services for the third project are being done by force account. The scope of the services was similar for all three projects, and consisted of the following: (1) Orient

and train staff, (2) optimization of treatment facilities, (3) revise O&M manual, (4) direct operation of project to assure performance standards are met, and (5) provide an evaluation report at the end of the 1-year performance period. It appears that start-up services were also provided for these projects, and that these services were similar to the project performance period services.

Illinois

Illinois has 12 projects that fall into the universe of projects examined for this SEP. Four of these projects did not have project performance period services, although one of these four did have start-up services. All four of these projects involved sewer work. The remaining eight projects all had project performance period services incorporated either in the original A/E contract, or thru an amendment to the A/E contract. The project performance period services were performed by the prime Step 3 A/E (except for one case of force account being used). Most of these projects also had start-up services. The start-up services generally included operation and maintenance type duties while the project performance period services included a follow-up inspection 1 year after initiation of operation and the preparation of a report on the ability of the project to meet its performance standards.

b) Performance Standards

Indiana

The single project in Indiana which is included in our project universe had its project performance standard formally incorporated into the grant through the plan and specification approval letter. Accordingly, the standards are identified in the plans and specifications and also the I/I report. These standards were expressed in terms of sewer tests.

Wisconsin

Out of the five projects in Wisconsin which fall in our project universe, two have had standards formally incorporated into the grant (both having been approved verbally). Others will be formalized through some type of letter agreement. The project performance standards to which the grantees will certify are generally identified in the "Report on the Examination of Plans and Specifications." The standards are or will address such things as: (1) WWTP discharge in terms of effluent limits at design year flows and loadings, (2) sewer separation in terms of flow, or (3) sewer construction in terms of sewer tests.

Minnesota

As noted previously, Minnesota has three projects which fall within our project universe. Although the project performance standards have yet to be formally incorporated into the grants (e.g. through the award letter, plan and specification approval letter, etc.), the State has indicated that it will be doing so by issuing plan and specification amended approval letters. These standards will reference NPDES permits for treatment plant construction and State Disposal

Permits for septic tank and drain field construction. The standards will address such things as: (1) WWTP discharge in terms of effluent limits at design year flows and loadings, (2) treatment process equipment in terms of equipment performance specifications and tests, or 3) stabilization pond construction in terms of groundwater protection and non-degradation at initial year flows and loads.

Illinois

Illinois has 12 projects which fall into our project universe, seven of which involve sewer rehabilitation. For most of these projects, the project performance standards are formally made a part of the grant in two ways. First, they are included in the State Priority Certification or an amended certification as an item reading something such as: "Applicable project performance standards for the useful life of the project are as follows:." The schedule in the certification also includes project performance certification activities. The second way that the standards are made a part of the grant is through the "Resolution Regarding Project Performance Standards" which is submitted by the grantee. This resolution, although somewhat generic in nature, can be easily adopted to fit the particulars of a project. The general resolution gives load limits based on design average and maximum flows, and effluent limits as identified in the NPDES permit (for WWTP's), and/or states (for sewer rehabilitation projects) that "Under design conditions, there shall be no overflows, surcharges, or basement backups associated with the separate sanitary collection system." In most cases, the resolution was submitted after the project was under construction, based upon letters from the State detailing project performance certification requirements and requesting that the grantee submit any applicable items not yet submitted.

2. Comparison with Currently Established Procedures

Indiana

Indiana does not yet have any written guidelines with respect to project performance certification procedures. Accordingly, no comparison with the above findings can be made.

Wisconsin

The WDNR has just recently (October 1984) developed guidelines regarding project performance procedures in the form of a Project Performance Certification section to its Procedures Manual, although the section has not yet been finalized. This section contains, in part, guidelines with respect to A/E services to be performed during the 1-year period and also a proposed resolution regarding the project performance standards which will identify the standards agreed to by the State and the grantee. Since only two of the five projects have work yet to be completed and since these projects are significantly into the 1-year performance period, any eventual finalization of the Project Performance Certification section will have a minimal impact with respect to the areas covered by this report (especially with regard to the A/E services to be performed during the 1-year period). Accordingly, a direct comparison of the findings, as noted in Part B above, with the proposed section is inappropriate.

Minnesota

In viewing our findings on the projects, within our project universe, with respect to the MPCA's June 1984 Performance Certification Guidelines, it appears that the findings are in accordance with criteria established in the guidelines. The scope of services included in the A/E contracts, with respect to the project performance certification requirements, are as suggested in the guidelines and are either being performed by the prime Step 3 A/E (as suggested) or through force account. In addition, even though the performance standards have not yet been formally incorporated into the grants, the guidelines do not give a time frame for the formalization.

Illinois

In the Spring of 1983, the IEPA developed project performance certification guidelines. A comparison of the above findings with the guidelines shows that while there were minor variations in the projects reviewed, the procedures established by the State to implement this legislative requirement were generally followed. The project performance period services contained in the A/E contracts were generally as suggested in the guidelines and most of the project files contained a "Resolution Regarding Project Performance Standards." A major reason for the lack of subject items in some projects appears to be the age of the projects with respect to the time at which the State guidelines were developed. All of the newer grants require project performance period services to be included in the A/E contract submitted with the grant application and also require the Resolution to be submitted with the grant application.

C. Conclusion

Even though there is some variation among the projects in our project universe, with regard to the services performed during the project performance certification period and to the establishment of project performance standards, there appears to be a trend toward a greater uniformity with regard to these items on the newer projects. Many of the projects which did not include project performance period services or included only some services, were either older projects which were completed or substantially under way before guidance was issued, or were sewer rehabilitation projects which inherently required less services to meet the project performance certification requirements. Currently, however, those states which have developed guidelines on performance certification have, in general, included, as suggested services, those items identified in 40 CFR 33.2218(b) (with some explanation of what these items entail). As with the services, the variation with regard to the establishment and formalization of performance standards on those projects in our universe appears to be the result of the age of the projects with respect to the time of the development of the guidelines by the various states. Since the implementation of its guidelines, however, IEPA has required that a resolution, establishing the standards, be

included in the grant application. A similar type of resolution is also being proposed by the WDNR (as a part of its guidelines) for inclusion in the grant application. OEPA is proposing, as part of their guidelines, to mail letters to prospective grantees proposing performance standards to be accepted by the grantee (in its proposed form or revised through negotiations with OEPA) prior to the grant award. We feel that these are good procedures with respect to the establishment of the performance standards and encourage all of the states to, in some way, ensure that the standards are established prior to grant award. By doing so, it makes the grantee (and the A/E) aware, at a time when adjustments can easily be made, of what is required of them during the certification process. In general, it also appears that the standards which have been established are appropriate for the projects.

ACTIVITY 4 QUALITATIVE MEASURE A

The Region will conduct annual reviews of all States to see how those States have implemented the Financial and Management Capability Policy (F/MCP) and whether projects are technologically appropriate. The Region is actively participating in a national internal control review (ICR) to assess State compliance with the F/MCP. This activity will be concluded in the third quarter.

Of the appropriate technology reviews conducted to date in Illinois, Michigan, and Ohio we have concluded that, in general, those States have performed in an acceptable manner. Based on staff contacts it is our understanding that all States have implemented the F/MCP to one extent or another.

In addition to the above we have -

- ° Participated in the development of both the Policy and its implementation procedures.
- ° Provided detailed guidance in context of concept and checklists to our States.
- ° Specifically incorporated financial and management capability review concerns into the overall facilities planning review conducted as part of the delegation reviews.
- ° Provided technical assistance, co-sponsored workshops, and actively encouraged low cost technologies including flow reduction and water conservation as alternatives to capital construction.

The above was discussed in some detail during the HQ ICR review of the Region.

ACTIVITY 4:

Qualitative Measure (B): How does the Region/State screen projects for potential problems, including inappropriate technology? What follow-up is provided on problem projects so identified? What types of problems appear to be recurring in terms of financial capability and appropriate technology and what measures are being applied to other projects to avoid similar situations in the future (A-55)?

Technologies that have been identified as potentially not being able to meet project performance expectations are candidates for analysis as a special Evaluation Project (SEP). The SEP objectives are to analyze the nature, scope, impact and causes of failure as well as addressing implications for future projects as well as corrective measures at existing installations. Reports have been completed on ultra-violet disinfection as well as land treatment of wastewater systems. Reports are currently being prepared addressing vacuum assisted sludge drying beds, alternative conveyance systems, and swirl concentrators.

The UXB printouts were sent to each State on 12/14/84. While there has been little reaction from the States to this latest printout, the Region, on 2/26/85, responded to HQ in a lengthy memo discussing the limitations of the UXB printout. Subsequent discussions with several States have confirmed the uselessness of the printouts. Reviews conducted by the Region of delegated State reviews of facility plans have generally concluded that appropriate technologies are being selected. However, there will always be some projects in which the cost-effective solution is financially unimplementable, i.e., there are some problems for which there are no good solutions.

ACTIVITY 6: Evaluate Delegated CSO Projects

There have been no CSO projects proposed for funding under Section 201(n)(1) to date. To our knowledge none are being proposed for the balance of the fiscal year.

OBJECTIVE: ENSURE EFFECTIVE CONSTRUCTION AND PREVENT BACKLOGS.

ACTIVITY 1: ELIMINATE BACKLOGS AND MANAGE GRANTS EFFICIENCY.

SUBACTIVITY 1: OVERALL PROGRAM MANAGEMENT.

Qualitative Measure A. Do Regions/States have an effective strategy for managing projects (all steps) from grant award to closeout.

A major objective of the construction grants program was and is to assist in achieving municipal compliance. Accordingly, with the issuance of the National Municipal Policy (NMP) and the later media management emphasis on pretreatment, the Region overtly managed Step 1 grants to mesh the major objective with those initiatives and encouraged the States correspondingly. This was reflected in the Region's March 1984 strategy for completing Step 1 and 2 grants, and provided to Headquarters with last year's mid-year evaluation.

Based on the NMP, increased emphasis has been focused on managing Step 2+3 and Step 3 projects to and through construction. The Region and States have always tracked projects from grant award to construction. The COE has generally been responsible to monitor progress to physical completion or initiation of operation at which time the environmental results of the construction begin to pay off. At that point, the project is tracked by the Water Quality Branch, Compliance Section to ensure that effluent limits are met. The Region is currently developing a protocol whereby enforcement actions can be utilized at any time after grant award to and through construction until at least initiation of operation to get municipal dischargers subject to final effluent limits as soon as possible.

Management of administrative completions continues to be one of the most resource intensive management efforts in the Region. After the tremendous push last fiscal year to meet and exceed the commitment, everyone (Region, State and COE), took a deep breath to address other activities which were set aside. The result was a low first quarter accomplishment.

By mid-November, lists of projects and responsibilities for getting actions accomplished were back in high gear and all parties (Region, State and COE) are making progress to complete the 31 projects missed in the first two months of the Fiscal Year. Actual second quarter accomplishments (44) more than doubled those in the first quarter and it is anticipated the first quarter shortfall will be substantially reduced in the third quarter. The Region, States and COE are cautiously optimistic of meeting the end-of-year projections.

The ideas and management concepts which came from the February 1984 workshop are working, but the activity is extremely resource intensive.

Qualitative Measure (J). Do the Regions/States take aggressive action in identifying and resolving problems on delayed projects (all steps)?

The Region reviews the GICS reports on a bi-weekly, weekly and monthly basis. Region V Program Managers utilize GICS to work with the states who work with grantees and engineers to resolve problems. The Regional role is in context of persuasion, technical assistance, negotiation, overview, etc. The following are major efforts and accomplishments by Region V States:

- IL - The State requires grantees to schedule projects to be under construction within 9 months. The State contacts grantees at 6 months if construction has not been initiated. Projects that are not moving forward are considered for possible termination if swift action is not taken. The COE performs pre-final construction inspections of projects to determine if projects conform to schedule. IEPA conducts final inspections to ensure compliance with effluent limits and sets firm dates for resolution of deficiencies. The COE and IEPA are emphasizing to grantees/engineers the importance of construction schedule and permit schedules.

The IEPA has initiated aggressive effort to move the remaining Step 1 and Step 2 projects to completion. The State projects that the number of active Step 1 projects will be reduced to 80-90 by the end of FY 1985. It is expected that only two Step 2 projects will remain active at the end of this fiscal year.

The IEPA is closely monitoring the Step 2 + 3 projects to ensure that grantees complete the design portion of the project and submit approvable plans and specifications to the State. The IEPA routinely contacts grantees to ensure adherence to project schedules.

- IN - The State has established additional codes to help them monitor Step 4 grant projects through the completion of P & S. This procedure has reduced project backlogs. The State also issues compliance orders consistent with the grant schedule which allows enforcement actions (as appropriate) when projects get off schedule during construction. The State has employed a strategy to address physical completion of Step 1 grants. To date, the strategy has resulted in completions being ahead of projections. During the remainder of the year, the State will be concentrating on municipalities with priority numbers greater than 150 with active Step 1 grants. The resulting completions and terminations should result in EPA exceeding projections for the year.
- MI - The State and the COE monitor grantee adherence to project schedules. The MDNR reviews projects and must approve or disapprove any significant revisions. Costs for administrative completion will be addressed during the 1 year performance period. The State is now more actively tracking and pursuing the completion of Step 1 & 2 projects.
- MN - The State has 125 Step 1 and 4 Step 2 projects which will not be physically completed at the end of FY '86.

