



# Storm Water Phase II Compliance Assistance Guide



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## **Compliance Guide Notice**

The statements in this document are intended solely as guidance to aid regulated entities in complying with the Storm Water Phase II final rule. The guidance is not a substitute for reading the regulation and understanding all its requirements as it applies to your facility. This guidance does not constitute rulemaking by the EPA and may not be relied on to create a substantive or procedural right or benefit enforceable, at law or in equity, by any person. EPA may decide to update this guide without public notice to reflect changes in EPA's approach to implementing Storm Water Phase II or to clarify and update text. To determine whether EPA has revised this document and/or to obtain copies, go to EPA's web site at [www.epa.gov/owm/sw/phase2](http://www.epa.gov/owm/sw/phase2).

## 1.0 INTRODUCTION

After reading this introduction, you should know whether you need to use this guide, what the guide covers, and where to get the latest information on the regulation.

The U.S. Environmental Protection Agency (EPA) published the regulation entitled “National Pollutant Discharge Elimination System - Regulations for Revision of the Water Pollution Control Program Addressing Storm Water Discharges” (*Federal Register*, Volume 64, Number 235, pages 68722-68852) on December 8, 1999 as required by Section 402(p) of the Clean Water Act (CWA). This guide explains how to tell if you are subject to the regulation and what to do if you are required to comply.

### 1.1 Who should use this guide?

This new rule regulates storm water discharges from two categories:

First, the rule covers storm water discharges to certain ***municipal separate storm sewer systems*** (MS4s). Public entities which operate these MS4s, such as cities, counties, States, and the Federal government, could be regulated under this rule. MS4 operators should read section 4 for more information.

Second, the rule also covers storm water discharges from ***construction activity*** generally disturbing between 1 and 5 acres. A construction operator could include the site owner, developer, contractor, or subcontractor. Construction site operators should read section 5 for more information.

The storm water Phase II final rule also provide regulatory relief for certain ***industrial facilities*** (currently permitted under EPA’s storm water regulations) where storm water runoff is not exposed to industrial activities. Operators of industrial facilities interested in the no exposure exclusion should read section 6.

### 1.2 What Does this Guide Cover?

The purpose of this guide is to help the regulated community comply with the Storm Water Phase II Rule. This guide answers the following basic questions:

- Why is the Storm Water Phase II Rule important?
- Am I subject to the Storm Water Phase II Rule?
- What must I do to comply with the Storm Water Phase II Rule?

### **1.3 How Do I Use this Guide?**

This guide is organized into seven major sections plus three appendices.

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|-------------|--|
| Section 1.0 | Introduces you to this guide and the Storm Water Phase II Rule. Describes basic types of entities regulated so you can determine if you are affected by the rule.  |
| Section 2.0 | Provides background on why the Storm Water Phase II Rule is needed. Topics such as the environmental impacts of storm water and why storm water should be controlled are discussed. The history of the NPDES Storm Water program is briefly described. |
| Section 3.0 | Delivers an overview of the Storm Water Phase II requirements. The basic components of the program are described and schedules and timelines are highlighted.  |
| Section 4.0 | Gives step-by-step procedures for operators of small MS4s to determine if they are subject to the regulation and provides information on how to demonstrate compliance.  |
| Section 5.0 | Gives step-by-step procedures for operators of small construction activities to determine if they are subject to the regulation and provides information on how to demonstrate compliance.   |
| Section 6.0 | Provides a discussion of how the Rule affects industrial facilities, including which industrial facilities are covered, and an explanation of the No Exposure exclusion and how to determine if you qualify.   |
| Section 7.0 | Documents the Compliance Assurance Process - Discusses how EPA will determine compliance, what happens if you or EPA discovers noncompliance, and the legal status of the guide.   |
| Appendices  | Provides additional references and where to go for more information on storm water.  |

### **1.4 Where Can I Get More Information on the Storm Water Phase II Rule?**

Additional information on the NPDES storm water Phase II rule, including a series of fact sheets and a full copy of the final rule, can be found on EPA's web pages at <http://www.epa.gov/owm/sw/phase2>.

Compliance assistance will be covered in Section 7 of the guide. One source for compliance assistance and information on the rule is the Local Government Environmental Assistance Network (LGEAN). LGEAN is one of EPA's compliance

assistance centers and can be found on the web at [www.lgean.org](http://www.lgean.org) or contacted by phone at 1-877-TO-LGEAN.

## 2.0 BACKGROUND

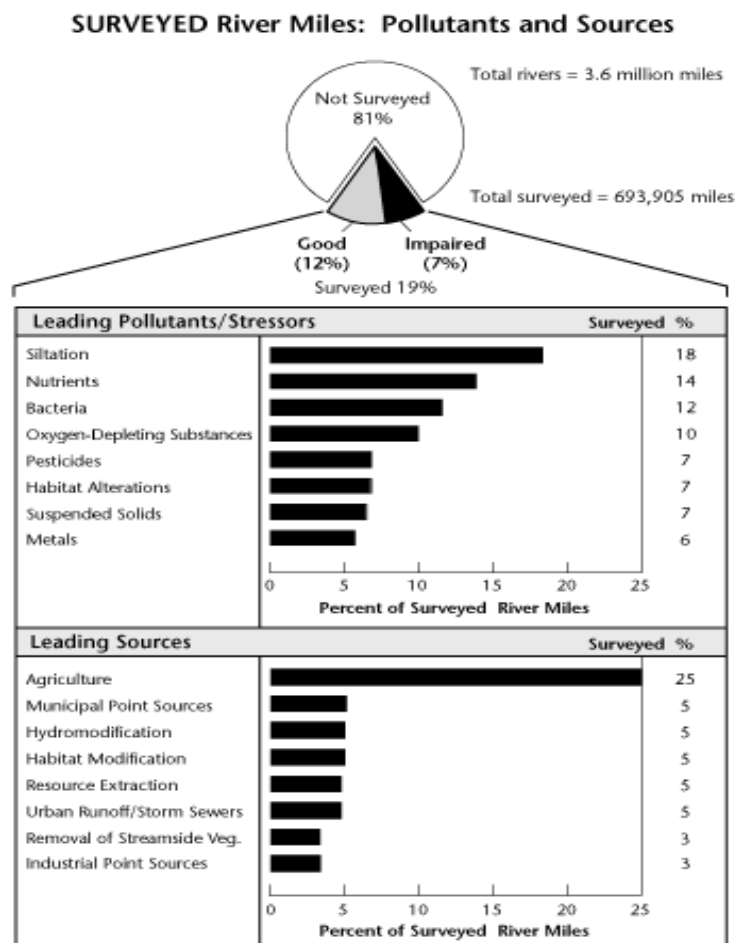
After reading section 2, you should understand the environmental impacts of storm water and the history of the storm water program, including existing regulations to control storm water (Phase I).

### 2.1 What are the Environmental Impacts from Storm Water Discharges?

Storm water runoff from lands modified by human activities can harm surface water and, in turn, cause or contribute to an exceedance of water quality standards by changing natural hydrologic patterns, accelerating natural stream flows, destroying aquatic habitat, and elevating pollutant concentrations and loadings. Such runoff may contain high levels of contaminants, such as sediment, suspended solids, nutrients (phosphorus and nitrogen), heavy metals, pathogens, toxins, oxygen-demanding substances (organic material), and floatables (U.S. EPA. 1992.

*Environmental Impacts of Storm Water Discharges: A National Profile.* EPA 841-R-92-001. Office of Water. Washington, DC). After a rain, storm water runoff carries these pollutants into nearby streams, rivers, lakes, estuaries, wetlands, and oceans. Individually and combined, these pollutants impair water quality, threatening designated beneficial uses and causing habitat alteration and destruction.

The 1996 305(b) Report (U.S. EPA. 1998. The National Water Quality Inventory, 1996 Report to Congress. EPA 841-R-97-008. Office of Water. Washington, DC), provides a national assessment of water quality based on biennial reports submitted by the States as required under CWA section 305(b) of the CWA. In the CWA 305(b) reports, States, Tribes, and Territories assess their individual water quality control programs by examining the attainment or



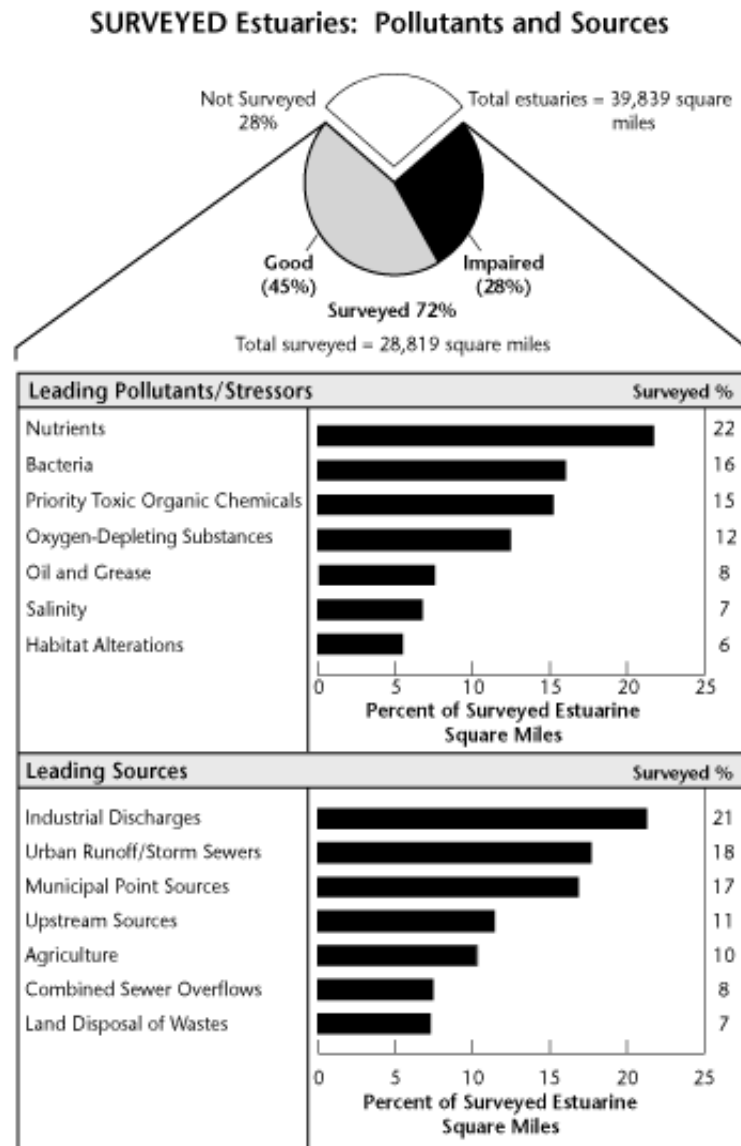
NOTE: Percentages do not add up to 100% because more than one pollutant or source may impair a river segment.

Figure 2-1. Pollutants and Sources in Surveyed River Miles (EPA, 1998)

nonattainment of the designated uses assigned to their rivers, lakes, estuaries, wetlands, and ocean shores. The 1996 Inventory indicated that approximately 40 percent of the Nation's assessed rivers, lakes, and estuaries are impaired.

The 1996 Inventory also found urban runoff/discharges from storm sewers to be a major source of water quality impairment nationwide. Urban runoff/storm sewers were found to be a source of pollution in 13 percent of impaired rivers; 21 percent of impaired lakes, ponds, and reservoirs; and 45 percent of impaired estuaries (second only to industrial discharges). See Figures 2-1 and 2-2 for an illustration of the pollutants and sources of pollution for both rivers and estuaries. In addition to these waterbodies, urban runoff was found to be the leading cause of ocean impairment for those ocean miles surveyed.

Urbanization alters the natural infiltration capability of the land and generates a host of pollutants that are associated with the activities of dense populations, thus causing an increase in storm water runoff volumes and pollutant loadings in storm water discharged to receiving waterbodies (U.S. EPA, 1992). Urban development increases the amount of impervious surface in a watershed as farmland, forests, and meadowlands are converted into buildings with rooftops, driveways, sidewalks, roads, and parking lots with virtually no ability to absorb storm water. Storm water and snow-melt runoff wash over these impervious areas, picking up pollutants along the way while gaining speed and volume because of their inability to disperse and filter into the ground (see Figure 2-3 which illustrates the increased runoff resulting from increased impervious area). The resulting storm water flows are higher in volume, pollutants, and temperature than the flows in less impervious areas, which have more natural vegetation and soil to filter the runoff (U.S. EPA, 1997. *Urbanization and Streams: Studies of Hydrologic Impacts*).



NOTE: Percentages do not add up to 100% because more than one pollutant or source may impair an estuary.

Figure 2-2. Pollutants and Sources in surveyed Estuaries (EPA, 1998)

EPA 841-R-97-009. Office of Water. Washington, DC).

In addition to the pollutants picked up by storm water runoff before it enters a storm drain, studies have shown that discharges from a storm drain system often include wastes and wastewater from non-storm water sources, referred to as illicit discharges. These discharges are 'illicit' because municipal storm sewer systems are not designed to accept, process, or discharge such wastes. Sources of illicit discharges can include sanitary wastewater illegally connected to the storm drain system; effluent from septic tanks; car wash, laundry, and other industrial wastewaters; improper disposal of auto and household toxics, such as used motor oil and pesticides; and spills from roadways.

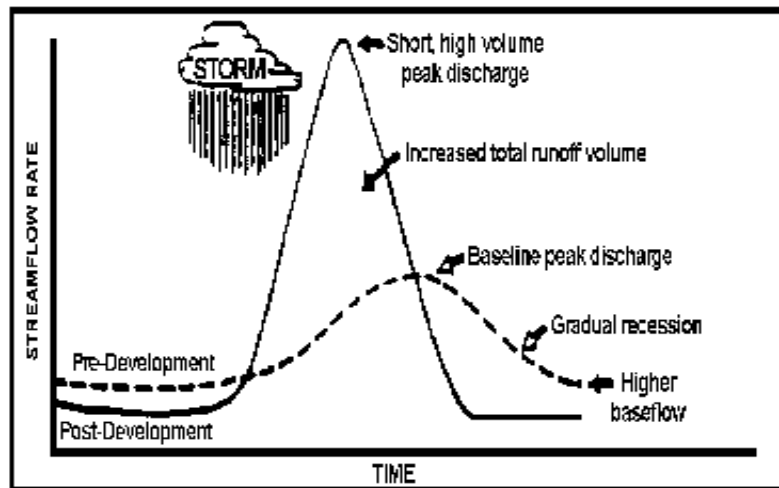


Figure 1. Impacts of urbanization on stream flow (Schueler, 1987).

Illicit discharges enter the system through either direct connections (e.g., wastewater piping either mistakenly or deliberately connected to the storm drains) or indirect connections (e.g., infiltration into the MS4 from cracked sanitary systems, spills collected by drain outlets, and paint or used oil dumped directly into a drain). The result is untreated discharges that contribute high levels of pollutants, including heavy metals, toxics, oil and grease, solvents, nutrients, viruses and bacteria into receiving waterbodies.

## 2.2 Summary of EPA's Storm Water Program

In 1972, Congress amended the Federal Water Pollution Control Act (commonly referred to as the Clean Water Act (CWA)) to prohibit the discharge of any pollutant to waters of the United States from a point source unless the discharge is authorized by an NPDES permit. The NPDES program is designed to track point sources and require the implementation of the controls necessary to minimize the discharge of pollutants. Initial efforts to improve water quality under the NPDES program primarily focused on reducing pollutants in industrial process wastewater and municipal sewage. These discharge sources were easily identified as responsible for poor water quality.

As pollution control measures for industrial process wastewater and municipal sewage were implemented and refined, it became increasingly evident that more diffuse sources of water pollution were also significant causes of water quality impairment. Specifically, storm water runoff was found to be a major cause of water quality impairment.



In 1987, Congress amended the CWA to require implementation, in two phases, of a comprehensive national program for addressing storm water discharges. The first phase of the program, commonly referred to as “Phase I,” was promulgated on November 16, 1990 (55 FR 47990). Phase I requires NPDES permits for storm water discharge from a large number of priority sources including medium and large municipal separate storm sewer systems (“MS4s”) generally serving populations of 100,000 or more and several categories of industrial activity, including construction activity that disturbs five or more acres of land.

The Phase I permits for municipal separate storm sewer systems mostly cover larger cities, and require them to develop a storm water management program, track and oversee industrial facilities regulated under the NPDES storm water program, conduct some monitoring, and submit periodic reports.

The operators of construction activities disturbing greater than 5 acres have been required to obtain NPDES permit coverage since 1992. General permits for large construction activity require construction operators to develop and implement a storm water pollution prevention plan to control erosion, sediment and other wastes on the site.

The Phase I industrial storm water program also regulates the following industrial sectors:

- facilities subject to EPA storm water effluent guidelines, new source performance standards, or toxic pollutant effluent standards
- heavy manufacturing facilities
- mining/oil and gas
- hazardous waste facilities
- landfills
- recycling facilities
- steam electric power
- transportation facilities
- sewage treatment plants
- construction activity (described above), and
- light manufacturing facilities.

The second phase of the storm water program, which this guide addresses, requires permits for storm water discharges from certain small municipal separate storm sewer systems and construction activity generally disturbing between 1 and 5 acres. See Figure 2-4 for a summary of the federal storm water permit requirements under Phases I and II.

**Figure 2-4. Summary of Federal Permit Requirements Under the NPDES Storm Water Program**

	<b>Municipal Separate Storm Sewer Systems (MS4s)</b>	<b>Construction Activity</b>	<b>Industrial Activity</b>
<b>Requirements in Effect Now (Phase I)</b>	<p><b>Medium and Large MS4s</b> (§ 122.26(d))</p> <ul style="list-style-type: none"> <li>Storm Water Management Program:                             <ul style="list-style-type: none"> <li>- Public education and outreach</li> <li>- Public participation efforts</li> <li>- Illicit discharge detection and elimination program</li> <li>- Construction and post-construction runoff control program for all construction activity (no size threshold)</li> <li>- BMPs to reduce pollutants from industrial, commercial, and residential areas</li> </ul> </li> <li>Track/oversee industrial facilities regulated under the NPDES storm water program</li> <li>Conduct analytical and visual monitoring of MS4 discharges</li> <li>Submit periodic program assessment reports</li> </ul>	<p><b>Category (x) Construction Activity (5+ Acres)*</b></p> <p><u>CGP:</u></p> <ul style="list-style-type: none"> <li>Storm Water Pollution Prevention Plan (SWPPP)                             <ul style="list-style-type: none"> <li>- Site description</li> <li>- Description of BMPs for erosion and sediment, post-construction storm water management, and other controls</li> <li>- Self-evaluation and reporting</li> </ul> </li> </ul> <p><i>*Category (x) is one of the categories of "storm water discharges associated with industrial activity." Temporarily excluded from permitting: Category (x) construction activity operated by a municipality of &lt;100,000 (ISTEA moratorium).</i></p>	<p><b>Ten Categories of Industrial Activity (Categories (i)-(ix),(xi))*</b></p> <p><u>MSGP:</u></p> <ul style="list-style-type: none"> <li>SWPPP                             <ul style="list-style-type: none"> <li>- Site evaluation</li> <li>- Description of appropriate storm water management BMPs</li> <li>- Self-evaluation, monitoring, and reporting</li> </ul> </li> <li>If discharging into a medium or large MS4, notify the MS4 operator</li> </ul> <p><i>*Temporarily excluded from permitting: Industrial activity operated by a municipality of &lt;100,000, except for power plants, airports, and uncontrolled sanitary landfills (ISTEA moratorium).</i></p>
<b>Requirements that Will Be in Effect by 2003 (Phase II)</b>	<p><b>Regulated Small MS4s</b> (§ 122.34 outlined here, but may choose permit coverage under § 122.26(d) instead)</p> <ul style="list-style-type: none"> <li>Storm Water Management Program:                             <ul style="list-style-type: none"> <li>- Public education and outreach</li> <li>- Public participation efforts</li> <li>- Illicit discharge detection and elimination program</li> <li>- Construction runoff control program for construction activity disturbing 1 acre or greater</li> <li>- Post-construction runoff control program for construction activity disturbing 1 acre or greater</li> <li>- Good housekeeping/pollution prevention for municipal operations</li> </ul> </li> <li>Conduct assessment of identified BMPs and measurable goals for each minimum control measure</li> <li>Submit annual program assessment reports</li> </ul>	<p><b>Small Construction Activity (≤1 and &lt;5 Acres)</b></p> <ul style="list-style-type: none"> <li>Expected to be similar to Category (x) Construction Activity requirements above</li> </ul> <hr/> <p><b>Category (x) Construction Activity Operated by a Municipality of &lt; 100,000</b></p> <ul style="list-style-type: none"> <li>Same requirements as for Category (x) Construction Activity above</li> </ul>	<p><b>Industrial Activity Operated by a Municipality of &lt;100,000*</b></p> <ul style="list-style-type: none"> <li>Same requirements as for Ten Categories of Industrial Activity above</li> </ul> <p><i>*Does not include: Power plants, airports, and uncontrolled sanitary landfills</i></p>

## 3.0 REGULATION REQUIREMENTS

After reading section 3.0, you should understand the basic components and requirements of the Storm Water Phase II Rule and the rule's compliance schedule/timeline. This information is meant to serve as a basis for understanding the details of the Rule as discussed in further sections of this guidance.

### 3.1 What Does The Storm Water Phase II Rule Require?

This regulation can be divided into three main components, each with distinct requirements, affecting three types of entities. These components and the requirements for each are summarized below.

#### **Regulated Small MS4s** (see section 4.0)

A certain subset of operators of small MS4s (primarily those located in urbanized areas) are required to implement programs and practices to control polluted storm water runoff from the jurisdiction serviced by the MS4. The operator must design its storm water management program to satisfy applicable CWA water quality requirements and technology standards. The program must include the development and implementation of best management practices (BMPs) and measurable goals for the following six minimum measures, and include evaluation and reporting efforts:

- Public education and outreach,
- Public participation/involvement,
- Illicit discharge detection and elimination,
- Construction site runoff control,
- Post-construction runoff control, and
- Pollution prevention/good housekeeping for municipal operations.

Two waivers from coverage are available for small MS4s brought into the program by the Phase II regulation.

#### **Small Construction Activity** (see section 5.0)

All construction operators disturbing more than 1 acre and less than 5 acres are required to apply for an NPDES storm water permit for small construction activity. EPA already regulates construction activity disturbing more than 5 acres. A construction operator is usually the developer or landowner, but can also be the contractor or another party responsible for the operational control of erosion and sediment control practices on site.