The State has had problems moving projects from design stage to construction stage. The State acquired a computer in January 1985 and through its use has found an improvement in tracking and progress toward completion.

- WI - The State is developing an appropriate tracking mechanism to ensure quality management of the grant programs. EPA works closely with the State on a monthly basis to identify and resolve problems which delay projects. The State's field inspectors visit each project under construction at least once a quarter and more frequently during critical states of construction. The State had assigned one staff person, full-time, to develop and implement a series of recommendations that deal with construction management in an attempt to keep projects on schedule.

During the first half of FY 1985, Wisconsin has initiated steps to identify those Step 1 and Step 2 projects that could be physically completed during FY 1985. The Bureau of Water Grants (BWG) is working closely with the Bureau of Wastewater Management to commence the termination process on Step 1 projects where a no action alternative was chosen. BWG staff are administratively completing Step 1 and Step 2 projects where the Step 3 project was not Federally funded. WDNR hopes to administratively complete many of the projects this fiscal year so that the amount to be tracked in FY 1986 will be small.

- OH - The State is proposing a requirement which will direct grantees to advertise equipment contracts by the time the projects are 75% complete and to finalize the price of small, non-bid items, no later than 6 months prior to the scheduled date of initiation of operation. In addition, grant construction costs will be finalized between initiation of operation and certification. The State is making a concerted effort to both physically and administratively complete as many Step 1 and Step 2 projects as possible. To accomplish this, OEPA will no longer consider Step 1 and Step 2 grant increase requests, except when phase 1 pre-treatment amendment requests are dated prior to May 1, 1984, and/or when other amendment requests were received prior to January 1, 1985.

Qualitative Measure K. What actions are the Region taking to ensure that projects are completed in a timely manner?

Headquarters did a special evaluation of this activity. Our April 2, 1985 response to Headquarter's draft report addresses this subject fully.

SUBACTIVITY II: Preconstruction Lag

Quantitative Measure (a): Percent of projects (by dollar) in preconstruction lag (page A-57)*:

<u>State</u>	<u>Mid-Year Target (10% of Annual Allotment) in Dollars</u>	<u>Mid-Year Actual (Dollar Amount) in Lag</u>	<u>Percent Achieved</u>	<u>End-Year Target (10% of Annual Allotment) In Dollars</u>	<u>End-Year Projection (Dollar Amount) In Lag</u>	<u>Percent Expected</u>
-						
-						
-		see MR 15 and MR 5				
-						
<u>Total</u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>

SUBACTIVITY III: Step 1 and Step 2 Completions

Quantitative Measure (d-1): Number of active Step 1 projects physically completed or terminated during fiscal year (page A-58):

<u>State</u>	<u>Mid-Year Commitment</u>	<u>Mid-Year Actual</u>	<u>Percent Achieved</u>	<u>End-Year Commitment</u>	<u>End-Year Projection</u>	<u>Percent Expected</u>
-						
-						
-		SEE MR 11 and MR 5				
-						
<u>Total</u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>

Qualitative Measure (I): Is there a strategy, with time based goals, for completing Step 1 and Step 2 projects (page A-58)?

See sub activity I, Qualitative Measure A

SUBACTIVITY IV: Physical Completions

Quantitative Measures (e): Number of Step 3, Step 2+3 and PL 84-660 physical completions and terminations (page A-58):

<u>State</u>	<u>Mid-Year Commitment</u>	<u>Mid-Year Actual</u>	<u>Percent Achieved</u>	<u>End-Year Commitment</u>	<u>End-Year Projection</u>	<u>Percent Expected</u>
-						
-						
-		SEE MR 12 and MR 5				
-						
<u>Total</u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>

SUBACTIVITY V: Administrative Completions

Quantitative Measures (f): Number of Step 3, Step 2+3 and PL 84-660 administrative completions (page A-58):

<u>State</u>	<u>Mid-Year Commitment</u>	<u>Mid-Year Actual</u>	<u>Percent Achieved</u>	<u>End-Year Commitment</u>	<u>End-Year Projection</u>	<u>Percent Expected</u>
-						
-						
-						
-						
	See MR 13 and MR 5					
-						
<u>Total</u>	_____	_____	_____	_____	_____	_____

Quantitative Measure (h): Number of administrative completion backlogs eliminated (page A-59):

<u>State</u>	<u>Mid-Year Commitment</u>	<u>Mid-Year Actual</u>	<u>Percent Achieved</u>	<u>End-Year Commitment</u>	<u>End-Year Projection</u>	<u>Percent Expected</u>
-						
-						
-						
-						
	See MR 16 and MR 5					
-						
<u>Total</u>	_____	_____	_____	_____	_____	_____

SUBACTIVITY VI: Closeouts

Quantitative Measure (g): Number of Step 3, Step 2+3 and PL 84-660 closeouts (page A-59):

<u>State</u>	<u>Mid-Year Commitment</u>	<u>Mid-Year Actual</u>	<u>Percent Achieved</u>	<u>End-Year Commitment</u>	<u>End-Year Projection</u>	<u>Percent Expected</u>
-						
-						
-		See MR 9				
-						
Total						

Quantitative Measure (i): Number of closeout backlogs eliminated (page A-59):

<u>State</u>	<u>Mid-Year Commitment</u>	<u>Mid-Year Actual</u>	<u>Percent Achieved</u>	<u>End-Year Commitment</u>	<u>End-Year Projection</u>	<u>Percent Expected</u>
-						
-						
-		See MR 17				
-						
Total						

Qualitative Question (M): What actions are the Region taking to ensure that projects are closed out in a timely manner (page A-59)?

The Grants and Finance Branch has the following policy and operating procedure to ensure that projects are closed in a timely manner.

1. The Grants Management Section has assigned a Grants Assistant to coordinate the closeout activities including, (a) identification and location of project files, (b) review of file and supporting financial documents, (c) preparation of appropriate letters and (d) maintenance and update of GICS.
2. It is our policy to closeout those projects identified by OIG as not requiring audit no later than the quarter following the notification by OIG.
3. Those projects that have been audited are closed out no later than the quarter following the final determination.

For projects in category 2 or 3 the closeout will usually occur during the quarter in which the decision is made if it is within the first half of the quarter. This, of course, assumes availability of the project file.

SUBACTIVITY VII: Unliquidated Obligations

Quantitative Measure (b): Percent reduction of unliquidated obligations in a negotiated group of "slow moving" projects (page A-57):

<u>Project</u>	<u>Beginning FY 85 ULB</u>	<u>Mid-Year FY 85 ULB</u>	<u>Mid-Year Dollar Reduction</u>	<u>Mid-Year Percent Reduction</u>	<u>Estimated End-Year FY 85 ULB</u>	<u>Estimated End-Year Dollar Reduction</u>	<u>Estimated End-Year Percent Reduction</u>
-							
-							
-							
-							
-							
-							
-							
-							
-							
-							
-							
-							
-							
-							
-							
-							
-							
-							
-							
Total							

Qualitative Measure (B): Have the Region/States developed profiles of slow moving/fast moving projects (page A-57)?

See MR 2

Qualitative Measure (C): Have the Regions and States managed the program to reduce the total of unnecessary unliquidated balances in slow moving projects (page A-57)?

See MR 2

Qualitative Measure (D): Are construction schedules in the grant agreement being achieved (page A-57)?

See sub activity I Overall Program Management

SUBACTIVITY VIII: Contractor Claims

Qualitative Measure (L): What actions have the Regions and States taken to manage a claims reduction program?

The timely resolution of claims in the construction grants program has been a concern in Region V for sometime. The resolution of claims was assigned, in the past, to staff members on a case-by-case basis. For sometime, it has been apparent to Region V management that this was not satisfactory and that a long time solution was needed. Also, the number of claims was increasing to the point that a person would have to be hired full time to handle claims exclusively. In September 1984, an environmental engineer (Claims Specialist) was hired to provide technical and engineering assistance and advice to Division staff, state and local government officials and consulting engineers regarding construction claims management, construction contract administration and construction procurement activities.

Every quarter beginning March 1983, the COE, as requested by Region V, has been reporting claims activity for all assigned projects in each state. The COE reports list the grant number, the grantee, the claimant, nature of claim, amount and status of claim (Potential, Active or Settled). From these COE reports, a summary is compiled by Region V. The summary lists the number of claims outstanding in each state and the dollar amount of the claim. A second summary analyzes the type of claim, frequency, and distribution in each state. Changes from quarter to quarter are tracked. The latest EPA reports summarizing the claims activity in Region V are attached and captioned, "Classification of Claims" and "Summary of Region V Claims." It is anticipated in the future, that the claims activity summaries will be expanded to include more meaningful data for determining the effectiveness of the claims management program.

The OEPA in late 1984 requested assistance from Region V in claims management training from Region V. To achieve this goal, a 1-day Regional Claims Training Seminar was conducted on February 26, 1985, in Columbus, to approximately 44 attendees from the Region's COE and State offices. Region V prepared a course outline, solicited participation from two COE district offices (Detroit and Huntington) and asked OEPA to host the Regional Seminar. The attendees were instructed in field activities, contract language and theories of recoveries, meritorious claims and eligibility reviews.

EPA Headquarters reports that the Claims Guidance pamphlet has been approved and will be printed in April for nationwide distribution. Two drafts of the guidance have already been distributed. The COE and States in Region V have been contacted and 850 copies have been requested and will serve the Region's initial needs.

In October 1984, Headquarters established a national policy to administratively complete grants notwithstanding any unresolved claims. With this intent in mind, a Gary Sanitary District grant with an unresolved claim is under review. It is hoped that a procedure will be established as a result of this review and that the national policy can be implemented in Region V.

The annual COE/State Evaluation Plan this year will include the random sampling of grantees' B/C comments and responses and the outstanding claims, if any. The purpose will be to determine the implementation or lack of implementation of COE B/C comments and responses correlated to the claims outstanding.

Region V is serving with Headquarters in a new organization known as the Deep Foundations Construction Industry Roundtable. The eminent group of people from throughout the U.S. and allied with the construction industry, meets every three months in Chicago. The organization's long range goal is to resolve construction claims via the inclusion of a mediation clause in contracts.

REGIONAL CONCERNS

Region V is aware that the number of claims and the dollar amount of those claims is increasing and as such represents a potentially significant financial impact on the construction grants program.

Construction contracts recommending arbitration for disputes is another growing concern in the Region. The decisions from arbitration are in most cases, awarded without adequate documentation and information relating to the claim costs requested and the costs awarded.

EPA
Summary of Region V Claims for FY 85

STATES	ILL	IND	MICH	MINN	OHIO	WISC	SUMMARY
Claims Out-standing	54	12	27	7	23	8	131
Changes From Previous Qtr:							
No. of Claims (±)	0	(+)12	(+) 5	(-) 1	(+) 4	0	(+)12
Percentage(±)	0	(+)20	(+)23	(-)13	(+)21	0	(+)10
Dollar Amount of Claims	43,019,081*	11,506,859	7,001,533	39,019,782	49,899,078	9,776,000**	160,289,294*
Changes From Previous Qtr:							
Dollar Amount (±)	(-)10,152,446	(+)166,961	(-)15,321.84	(+)28,443,273	(+)28,443,273	(+) 8,000,000	(+) 10,765.94
Percentage(±)	(-) 5	(+) 1	(-) 319	(-) 1	(+) 233	(+) 550	(+) 3

* Questionable \$150,000,000 MSDGC Claim (Class action lawsuit by 40 residents for alleged property damage due to blasting) not included

**Potential dollar amount unknown for two MSD claims

2/26/85

SUMMARY
Classification of Claims
1st Quarter - FY 1985

	Differing Site Conditions	Defective Specifica- tions	Delays	Extra Work	Misc.	Stop- page	Defec- tive Equip- ment	Man- agement	Im- pacts	Defec- tive Work	Non- Pymt.	Super- ior Know- ledge	Changes	Ter- mi- na- tion	Suspen- sion	DEL	TOTAL
ILL	14	10	23	33	1	1		3	13	1	2		4		1		106
IND	3		0	3							1						16
CONCH	3	1	11	0	2	1				1	2			1		4	34
NIEN		2	6			2	1		2								13
ONTO	0	1	6	5	1	1			2		2			1			26
WISC Seatonide			1	1													2
WISC Milwaukee Oak.7	3	2	1									1					7
TOTAL	31	16	66	50	4	6	1	3	17	2	7	1	4	2	1	4	203

- NOTE:** 1. The numbers presented here differ from those presented in the 1st Quarter Summary of Region V Claims in that the project claims listed in that summary are in some cases multi-faceted, and as such may be listed here under two or more classifications.
2. Classification of claims is based on best judgement of brief statement contained in reporting Agency's Claims Activities Report for 1st Quarter FY 1985.

SUBACTIVITY IX: CME's and PMC's

Quantitative Measure (c): Number of full-extended CME's:

<u>State</u>	<u>Mid-Year Commitment</u>	<u>Mid-Year Actual</u>	<u>Percent Achieved</u>	<u>End-Year Commitment</u>	<u>End-Year Projection</u>	<u>Percent Expected</u>
IL	0	0	100%	2	2	100%
IN	1	1	100%	2	2	100%
MI	0	0	100%	2	2	100%
MN	2	2	100%	2	2	100%
OH	2	2	100%	3	3	100%
WI	0	0	100%	1	1	100%
Total	5	5	100%	12	12	100%

All CME's in the region are being performed under the direction of a team leader who is a technical specialist in the grant program with over 15 years of grant program experience. To date 11 CME's have been conducted. Other members of the team are represented by the COE and our Financial Management Branch.