Unlike the requirements for regulated small MS4s, the requirements for small construction activity (primarily activity disturbing between 1 and 5 acres of land) are not detailed in the Phase II regulation. Rather, the requirements are left to the discretion of the NPDES permitting authority when it develops the small construction activity permit. EPA expects the permit for small construction activity to be similar to the existing storm water general permits for large construction activity regulated under the Phase I program. EPA's existing Construction General Permit includes requirements to:

- Submit a Notice of Intent (NOI);
- Develop and implement a Storm Water Pollution Prevention Plan (SWPPP). The SWPPP includes erosion and sediment controls, controls on waste at the site, self-inspection/monitoring, and reporting efforts; and
- Submit a Notice of Termination (NOT) when permit coverage is no longer necessary.

Two waivers from coverage are available for small construction activity.

### **Industrial Activity** (see section 6.0)

Eleven categories of industrial activity are regulated under Phase I of the NPDES Storm Water Program. Under the Phase II Rule, no new categories of industrial activity are designated into the storm water program. The Rule does, however, include a revised no exposure exclusion that is available to all regulated categories of industrial activity (except category (x) - large construction activity) if the facility operator can certify that storm water runoff is not exposed to industrial activities.

Also, this regulation further extends the deadline to obtain permit coverage for those industrial activities operated by municipalities with populations of less than 100,000 that were temporarily exempted from permitting under the Intermodal Surface Transportation Enforcement Act (ISTEA) of 1991.

### **3.2 What Is the Phase II Rule's Compliance Schedule/Timeline?**

The Phase II Final Rule was published in the *Federal Register* on December 8, 1999 (64 *FR* 68722). The following table lists milestones for EPA, the NPDES permitting authorities, and the regulated community under this program.

**Storm Water Phase II Program Compliance Timeline**

<b>ACTIVITY</b>	<b>DEADLINE</b>
Conditional No Exposure Exclusion option available in States where EPA is the NPDES permitting authority	February 7, 2000
Submission of No Exposure Certification	Every 5 years
EPA issues a menu of BMPs for small MS4 programs	October 2000
EPA issues a model general permit for small MS4s	October 2000
EPA issues guidance on measurable goals for small MS4 programs	October 2001
NPDES permitting authority determines designation of small MS4s located outside of an urbanized area that serve a jurisdiction with a population of 10,000 and population density of 1,000	By December 9, 2002; or by December 8, 2004 if apply designation criteria on a watershed basis under a comprehensive watershed plan
NPDES permitting authority determines waivers for regulated small MS4s in urbanized areas	By December 9, 2002
NPDES permitting authority issues general permits for regulated small MS4s and small construction activity	By December 9, 2002
Operators of regulated small MS4s and small construction activity designated by the rule must obtain permit coverage	By March 10, 2003
Operators of regulated small MS4s and small construction activity designated by NPDES permitting authority must obtain permit coverage	Within 180 days of notice
Temporarily exempted municipal operators of industrial activity must obtain permit coverage (ISTEA moratorium)	By March 10, 2003
The NPDES permitting authority may phase in coverage for small MS4s serving jurisdictions with a populations less than 10,000 on a schedule consistent with a State watershed permitting approach	Completion of phase-in by March 8, 2007
The regulated small MS4s must fully implement their storm water management programs	By the end of the first permit term – typically a 5-year period
Re-evaluation of the Phase II small MS4 regulations by EPA	By December 2012
NPDES permitting authority determination on a petition for designation of a non-regulated storm water discharger	Within 180 days of receipt

## 4.0 REGULATED SMALL MS4S

After reading section 4.0, you should understand what an MS4 is, which operators of MS4s are subject to the Phase II small MS4 regulations (including who may be waived from coverage), the small MS4 permit options, and the permit requirements for a small MS4 storm water management program. The discussion of these elements concludes with a step-by-step review of the process for compliance with the small MS4 program and possible funding options. Special concerns regarding Federal and State-operated small MS4s are also addressed.

### 4.1 MS4 DEFINITIONS

EPA's National Pollutant Discharge Elimination System (NPDES) storm water permitting program labels municipal separate storm sewer systems (MS4s) as either "small," "medium," or "large" for the purposes of regulation. The definitions of each are included herein. The Phase I storm water program covers medium and large MS4s. The Phase II storm water regulation covers a certain subset of small MS4s, known as "regulated small" MS4s. Regulated small MS4 coverage under the rule is discussed in section 4.2.

#### 4.1.1 What is an "MS4"?

What constitutes a municipal separate storm sewer system (MS4) is often misinterpreted and misunderstood. The term MS4 does not solely refer to municipally-owned storm sewer systems, but rather is a term of art with a much broader application that can include, in addition to local jurisdictions, State departments of transportation, universities, local sewer districts, hospitals, military bases, and prisons. An MS4 also is not always just a system of underground pipes – it can include roads with drainage systems, gutters, and ditches. The regulatory definition of an MS4 is provided in the text box below.

According to 40 CFR 122.26(b)(8), "*municipal separate storm sewer* means a conveyance or system of conveyances (including roads with drainage systems, municipal streets, catch basins, curbs, gutters, ditches, man-made channels, or storm drains):

- (i) Owned or operated by a State, city, town, borough, county, parish, district, association, or other public body (created by or pursuant to State law)...including special districts under State law such as a sewer district, flood control district or drainage district, or similar entity, or an Indian tribe or an authorized Indian tribal organization, or a designated and approved management agency under section 208 of the Clean Water Act that discharges into waters of the United States.
- (ii) Designed or used for collecting or conveying storm water;
- (iii) Which is not a combined sewer; and
- (iv) Which is not part of a Publicly Owned Treatment Works (POTW) as defined at 40 CFR 122.2."

#### **4.1.2 What is a "large" MS4?**

A **large MS4** is any MS4 located in an incorporated place or county with a population of 250,000 or greater as of the 1990 Census. The Phase II Final Rule revised the original large MS4 definition (found in the 1990 Phase I regulations) by freezing it as of the 1990 Census so that no new large MS4s could be automatically designated based on the 2000 Census, or any subsequent Census. Listings of incorporated places and counties with populations of 250,000 or greater as of the 1990 Census are included in the revised Appendices F and H to Part 122, found in the Phase II Final Rule.

#### **4.1.3 What is a "medium" MS4?**

A **medium MS4** is any MS4 located in an incorporated place or county with a population between 100,000 - 249,999 as of the 1990 Census. The Phase II Final Rule revised the original medium MS4 definition (found in the 1990 Phase I regulations) by freezing it as of the 1990 Census so that no new medium MS4s could be automatically designated based on the 2000 Census, or any subsequent Census. Listings of incorporated places and counties with populations between 100,000 - 249,999 as of the 1990 Census are included in the revised Appendices G and I to Part 122, found in the Phase II Final Rule.

**Important Note:** Many MS4s in areas below 100,000 in population have been individually brought into the Phase I program by NPDES permitting authorities. Such already regulated MS4s are considered Phase I MS4s and are not required to develop a Phase II program.

#### **4.1.4 What is a "small" MS4?**

A **small MS4** is any MS4 that is not already regulated under the Phase I storm water program. Unlike the definitions of medium and large MS4s, the definition of a small MS4: 1) is not dependant on a population threshold, and 2) includes Federally-owned systems, such as military bases and veterans hospitals.

### 4.2 COVERAGE: Who Is Subject to the Phase II Final Rule?

#### 4.2.1 Are All Small MS4s Covered by the Phase II Final Rule?

No. The universe of small MS4s is quite large since it includes every MS4 except for the approximately 900 medium and large MS4s already regulated under the Phase I storm water program. Only a select sub-set of small MS4s, referred to as **regulated small MS4s**, are covered by the Phase II Final Rule, either through automatic nationwide designation by the rule or designation on a case-by-case basis by the NPDES permitting authority.

#### 4.2.2 How Is A Small MS4 Designated as a Regulated Small MS4 under Phase II?

A *small MS4* can be designated as a *regulated small MS4*, and thereby be subject to the Phase II rule, in any one of the three ways explained in the following subsections.

##### 4.2.2.1 Automatic Nationwide Designation by the Rule

The Phase II Final Rule requires "automatic" nationwide coverage of all operators of small MS4s that are located within the boundaries of a Bureau of the Census-delineated "urbanized area" (UA) based on the latest decennial Census. This doesn't just include municipal operators of small MS4s, but also universities, highway departments, and any other operator of a storm sewer system that is located fully or partially within the UA. **Refer to section 4.3 for more information on how to determine if a particular small MS4 is located within a UA.**

**Important Note:** Only the portion of the small MS4 that is located within the UA boundaries is regulated under Phase II. For example, if a county operates a small MS4 that serves the whole county but only half of the MS4 falls within the UA boundary, then the county must obtain permit coverage (and implement a storm water management program) only for the half of the MS4 in the UA.

Once a small MS4 is designated into the program based on the UA boundaries, it cannot be waived from the program if in a subsequent UA calculation the small MS4 is no longer within the UA boundaries. An automatically designated small MS4 remains regulated unless, or until, it meets the criteria for a waiver. See section 4.4 for more information on waivers from coverage for regulated small MS4s in urbanized areas.



An operator of a small MS4 located outside of a UA boundary may be designated as a regulated small MS4 if the NPDES permitting authority determines that the small MS4's discharges cause, or have the potential to cause, an adverse impact on water quality. See sections 4.2.2.2 and 4.2.2.3 below for more information on designations by the permitting authority.

***Preamble of the Phase II Final Rule: Appendix 6***

A listing of governmental entities that are located either fully or partially within a UA according to the 1990 Census can be found in Appendix 6 to the Preamble of the Phase II Final Rule. The list is a general geographic reference intended to help operators of small MS4s determine whether or not they are located in a UA and, consequently, required to comply with the regulation; it is not a list of all Phase II regulated MS4s and it may contain errors. For example, the list does not include small MS4 operators such as colleges and universities, Federal prison complexes, and State highway departments located within a UA.

**4.2.2.2 Potential Designation by the NPDES Permitting Authority — Required Evaluation of 10,000/1,000 Areas**

The Phase II Final Rule requires the NPDES permitting authority to develop a set of designation criteria and apply them, *at a minimum*, to all small MS4s located outside of a UA that serve a jurisdiction with a population of at least 10,000 and a population density of at least 1,000 people/square mile. The permitting authority is required to *evaluate* such small MS4s but is not required to *designate* them into the program unless they meet the designation criteria.

***Recommended Designation Criteria***

EPA recommends in the Phase II regulations that the NPDES permitting authority use a balanced consideration of the following designation criteria on a watershed or other local basis:

- ✓ Discharge to sensitive waters;
- ✓ High population density;
- ✓ High growth or growth potential;
- ✓ Contiguity to a UA;
- ✓ Significant contributor of pollutants to waters of the United States; and
- ✓ Ineffective protection of water quality concerns by other programs.

***Preamble of the Phase II Final Rule: Appendix 7***

A listing of governmental entities located outside of a UA that have a population of at least 10,000 and a population density of at least 1,000 people per square mile, can be found in Appendix 7 to the Preamble of the Phase II Final Rule. Similar to Appendix 6, the list is a geographic reference only – it is not a list of regulated entities and it may contain errors. Operators of small MS4s located within a listed area could be examined by their NPDES permitting authority for potential designation into the Phase II

program. Furthermore, the NPDES permitting authority reserves the right to designate for regulation any small MS4 that is contributing pollutants to waters of the United States, whether or not its jurisdiction is found in Appendix 7.