The COE conducts PMC's in Region V. Some States may also attend PMC's but they do not have the primary responsibility to conduct PMC's (except for Wisconsin in the non-Milwaukee area). The training and expertise of the PMC team members varies from COE District to COE District, but as a whole, the expertise and training of the team members is of a high quality, so that well-structured and beneficial PMC's are conducted in Region V.

All CME's are conducted in accordance with the guidance provided in the September 1983, Construction Management Evaluation and Project Management Conference Manual. All findings during the conduct of the CME are discussed during the CME exit briefing. All data are then assembled into a draft report and submitted to the grantee, etc., for comments prior to issuing as a final report. Once the text has been agreed upon, it is issued as a final. The report is then issued with a 30-day response as to what actions will be taken by the grantee to the action items in the report. These action items are followed up by all parties involved with the project, i.e., USEPA, COE and States. Very favorable results have been achieved.

Approximately 120 grantee opinion surveys on PMC's and inspections were sent out, received and tabulated from 5 out of the 6 Region V States (Illinois, Michigan, Ohio, Wisconsin, and Minnesota). The overall consensus, by the grantees, is that PMC's are a very valuable exercise, and that they are definitely a help to grantees in the Construction Grants Program.

The only time that a PMC would not be conducted on a Step 3 or Step 2+3 project, would be if the grantee has already had a PMC conducted (i.e., previous grant), or if the grantee has been in the grants program previously but had not had a PMC, in which case a reduced scope PMC would be conducted.

During the conduct of a CME all program matters are discussed and outlined to the grantee. In most CME's, the grantees are doing an acceptable management of the related construction activities, but are lax on the awareness of needing to: set up a property management system, prepare for the 1-year operating certification, provide a complete record master file for audit upon completion of the project, etc. These CME's have been very helpful for all grantees to obtain this information. The CME also provides grantees with a contact person on the various areas of the program.

To date we have conducted only one CME for which a PMC was held. There was evidence that the PMC was helpful to the grantee in organizing its records system. The grantee was also much more familiar with program matters relating to its responsibilities.

Regional Contact

Arwin W. Hothan - Technical Specialist (Team Leader) - phone 312-886-0270

Regional Concerns/Issues

The performance expectation in the FY 86 guidance is to conduct 24 CME's in the Region. This is twice the number being performed in FY 85 which is pretty much a full time job for the experienced team leader. At the present the CME's are averaging approximately 23 man-days to complete. Our ability to commit to perform at the expectation level in FY 86 is very questionable.

OBJECTIVES: Ensure Effective Construction and Prevent Back Logs (Continued)

ACTIVITY 2: Establish State/Regional Grant Appeal Resolution Procedures and Tracking Systems to Monitor States

Each State in the Region has a system (although not all are final) for dealing with requests for review of decisions. In all cases, managers are involved that were not privy to all the details when the original decision was made. In one State, a three-member management team takes a fresh look at all the facts and renders a final decision. In another, the supervisor of the staff person who made the original decision does a thorough review and prepares the final decision. In all cases, the State tracks the requests and generally issues a final decision within 45 days.

When a request for review of a State decision is received by USEPA, it is entered on a log maintained by the Municipal Facilities Branch (MFB). The log is updated monthly. The Branch Chief is the Disputes Decision Official and takes an active interest in the resolution of the dispute. Making a final decision has been taking several months because grantees seldom present a complete request the first time.

Requests for review of dispute decisions are handled in accordance with Region Procedures involving the Office of Regional Counsel and the dispute decision official operating program Division Director's Office, and as necessary, the Deputy Regional Administrator. In addition, the MFB has been providing an increasingly greater level of effort on technical and programmatic issues surfaced in audit reports where the Chief of the Grants and Financial Management Branch is the designated dispute decision official on audit decisions.

Resolutions of disputes at EPA are presently taking more time than desirable. Additional emphasis is being placed on setting deadlines for grantee submissions and for making the final decision based on best available information.

ISSUE:

Reconsiderations require a very significant expenditure of resources for the State and for the Region (the program office and Regional Counsel). For grantees, the costs of requesting a re-determination are very limited, and the potential benefits in some cases are very great. Some requests for consideration have little merit and involve attempts to maximize Federal participation in public works expenditures. This situation creates a significant resource drain, with limited program benefits. A regulatory mechanism to discourage "frivolous" reconsideration requests may be desirable.

ACTIVITY 3: Oversee the Corps IAG to see that Workplan Commitments are Achieved.

Quantitative Measure (a): Percent of Corps Utilization vs. Target:

The Corps outputs, expenditures and FTE's are within $\pm 10\%$ of target except as follows:

NCD (North Central Division)

There is a 16% shortfall in B/C reviews, because Minnesota (St. Paul District) did not meet their mid-year projection. They are expected to clear up their present backlog and meet their end-of-year projection.

There is a 46% shortfall in PMC's. This is due to Michigan, (Detroit District) Minnesota, and Wisconsin (St. Paul District) falling short of their mid-year projections. Not enough new grants were awarded in the first two quarters to meet the PMC mid-year projection. A PMC has, however, been performed for each new construction start.

There is a 37% shortfall in administrative closeouts. This is due to both Wisconsin (St. Paul District) and Illinois (Chicago District) not meeting their mid-year projection. In both States, construction related problems have delayed the completion of several projects. In Illinois, the Corps also needs to receive several final payment documents from the State, before administratively closing out several projects. Wisconsin expects to meet its end-of-year projection.

On-site presence has been exceeded by 22%. This is due to Illinois (Chicago District) underestimating their on-site presence needs.

ORD (Ohio River Division)

There is a 31% shortfall in B/C reviews, due to Ohio (Huntington District) not meeting their mid-year projection. This is due to the fact that the Corps did not receive as many plans and specifications for review as they had anticipated. There is no backlog at this time.

Qualitative Measure (A-1): Is the Region overseeing the Corps IAG to ensure that negotiated resource and output commitments are met?

The review mechanism that the Region employs to ensure the quality of negotiated outputs consists of annual Monitoring and Evaluation Workplans, which outline and describe the methodology and criteria to be used in the monitoring and evaluation of key program areas. Outputs are evaluated after-the-fact generally and improvements are made where necessary on future products. Routine communications also track quality and program management.

Although all Corps outputs effect the Region's ability to meet its commitments to a certain extent, the most critical Corps outputs in this context are final inspections, (leading to physical completions) and administrative

closeouts (leading to administrative completions). Each of these Corps activities must be completed before further State actions can be taken. In terms of final inspections, the Corps essentially met its projections, but a shortfall was experienced in administrative closeouts. Although, the shortfall was due to circumstances beyond the COE's control, it did effect the Region's ability to meet its mid-year projection for administrative completions.

Regional Contact: John Kelley, Chief, Program Management Section, 353-2123.

Mid-Year Evaluation of Region V Water Program

ATIONAL DIRECTIONS: IMPROVE STATE/REGIONAL PROGRAM MANAGEMENT

CTIVITY 1: COMPLETE DELEGATION OF THE CONSTRUCTION GRANTS PROGRAM TO THE STATES

alysis:

Progress toward 100% delegation in Region V has been good. Five of the six States are almost entirely delegated. Only assorted delegations involving bid protest appeals, engineering performance certifications, AT reviews, and audit resolution remain to be completed in these States, and the majority of these delegations are scheduled for the second half of FY 85. Indiana is running behind the other five States, simply because CG program delegation was not feasible until September 1983. The current schedule for Indiana calls for tasks to be delegated through FY 1986.

There are two possible obstacles to continued delegation in Indiana. The first is a potential reorganization in State government that would establish a new State environmental agency. (Pollution control programs are now in the Indiana State Board of Health.) The second problem involves a continuing inability on the part of the State to fund its share of the the State water pollution control program supported by the 106 grant. These potential obstacles will be monitored closely in the coming months in an attempt to keep the delegation process on schedule.

An area on which the Region will be focusing in the second half of FY 1985 is the updating of Delegation Agreements. In four States (Illinois, Michigan, Ohio, and Wisconsin) the Agreements are being fundamentally revised. The structure will be changed to make the Agreements more concise and more flexible, and procedures manuals will be used to back up the Agreements and provide the necessary details on program implementation. These efforts will result in fully updated documents that reflect current policies, procedures, and regulations. It is expected that this work will be completed in all of the four States by the end of the fiscal year.

In Minnesota the bulk of the Delegation Agreement has been formally updated, or revisions have been negotiated and are in final form. The Indiana Agreement is essentially current.

GICS is used extensively by the Region in the management of the grants program. Computer runs regularly provide data on project activity and project status, pre-construction lags, and physical and administrative completions. GICS is used to varying degrees by the States. To increase States' awareness of GICS Region V conducts regularly-scheduled conference calls during which program performance, based to a large extent on GICS reports, is discussed. Copies of GICS reports are forwarded to the States, when appropriate, both to point out data problems and to show the various reports that are available. Region V encourages the States to participate in national GICS activities, and has helped to create new data elements and coding documents and input screens for the States.

Key strengths in the Region are the State GICS Coordinators, who are responsible for the day-to-day operation of the system and who for the most part pay strict attention to data quality. Data quality is of critical importance to the Region. Region V's comprehensive data quality improvement efforts include the use of exception reports, designed by Regional and Headquarters staff, to audit data elements not now on the CGP 0060 report. The Region has developed a GICS monitoring and evaluation workplan, to overview of the States' entry of data and utilization of the system. Training to the States is provided in conjunction with the overview efforts. This initiative has improved data quality in two States and is expected to do so in all States evaluated.

The GICS error rate in Region V has consistently remained below 5%. In fact, the Region's standard for data quality based on the CGP 0060 report has been reduced from 5% to 3%. The rates for the Region V States as of the end of March are as follows:

IL	1.98%
IN	1.99%
MI	.78%
MN	.95%
OH	.03%
WI	.06%
REGION V	.94%

One problem with respect to GICS utilization is the inability of some States to expeditiously purchase equipment, e.g., a high speed printer or a CRT, that would enhance the timeliness and usefulness of the system.

CTIVITY 2: IMPLEMENT THE AGENCY POLICY ON DELEGATION AND OVERSIGHT FOR THE CONSTRUCTION GRANTS PROGRAM

analysis:

The Agency policy on delegation and oversight is fully implemented in all of the Region V States, and has been effective in assessing program performance and drawing attention to areas where improvement is needed. The overview system either has been incorporated, or very soon will be formally incorporated, into each of the State Delegation Agreements. A description of the Regional planning and overview system, which served as a model for use in the Delegation Agreements, is attached. Plans for overview were developed for each of the States for FY 1985.

Region V also has an effective program for overview of the Corps of Engineers. The Region monitors the workplan accomplishments of both CoE Divisions on a monthly basis. Monthly bills are also analyzed and checked. Any questions, issues, or problems with the monthly bills and/or workplan accomplishments are identified and discussed with appropriate CoE Division personnel. CoE Monitoring and Evaluation Workplans are developed on an annual basis, and evaluations are conducted and feedback is provided to

the CoE for overall program improvement. In FY 84 the Region evaluated Corps (and State) efforts related to PMCs, inspections, change orders, and contractor claims. In FY 1985 the Region is conducting a follow-up survey of grantees to elicit feedback on the quality of CoE activities. In addition, the Region is conducting a program evaluation in the area of B/C reviews. Corps overview efforts are closely coordinated with other monitoring and evaluation activities undertaken by the Region.

REGION V

SYSTEM FOR OVERVIEW OF STATE ADMINISTRATION

OF THE CONSTRUCTION GRANTS PROGRAM

Purpose

USEPA Region V and the (State agency) are responsible for water program management consistent with the goals and objectives of the Clean Water Act. Each year water pollution control programs will be planned and managed to achieve progress towards these goals. Monitoring and evaluation are the Agencies' tools for measuring what actually occurs as a result of program activities. The purpose of this document is to describe the monitoring and evaluation principles and activities that will be used to assess the work performed and the environmental results of the activities carried out under the State Management Assistance Program Delegation Agreement in the management of the construction grants program (CGP).

II. Activities

Monitoring and evaluation activities will be directed toward assessing the total CGP program. This includes measuring State and Corps of Engineers performance of delegated tasks as well as the overall progress being made toward program and management objectives with a focus on environmental results. Monitoring and evaluation will also assess work performed by Region V, or the appropriateness of USEPA policies. Monitoring and evaluation will include tracking the performance of activities, but will emphasize the extent to which important program and management objectives are achieved. The work will include qualitative and quantitative considerations. A detailed presentation of the principles and procedures to be used by the Region for monitoring and evaluation can be found in the Region V Water Division Monitoring and Evaluation Guidebook (June 1982).

The monitoring and evaluation activities will change from year to year as the program is carried out. Priorities will change over time, and management and environmental objectives may change as well. Monitoring and evaluation will reflect these changes. Also, as the State becomes increasingly proficient at performing the tasks outlined in the Delegation Agreement, oversight of these activities will be adjusted. Detailed procedural reviews that would be appropriate immediately after the State begins to perform a task may very well not be appropriate, or may need to be done less frequently after the State has demonstrated its performance capability. Monitoring and evaluation will generally shift from detailed reviews toward more general assessments of program results as delegation matures.

The State and USEPA will negotiate the specific monitoring and evaluation activities on an annual basis, reflecting the current objectives and priorities and the stage of delegation. The resulting overview program will fulfill 40 CFR 35.3025 which requires that an annual plan for overview be developed. The planning of monitoring and evaluation activities is an integral part of the overall program planning and budgeting cycle; the sequence of events is described below. Months are provided for general perspective, but are subject to national and regional planning schedules developed on an annual basis.

- A. EPA Headquarters transmits guidance to EPA Regional Offices. This guidance includes national objectives and priorities as well as estimated allotments for program grants. This will usually take place in January or February, after the President has proposed the national budget.
- B. In March Region V proposes objectives and priorities, performance measures, and key activities for the upcoming year and meets with the State in April to discuss the proposal. Agreements are documented as necessary in the State-specific guidance. The performance measures will address information needed:
 - 1. for fiscal tracking;
 - 2. for the EPA national accountability systems;
 - 3. to track the performance of key activities identified by Region V and the State;
 - 4. to measure progress toward program and management objectives; and
 - 5. to measure Regional performance.
- C. The State submits a draft water pollution control program plan and 205 (g) budget, reflecting the agreements reached in June. This program plan will fulfill the requirement for a work program, included in Subpart A Part 35 and the requirement for developing annual outputs included in Subpart J Part 35.
- D. The State and IISFPA conduct discussions to resolve program planning issues and to agree on annual outputs, monitoring information needs, and key questions to be addressed through in-depth evaluations in July and August.
- E. In August the State submits a final program plan and budget which is reviewed and approved by the Region.
- F. Agreement is reached on the plan for overview, including monitoring plans and general descriptions of evaluation projects, and Regional and State team leaders, as appropriate, are selected for evaluation projects in September.
- G. Program activities are carried out as planned. Program monitoring is conducted to track activities and measure progress toward objectives. In-depth evaluations are planned and carried out, coordinating with program monitoring activities where appropriate. At least one on-site performance evaluation will be conducted annually as required in Subpart J.

- H. Feedback on the findings and conclusions of monitoring and evaluation activities will be provided to acknowledge effective performance and to suggest program improvements where necessary.

In addition to the monitoring and evaluation performed by USEPA and the State, work performed by other offices or individuals may provide useful feedback to Region V or the State. Audits performed by the Office of the Inspector General and reports prepared by the General Accounting Office are two examples of possible sources of information. Findings such as these, once verified, will be considered in the assessment of program performance to the extent appropriate.

This policy meets the requirements for a system for EPA overview pursuant to 40 CFR 35.3010 (c)(7).

ACTIVITY 2: Manage Program To Meet Outlay Projections.

Quantitative Measure (a): % of cumulative net outlays to commitment (p. A-61)

<u>State</u>	<u>Commitment</u>	<u>Mid-Year Actual</u>	<u>Percent Achieved</u>	<u>End-of-Year Commitment</u>	<u>Projection</u>	<u>Percent Expected</u>
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-						
-			See MR 2 and MR 7			
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-						

**Regional
Total**

ACTIVITY 3: Manage program to meet Obligation Projections

Quantitative Measure (a): Percent of cumulative gross obligations to commitment (page A-61).

<u>State</u>	<u>Mid-Year Commitment</u>	<u>Mid-Year Actual</u>	<u>Percent Achieved</u>	<u>End-Year Commitment</u>	<u>End-Year Projection</u>	<u>Percent Expected</u>
—						
—		See MR 2 and MR 6				
—						
—						
<u>Total</u>	_____	_____	_____	_____	_____	_____

Qualitative Measure (A-2): What are net obligations on a State-by State, source-by-source, quarter-by-quarter basis (page A-61).

<u>State/Source</u>	<u>Mid-Year Project'n</u>	<u>Mid-Yr. Actual</u>	<u>Percent Achieved</u>	<u>Original End-of-Yr. Project'n</u>	<u>Current End-of-Yr. Project'n</u>	<u>Percent Expected</u>
Carryover	(6)	(5.7)		(10)	(10)	
Talmdage/Nunn	--	--		--	--	
FY 84	10	14.5		14.5	21.8	
FY 85	20	25.1		95.0	95.0	
Totals	24	33.9	141	99.5	106.8	107
Carryover	.3	(1.2)		2.7	(3.7)	
Talmdage/Nunn	--	--		--	--	
FY 84	4.8	6.3		55.1	43.1	
FY 85		1.4		5.5	5.5	
Total	5.1	6.5	127	63.3	44.9	71
Carryover	--	(2.3)		--	(4.0)	
Talmdage/Nunn	--	--		--	--	
FY 84	--	1.6		2.5	5.0	
FY 85	17.0	5.0		92.0	92.0	
Total	17.0	4.3	25	94.5	93.0	98
Carryover	--	(.3)		--	(.6)	
Talmdage/Nunn	--	--		--	--	
FY 84	5.5	4.6		5.5	8.9	
FY 85	4.5	18.1		30.5	30.5	
Total	10.0	22.4	224	36.0	38.8	108
Carryover	2.0	(9.4)		(4.0)	(12.0)	
Talmdage/Nunn	--	--		--	--	
FY 84	7.7	3.6		12.0	14.9	
FY 85	0	10.1		128.1	128.1	
Total	9.7	4.3	44	136.1	131.0	96
Carryover	--	(3.8)		--	(4.0)	
Talmdage/Nunn	--	--		--	--	
FY 84	.8	4.4		.8	10.1	
FY 85	62.7	47.5		66.1	66.1	
Total	63.5	48.1	76	66.9	72.2	108
TOTAL	129.3	119.5	92.4	496.3	486.7	98%

Regional Contacts:

Ray Marasigan, Chief, Finance & Accounting Section; 886-7510
 Richard C. Walker, Financial Management Officer, Region V; 353-2040

MID-YEAR EVALUATION OF REGION V WATER PROGRAMS

National Objective: Improve Performance of Completed Facilities

Activity: Improve Facilities Performance

Regional Analysis:

Qualitative Measure (A-1): Are States effectively implementing on-site training and technical assistance programs for bringing small facilities into improved compliance?

Qualitative Measure (A-2): Are States conducting annual on-site O&M reviews?

Overall the six Region V States are doing a good job of implementing on-site operator training. The FY 85 work plans were developed by each State to address the national guidance. State-by-State summaries are:

Illinois

Illinois conducts regular on-site O&M reviews of completed facilities. Utilizing the EPA Form 7500-5, they have completed 52 inspections thus far in FY 85, with their commitment being 55 inspections. These were completed at major municipalities, mostly on PWB's.

Illinois also has a substantial program for inspection of minor municipal WWTP's, construction grant compliance inspections, and operational assistance.

Overall, Illinois has an effective O&M program.

Indiana

Indiana conducts regular on-site O&M reviews of completed facilities. Utilizing EPA Form 7500-5, they have completed 13 inspections so far in FY 85, with the commitment being 15 inspections. These were completed at major municipalities, mostly on PWB's.

Indiana also has a substantial program for inspection of minor municipal WWTP's, and operational assistance. The construction grant compliance inspection program shows minimal activity, but the Corp of Engineers performs additional inspections.

Overall, Indiana has an effective O&M program.

Michigan

Michigan conducts regular on-site O&M reviews of completed facilities. Utilizing EPA Form 7500-5, they have completed 14 inspections so far in FY 85, with the commitment being 15 inspections. These were completed at major facilities, mostly on PWB's.

Michigan also conducts inspections at minor municipalities, a few construction grant compliance inspections, and operational assistance. A short-coming of the Michigan program is that most of their field inspection resources are used for 24-hours sampling surveys with little or no evaluation of the O&M of the plant surveyed.

Michigan should devote more resources to O&M inspections, with less resources for 24-hr. sampling surveys.

Minnesota

Minnesota conducts regular on-site O&M reviews of completed facilities. Utilizing EPA Form 7500-5, they have met their commitment of 25 inspections at major municipalities, mostly on PWB's (thru second quarter FY 85).

Minnesota also has a substantial program for inspection of minor municipal WWTP's, construction grant compliance inspections, and operational assistance.

Overall, Minnesota has an effective O&M program.

Ohio

Ohio conducts regular on-site O&M reviews of completed facilities. Utilizing EPA Form 7500-5, they have met their commitment of 50 inspections at major municipalities, mostly on PWB's (thru second quarter FY 85).

Ohio also has a substantial program for inspection of minor municipal WWTP's, and operational assistance. The construction grant compliance inspection program shows minimal activity, but the Corps of Engineers conducts additional inspections.

Overall, Ohio has an effective O&M program.

Wisconsin

Wisconsin conducts regular on-site O&M reviews of completed facilities, but they refuse to use EPA Form 7500-5. Utilizing narrative reports with EPA Form 3560-3, they have met their commitment for 25 inspections thus far in FY 85, mostly major facilities on PWB's.

Wisconsin also has a substantial program for inspection of minor municipal WWTP's, construction grant compliance inspections, and operational assistance. Wisconsin is the only State in the Region to make commitments for intensive operational assistance studies. They have exceeded their commitments for 6 such studies thus far in FY 85.

Overall, Wisconsin has an effective O&M program.

Qualitative Measure (A-3). In regard to operator training. Are the Regions/ coordinating the operator training, technical assistance, construction grants, permits and enforcement program?

The Regional O&M program consists of three separate parts located in the Municipal Facilities Branch and Water Quality Branch of the Water Division and in the Environmental Monitoring Section in the Environmental Services Division. The work activities are coordinated through the Chief of the Water Quality Branch, who implements the Regional Operations and Maintenance Procedures established in May 1983. This memorandum delineates the specific responsibilities for all involved programs (Construction Grants, Permits, Compliance, Great Lakes National Program Office and Environmental Services Division). The Region solicits nominations for O&M awards from each State in October of each year. From these submissions a panel at EPA, Region V reviews projects in three size categories (small plant < 2.0 mgd; medium plant > 2.0 to < 20 mgd; large plant > 20 mgd), with two types of treatment (secondary and advanced) under each, for a total of six Regional categories. The results of the review become recommendations for awards presented to the Regional Administrator. This FY, the awards will be presented during May and June 1986. Region V is currently the only Region in EPA to have a municipal wastewater treatment plant O&M award program.

The Regional office makes operating training grants to the State agencies in order to enhance the activities funded by either the States (109(b) funds) and/or USEPA (Section 106 funds). The grants awarded under Section 104(g)(1) to the State during FY 84 and FY 85 are summarized on the table below. The Section 104 grants have been used as supplemental funding to the States to augment Sections 106 and 205(g) activities. This has happened due to the delayed availability of funds over the past several years. The Regional coordinator of the technical portion of the O&M awards is located in the Compliance Section in the Water Quality Branch. The coordinator is assisted by the Planning and Standards Section in the preparation of grant awards.

During FY 85 the following resource distributions were made by the States.

		IL	IN	MI	MN	OH	WI
WY		10.6	1.75	0	4	265	0
Section 106	\$1000	599.6	49.9	0	20.90	11.6	0
WY		6.0	0	0	3	0	4.92
Section 205(g)	\$1000	242.4	0	0	154.0	0	245.0
Section 104(g)(1)	WY	1.2	1	<u>1</u>	1	+	+
(FY 84 funds)	\$1000	75.0	75.0	75.0	50.0	50.0	50.0

U. S. EPA REGION V

WATER DIVISION -- CONSTRUCTION GRANTS

MONITORING REPORT

SPMS

OWAS

WDAP

PERIOD ENDING MARCH 31, 1985

POLICY AND MANAGEMENT UNIT
PROGRAM MANAGEMENT SECTION

SPMS Summary	MR-1
SPMS Narrative	MR-2
OWAS Summary	MR-3&4
OWAS Narrative	MR-5

DETAIL CHARTS

Obligations	MR-6
Outlays	MR-7
Unliquidated Obligations	MR-8
Closeouts	MR-9
Step 1 Completions	MR-10
Step 2 Completions	MR-11
Step 3 & Step 4 Physical Completions	MR-12
Administrative Completions	MR-13
CMES	MR-14
Preconstruction Lags	MR-15
Administrative Completions Backlog Eliminated	MR-16
Closeout Backlog Eliminated	MR-17
Delegation	MR-18
EIS Summary	MR-19
EIS Narrative	MR-20
NEPA Compliance Matrix	MR-21
GICS Error Rate	MR-22

Branch Workplan (end of each quarter only)

**Municipal Facilities Branch
Monitoring Report**

<u>1</u>	Division Director: Charles Sutfin
<u>1</u>	Deputy Division Director: Dale Bryson
<u>2</u>	Branch Chiefs: Todd Cayer, Kenneth Fenner
<u>3</u>	Section Chiefs: Eugene Chaiken, Harlan Hirt, John Kelley
<u>7</u>	Unit Chiefs: James Filippini, Edwin Horn, Robert Lee, Dale Luecht, Charles Orzechoskie, Eugene Wojcik, Richard Zdanowicz
<u>6</u>	Program Managers: Thomas Bramscher, Elaine Greening, Russell Martin, Michael Mikulka, Stephan Nathan, Robert Newport
<u>1</u>	Financial Management Branch: Richard Walker (SPM/OWAS Summary Only)
<u>4</u>	CoE - NCD: Sam Nakib, Larry Moloney, Bruce Ragan, Charley Savage
<u>3</u>	CoE - ORD: Dan Keller, Wesley King, Richard Schleicher
<u>6</u>	State Agency Managers:
	IL - Roger Kanerva
	IN - David Wagner
	MI - James Henderson
	MN - Duane Anderson
	OH - Greg Binder
	WI - Margie Devereaux

2ND QUARTER TARGETS COMPARED TO ACTUAL RESULTS AS OF MARCH 31, 1985

◆ STATE'S PROJECTIONS

NEGOTIATED COMMITMENT W/HQS.