### ***Deadline for Designation***

The NPDES permitting authority is required to designate small MS4s meeting the designation criteria by December 9, 2002, or by December 8, 2004 if a comprehensive State watershed plan is in place and the criteria are being applied on a watershed basis.

#### **4.2.2.3 Potential Designation by the NPDES Permitting Authority — Physically Interconnected**

The Phase II Final Rule requires the NPDES permitting authority to designate any small MS4 located outside of a UA that contributes substantially to the pollutant loadings of a *physically interconnected* MS4 that is permitted by the NPDES storm water program. This means the other MS4 could be a large, medium, or regulated small MS4.

Small MS4s located right outside the boundary of an urbanized area are the ones most likely to meet this criterion for designation and, therefore, should make an effort to become aware of whether they discharge pollutants directly into a regulated MS4. The sooner a small MS4 operator is prepared for potential designation and implementation of the Phase II program, the better.

*Physically interconnected* means that one MS4 is connected to a second MS4 in such a way that it allows for *direct* discharges into the second system.

### ***Deadline for Designation***

The final rule does not set a deadline for designation of small MS4s meeting this criterion.

#### **4.3 URBANIZED AREAS: What Are They and How Does a Small MS4 Operator Determine If It Is Located in One?**

As discussed in section 4.2, the Phase II Final Rule covers all small municipal separate storm sewer systems (MS4s) located within an “urbanized area” (UA). Based on the 1990 Census, there are 405 UAs in the United States that cover 2 percent of total U.S. land area and contain approximately 63 percent of the Nation’s population. These numbers include Puerto Rico — the only U.S. Territory with UAs.

UAs constitute the largest and most dense areas of settlement. UA calculations delineate boundaries around these dense areas of settlement and, in doing so, identify the areas of concentrated development. UA designations are used for several

purposes in both the public and private sectors. For example, the Federal Government has used UAs to calculate allocations for transportation funding, and some planning agencies and development firms use UA boundaries to help ascertain current, and predict future, growth areas.

#### **4.3.1. What Is the Definition of an Urbanized Area (UA)?**

The Bureau of the Census determines UAs by applying a detailed set of published UA criteria (see 55 *FR* 42592, October 22, 1990) to the latest decennial census data. Although the full UA definition is complex, the Bureau of the Census' general definition of a UA, based on population and population density, is provided below.

An *urbanized area (UA)* is a land area comprising one or more places – central place(s) – and the adjacent densely settled surrounding area – urban fringe – that together have a residential population of at least 50,000 and an overall population density of at least 1,000 people per square mile. It is a calculation used by the Bureau of the Census to determine the geographic boundaries of the most heavily developed and dense urban areas.

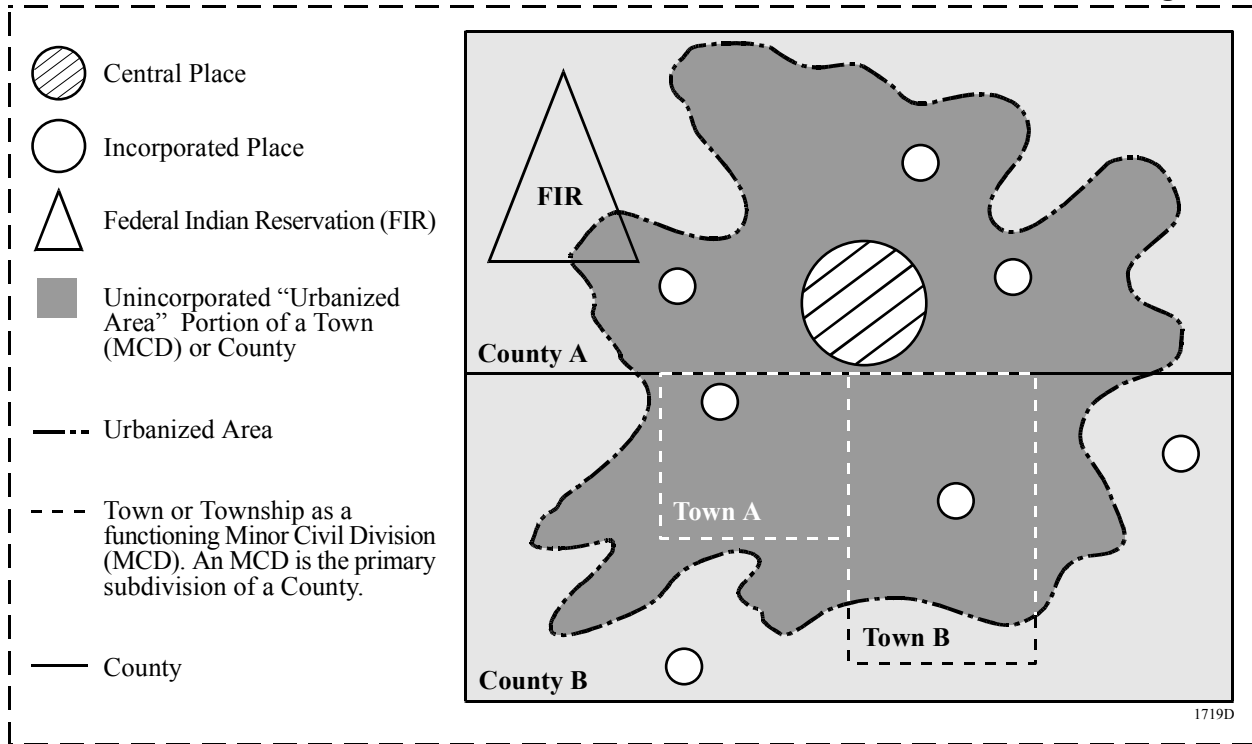
#### **UA Facts:**

- The basic unit for delineating the UA boundary is the census block. Census blocks are based on visible physical boundaries, such as the city block, when possible, or on invisible political boundaries, when not. An urbanized area can comprise places, counties, Federal Indian Reservations, and minor civil divisions (MCDs - towns and townships).
- A UA can include governmental entities of every population size: 200; 7,000; 15,000; 30,000, 200,000; or 3 million! Entities with small populations are commonly found in the urban fringe of the UA.
- Before the time of permit issuance (by December 9, 2002), new UA calculations based on the 2000 Census should be published. The regulated small MS4 universe then will be based on these new calculations.

#### **4.3.2. What Does A UA Look Like?**

The drawing below (see Figure 4-1) is a simplified UA illustration that demonstrates the concept of UAs in relation to the Phase II Final Rule. This “urbanized area” includes within its boundaries incorporated places, a portion of a Federal Indian reservation, an entire MCD, a portion of another MCD, and portions of two counties. Any and all operators of small MS4s located within the boundaries of the UA are covered under the Phase II Final Rule, regardless of political boundaries. Operators of small MS4s located outside of the UA are subject to potential designation into the Phase II MS4 program by the NPDES permitting authority, as explained in section 4.2.

Figure 4-1



**4.3.3 How Can An Operator of a Regulated Small MS4 Determine If It Is Located Within a UA?**

Operators of small MS4s can determine if they are located within a UA, and therefore covered under the Phase II storm water program, through the following two steps:

**— STEP 1 —**

Refer to a listing of incorporated places, MCDs, and counties that are located entirely or partially within a UA. Such a listing, based on the 1990 Census and including only those entities not regulated under Phase I, can be found in Appendix 6 to the Preamble of the Phase II Final Rule. If a small MS4 is located in a listed incorporated place, MCD, or county, then the operator of the small MS4 should follow step (2) below. It is important to note that Appendix 6 is general guidance only and may contain errors. For this reason, even if a particular small MS4 isn't located in a listed area, EPA recommends that the small MS4 operator follow Step 2.

**— STEP 2 —**

Some operators of small MS4s may find that they are located within an

entity listed in Appendix 6 but not know if their systems are within the urbanized portion of the listed entity, or they are not on the list but want to confirm their status as recommended above. In such cases, they should contact one or more of the following institutions for more detailed information on the location of UA boundaries:

### ❑ **The State or NPDES Permitting Authority**

**Storm Water Coordinators:** The NPDES permitting authority may be the State or the U.S. EPA Region. The Storm Water Coordinators for each U.S. EPA Region are listed in Section 8. These regional contacts can assist with UA information and provide the names of State storm water contacts.

**State Data Centers:** Each State's Data Center receives listings of all entities that are located in UAs, as well as detailed maps and electronic files of UA boundaries. The Bureau of the Census web site includes a list of contact names and phone numbers for the Data Center in each State at [www.census.gov/sdc/www](http://www.census.gov/sdc/www).

**State Planning/Economic/Transportation Agencies:** These agencies typically use UAs to assess current development and forecast future growth trends and, therefore, should have detailed UA information readily available to help determine the UA boundaries in any given area.

### ❑ **County or Regional Planning Commissions/ Boards**

As with State agencies, these entities are likely to have detailed UA data and maps to help determine UA boundaries.

### ❑ **The Bureau of the Census**

**Urbanized Areas Staff:** 301 457-1099

**Web Site:** [www.census.gov](http://www.census.gov)

The site provides information on purchasing UA maps and electronic files for use with computerized mapping systems. Obtain free UA cartographic boundary files (Arc/Info export format) for Geographical Information System (GIS) use at: [www.census.gov:80/geo/www/cob/ua.html](http://www.census.gov:80/geo/www/cob/ua.html).

**UA Maps:** Detailed UA maps are available for purchase with a \$25 minimum order (\$5 per map sheet). Each map sheet measures 36 by 42 inches. For prices and a listing of UAs, visit [www.census.gov/mp/www/geo/msgeo12.html](http://www.census.gov/mp/www/geo/msgeo12.html). Order from the Department of Commerce, Bureau of the Census (MS 1921), P.O. Box 277943, Atlanta, GA 30384-7943 (Phone: 301 457-4100; Toll-free fax: 1-888-249-7295).

### ❑ **U.S. EPA**

EPA is currently modifying a web-based geographic program called *Enviromapper* for use in determining UA boundaries. This program will allow users to enter a location (by name, zip code, or street address) and see a map that will show if the location is within a UA boundary. EPA is committed to using *Enviromapper* to create a tool that, someday, will be the only tool necessary to determine the location of UA boundaries. Information about *Enviromapper* will be available at [www.epa.gov/owm/phase2](http://www.epa.gov/owm/phase2).

### 4.3.4 How Will the Year 2000 Census Affect the Determination of Status as a Regulated Small MS4?

The listing of incorporated places, MCDs, and counties located within UAs in the United States and Puerto Rico, found in Appendix 6, is based on the 1990 Census. New listings for UAs based on the 2000 Census are scheduled to be available by August of 2001. Once the official 2000 Census listings are published by the Bureau of the Census, operators of small MS4s located within the revised boundaries of former 1990 UAs, or in any newly defined 2000 UAs, become regulated small MS4s and must develop a storm water management program.

Any additional automatic designations of small MS4s based on subsequent census years is governed by the Bureau of the Census' definition of a UA in effect for that year and the UA boundaries determined as a result of the definition.

Once a small MS4 is designated into the Phase II storm water program based on the UA boundaries, it can not be waived from the program if in a subsequent UA calculation the small MS4 is no longer within the UA boundaries. An automatically designated small MS4 will remain regulated unless, or until, it meets the criteria for a waiver.