GROSS OBLIGATION

Gross obligations for the Region through March were \$148 million (105% of the 2nd quarter commitment). The Region's 2nd quarter commitment was exceeded by approximately \$8 million. Increases in Illinois, Ohio and Minnesota made up for the deficiencies in Indiana, Michigan and Wisconsin. Indiana, and Minnesota are requesting revision to the third and fourth quarter commitment. All the other States anticipate meeting the original commitment. The revised projections will take us to 113% of the current end-of-year commitment.

ILLINOIS Gross Obligations through March were \$40.3 million. The 2nd quarter commitment was exceeded by \$10.3, primarily due to a increase of \$3.3 million for the MSD award and a \$4.4 grant for Elmhurst being awarded earlier than scheduled.

INDIANA Gross Obligations through March were \$7.7 million, \$2 million short of the commitment. The Boonville grant for approximately \$3 million was not certified to USEPA because facilities planning issues (AT, CSO, and Treatment Alternatives) were not resolved.

MICHIGAN Gross obligations through March were \$11 million, 6 million below the commitment. The Huron Valley SSA Segment 2 project costs supported a grant \$7 million less which represents the shortfall.

MINNESOTA Gross obligations through March were \$22.7 million. Owatonna for \$12.1 million was awarded earlier than anticipated. Therefore the original second quarter commitment was exceeded by approximately \$12.7 million.

OHIO Gross obligations through March of \$14.1 million met the commitment.

WISCONSIN Gross obligations through March were \$52.2 million, \$11.3 million below the commitment. The Plan & Specs and Step 3 application for the Milwaukee dewatering grant for \$13.1 million were not submitted to WDNR this quarter.

NET OUTLAYS

Net outlays for the Region through March were \$237.7 million (105% of projection). This is just within the allowable variance of the Regional commitment.

The Regional commitment is generally based upon a project by project build-up of all Step 3 and Step 2+3 projects. The Corps of Engineers (COE) has been instrumental in assessing the information provided by contractors, engineers and grantees to make either contract or project level projections. In Fiscal Year 1985, the States of Ohio and Wisconsin took a more active role in making projections. The Region reviewed the projections made by the States and the COE. In Michigan the project by project build-up resulted in an outlay curve which indicated huge outlays in the first quarter and a diminishing amount in each of the following 3 quarters. This caused the Region concern for three reasons: (1) it was not representative of the typical payout curves; (2) recently awarded projects had no payment projections -- especially in the last quarter of Fiscal Year 1985; and (3) the projection had been high in the past two years and was currently 106% of actual payments through July. Accordingly, the Region adjusted the Michigan projection downward by approximately 15 million and spread the outlay consistent with historical trends. This has been proven wrong in the first quarter. Currently the outlays are slightly above the COE projection through mid-year.

When the initial commitment was turned in to Headquarters it was not accepted because it appeared high. Negotiations between the Region and Headquarters, and the Region and Wisconsin Department of Natural Resources resulted in change of some project projections, State commitment and Regional commitment. A review of the current project by project build-up for the last 2 quarters of the fiscal year indicates that the Region will be above the current commitment by more than 5%. The Michigan projection is the basic reason for the increase. It increases from 88 million to 119 million (31 million) which is greater than 5% of the Regional Commitment.

The Region will be requesting a revision to the commitment through the formal process.

UNLIQUIDATED OBLIGATIONS

The Regional management of unliquidated obligations goes beyond the 20 projects selected for the basis of a commitment in the SPMS. The 20 SPMS projects receive top priority attention at the COE, State and EPA. Special efforts are made to move these projects, i.e., whatever it takes to remove the impediment which slowed the project down. So far the States have done an excellent job on the 20 projects as the Region is 155 percent of the mid-year projection. The Regional role to date has only been overview monthly monitoring of the 20 projects and discussion and suggestions to the State. The Regional staff and the State were both aware of the problems when the projects were identified and both were involved in making the commitment. As stated above the management of unliquidated balances goes beyond the 20 projects selected. States are using the log reports developed by Headquarters to immediately address any new project that is identified on the report and also resolve problems of the others not selected in the 20 with a goal of a negative report. Other steps have been taken as general management procedures to reduce unliquidated obligations and are as follows:

- Call grantees when a monthly payment has not been received.
- Amend grants to reduce contingency when construction is nearly complete.
- Reduce the time to process as-bid amendments at the State.
- Compare grant and payment data between GICS and FMO and resolve discrepancies, including data errors.
- Issue compliance orders consistent with the grant schedule and take enforcement action when slippage occurs.
- Terminate grants where construction is not consistent with the project schedule.
- In conjunction with Step 1 and 2 completions, review all completed projects to make final payment and deobligate any remaining balance.

Problems which do not appear to be resolvable are brought to the attention of Regional management and, as necessary are addressed to Headquarters. Generally, these problems are not easily resolved, but sometimes program changes will help future projects.

Regional management within the Municipal Facilities Branch coordinates the overall Regional activities to ensure the SPMS commitments are achieved. These activities include data quality and attempting to move projects ahead to make up for those that are behind.

UWAS SURVEY REPORT

2ND QUARTER TARGETS COMPARED TO ACTUAL RESULTS AS OF MARCH 31, 1985

	STEP 1 COMP (#)		STEP 2 COMP (#)		STEP 3/4 PHYSICAL COMP (#)		ADMINISTRATIVE COMP (#)		CME's (#)	
	T	A	T	A	T	A	T	A	T	A
IL	32	36	10	11	6	9	9	8	-	-
IN	17	19	1	0	16	11	14	6	1	1
MI	10	53	5	14	10	9	28	21	-	-
MN	10	1	2	1	6	4	9	5	2	2
OH	14	88	18	41	26	14	26	19	2	2
WI	6	0	1	0	9	5	12	3	-	-
REG	89	197	37	67	73	52	98	62	5	5
	MR-10		MR-11		MR-12		MR-13		MR-14	

OWAS SUMMARY

2ND _____ QUARTER TARGETS COMPARED TO ACTUAL AS OF MARCH 31, 1985

	PRECONSTRUCTION LAG (%)		ADMINISTRATIVE BACKLOG (#)		CLOSEOUT BACKLOG (#) (MGMT. DIV. ACTIVITY)		DELEGATION (%)	
	T	A	T	A	T	A	T	A
IL	10	13	6	4	4	1	90	90
IN	10	6	6	3	4	1	40	40
MI	10	42	14	20	5	0	96	96
MN	10	4	3	4	4	2	86	86
OH	10	2	7	10	5	1	94	86
WI	10	0	12	3	7	2	91	91
REG	10	13	48	44	29	7	83	82
				MR-16			MR-17	MR-18

* MID-YEAR

MR-1

Step 1 and Step 2 Physical Completions

Excellent progress thus far - the end of year targets have almost been achieved. This success is attributable to State's extra efforts (especially in Michigan and Ohio) to clean up data, to emphasize to grantees the importance of reducing the load of active projects, and then to carry through when grantee responded with extra efforts.

The clean up of data is resulting in the identification of erroneously encoded projects that were actually completed previously and projects that will not be done this fiscal year, but will be retargeted for a later time. As the States have found out during this clean-up effort, good data helps the management process.

Physical Completions

Although only 71% of the mid-year target have been accomplished, the primary cause of the shortfall is easy to pinpoint: inclement weather. A secondary cause, affecting Ohio mostly, was the underestimation of the impact that the new completion definition would have on completions. Although this activity will accelerate, the current projection is that the Region will be about 10 short of our annual commitment.

Mid-year commitments were not achieved. Prospectively, making up the shortfall by the end of the third quarter is extremely doubtful but being very cautiously optimistic, the end-of-year commitment is achievable.

Illinois

The third quarter commitment will be met.

Indiana

A major problem continues to be compliance with the special grant condition regarding excessive infiltration inflow and sewer rehabilitation. The majority of projects are presently in compliance because of reserve capacity. Several have sewer system evaluation surveys pending review at the State. A list of those projects has been prioritized for review and delegation training scheduled in May will focus on SSES reviews.

Michigan

Discussions have occurred with the newly selected section chief and assurances made that State management emphasis will be directed to achieving administrative completions. It is possible that the third quarter commitment will be met.

Minnesota

The State management strategy has been to meet the commitment; however, it is not apparent that management has directed resources correspondingly. Staff turnover has delayed change order and pretreatment plan reviews. Efforts will continue toward changing the situation but at this time it is anticipated the three or four shortfall will continue through the third and possibly fourth quarters.

Ohio

First quarter final inspections that were not completed because of project delays and some questionable scheduling during December--only 6 of 15 were done--created a chain reaction and a shortfall at the end of the second quarter. There have also been some quality control problems with payments and amendments that have contributed to the shortfall. The CoE, State and we, anticipate making up the shortfall and achieving the third quarter commitment.

Wisconsin

Unanticipated problems continue to frustrate achieving the commitment. It is anticipated the mid-year shortfall will be partially reduced by the end of the third quarter but only slightly, which would leave almost half of the end-of-year commitment to be accomplished in the fourth quarter. The State is reviewing all active and physically complete projects to expand the universe and increase the probabilities of achieving the end-of-year commitment.

The Region currently has 13% of the FY 1985 total 6 state allotment in pre-construction lag status. The Wayne County, Michigan project alone represents 8%.

Numerous problems have delayed the issuance of Notices to Proceed for this project, including a civil action filed by 2 Townships in Wayne County which prevented the County from selling bonds. Some problems remain to be resolved; however, the grantee is now moving forward and it is expected that work will be underway on this project by May 1985. A deviation from the provisions of 40 CFR 35.2212 has been requested, and approval is anticipated shortly.

Of the 9 Illinois projects, 6 will be awarded in April, 2 have bid protests and 1 will be terminated. We have forwarded the grantees request for deviation with a negative recommendation. The remaining projects in other States are expected to be under construction in April except for St. Cloud, Wisconsin. Notice of Intent to terminate has been issued and the State projects forwarding a termination amendment in April. Headquarters' report does not show 5 projects shown on the regional report because the Headquarters report does not consider a project greater than 9 months until it is 10 full months. Therefore, the percentage shown by Headquarters is 10.7% V.S. 13%.

Note:

The States and the Corps need to implement procedures for handling the new preconstruction lag tracking procedure involving data element KC,-- Last Significant Contract Awarded Code and Date, (See Hanlon memo on subject dated March 3, 1985). A regional meeting was held on April 2, 1985 between the Region, States and CoE. The agreed upon approach to obtaining the data was: the CoE will collect the information during the next inspection; the States will input the data to GICS; and the States will manage the process to see that it is complete.

PROJECTS NOT UNDER CONSTRUCTION
as of March 31, 1985

<u>Grant No.</u>	<u>Step</u>	<u>Name</u>	<u>Mos. Lag</u>	<u>Grant Amount</u>	<u>State's Allotment</u>	<u>%Lag</u>
C171285-03	3	Westfield	20	\$ 1,240,875		
C172341-02	4	Justice	11	381,600		
C171190-03	3	Paris	11	2,082,825		
C171993-03	3	Scales Mound	11	925,875		
C172675-02	3	Libertyville	10	228,750		
C172709-01	4	Rapid City	10	2,502,375		
C172388-03	3	Dolton	10	143,025		
C172257-02	4	Kenilworth	10	202,200		
C172197-02	3	Rantoul	10	6,299,325		
				\$ 14,006,850	\$110,643,000	13
C181067-02	4	Belleville	16	778,200		
C180749-02	4	Monon	16	2,490,300		
				\$ 3,268,500	58,959,000	6
C263303-01	4	Pittsfield	24	568,625		
C262391-04	3	Wayne Co.	16	44,049,100	105,191,000	42
C270740-02	4	Norwood	11	2,013,345	44,964,000	4
C391755-01	3	Muskingum	19	3,192,506	137,721,000	2
C551276-03	3	St. Cloud	20	159,885	66,137,000	0
		REGION		\$ 67,258,811	523,615,000	13

FY 02

ILLINOIS		OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan				5			30			68.1			109.5
Actual		0	1.6	3.9	4.9	5.0	40.3						

INDIANA		OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan				1.2			9.3			26.2			69.7
Actual		0	0.1	1.0	1.8	2.0	7.7						

MICHIGAN		OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan				5			17			55			94.5
Actual		0.3	0.5	1.4	1.5	1.5	11						

MINNESOTA		OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan				2			10			23			36
Actual		1.7	1.8	16.3	17.7	17.8	22.7						

OHIO		OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan				8.3			13.7			54.1			146.1
Actual		0.05	4.3	7.8	9.8	11.3	14.1						

WISCONSIN		OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan				50.4			63.5			63.5			66.9
Actual		0.01	7.7	49.7	50.0	51.4	52.2						

REGION		OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan				65.6			140			270			448
Actual		2.1	16.0	90.1	83.7	89	148						

ILLINOIS	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			38.3						69.4						109.4						153.7	
Actual	10.9	21.6	29.1		44.5		55.7		61.6													

INDIANA	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			14.4						25.5						38.7						55.5	
Actual	2.8	8.7	11.5		16.5		20.5		21.3													

MICHIGAN	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			26						44						62						88	
Actual	14.0	30.2	44.6		54.0		64.2		68.7													

MINNESOTA	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			16.7						26.3						38.9						53	
Actual	6.4	10.5	14.6		21.2		23.9		26.5													

OHIO	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			55						94						122						170	
Actual	25.5	33.2	44		68.6		80.4		87.1													

WISCONSIN	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			9.2						19.7						33.7						54.7	
Actual	0.7	3.2	10		14.9		19.9		22.6													

REGION	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan	52.6	105.3	157.3		198.1		236.6		274.5		313.6		354.9		398.5		453.4		510.0		566.0	
Actual	60.5	107.7	154.3		220.3		264.6		287.7													

FY 85

BASE

6.5

ILLINOIS	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			17			50			52			69
Actual	8	11	11	11	11	29						

-

INDIANA												
Plan			-			-			-			-
Actual												

32.2

MICHIGAN												
Plan			19			26			49			71
Actual	23	43	43	45	56	56						

-

MINNESOTA												
Plan			-			-			-			-
Actual												

68.1

OHIO												
Plan			16			28			36			54
Actual	11	15	18	20	22	30						

19.6

WISCONSIN												
Plan			5			10			19			27
Actual	0	5	10	16	20	45						

126.4

REGION												
Plan			15			25			36			51
Actual	12	20	23	25	30	39						

#Base

ILLINOIS	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	FY 8
Plan			1.1			3.3			3.4			4.5	
Actual	6.5	.5	.7	.7	.7	1.9							

INDIANA												
Plan												
Actual												

MICHIGAN												
Plan			5.8			8.4			15.8			22.5
Actual	32.2	7.4	13.8	14.5	18.1	18.1						

MINNESOTA												
Plan												
Actual	—											

OHIO																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																					
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WISCONSIN												
Plan												
Actual												
19.6		-0-	1.0	1.0	3.1	4.0	2.0	3.7	5.3			
							8.8					

REGION													
Plan													
Actual													
126.4		15.2		25.3		19.2		31.3		45.8		64.6	
								49					
								37.7					
								32					

FY 85

ILLINOIS	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			5						14						16						27	
Actual	0	1	4		4		12		17													

INDIANA	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			4						11						17						20	
Actual	0	3	4		6		6		10													

MICHIGAN	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			9						23						35						44	
Actual	0	5	10		10		11		17													

MINNESOTA	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			4						12						18						22	
Actual	0	1	4		4		6		11													

OHIO	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			8						19						29						37	
Actual	0	2	7		9		14		22													

WISCONSIN	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			7						17						26						32	
Actual	0	0	10		10		13		19													

REGION	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			37						96						141						182	
Actual	0	12	39		43		62		96													

ILLINOIS	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			16			32			48			65
Actual	2	6	16	20	21	36						

INDIANA	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			7			17			28			40
Actual	0	12	18	15	19	19						

MICHIGAN	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			5			10			18			25
Actual	0	5	6	10	12	53						

MINNESOTA	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			5			10			20			30
Actual	0	2	1	1	1	1						

OHIO	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			4			14			23			48
Actual	9	64	64	64	71	88						

WISCONSIN	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			3			6			9			11
Actual	0	0	0	0	0	0						

REGION	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			42			89			146			219
Actual	11	89	99	110	124	197						

FY 85

ILLINOIS	OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
	Plan				5						10						10						22	
	Actual		1		6		6		5		11													

INDIANA					0		0		0		1						1						1	
	Plan																							
	Actual		0		0		0		0		0													

MICHIGAN					1		3		3		5						8						10	
	Plan																							
	Actual		0		1		2		3		14													

MINNESOTA					1		1		1		2						3						4	
	Plan																							
	Actual		0		1		1		1		1													

OHIO					8		29		42		18						26						39	
	Plan																							
	Actual		1		26		29		42		41													

WISCONSIN					1		0		0		1						1						1	
	Plan																							
	Actual		0		0		0		0		0													

REGION					16		38		51		37						55						77	
	Plan																							
	Actual		2		29		38		51		67													

ILLINOIS		OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan						3						6						11						16	
Actual		0		2		3		7		8		9													

INDIANA						8		16		20		25	
Plan													
Actual		5		6		9		10		11		11	

MICHIGAN						5		10		20		24	
Plan													
Actual		0		0		7		7		8		9	

MINNESOTA																									
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Actual		0		0		2		4		4		4		4		6		10		16					

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WISCONSIN						6		9		10		14	
Plan													
Actual		0		0		2		2		2		5	

REGION																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																											
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ILLINOIS		OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan						4						9						15						21	
Actual		0		0		4		5		4		8													

INDIANA																									
Plan						8						14						22						28	
Actual		0		0		1		4		4		6													

MICHIGAN																									
Plan						13						28						40						55	
Actual		0		0		3		4		7		21													

MINNESOTA																									
Plan						4						9						16						20	
Actual		0		0		3		4		4		5													

OHIO																									
Plan						13						26						37						49	
Actual		0		0		6		6		7		19													

WISCONSIN																									
Plan						3						12						15						19	
Actual		0		0		1		1		1		3													

REGION																									
Plan						49						98						145						198	
Actual		0		0		18		24		27		62													

		OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	FY8
ILLINOIS	Plan													
	Actual	—	—	—	—	—	—	—	—	—			2	
INDIANA	Plan			1			1			2			2	
	Actual	—	—	1	1	1	1							
MICHIGAN	Plan			—			—			1			2	
	Actual	—	—	—	—	—	—							
MINNESOTA	Plan			2			2			2			2	
	Actual	2	2	2	2	2	2							
OHIO	Plan			1			2			3			3	
	Actual	—	1	1	1	1	2							
WISCONSIN	Plan			—			—			—			1	
	Actual	—	—	—	—	—	—							
REGION	Plan			4			5			8			12	
	Actual	2	3	4	4	4	5							

ILLINOIS	OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
	Plan	Actual	2	2	2	2	1	20	13	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
Actual			2	2	2	2	1	20	13	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10

INDIANA	OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
	Plan	Actual	38	38	38	38	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6
Actual			38	38	38	38	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6

MICHIGAN	OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
	Plan	Actual	49	49	49	49	54	41	42	42	42	42	42	42	42	42	42	42	42	42	42	42	42	42
Actual			49	49	49	49	54	41	42	42	42	42	42	42	42	42	42	42	42	42	42	42	42	42

MINNESOTA	OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
	Plan	Actual	0	0	0	0	0	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
Actual			0	0	0	0	0	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4

OHIO	OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
	Plan	Actual	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
Actual			2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2

WISCONSIN	OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
	Plan	Actual	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Actual			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

REGION	OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
	Plan	Actual	15	15	15	15	12	14	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13
Actual			15	15	15	15	12	14	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13

FY 85

ILLINOIS	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			3						6						10						14	
Actual	0	0	2	2	2	2	2	2	4	4												

INDIANA	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			4						6						9						10	
Actual	0	0	0	0	2	2	2	2	3	3												

MICHIGAN	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			7						14						21						22	
Actual	0	0	3	3	4	4	6	6	20	20												

MINNESOTA	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			0						3						6						8	
Actual	0	0	1	1	2	2	2	2	4	4												

OHIO	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			4						7						15						22	
Actual	0	0	2	2	2	2	3	3	10	10												

WISCONSIN	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			3						12						15						19	
Actual	0	0	1	1	1	1	1	1	3	3												

REGION	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			21						48						76						100	
Actual	0	0	9	9	13	16	16	16	44	44												

FY 85

ILLINOIS		OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan						1						4						6						7	
Actual		0		0		0		0		1		1													

INDIANA																									
Plan						1						4						6						7	
Actual		0		0		0		0		0		1													

MICHIGAN																									
Plan						2						5						8						10	
Actual		0		0		0		0		0		0													

MINNESOTA																									
Plan						1						4						6						7	
Actual		0		0		0		0		0		2													

OHIO																									
Plan						2						5						8						10	
Actual		0		0		1		1		1		1													

WISCONSIN																									
Plan						3						7						11						14	
Actual		0		0		0		0		2		2													

REGION																									
Plan						10						29						45						55	
Actual		0		0		1		1		4		7													

Step 1 & 2 Payments & Amendments	IN-S1	IN-S1			
Facility Plan Review					
AT Review	IN-S1 OH-S2	IN-S1			MN-S2
Environmental Review					
Step 2 & 3 App Rev/Award					
Plans & Specs Review	IN-S2				
Step 3 App Rev & Award					
Financial Mgmt Review					
Eng Subagreement Review	IN-S1	IN-S1		IN-S2	
Eng Subagreement Self Cert	IN-S1	IN-S1			
Grant Closeout			IL-S1		
Procmnt Protest/Appeal	MI-S2 IN-S1	MI-S2	WI-S1 IL-S1	WI-S1	IL-S2 OH-C2
Interim Audit Resolution			IL-S1 WI-S1	WI-S1	
Step 3/2+3 Payments/Amendments	IN-S1	IN-S1			
Eng Performance Cert	WI-S2 IN-S1	WI-S2 IN-S1	IL-S1	IL-S1	OH-S3
Admin Completion	OH-S2C MNS2C	MNS2C		IL-S2	
Final Audit Resolution	IL-S2				
Inquiry Response	IN-S1	IN-S1	IL-S1 WI-S1	MI-S2	
CGMS Data Entry					

S1 = Training S2 = State assumes full authority S3 = Direct assumption of activity

updated as
of 3/26/85
per sched
revised 10/10/84
given to Jk
3/26/85
Jk

ACTIVITY FOR CONSTRUCTION GRANTS MANAGEMENT STATE DELEGATION AND COE AGREEMENTS

PRIOR				
	FY 1984	FY 1985	FY 1986	FY 1987
				FY 1988
				FY 1989+

PRIOR	ACTIVITY FOR CONSTRUCTION GRANTS MANAGEMENT STATE DELEGATION AND COE AGREEMENTS			
	FY 1984	FY 1985	FY 1986	FY 1987
1984	02	03	04	01
1985	02	03	04	01
1986	02	03	04	01
1987	02	03	04	01
1988	02	03	04	01
1989	02	03	04	01

PRIOR	ACTIVITY FOR CONSTRUCTION GRANTS MANAGEMENT STATE DELEGATION AND COE AGREEMENTS			
	FY 1984	FY 1985	FY 1986	FY 1987
1984	02	03	04	01
1985	02	03	04	01
1986	02	03	04	01
1987	02	03	04	01
1988	02	03	04	01
1989	02	03	04	01

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100	101	102	103	104	105	106	107	108	109	110	111	112	113	114	115	116	117	118	119	120	121	122	123	124	125	126	127	128	129	130	131	132	133	134	135	136	137	138	139	140	141	142	143	144	145	146	147	148	149	150	151	152	153	154	155	156	157	158	159	160	161	162	163	164	165	166	167	168	169	170	171	172	173	174	175	176	177	178	179	180	181	182	183	184	185	186	187	188	189	190	191	192	193	194	195	196	197	198	199	200	201	202	203	204	205	206	207	208	209	210	211	212	213	214	215	216	217	218	219	220	221	222	223	224	225	226	227	228	229	230	231	232	233	234	235	236	237	238	239	240	241	242	243	244	245	246	247	248	249	250	251	252	253	254	255	256	257	258	259	260	261	262	263	264	265	266	267	268	269	270	271	272	273	274	275	276	277	278	279	280	281	282	283	284	285	286	287	288	289	290	291	292	293	294	295	296	297	298	299	300	301	302	303	304	305	306	307	308	309	310	311	312	313	314	315	316	317	318	319	320	321	322	323	324	325	326	327	328	329	330	331	332	333	334	335	336	337	338	339	340	341	342	343	344	345	346	347	348	349	350	351	352	353	354	355	356	357	358	359	360	361	362	363	364	365	366	367	368	369	370	371	372	373	374	375	376	377	378	379	380	381	382	383	384	385	386	387	388	389	390	391	392	393	394	395	396	397	398	399	400	401	402	403	404	405	406	407	408	409	410	411	412	413	414	415	416	417	418	419	420	421	422	423	424	425	426	427	428	429	430	431	432	433	434	435	436	437	438	439	440	441	442	443	444	445	446	447	448	449	450	451	452	453	454	455	456	457	458	459	460	461	462	463	464	465	466	467	468	469	470	471	472	473	474	475	476	477	478	479	480	481	482	483	484	485	486	487	488	489	490	491	492	493	494	495	496	497	498	499	500	501	502	503	504	505	506	507	508	509	510	511	512	513	514	515	516	517	518	519	520	521	522	523	52
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[illegible][illegible][illegible]

A3B
3 C-CERTIFICATION REV
27STEP 3 APP REV SAMPD
29FINANCIAL MGMT REVIEW
31ENG SUBAGREEMENT REV
32ENG SUBAGR SELF CERT

[illegible][illegible]

5 E-PROJ COMP/CLOSEOUT									
55FINAL INSP 8PROJ COMP	162								
55ENG PERFORMANCE CERT	1								
57ADMIN COMPLETION	50161								
59FINAL AUDIT RESOLUTION	1								
41GRANT CLOSEOUT	1								

5 E-PROJ COMP/CLOSEOUT									
55FINAL INSP 8PROJ COMP	162								
55ENG PERFORMANCE CERT	1								
57ADMIN COMPLETION	50161								
59FINAL AUDIT RESOLUTION	1								
41GRANT CLOSEOUT	1								

6 P-REG PLANNING & MGMT									
	1	2	3	4	5	6	7	8	9
73INQUIRY RESPONSE	1	-	-	-	-	-	-	-	-
77CGRS DATA ENTRY	1	-	-31	-	-	-	-	-	-

6 P-REG PLANNING & MGMT									
	1	2	3	4	5	6	7	8	9
73INQUIRY RESPONSE	1	-	-	-	-	-	-	-	-
77CGRS DATA ENTRY	1	-	-31	-	-	-	-	-	-

INDIANA Delegation Schedule

The dates indicated represent initiation and conclusion of formal training. Training on all tasks will begin on an informal basis on the date of the agreement. All costs incurred in the conduct of any of the identified tasks are eligible for reimbursement under any CMA grant upon execution of this agreement.