### 4.4 WAIVERS: Which Regulated Small MS4s May Obtain a Waiver From Coverage?

Two waiver options are available to operators of regulated small MS4s in urbanized areas if the NPDES permitting authority determines that their discharges do not cause, or have the potential to cause, water quality impairment.

**Important Note:** The waivers are granted by the NPDES permitting authority, the operator of the regulated small MS4 can not determine for itself that it meets the waiver criteria. If the permitting authority is not proactive in assessing small MS4s for potential waivers, an operator may petition for a waiver assessment.

If a permitting authority decides to grant waivers, it is required to do so by December 9, 2002 to coincide with the expected date of the small MS4 permit issuance. The

permitting authority is also required to periodically review any waivers granted to small MS4 operators to determine whether any information required for granting the waiver has changed. Minimally, such a review needs to be conducted once every five years. The waiver options are described in the following two subsections.

### ***Deadline for Waivers***

The NPDES permitting authorities are required to make their waiver determinations by March 9, 2002 to coincide with the expected issuance of their small MS4 general permit. If the permit authority chooses to phase in permit coverage based on a comprehensive watershed plan (see section 4.5.2.2), then regulated small MS4s may be waived on the same schedule. The phase-in of permit coverage and waivers is to be completed no later than March 8, 2007.

#### **4.4.1 Option 1: Less than 1,000 Population in a UA**

The first waiver option applies where:

- (1) the jurisdiction served by the system is less than 1,000 people;
- (2) the system is not contributing substantially to the pollutant loadings of a physically interconnected regulated MS4; and
- (3) if the small MS4 discharges any pollutants identified as a cause of impairment of any water body to which it discharges, storm water controls are not needed based on wasteload allocations that are part of an EPA approved or established "total maximum daily load" (TMDL) that addresses the pollutant(s) of concern.

*TMDLs* are water quality assessments that determine the source or sources of pollutants of concern for a particular waterbody, consider the maximum amount of pollutants the waterbody can assimilate, and then allocate to each source a set level of pollutants that it is allowed to discharge (i.e., a "wasteload allocation"). Small MS4s that are not given a wasteload allocation would meet the third criterion above.

The third criterion of this waiver option need only be met if the small MS4 is discharging into a impaired water body and the discharge contains a pollutant or pollutants that are the cause of the impairment (i.e., the "pollutants of concern").

#### **4.4.2 Option 2: Less than 10,000 Population in a UA**

The second waiver option applies where:

- (1) the jurisdiction served by the system is less than 10,000 people;

- (2) an evaluation of all waters of the U.S. that receive a discharge from the system shows that storm water controls are not needed based on wasteload allocations that are part of an EPA approved or established TMDL that addresses the pollutant(s) of concern or an equivalent analysis; and
- (3) it is determined that future discharges from the small MS4 do not have the potential to result in exceedances of water quality standards.

*Pollutants of Concern* include biochemical oxygen demand (BOD), sediment or a parameter that addresses sediment (such as total suspended solids, turbidity or siltation), pathogens, oil and grease, and any pollutant that has been identified as a cause of impairment in any water body to which the MS4 discharges.

This waiver option differs from the first option in that: 1) it applies to a larger jurisdiction size (up to 10,000 rather than 1,000), 2) it requires a determination that the discharges are not affecting the receiving water body, whether the water body is impaired or not (in the first option an assessment is only necessary if the water body is impaired and the MS4 is discharging a pollutant of concern), 3) the determination must be based on a TMDL or an equivalent analysis (the first option does not allow for an equivalent analysis), and 4) an assessment of the impacts of future discharges must be performed (no such assessment is necessary under the first option).

### 4.5 PERMITTING OPTIONS: What Permitting Choices are Available?

The Storm Water Phase II Final Rule requires operators of a particular subset of small MS4s in urbanized areas to obtain National Pollutant Discharge Elimination System (NPDES) permit coverage because their storm water discharges are considered “point sources” of pollution. All point source discharges, unlike nonpoint sources such as agricultural runoff, are required under the Clean Water Act (CWA) to be covered by federally enforceable NPDES permits. Those MS4s already permitted under the NPDES Phase I storm water program, even MS4s serving less than 100,000 people, are not required to be permitted under the Phase II storm water program.

NPDES storm water permits are issued by an NPDES permitting authority, which may be an NPDES-authorized State or a U.S. EPA Region in non-authorized States. Once a permit application is submitted by the operator of a regulated small MS4 and a permit is obtained, the conditions of the permit must be satisfied (i.e., development and implementation of a storm water management program) and periodic reports must be submitted on the status and effectiveness of the program. This section addresses the flexible permit options the Phase II regulations allow for the regulated small MS4 operator, as well as for the permitting authority. The permit requirements are discussed in section 4.6.



## **4.5.1 For Regulated Small MS4 Operators**

### **4.5.1.1 The Types of Permit Coverage Available**

Unlike the Phase I program that requires individual permits for medium and large MS4s, the Phase II approach allows operators of regulated small MS4s to choose from as many as three permitting options as listed below. Each NPDES permitting authority reserves the authority to determine, however, which options are available to the regulated small MS4s in their jurisdiction.

#### **1) General Permits**

- # General permits are strongly encouraged by EPA. The Phase II program has been designed specifically to accommodate a general permit approach.
- # General permits prescribe one set of requirements for all applicable permittees. General permits are drafted by the NPDES permitting authority, then published for public comment before being finalized and issued.
- # A Notice of Intent (NOI) serves as the application for the general permit. The regulated small MS4 operator complies with the permit application requirements by submitting an NOI to the NPDES permitting authority that describes the storm water management plan, including best management practices (BMPs) and measurable goals. The operator has the flexibility to develop an individualized storm water program that addresses the particular characteristics and needs of its system, provided the requirements of the general permit are satisfied.
- # For general permit coverage, the regulated small MS4 operator must follow the Phase II permit application requirements (see section 4.6.2).

#### **2) Individual Permits**

- # Individual permits are required for Phase I medium and large MS4s, but not recommended by EPA for Phase II program implementation.
- # Individual permits prescribe a particular set of requirements for a particular permittee or a group of co-permittees. Individual permits require the submission of a more comprehensive permit application than an NOI that is submitted under a general permit. Once the permit application is received, an individual permit is drafted by the NPDES permitting authority, then published for public comment before being finalized and issued.
- # The Phase II rule allows a regulated small MS4 to submit an individual application for coverage under either the:

- Phase II MS4 regulation (see § 122.34 of the Phase II rule), or
- Phase I MS4 regulation (see 40 CFR §122.26(d)).

### **3) Modification of an Existing Phase I Individual Permit – A Co-Permittee Option with Medium and Large MS4s**

# The operator of a regulated small MS4 could participate as a limited co-permittee in a neighboring Phase I MS4's storm water management program by seeking a modification of the existing Phase I individual permit. As a limited co-permittee the small MS4 operator would be responsible for compliance with the permit's conditions applicable to its jurisdiction.

**Note:** A list of Phase I medium and large MS4s can be obtained from the EPA Office of Wastewater Management (OWM) or downloaded from the OWM web site.

# The permittee must comply with the applicable terms of the modified Phase I individual permit rather than the minimum control measures in the Phase II Final Rule.

#### **4.5.1.2 Co-permittee with Another Operator of a Regulated Small MS4**

Section 4.5.1.1 explained the permitting option of a modification of an existing Phase I individual permit in order to be a co-permittee with a medium or large MS4. Regulated small MS4 operators may also choose to share responsibilities for meeting the Phase II program requirements with another regulated small MS4 operator under a general or individual permit. Those operators choosing to do so may submit jointly an NOI or individual permit application that identifies who will implement which minimum measures within the area served by the MS4s.

#### **4.5.1.3 Relying on Another Entity to Satisfy One or More of the Minimum Control Measures**

Under either a general or individual permit, the Phase II small MS4 permittee has the option of relying on other entities that are already performing one or more of the minimum control measures to implement the measure(s) on the permittee's behalf. This is only allowable where the existing control measure, or component thereof, is at least as stringent as the Phase II rule requirements (under § 122.34(b)) and the other entity has agreed to the arrangement.

For example, a county may already have an illicit discharge detection and elimination program in place and may allow an operator of a regulated small MS4 within the county's jurisdiction to rely on the county program instead of formulating and implementing a new program. In such a case, the permittee would not need to

implement the particular measure, but would still be ultimately responsible for its effective implementation. For this reason, EPA recommends that the permittee enter into a legally binding agreement with the other entity. If the permittee chooses to rely on another entity, they must note this in their permit application and subsequent reports.

**Note:** Also, the other entity does not necessarily need to be a governmental entity. For example, a permittee could rely on a non-profit organization that is performing public education efforts on environmental issues to satisfy the public education and outreach minimum measure.

A Phase II permittee also has the option to rely on another entity to satisfy all of the permittee's small MS4 permit obligations – but only if the other entity is a governmental entity permitted under the NPDES storm water program. Should this option be chosen, the permittee must note this in its NOI, but does not need to file the otherwise required periodic reports on the status of the program. Again, it is important to note that the permittee would remain ultimately liable under the small MS4 permit. This option is particularly beneficial for operators that serve a low population, have limited resources or legal authority, or are surrounded by an NPDES regulated municipality. For example, let's assume a college campus or a veteran's hospital are operators of small MS4s and they are located in the middle of a Phase II regulated city. Negotiating with the city to implement the storm water management program for them in their jurisdictions could be a cost-effective and less burdensome option than for each to implement their own programs.

#### **4.5.2 For the NPDES Permitting Authority**

##### **4.5.2.1 Alternative Options for Writing Permit Requirements**

Two permitting options tailored to minimize duplication of effort by the regulated small MS4 permittee can be incorporated into the general or individual permit by the NPDES permitting authority:

#### **1) Recognizing Another Governmental Entity's Program**

The permitting authority can recognize in a small MS4 permit that another governmental entity is responsible under an NPDES permit for implementing any or all of the minimum control measures. In such a case, responsibility for implementation of the measure(s) would rest with the other governmental entity, thereby relieving the small MS4 permittee of its responsibility to implement that particular measure(s). See Table 4-1 for examples of both this option and the following option.