Activities	Begin Training	Assume Responsibility
------------	----------------	-----------------------

Pre-Step 3 Activities

Step 1 & 2 Payments

Step 1 & 2 Amendments (including Document Prep. and all Project Files)

Facility Plan Review & Approval

- Mid-Course FP Review
- I/I, SSES, CSO Review
- AT Review

- Environmental Review; Preparation of Draft EA's

Step 2 & 3 Application Review/Approval (including Preparation of Award Package)

Determination of Financial Capability

UCS; SUN; Intermunicipal Agreements

B & C Review

COE**

Plan and Specification Review

- Value Engineering
- Preliminary Plan of Operation

Step 3 Review/Certification - Includes

Step 2 & 3 Activities prior to authorization to bid.

Step 3 Application Review & Award

(including Preparation of Award Package)

Engineering Subagreement Review

Force Account Services

Oct. 1, 1985	April 1, 1984	Oct. 1, 1983	April 1, 1983
Oct. 1, 1985	April 1, 1984	Oct. 1, 1983	April 1, 1983

Step 3 Project Activities - Includes
Step 2 + 3 Construction Phase

COE**	Oct. 1, 1985	April 1, 1984	Procurement Protest/Appeal
COE**			Interim Inspections
COE**	Oct. 1, 1986	April 1, 1985	Interim Audit Resolutions
COE**			Change Order Review/Approval
COE**	April 1, 198	April 1, 1984	Step 3/Step 2 & 3 Payments
	Oct. 1, 1985	April 1, 1984	Step 3/Step 2 & 3 Amendments (including Document Preparation and all Project Files)

COE**	Oct. 1, 198	N/A	Plan of Operation & O&M Manual Review
	April 1, 198	April 1, 1984	MBE Management
<u>Project Completion & Close-out</u>			
	April 1, 19	Oct. 1, 1983	Final Inspection & Project Completion

COE**	April 1, 19	Oct. 1, 1983	Engineering Performance Certification
	Oct. 1, 198	April 1, 1985	Final Audit Resolution
	Oct. 1, 198	Oct. 1, 1985	Grant Close-Out
<u>Planning and Management</u>			
	April 1, 19	Oct. 1, 1983	Inquiry Response
	Oct. 1, 19	Oct. 1, 1983	CGMS Data Entry

*but not until 2 value engineering co-reviews have occurred.

**The ISBH will assume these functions within 12 months after written notice from U.S. EPA that COE resources are no longer available to perform these functions.

ISBH agrees to proceed with assuming program delegation in accordance with this schedule, with staffing and training to occur according to the organization and Resource Analysts outlined in Appendix A.

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
PROJECT	STATE	PROJECT MONITOR	EIS CONSULTANT/TYPE	NOTICE OF INTENT	EIS CONSULTANT BEGAN	ORIGINAL DEIS (b) TARGET	PRESENT DEIS (b) TARGET	CHANGE FROM COLUMN # 8 SINCE LAST MONTH(WKS)	ORIGINAL FEIS (b) TARGET	PRESENT FEIS (b) TARGET	CHANGE FROM COLUMN # 11 SINCE LAST MONTH(WKS)	Record of Decision
Genesee Co.	MI	Orr	ESEI/M	07/22/80	12/80	03/82	(d)	---	09/82	(d)	---	(d)
Twin Cities Ph. II	MI	Spaulding	Hickok/P	02/23/77	06/81	05/82	(d)	---	08/82	(d)	---	(d)
Cuyahoga Valley II	OH	Adams-Walden	JRB/M	12/23/76	09/77	12/81*	Suspended	---	09/82*	Suspended	---	---
Middle East Fork: Phase II	OH	Derbas	JRB/M	10/01/80	(e)	(e)	---	---	(e)	---	---	---
Winnetee	WI	Derbas	DNR/P	04/18/77	09/78	12/82*	(d)	---	05/83*	(d)	---	(d)
Indianapolis	IN	Orr	CDM/P	09/25/80	06/82	12/83*	(d)	---	08/83*	(d)	---	(d)
Generic Wetlands		Garra	ESEI/JRB	06/23/80	09/80	12/84	03/87	64	06/85	09/87	---	10/87
Final Technical Report				06/23/80	09/80	NA	NA	NA	04/01/83	11/04/83	Actual	NA
Bibliography				---	02/83	NA	NA	NA	05/13/83	12/12/83	Actual	NA
Legal/Regulatory Report				---	08/83	NA	NA	NA	04/01/84	03/31/85	Actual	NA
Management Plan				---	12/84	NA	NA	NA	03/22/85	03/22/85	Actual	NA
Constructed Wetland Feasibility				---	12/84	NA	NA	NA	(d)	(d)	(d)	NA

(a) Type: M - Mission, C - Concurrent, P - Piggyback

(b) Target date (*) has been tentatively established.

(c) "Actual" in columns 9 and 12 indicates that the dates in columns 8 and 11 are actual Federal Register notice publication dates.

(d) See Narrative Analysis

(e) To be determined

Concurrences/Unit 1: SPH EI Section: SPH

EIS NARRATIVE ANALYSIS

March 31, 1985

Genesee County	<p>A response to EPA letter of February 11, 1985 was received by the Water Division on March 28. A target date for completion of facilities planning on the collection system and a compliance schedule was submitted and is under review.</p>
Twin Cities Phase II	<p>Proposed changes to the Minnesota Waste Management Act which would permit the Metropolitan Council to proceed with exploration of the need for the disposal of sludge ash in the Twin Cities Metro Area has been passed by the required committees and will soon be voted on by the Minnesota Legislature. A favorable vote is expected. Meanwhile, Metro Council and the Metropolitan Waste Control Commission are drafting a letter which summarizes progress to date and recommends an evaluation of the no-action alternative. The letter will be sent to EPA for review and concurrence in April.</p>
Cuyahoga Valley II	<p>All OEPA activity related to CVI-II has been suspended and our review is consequently on hold.</p>
Middle East Fork	<p>The OEPA has contacted the Corps of Engineers to begin discussions concerning the flow release schedule for the Harsha Reservoir. The Corps is presently reviewing OEPA's letter and the Comprehensive Water Quality Report.</p>
Milwaukee	<p>The MMSD is continuing its site acquisition for the proposed solids landfill site. A grant amendment for the feasibility study has been received at WDNR. We are also reviewing the SSA-EIS Memorandum of Agreement with WDNR to determine what changes may be necessary, given the length of time since its development.</p>
Indianapolis	<p>Municipal Planning Section comments were sent to ISBH on March 8, 1985. These comments were quite substantial and will have to be addressed to allow us to perform the environmental review and decide whether to complete the EIS. The portion of the EID pertaining to changes to the Belmont incinerators has been reviewed by the Air Division. Based on preliminary comments, additional information has been requested from the City.</p>

Generic Wetlands

The first new Delivery Order, planning the management aspects of the field studies, has been concluded. The second Delivery Order, investigating potential cooperative work on constructed wetlands with the Ontario Ministry of the Environment, continues. The Ministry is in the midst of evaluating its own investigations for the start of the new fiscal year (April 1). When this evaluation is complete, we will be able to conclude this Delivery Order.

Work on the legal-regulatory report Delivery Order was concluded in March. A successful prototype workshop was held on regulatory and administrative issues in Wisconsin on March 5. The Headquarters Task Force on Wastewater Application to Wetlands met March 13, with Region V participation. In-house planning and evaluation will occur this spring to determine any additional legal, regulatory and administrative tasks.

EMSL - Las Vegas is concluding its comparison of historic and current imagery on the vegetation patterns at selected wetland discharge sites. A report is anticipated in April. The U.S. Geological Survey has prepared a project proposal for an interagency agreement on hydrologic and water quality investigations at three field study sites. Their time needs for data evaluation would alter the schedule for the Draft EIS by a few months. We are developing an agreement with Wisconsin DNR for other field work and are preparing a new Delivery Order for JRB to conduct the remaining field studies and to coordinate the work of these other teams. When all of these arrangements are made, field studies will be underway by this summer.

Second quarter (Not Cumulative)

	Reg 1	Reg 2	Reg 3	Reg 4	Reg 5	Reg 6	Reg 7	Reg 8	Reg 9	Reg 10
I. Delegated States (Construction Grants)										
1. Number of Environmental Assessments (EAs) received					11					
2. Number of Findings of No Significant Impact (FNSI) issued					13					
3. Number of states for which oversight reviews were performed by EPA					2					
II. Non-Delegated States (Construction Grants and NPDES New Source Program)										
- Number of FNSI/EAs issued					1					
III. Number of Categorical Exclusions issued					2					
IV. Number of Environmental Impact Statements issued										
1. Draft					0					
2. Final					0					
V. Number of assistance actions to programs other than construction grants/new source NPDES for meeting voluntary EIS or functional equivalency responsibilities					0					
VI. Number of cooperating agency actions completed					0					

2/11 - 21

		OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
ILLINOIS													FY8
	Plan			<5			<5			<5			<5
	Actual	2.36	2.50	2.39	2.46	2.37	1.98						
INDIANA													
	Plan			<5			<5			<5			<5
	Actual	7.42	1.43	1.71	1.89	2.24	1.99						
MICHIGAN													
	Plan			<5			<5			<5			<5
	Actual	2.45	2.60	2.81	2.28	2.15	.78						
MINNESOTA													
	Plan			<5			<5			<5			<5
	Actual	0.75	1.16	1.40	1.25	1.01	.95						
OHIO													
	Plan			<5			<5			<5			<5
	Actual	0.16	0.25	0.13	0.29	0.15	.03						
WISCONSIN													
	Plan			<5			<5			<5			<5
	Actual	0.11	0.70	0.64	0.58	0.58	.06						
REGION													
	Plan			<5			<5			<5			<5
	Actual	2.05	1.50	1.54	1.50	1.44	.94						

ILLINOIS	OCT	NOV	DEC	JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			★10					★10						★10						★10	
Actual	2	2	2	1	20			13													

INDIANA	OCT	NOV	DEC	JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			★10					★10						★10						★10	
Actual	38	38	38	6	6			6													

MICHIGAN	OCT	NOV	DEC	JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			★10					★10						★10						★10	
Actual	49	49	49	54	41			42													

MINNESOTA	OCT	NOV	DEC	JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			★10					★10						★10						★10	
Actual	0	0	0	0	4			4													

OHIO	OCT	NOV	DEC	JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			★10					★10						★10						★10	
Actual	2	2	2	2	2			2													

WISCONSIN	OCT	NOV	DEC	JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			★10					★10						★10						★10	
Actual	0	0	0	0	0			0													

REGION	OCT	NOV	DEC	JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			★10					★10						★10						★10	
Actual	15	15	15	12	14			13													

ILLINOIS	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			3						6						10						14	
Actual	0	0	2		2		2		4													

INDIANA	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			4						6						9						10	
Actual	0	0	0		2		2		3													

MICHIGAN	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			7		4		6		14						21						22	
Actual	0	0	3		4		6		20													

MINNESOTA	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			0		2		2		3						6						8	
Actual	0	0	1		2		2		4													

OHIO	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			4		2		3		7						15						22	
Actual	0	0	2		2		3		10													

WISCONSIN	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			3		1		1		12						15						19	
Actual	0	0	1		1		1		3													

REGION	OCT	NOV	DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan			21		13		16		48						76						100	
Actual	0	0	9		13		16		44													

ILLINOIS	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			1			4			6			7
Actual	0	0	0	0	1	1						

INDIANA	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			1			4			6			7
Actual	0	0	0	0	0	1						

MICHIGAN	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			2			5			8			10
Actual	0	0	0	0	0	0						

MINNESOTA	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			1			4			6			7
Actual	0	0	0	0	0	2						

OHIO	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			2			5			8			10
Actual	0	0	1	1	1	1						

WISCONSIN	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			3			7			11			14
Actual	0	0	0	0	2	2						

REGION	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Plan			10			29			45			55
Actual	0	0	1	1	4	7						

Step 1 & 2 Payments & Amendments	IN-S1	IN-S1			
Facility Plan Review	IN-S1	IN-S1			
AT Review	OH-S2	IN-S1			MN-S2
Environmental Review					
Step 2 & 3 App Rev/Award					
Plans & Specs Review	IN-S2				
Step 3 App Rev & Award					
Financial Mgmt Review					
Eng Subagreement Review	IN-S1	IN-S1		IN-S2	
Eng Subagreement Self Cert	IN-S1	IN-S1			
Grant Closeout			IL-S1		
Procrmnt Protest/Appeal	MI-S2 IN-S1	MI-S2	WI-S1 IL-S1	WI-S1	IL-S2 OH-C2
Interim Audit Resolution			IL-S1 WI-S1	WI-S1	
Step 3/2+3 Payments/Amendments	IN-S1	IN-S1			
Eng Performance Cert	WI-S2 IN-S1	WI-S2 IN-S1	IL-S1	IL-S1	IN-S2 IL-S2
Admin Completion	OH-S2C MNS2C	MNS2C		IL-S2	OH-S3
Final Audit Resolution			IL-S1 WI-S1	WI-S1	
Inquiry Response	IN-S1	IN-S1			
CGMS Data Entry					