4.0 Regulated Small MS4s

STORM WATER PHASE II RULE SMALL MS4 FLEXIBLE PERMITTING OPTIONS

	Referencing a QUALIFYING LOCAL PROGRAM (QLP)	RECOGNIZING an NPDES-Regulated Entity	RELYING on Another Entity	CO-PERMITTEE with an NPDES-Regulated Entity
NPDES PERMITTING AUTHORITY Responsibilities	<ul style="list-style-type: none"> <li>PA assesses local, State, and Tribal NPDES and non-NPDES programs to determine if their requirements are equivalent to one or more Phase II minimum measures for regulated small MS4s</li> <li>PA chooses whether to reference a QLP in small MS4 permit. Requires permittee to follow requirements of QLP rather than new permit requirements.</li> <li>PA does not need to notify the administrator of the QLP or obtain permission since referencing the QLP has no bearing/no affect on the administrator.</li> </ul>	<ul style="list-style-type: none"> <li>PA assesses entities that are, or will be, performing the equivalent of 1 or more of the small MS4 minimum measures under an NPDES permit.</li> <li>PA chooses whether to recognize such an entity in a small MS4 permit.</li> </ul>	N/A	N/A
SMALL MS4 OPERATOR Responsibilities	<ul style="list-style-type: none"> <li>The operator should already be complying with any QLP referenced in the permit.</li> <li>Compliance with the QLP is considered compliance with the NPDES permit; therefore operator <u>held liable</u> if doesn't comply with the QLP.</li> </ul>	<ul style="list-style-type: none"> <li>Operator has <u>no responsibility</u> to perform the measure(s) that is being done by the recognized entity.</li> <li><u>Not held liable</u> if the other entity fails to perform the measure effectively; however, PA may then require the operator to implement the measure itself.</li> </ul>	<ul style="list-style-type: none"> <li>Operator <u>chooses</u>, under its own permit, whether to rely on another entity to implement 1 or more minimum measure on its behalf – can be a non-NPDES regulated entity.</li> <li>Operator notes in NOI or indiv. permit application that it is relying on another entity to implement a measure.</li> <li>Remain liable if other entity fails to perform the measure effectively.</li> </ul>	<ul style="list-style-type: none"> <li>Operator <u>chooses</u> whether to be a co-permittee with another regulated MS4 and submits a single NOI or individual permit application</li> <li>The operators determine who will do what and include this information in the permit application</li> </ul>
EXAMPLES	The QLP in the small MS4 permit could be a State program that requires MS4 operators to detect & eliminate illicit discharges into their systems.	A county doing educational outreach for the whole county under a Phase I NPDES permit could be recognized, thereby relieving all small MS4s in the county from having to have their own educational outreach programs.	<ol style="list-style-type: none"> <li>An environmental group is doing educational outreach on the impacts of storm water runoff.</li> <li>A county is already implementing a construction runoff control program under a Phase I NPDES permit.</li> </ol>	

## **2) Referencing a Qualifying Local Program**

The NPDES permitting authority can include conditions in a small MS4 permit that direct a permittee to follow the requirements of an existing qualifying local program rather than the requirements of particular minimum control measure(s). A qualifying local program is defined as a local, State or Tribal municipal storm water program that imposes requirements that are equivalent to those of the Phase II MS4 minimum measures (as found in § 122.34(b) of the rule). Unlike in Option 1 above, under this option the permittee remains responsible for the implementation of the minimum measure through its compliance with the qualifying local program.

### **4.5.2.2. Alternative Option for Permit Coverage: Phase-in Coverage for Regulated Small MS4s with Populations under 10,000**

Permitting authorities may phase-in permit coverage for regulated small MS4s serving jurisdictions with a population under 10,000 on a schedule consistent with a State watershed permitting approach. Under this alternative option, the permitting authority must develop and implement a schedule to phase-in permit coverage for approximately 20 percent annually of all regulated small MS4s that qualify, completing the phase-in schedule in no more than five years. In such a case, the regulated small MS4 operators would be notified by the permitting authority concerning the operator's deadlines for permit coverage.

#### ***Deadlines for Phase-In***

- Permitting authorities are required to have their phase-in schedule approved by the USEPA Regional Administrator no later than December 10, 2001.
- Under the phase-in option, all regulated small MS4s are required to have coverage under an NPDES permit no later than March 8, 2007.

## **4.6 REQUIREMENTS: What Requirements Are Regulated Small MS4s Subject To?**

A regulated small MS4 operator is required to submit a permit application and obtain coverage under a NPDES storm water permit. Under the permit, the operator will be required to develop and implement a storm water management program that includes six minimum control measures, evaluation/assessment and reporting efforts, and recordkeeping, as described herein. This section begins by highlighting the standards an operator must meet to ensure compliance with the Phase II regulations.

### **4.6.1 Applicable Standards**

A Phase II small MS4 operator must design a storm water management program so that it:

- Reduces the discharge of pollutants to the “maximum extent practicable”

(MEP);

- Protects water quality; and
- Satisfies the appropriate water quality requirements of the Clean Water Act.

The standard of MEP is the same standard applied to Phase I medium and large MS4 programs. There is no regulatory definition of MEP in order to allow the permitting authority and regulated MS4s maximum flexibility in their interpretation of it as appropriate.

Compliance with the technical standard of MEP requires the successful implementation of approved BMPs. The Phase II Final Rule considers narrative effluent limitations that require the implementation of BMPs and the achievement of measurable goals as the most appropriate form of effluent limitations to achieve the protection of water quality, rather than requiring that storm water discharges meet numeric effluent limitations.

EPA intends to issue Phase II NPDES permits consistent with its August 1, 1996, Interim Permitting Approach policy, which calls for BMPs in first-round storm water permits and expanded or better tailored BMPs in subsequent permits, where necessary, to provide for the attainment of water quality standards. In cases where information exists to develop more specific conditions or limitations to meet water quality standards, these conditions or limitations should be incorporated into the storm water permit. Monitoring is not required under the Phase II Rule, but the NPDES permitting authority has the discretion to require monitoring if deemed necessary.

#### **4.6.2 Permit Application Requirements**

The permit application requirements differ depending on the type of permit chosen. The following subsections describe the applicable requirements for each type of permit option allowable under the Phase II regulation.

##### ***Deadline for Submission of Permit Application***

The deadline for submission of each type of permit application is the same – it must be done no later than March 10, 2003 unless the NPDES permitting authority chooses to phase-in permit coverage on a watershed basis and establishes other deadlines (see section 4.5.2.2).

##### **4.6.2.1 General Permit Under Phase II Regulations**

Operators of regulated small MS4s are required to submit in their NOI the following information:

- Best management practices (BMPs) for each of the six minimum control measures:
  - ① Public education and outreach on storm water impacts
  - ② Public participation/involvement
  - ③ Illicit discharge detection and elimination
  - ④ Construction site storm water runoff control  
Post-construction storm water management in new development/  
redevelopment
  - ⑤ Pollution prevention/good housekeeping for municipal operations
- Measurable goals for each minimum control measure (i.e, narrative or numeric standards used to gauge program effectiveness);
- Estimated months and years in which actions to implement each measure will be undertaken, including interim milestones and frequency; and
- The person or persons responsible for implementing or coordinating the storm water program.

The operator of a regulated small MS4 has the flexibility to determine the BMPs and measurable goals, for each minimum control measure, that are most appropriate for the system. The chosen BMPs and measurable goals, submitted in the permit application, become the required storm water management program; however, the NPDES permitting authority can require changes in the mix of chosen BMPs and measurable goals if all or some of them are found to be inconsistent with the provisions of the Phase II Final Rule. Likewise, the permittee can change its mix of BMPs if it determines that the program is not as effective as it could be. Section 4.6.2 fully describes the minimum control measures, including sample BMPs and measurable goals for each, while section 4.6.3 describes the permit requirements concerning evaluation/assessment and recordkeeping activities.

#### **4.6.2.2 Individual Permit Under the Phase II Regulation**

For individual permit coverage under Phase II, the regulated small MS4 operator must follow the requirements of 40 CFR § 122.21(f) and the Phase II permit application requirements as described in section 4.6.2.1 above. The operator must also provide an estimate of the square mileage served by the system and any additional information requested by the NPDES permitting authority. A storm sewer map that satisfies the requirements of § 122.34(b)(3)(i) of the Phase II rule will satisfy the map requirements of § 122.21(f)(7).

#### **4.6.2.3 Individual Permit Under the Phase I Regulation**

For individual permit coverage under Phase I, the regulated small MS4 operator must follow the permit application requirements detailed at 40 CFR § 122.26(d). The operator must submit both Part 1 and Part 2 of the application requirements in §§ 122.26(d)(1) and (2) by March 10, 2003. The operator would not need to submit the information required by §§ 122.26(d)(1)(ii) and (d)(2) regarding legal authority unless it wanted the permitting authority to take that information into account when developing the individual permit.

#### **4.6.2.4 Modification of an Existing Phase I Individual Permit**

Under this permit option, the operator of a regulated small MS4 must follow Phase I permit application requirements in § 122.26(d), with some exclusions, rather than Phase II permit application requirements. The operator would not need to follow the application requirements of §§ 122.26(d)(1)(iii) and (iv) and (d)(2)(iii) – *discharge characterization*. The operator may satisfy the requirements in §§ 122.26(d)(1)(v) and (d)(2)(iv) – *identification of a management program* – by referring to the Phase I MS4's storm water management program.

#### ***EPA Recommendations***

In referencing a Phase I's MS4's storm water management program, the operator should briefly describe how the existing plan will address discharges from the small MS4 or would need to be supplemented in order to adequately address the small MS4 discharges. The small MS4 operator should explain their role in coordinating storm water pollutant control activities in their MS4 service area and detail the resources available to accomplish the plan.

If a small MS4 is considering this option, it should find out when the Phase I MS4's permit is scheduled for renewal and become thoroughly familiar with the Phase I MS4's permit conditions. This co-permitting approach will be most successful if both MS4s have had thorough discussions of their storm water programs and if the small MS4 submits its application at the time that the Phase I MS4 is submitting its reapplication.

#### **4.6.2 Program Requirements: The Six Minimum Control Measures**

If coverage is obtained under a general permit or an individual permit under the Phase II regulations, the operator of a regulated small MS4 is required to implement a storm water management program that includes, at a minimum, the six minimum control measures described in the following subsections. As you read these subsections, keep in mind that the operator has a great deal of flexibility in determining the best management practices they will use to accomplish each measure. The rule allows the operators to choose the BMPs and measurable goals for each measure as appropriate for their particular MS4 service area – as long as the chosen BMPs and measurable goals result in effective control of pollutants in storm water runoff. Otherwise, the permitting authority may require changes in the chosen mix of BMPs and measurable goals to result in a more effective program.



#### 4.6.2.1 Public Education and Outreach on Storm Water Impacts

##### Why Is Public Education and Outreach Necessary?

An informed and knowledgeable community is crucial to the success of a storm water management program since it helps to ensure the following:

**Greater support** for the program as the public gains a greater understanding of the reasons why it is necessary and important. Public support is particularly beneficial when operators of small MS4s attempt to institute new funding initiatives for the program or seek volunteers to help implement the program; and

**Greater compliance** with the program as the public becomes aware of the personal responsibilities expected of them and others in the community, including the individual actions they can take to protect or improve the quality of area waters.

##### What Is Required?

To satisfy this minimum control measure, the operator of a regulated small MS4 must:

- Implement a public education program to distribute educational materials to the community, or conduct equivalent outreach activities about the impacts of storm water discharges on local waterbodies and the steps that can be taken to reduce storm water pollution; and
- Determine the appropriate best management practices (BMPs) and measurable goals for this minimum control measure. Some program implementation approaches, BMPs (i.e., the program actions/activities), and measurable goals are suggested below.

##### What Are Some Guidelines for Developing and Implementing This Measure?

Three main action areas are important for successful implementation of a public education and outreach program:

###### ① **Forming Partnerships**

Operators of regulated small MS4s are encouraged to enter into partnerships with other governmental entities to fulfill this minimum control measure's requirements. It is generally more cost-effective to use an existing program, or to develop a new regional or state-wide education program, than to have numerous operators developing their own local programs. Operators also are encouraged to seek assistance from non-governmental organizations (e.g., environmental, civic, and industrial organizations), since many already have educational materials and perform outreach activities.

**② Using Educational Materials and Strategies**

Operators of regulated small MS4s may use storm water educational information provided by their State, Tribe, EPA Region, or environmental, public interest, or trade organizations instead of developing their own materials. Operators should strive to make their materials and activities relevant to local situations and issues, and incorporate a variety of strategies to ensure maximum coverage. Some examples include:

**Brochures or fact sheets** for general public and specific audiences;

**Recreational guides** to educate groups such as golfers, hikers, paddlers, climbers, fishermen, and campers;

**Alternative information sources**, such as web sites, bumper stickers, refrigerator magnets, posters for bus and subway stops, and restaurant placemats;

**A library of educational materials** for community and school groups;

**Volunteer citizen educators** to staff a **public education task force**;

**Event participation** with educational displays at home shows and community festivals;

**Educational programs** for school-age children;

**Storm drain stenciling** of storm drains with messages such as “Do Not Dump - Drains Directly to Lake;”

**Storm water hotlines** for information and for citizen reporting of polluters;

**Economic incentives** to citizens and businesses (e.g., rebates to homeowners purchasing mulching lawnmowers or biodegradable lawn products);and

**Tributary signage** to increase public awareness of local water resources.

**③ Reaching Diverse Audiences**

The public education program should use a mix of appropriate local strategies to address the viewpoints and concerns of a variety of audiences and communities, including minority and disadvantaged communities, as well as children. Printing posters and brochures in more than one language or posting large warning signs (e.g., cautioning against fishing or swimming) near storm sewer outfalls are methods that can be used to reach audiences less likely to read standard materials. Directing materials or outreach programs toward specific groups of commercial, industrial, and institutional entities likely to have significant storm water impacts is also recommended. For example, information could be provided to restaurants on the effects of grease clogging storm drains and to auto garages on the effects of dumping used oil into storm drains.

**What Are Appropriate Measurable Goals?**

Measurable goals, which are required for each minimum control measure, are intended to gauge permit compliance and program effectiveness. The measurable goals, as well as the BMPs, should reflect the needs and characteristics of the operator and the area served by its small MS4. Furthermore, they should be chosen using an integrated approach that fully addresses the requirements and intent of the minimum control measure. An integrated approach for this minimum measure could include the following measurable goals:

<b>Target Date</b>	<b>Activity</b>
1 year.....	Brochures developed (bilingual, if appropriate) and distributed in water utility bills; a storm water hotline in place; volunteer educators trained.
2 years.....	A web site created school curricula developed; storm drains stenciled.
3 years.....	A certain percentage of restaurants no longer dumping grease and other pollutants down storm sewer drains.
4 years.....	A certain percentage reduction in litter or animal waste detected in discharges.

#### 4.6.2.2 Public Participation/Involvement

##### Why Is Public Participation and Involvement Necessary?

EPA believes that the public can provide valuable input and assistance to a regulated small MS4's municipal storm water management program and, therefore, suggests that the public be given opportunities to play an active role in both the development and implementation of the program. An active and involved community is crucial to the success of a storm water management program because it allows for:

**Broader public support** since citizens who participate in the development and decision making process are partially responsible for the program and, therefore, may be less likely to raise legal challenges to the program and more likely to take an active role in its implementation;

**Shorter implementation schedules** due to fewer obstacles in the form of public and legal challenges and increased sources in the form of citizen volunteers;

**A broader base of expertise and economic benefits** since the community can be a valuable, and free, intellectual resource; and

**A conduit to other programs** as citizens involved in the storm water program development process provide important cross-connections and relationships with other community and government programs. This benefit is particularly valuable when trying to implement a storm water program on a watershed basis, as encouraged by EPA.

##### What Is Required?

To satisfy this minimum control measure, the operator of a regulated small MS4 must:

- ❑ Comply with applicable State, Tribal, and local public notice requirements; and
- ❑ Determine the appropriate best management practices (BMPs) and measurable goals for this minimum control measure. Possible implementation approaches, BMPs (i.e., the program actions and activities), and measurable goals are described below.

### **What Are Some Guidelines for Developing and Implementing This Measure?**

Operators of regulated small MS4s should include the public in developing, implementing, and reviewing their storm water management programs. The public participation process should make every effort to reach out and engage all economic and ethnic groups. EPA recognizes that there are challenges associated with public involvement. Nevertheless, EPA strongly believes that these challenges can be addressed through an aggressive and inclusive program. Challenges and example practices that can help ensure successful participation are discussed below.

#### ***Implementation Challenges***

The best way to handle common notification and recruitment challenges is to know the audience and think creatively about how to gain its attention and interest. Traditional methods of soliciting public input are not always successful in generating interest, and subsequent involvement, in all sectors of the community. For example, municipalities often rely solely on advertising in local newspapers to announce public meetings and other opportunities for public involvement. Since there may be large sectors of the population who do not read the local press, the audience reached may be limited. Therefore, alternative advertising methods should be used whenever possible, including radio or television spots, postings at bus or subway stops, announcements in neighborhood newsletters, announcements at civic organization meetings, distribution of flyers, mass mailings, door-to-door visits, telephone notifications, and multilingual announcements. These efforts, of course, are tied closely to the efforts for the public education and outreach minimum control measure.

In addition, advertising and soliciting for help could and should be targeted at specific population sectors, including ethnic, minority, and low-income communities; academia and educational institutions; neighborhood and community groups; outdoor recreation groups; and business and industry. The goal is to involve a diverse cross-section of people who could offer a multitude of concerns, ideas, and connections during the program development process.

#### ***Possible Practices (BMPs)***

There are a variety of practices that could be incorporated into a public participation and involvement program, such as:

**Public meetings/citizen panels** allow citizens to discuss various viewpoints and provide input concerning appropriate storm water management policies and BMPs;

**Volunteer water quality monitoring** gives citizens first-hand knowledge of the quality of local water bodies and provides a cost-effective means of collecting water quality data;

**Volunteer educators/speakers** who can conduct workshops, encourage public participation, and staff special events;

**Storm drain stenciling** is an important and simple activity that concerned citizens, especially students, can do;

**Community clean-ups** along local waterways, beaches, and around storm drains;

**Citizen watch groups** can aid local enforcement authorities in the identification of polluters; and

**“Adopt A Storm Drain” programs** encourage individuals or groups to keep storm drains free of debris and to monitor what is entering local waterways through storm drains.

### What Are Appropriate Measurable Goals?

Measurable goals, which are required for each minimum control measure, are intended to gauge permit compliance and program effectiveness. The measurable goals, as well as the BMPs, would greatly depend on the needs and characteristics of the operator and the area served by its small MS4. Furthermore, they should be chosen using an integrated approach that fully addresses the requirements and intent of the minimum control measure. An integrated approach for this minimum measure could include the following measurable goals:

<b>Target Date</b>	<b>Activity</b>
1 year.....	Notice of a public meeting in several different print media and bilingual flyers; citizen panel established; volunteers organized to locate outfalls/illicit discharges and stencil drains.
2 years.....	Final recommendations of the citizen panel; radio spots promoting program and participation.
3 years.....	A certain percentage of the community participating in community clean-ups.
4 years.....	Citizen watch groups established in a certain percentage of neighborhoods; outreach to every different population sector completed.

#### 4.6.2.3 Illicit Discharge Detection and Elimination

**What Is An “Illicit Discharge”?**

Federal regulations define an illicit discharge as “...any discharge to an MS4 that is not composed entirely of storm water...” with some exceptions. These exceptions include discharges from NPDES-permitted industrial sources and discharges from fire-fighting activities. Illicit discharges (see Table 4-2) are considered “illicit” because MS4s are not designed to accept, process, or discharge such non-storm water wastes. It is important to note that “illicit” does not mean “illegal.” Not every illicit discharge is necessarily a prohibited illegal discharge.

**Why Are Illicit Discharge Detection and Elimination Efforts Necessary?**

Discharges from MS4s often include wastes and wastewater from non-storm water sources. A study conducted in 1987 in Sacramento, California, found that almost one-half of the water discharged from a local MS4 was not directly attributable to precipitation runoff. A significant portion of these dry weather flows were from illicit and/or inappropriate discharges and connections to the MS4.

Illicit discharges enter the system through either direct connections (e.g., wastewater piping either mistakenly or deliberately connected to the storm drains) or indirect connections (e.g., infiltration into the MS4 from cracked sanitary systems, spills collected by drain outlets, or paint or used oil dumped directly into a drain). The result is untreated discharges that contribute high levels of pollutants, including heavy metals, toxics, oil and grease, solvents, nutrients, viruses, and bacteria to receiving waterbodies. Pollutant levels from these illicit discharges have been shown in EPA studies to be high enough to significantly degrade receiving water quality and threaten aquatic, wildlife, and human health.

Table 4-2

<b>Sources of Illicit Discharges</b>
Sanitary wastewater
Effluent from septic tanks
Car wash wastewaters
Improper oil disposal
Radiator flushing disposal
Laundry wastewaters
Spills from roadway accidents
Improper disposal of auto and household toxics

**What Is Required?**

Recognizing the adverse effects illicit discharges can have on receiving waters, the final rule requires an operator of a regulated small MS4 to develop and implement an illicit discharge detection and elimination program. This program must include the following:

- ❑ A storm sewer system map, showing the location of all outfalls and the names and location of all waters of the United States that receive discharges from those outfalls;

- Through an ordinance, or other regulatory mechanism, a prohibition (to the extent allowable under State, Tribal, or local law) on non-storm water discharges into the MS4, and appropriate enforcement procedures and actions;
- A plan to detect and address non-storm water discharges, including illegal dumping, into the MS4;
- The education of public employees, businesses, and the general public about the hazards associated with illegal discharges and improper disposal of waste; and
- The determination of appropriate best management practices (BMPs) and measurable goals for this minimum control measure. Some program implementation approaches, BMPs (i.e., the program actions/activities), and measurable goals are suggested below.

### **Does This Measure Need to Address All Illicit Discharges?**

No. The illicit discharge detection and elimination program does not need to address the following categories of non-storm water discharges or flows unless the operator of the regulated small MS4 identifies them as significant contributors of pollutants to its MS4:

- |   |  |
|---|--|
| <input type="checkbox"/> Water line flushing                      | <input type="checkbox"/> Irrigation water                          |
| <input type="checkbox"/> Landscape irrigation                     | <input type="checkbox"/> Springs                                   |
| <input type="checkbox"/> Diverted stream flows                    | <input type="checkbox"/> Water from crawl space pumps              |
| <input type="checkbox"/> Rising ground waters                     | <input type="checkbox"/> Footing drains                            |
| <input type="checkbox"/> Uncontaminated ground water infiltration | <input type="checkbox"/> Lawn watering                             |
| <input type="checkbox"/> Uncontaminated pumped ground water       | <input type="checkbox"/> Individual residential car washing        |
| <input type="checkbox"/> Discharges from potable water sources    | <input type="checkbox"/> Flows from riparian habitats and wetlands |
| <input type="checkbox"/> Foundation drains                        | <input type="checkbox"/> Dechlorinated swimming pool discharges    |
| <input type="checkbox"/> Air conditioning condensation            | <input type="checkbox"/> Street wash water.                        |

### **What Are Some Guidelines for Developing and Implementing This Measure?**

The objective of the illicit discharge detection and elimination minimum control measure is to have regulated small MS4 operators gain a thorough awareness of their systems. This awareness allows them to determine the types and sources of illicit discharges entering their system, and establish the legal, technical, and educational means needed to eliminate these discharges. Permittees could meet these objectives

in a variety of ways depending on their individual needs and abilities, but some general guidance for each requirement is provided below.