S1 = Training S2 = State assumes full authority S3 = Direct assumption of activity

18 INDIANA	ACTIVITY FOR CONSTRUCTION GRANTS MANAGEMENT STATE DELEGATION AND COE AGREEMENTS						
	PRIOR 1984	FY 1984	FY 1985	FY 1986	FY 1987	FY 1988	1989+
ACTIVITY GROUP	02 03	04 101	02 03	04 101	02 03	04 101	02 03 04 1

**CERT STEP 3 AWARD
STEP 3 MANAGEMENT
TOTAL PROGRAM**

118STEP 162 PAYMT GARNED
119FACILITY PLAN REVIEW
120AT REVIEW
121ENVIRONMENTAL REVIEW
122STEP2+3 APP REV/AWARD
123PLANS & SPEC REV

27STEP 3 APP BOARD
29FINANCIAL MGMT REVIEW
31ENG SUBAGREEMENT REV
33ENG SUBAGR SELF CERT

33PRECONST CONF/BID REV
33PROGRAMMT PROTEST/APPEA
41INTERIM INSPECTION
43INTERIM AUDIT RESOLU
45CHANGE ORDERS
47STEP3/2+3 PAYMT/AMEND
49ON-SITE PRESENCE
510+H MANUAL REVIEW

59FINAL INSP 3PROJ COMP
55ENG PERFORMANCE CENT
57ADMIN COMPLETION
59FINAL AUDIT RESOLUTIO
61GRANT CLOSOUT

73INQUIRY RESPONSE
77CGMS DATA ENTRY

5/26/85
 updated as
 of 3/26/85
 per schedule
 rev. 12/21/84
 6 JRA
 given
 3/26/85
 BT

11

INDIANA

Delegation Schedule

The dates indicated represent initiation and conclusion of formal training. Training on all tasks will begin on an informal basis on the date of the agreement. All costs incurred in the conduct of any of the identified tasks are eligible for reimbursement under any CMA grant upon execution of this agreement.

Activities	Begin Training	Assume Responsibility
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Pre-Step 3 Activities

Step 1 & 2 Payments	April 1, 1984	April 1, 198
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Step 1 & 2 Amendments (including Document Prep. and all Project Files)	April 1, 1984	Oct. 1, 1985
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Facility Plan Review & Approval

Oct. 1, 1983	Oct. 1, 1983	Oct. 1, 1986
Oct. 1, 1983	Oct. 1, 1983	Oct. 1, 1986
Oct. 1, 1983	Oct. 1, 1983	Oct. 1, 1986
Oct. 1, 1983	Oct. 1, 1983	Oct. 1, 1986
June 1, 1984	June 1, 1984	Oct. 1, 1986

- Mid-Course FP Review
- I/I, SSES, CSO Review
- AT Review
- Environmental Review; Preparation of Draft EA's

Step 2 & 3 Application Review/Approval (including Preparation of Award Package)	April 1, 1984	Oct. 1, 1985
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Determination of Financial Capability	April 1, 1984	Oct. 1, 1985
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UCS; SUN; Intermunicipal Agreements	Oct. 1, 1984	Oct. 1, 1985
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B & C Review

COE**

Plan and Specification Review

Oct. 1, 1983	Oct. 1, 1983	April 1, 198
Oct. 1, 1983	Oct. 1, 1983	April 1, 198
N/A	N/A	Oct. 1, 198

- Value Engineering
- Preliminary Plan of Operation

Step 3 Review/Certification - Includes Step 2 & 3 Activities prior to authorization to bid.

Step 3 Application Review & Award (including Preparation of Award Package)	April 1, 1984	Oct. 1, 198
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Engineering Subagreement Review	Oct. 1, 1983	April 1, 19
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Force Account Services	Oct. 1, 1983	April 1, 19
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Step 3 Project Activities - Includes
Step 2 + 3 Construction Phase

Pre-Construction Conf./Bid Review	COE**	April 1, 1984	Oct. 1, 1984
Procurement Protest/Appeal	COE**	April 1, 1985	Oct. 1, 1985
Interim Inspections	COE**	April 1, 1984	Oct. 1, 1984
Interim Audit Resolutions	COE**	April 1, 1984	Oct. 1, 1984
Change Order Review/Approval	COE**	April 1, 1984	Oct. 1, 1984
Step 3/Step 2 & 3 Payments		April 1, 1984	Oct. 1, 1984
Step 3/Step 2 & 3 Amendments (including Document Preparation and all Project Files)		April 1, 1984	Oct. 1, 1984
On-Site Presence	COE**	N/A	Oct. 1, 1984
Plan of Operation & O&M Manual Review		April 1, 1984	Oct. 1, 1984
MBE Management		April 1, 1984	Oct. 1, 1984
<u>Project Completion & Close-out</u>			
Final Inspection & Project Completion	COE**	Oct. 1, 1983	April 1, 1983
Engineering Performance Certification		Oct. 1, 1985	April 1, 1985
Final Audit Resolution		Oct. 1, 1985	April 1, 1985
Grant Close-Out		Oct. 1, 1983	April 1, 1983
<u>Planning and Management</u>			
Inquiry Response		Oct. 1, 1983	April 1, 1983
CGMS Data Entry		Oct. 1, 1983	April 1, 1983

*but not until 2 value engineering co-reviews have occurred.

**The ISBH will assume these functions within 12 months after written notice from U.S. EPA that COE resources are no longer available to perform these functions.

ISBH agrees to proceed with assuming program delegation in accordance with this schedule, with staffing and training to occur according to the Organization and Resource Analysts outlined in Appendix A.

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
PROJECT	STATE	PROJECT MONITOR	EIS CONSULTANT/TYPE	NOTICE OF INTENT	EIS CONSULTANT BEGAN	ORIGINAL DEIS (b) TARGET	PRESENT DEIS (b) TARGET	CHANGE FROM COLUMN # 8 SINCE LAST MONTH(WKS)	ORIGINAL FEIS (b) TARGET	PRESENT FEIS (b) TARGET	CHANGE FROM COLUMN # 11 SINCE LAST MONTH(WKS)	Record of Decision
Onese Co.	MI	Orr	ESEI/M	07/22/80	12/80	03/82	(d)	---	09/82	(d)	---	(d)
Twin Cities Ph. II	MI	Spaulding	Hickok/P	02/23/77	06/81	05/82	(d)	---	08/82	(d)	---	(d)
Cuyahoga Valley II	OH	Adams-Walden		12/23/76	09/77	12/81*	Suspended	---	09/82*	Suspended	---	---
Middle East Fork:	OH	Derbas	JRB/M	10/01/80	(e)	(e)	---	---	(e)	---	---	---
Phase II												
Milwaukee	WI	Derbas	DNR/P	04/18/77	09/78	12/82*	(d)	---	05/83*	(d)	---	(d)
Indianapolis	IN	Orr	CDM/P	09/25/80	06/82	12/83*	(d)	---	08/83*	(d)	---	(d)
Generic Wetlands		Garra	ESEI/JRB	06/23/80	09/80	12/84	03/87	64	06/85	09/87	---	10/87
Final Technical Report				06/23/80	09/80	NA	NA	NA	04/01/83	11/04/83	Actual	NA
Bibliography				---	02/83	NA	NA	NA	05/13/83	12/12/83	Actual	NA
Legal/Regulatory Report				---	08/83	NA	NA	NA	04/01/84	03/31/85	Actual	NA
Management Plan				---	12/84	NA	NA	NA	03/22/85	03/22/85	Actual	NA
Constructed Wetland Feasibility				---	12/84	NA	NA	NA	(d)	(d)	(d)	NA

(a) Type: M - Mission, C - Concurrent, P - Piggyback

(b) Target date (*) has been tentatively established.

(c) "Actual" in columns 9 and 12 indicates that the dates in columns 8 and 11 are actual Federal Register notice publication dates.

(d) See Narrative Analysis

(e) To be determined

Concurrences/Unit I: *EW* EI Section: *AP*

EIS NARRATIVE ANALYSIS

March 31, 1985

Genesee County

A response to EPA letter of February 11, 1985 was received by the Water Division on March 28. A target date for completion of facilities planning on the collection system and a compliance schedule was submitted and is under review.

Twin Cities Phase II

Proposed changes to the Minnesota Waste Management Act which would permit the Metropolitan Council to proceed with exploration of the need for the disposal of sludge ash in the Twin Cities Metro Area has been passed by the required committees and will soon be voted on by the Minnesota Legislature. A favorable vote is expected. Meanwhile, Metro Council and the Metropolitan Waste Control Commission are drafting a letter which summarizes progress to date and recommends an evaluation of the no-action alternative. The letter will be sent to EPA for review and concurrence in April.

Cuyahoga Valley II

All OEPA activity related to CVI-II has been suspended and our review is consequently on hold.

Middle East Fork

The OEPA has contacted the Corps of Engineers to begin discussions concerning the flow release schedule for the Harsha Reservoir. The Corps is presently reviewing OEPA's letter and the Comprehensive Water Quality Report.

Milwaukee

The MMSD is continuing its site acquisition for the proposed solids landfill site. A grant amendment for the feasibility study has been received at WDNR. We are also reviewing the SSA-EIS Memorandum of Agreement with WDNR to determine what changes may be necessary, given the length of time since its development.

Indianapolis

Municipal Planning Section comments were sent to ISBH on March 8, 1985. These comments were quite substantial and will have to be addressed to allow us to perform the environmental review and decide whether to complete the EIS. The portion of the EID pertaining to changes to the Belmont incinerators has been reviewed by the Air Division. Based on preliminary comments, additional information has been requested from the City.

Generic Wetlands

The first new Delivery Order, planning the management aspects of the field studies, has been concluded. The second Delivery Order, investigating potential cooperative work on constructed wetlands with the Ontario Ministry of the Environment, continues. The Ministry is in the midst of evaluating its own investigations for the start of the new fiscal year (April 1). When this evaluation is complete, we will be able to conclude this Delivery Order.

Work on the legal-regulatory report Delivery Order was concluded in March. A successful prototype workshop was held on regulatory and administrative issues in Wisconsin on March 5. The Headquarters Task Force on Wastewater Application to Wetlands met March 13, with Region V participation. In-house planning and evaluation will occur this spring to determine any additional legal, regulatory and administrative tasks.

EMSL - Las Vegas is concluding its comparison of historic and current imagery on the vegetation patterns at selected wetland discharge sites. A report is anticipated in April. The U.S. Geological Survey has prepared a project proposal for an interagency agreement on hydrologic and water quality investigations at three field study sites. Their time needs for data evaluation would alter the schedule for the Draft EIS by a few months. We are developing an agreement with Wisconsin DNR for other field work and are preparing a new Delivery Order for JRB to conduct the remaining field studies and to coordinate the work of these other teams. When all of these arrangements are made, field studies will be underway by this summer.

Second Quarter (Not Cumulative)

	Reg 1	Reg 2	Reg 3	Reg 4	Reg 5	Reg 6	Reg 7	Reg 8	Reg 9	Reg 10
I. Delegated States (Construction Grants) 1. Number of Environmental Assessments (EAs) received 2. Number of Findings of No Significant Impact (FNSI) issued 3. Number of states for which oversight reviews were performed by EPA					11					
II. Non-Delegated States (Construction Grants and NPDES New Source Program) - Number of FNSI/EAs issued					1					
III. Number of Categorical Exclusions issued					2					
IV. Number of Environmental Impact Statements issued 1. Draft 2. Final					0					
V. Number of assistance actions to programs other than construction grants/new source NPDES for meeting voluntary EIS or functional equivalency responsibilities					0					
VI. Number of cooperating agency actions completed					0					

APR 21

ILLINOIS		OCT		NOV		DEC		JAN		FEB		MAR		APR		MAY		JUN		JUL		AUG		SEP	
Plan						<5						<5						<5						<5	
Actual		2.36		2.50		2.39		2.46		2.37		1.98													

INDIANA						<5						<5						<5						<5	
Plan						<5						<5						<5						<5	
Actual		7.42		1.43		1.71		1.89		2.24		1.99						<5						<5	

MICHIGAN						<5						<5						<5						<5	
Plan						<5						<5						<5						<5	
Actual		2.45		2.60		2.81		2.28		2.15		.78						<5						<5	

MINNESOTA						<5						<5						<5						<5	
Plan						<5						<5						<5						<5	
Actual		0.75		1.16		1.40		1.25		1.01		.95						<5						<5	

OHIO						<5						<5						<5						<5	
Plan						<5						<5						<5						<5	
Actual		0.16		0.25		0.13		0.29		0.15		.03						<5						<5	

WISCONSIN						<5						<5						<5						<5	
Plan						<5						<5						<5						<5	
Actual		0.11		0.70		0.64		0.58		0.58		.06						<5						<5	

REGION						<5						<5						<5						<5	
Plan						<5						<5						<5						<5	
Actual		2.05		1.50		1.54		1.50		1.44		.94						<5						<5	