### ***The Map***

The storm sewer system map is meant to demonstrate a basic awareness of the intake and discharge areas of the system. It is needed to help determine the extent of discharged dry weather flows, the possible sources of the dry weather flows, and the particular waterbodies these flows may be affecting. An existing map, such as a topographical map, on which the location of major pipes and outfalls can be clearly presented would demonstrate such an awareness.

EPA recommends collecting all existing information on outfall locations (e.g., review city records, drainage maps, storm drain maps), and then conducting field surveys to verify locations. It probably will be necessary to walk (i.e., wade through small receiving waters or use a boat for larger waters) the streambanks and shorelines for visual observation. More than one trip may be needed to locate all outfalls.

### ***Legal Prohibition and Enforcement***

EPA recognizes that some permittees may have limited authority under State, Tribal or local law to establish and enforce an ordinance, or other regulatory mechanism, prohibiting illicit discharges. In such a case, the permittee is encouraged to obtain the necessary authority, if at all possible. Otherwise, the NPDES permitting authority assumes responsibility for implementation of this component of the minimum measure, yet the permittee would remain ultimately responsible for the quality of its MS4 discharge. Model ordinances, including examples of amendments to local codes or existing ordinances, will be provided in the Phase II storm water guidance for regulated small MS4s, which is part of EPA's planned implementation "tool box" for the rule.

### ***The Plan***

The plan to detect and address illicit discharges is the central component of this minimum control measure. The plan is dependant upon several factors, including the permittee's available resources, size of staff, and degree and character of its illicit discharges. EPA envisions a plan similar to the one recommended for use in meeting Michigan's general storm water NPDES permit for small MS4s. As guidance only, the four steps of a recommended plan are outlined below:

#### **① Locate Problem Areas**

EPA recommends that priority areas be identified for detailed screening of the system based on the likelihood of illicit connections (e.g., areas with older sanitary sewer lines). Some methods that could be used to locate problem areas include: public complaints; visual screening; water sampling from manholes and outfalls during dry weather; and use of infrared and thermal photography.

#### **② Find the Source**

Once a problem area or discharge is found, additional efforts usually would be



necessary to determine the source of the problem. Some methods that could be used to find the source of the illicit discharge include: dye-testing buildings in problem areas; dye- or smoke-testing buildings at the time of sale; tracing the discharge upstream in the storm sewer; employing a certification program that shows that buildings have been checked for illicit connections; implementing an inspection program of existing septic systems; and using video to inspect the storm sewers.

### ④ **Remove/Correct Illicit Connections**

Once the source is identified, the offending discharger should be notified and directed to correct the problem. Education efforts and working with the discharger can be effective in resolving the problem before taking legal action.

### ④ **Document Actions Taken**

As a final step, all actions taken under the plan should be documented. Doing so would illustrate that progress is being made to eliminate illicit connections and discharges. Documented actions should be included in the required annual reports and include information such as: the number of outfalls screened; any complaints received and corrected; the number of discharges and quantities of flow eliminated; and the number of dye or smoke tests conducted.

### ***Educational Outreach***

Outreach to public employees, businesses, property owners, the general community, and elected officials regarding ways to detect and eliminate illicit discharges is an integral part of this minimum measure that will help gain support for the permittee's storm water program. Suggested educational outreach efforts include:

- Developing ***informative brochures, and guidances*** for specific audiences (e.g., carpet cleaning businesses) and school curricula;
- Designing a program to ***publicize and facilitate public reporting*** of illicit discharges;
- ***Coordinating volunteers*** for locating, and visually inspecting, outfalls or to stencil storm drains; and
- Initiating ***recycling programs*** for commonly dumped wastes, such as motor oil, antifreeze, and pesticides.

### **What Are Appropriate Measurable Goals?**

Measurable goals, which are required for each minimum control measure, are intended to gauge permit compliance and program effectiveness. The measurable goals, as well as the BMPs, should reflect the needs and characteristics of the operator and the area served by its small MS4. Furthermore, they should be chosen using an integrated approach that would fully address the requirements and intent of the minimum control measure. An integrated approach for this minimum measure could

include the following measurable goals:

<b>Target Date</b>	<b>Activity</b>
1 year.....	Sewer system map completed; recycling program for household hazardous waste in place.
2 years.....	Ordinance in place; training for public employees completed; a certain percentage of sources of illicit discharges determined.
3 years.....	A certain percentage of: illicit discharges detected; illicit discharges eliminated; and households participating in quarterly household hazardous waste special collection days.
4 years.....	Most illicit discharge sources detected and eliminated.

The educational outreach measurable goals for this minimum control measure could be combined with the measurable goals for the Public Education and Outreach minimum control measure.

**4.6.2.4 Construction Site Storm Water Runoff Control**

**Why Is The Control of Construction Site Runoff Necessary?**

Polluted storm water runoff from construction sites often flows to MS4s and ultimately is discharged into local rivers and streams. Of the pollutants listed in Table 4-3, sediment is usually the main pollutant of concern. Sediment runoff rates from construction sites are typically 10 to 20 times greater than those of agricultural lands, and 1,000 to 2,000 times greater than those of forest lands. During a short period of time, construction sites can contribute more sediment to streams than can be deposited naturally during several decades. The resulting siltation, and the contribution of other pollutants from construction sites, can cause physical, chemical, and biological harm to our nation’s waters. For example, excess sediment can quickly fill rivers and lakes, requiring dredging and destroying aquatic habitats.

Table 4-3

<b>Pollutants Commonly Discharged From Construction Sites</b>
Sediment
Solid and sanitary wastes
Phosphorous (fertilizer)
Nitrogen (fertilizer)
Pesticides
Oil and grease
Concrete truck washout
Construction chemicals
Construction debris

**What Is Required?**

The Phase II Final Rule requires an operator of a regulated small MS4 to develop, implement, and enforce a program to reduce pollutants in storm water runoff to their MS4 from construction activities that result in a land disturbance of greater than or equal to one acre. The small MS4 operator is required to:

- Have an ordinance or other regulatory mechanism requiring the implementation of proper erosion and sediment controls, and controls for other wastes, on applicable construction sites;

- Have procedures for site plan review of construction plans that consider potential water quality impacts;
- Have procedures for site inspection and enforcement of control measures;
- Have sanctions to ensure compliance (established in the ordinance or other regulatory mechanism);
- Establish procedures for the receipt and consideration of information submitted by the public; and
- Determine the appropriate best management practices (BMPs) and measurable goals for this minimum control measure. Suggested BMPs (i.e., the program actions/activities) and measurable goals are presented below.

### **What Are Some Guidelines for Developing and Implementing This Measure?**

Further explanation and guidance for each component of a regulated small MS4's construction program is provided below.

#### ***Regulatory Mechanism***

Through the development of an ordinance or other regulatory mechanism, the small MS4 operator needs to establish a construction program that requires controls for polluted runoff from construction sites with a land disturbance of greater than or equal to one acre. Because there may be limitations on regulatory legal authority, the small MS4 operator is required to satisfy this minimum control measure only to the maximum extent practicable and allowable under State, Tribal, or local law. If an operator is unable to establish an enforceable construction program due to a lack of legal authority, and is unsuccessful in trying to obtain the necessary authority, the NPDES permitting authority would then assume responsibility.

EPA intends to develop a model ordinance that a small MS4 operator could use as a basis for its construction program. Alternatively, amendments to existing erosion and sediment control programs, or other ordinances, can also provide the basis for the program.

#### **Site Plan Review**

The small MS4 operator is required to include in its construction program requirements for the implementation of appropriate BMPs on construction sites to control erosion and sediment, as well as waste at the site. To determine if a construction site is in compliance with such provisions, the small MS4 operator should review the site plans submitted by the construction site operator before ground is broken.

Site plan review aids in compliance and enforcement efforts since it alerts the small MS4 operator early in the process to the planned use or non-use of proper BMPs and provides a way to track new construction activities. The tracking of sites is useful not only for the small MS4 operator's recordkeeping and reporting purposes, which will be required activities under their NPDES storm water permit (see Fact Sheet 2.9), but also for members of the public interested in ensuring that the sites are in compliance.

### ***Inspections and Penalties***

Once construction commences, the BMPs should be in place and the small MS4 operator's enforcement activities should begin. To ensure that the BMPs are properly installed, the small MS4 operator is required to develop procedures for site inspection and enforcement of control measures to deter infractions. Procedures could include steps to identify priority sites for inspection and enforcement based on the nature and extent of the construction activity, topography, and the characteristics of soils and receiving water quality. Inspections give the MS4 operator an opportunity to provide additional guidance and education, issue warnings, or assess penalties. To conserve staff resources, one possible option for small MS4 operators could be to have these inspections performed by the same inspector that visits the sites to check compliance with health and safety building codes.

### ***Information Submitted by the Public***

A final requirement of the small MS4 program for construction activity is the development of procedures for the receipt and consideration of public inquiries, concerns, and information submitted regarding local construction activities. This provision is intended to further reinforce the public participation component of the regulated small MS4 storm water program and to recognize the crucial role that the public can play in identifying instances of noncompliance.

The small MS4 operator is required only to *consider* the information submitted, and may not need to follow-up and respond to every complaint or concern. Although some form of enforcement action or reply is not required, the small MS4 operator is required to demonstrate acknowledgment and consideration of the information submitted. A simple tracking process in which submitted public information, both written and verbal, is recorded and then given to the construction site inspector for possible follow-up would suffice.

### **What Are Appropriate Measurable Goals?**

Measurable goals, which are required for each minimum control measure, are intended to gauge permit compliance and program effectiveness. The measurable goals, as well as the BMPs, should reflect the needs and characteristics of the operator and the area served by its small MS4. Furthermore, they should be chosen using an integrated approach that fully addresses the requirements and intent of the minimum control measure. An integrated approach for this minimum measure could include the following measurable goals:

<b><u>Target Date</u></b>	<b><u>Activity</u></b>
1 year.....	Ordinance or other regulatory mechanism in place; procedures for information submitted by the public in place.
2 years.....	Procedures for site inspections implemented; a certain percentage rate of compliance achieved by construction operators.
3 years.....	Maximum compliance with ordinance; improved clarity and reduced sedimentation of local waterbodies.
4 years.....	Increased numbers of sensitive aquatic organisms in local waterbodies.

### **Am I Correct in Thinking that Construction Sites Are Already Covered Under the NPDES Storm Water Program?**

Yes. EPA's Phase I NPDES storm water program requires operators of construction activities that disturb five or more acres to obtain a NPDES construction storm water permit. General permit requirements include the submission of a Notice of Intent and the development of a storm water pollution prevention plan (SWPPP). The SWPPP must include a site description and measures and controls to prevent or minimize pollutants in storm water discharges. The Phase II Final Rule similarly regulates discharges from smaller construction sites disturbing equal to or greater than one acre and less than five acres.

Even though all construction sites that disturb more than one acre are covered nationally by an NPDES storm water permit, the construction site runoff control minimum measure for the small MS4 program is needed to induce more localized site regulation and enforcement efforts, and to enable operators of regulated small MS4s to more effectively control construction site discharges into their MS4s.

To aid operators of regulated construction sites in their efforts to comply with both local requirements and their NPDES permit, the Phase II Final Rule includes a provision that allows the NPDES permitting authority to reference a "qualifying State, Tribal or local program" in the NPDES general permit for construction. This means that if a construction site is located in an area covered by a qualifying local program, then the construction site operator's compliance with the local program would constitute compliance with their NPDES permit. A regulated small MS4's storm water program for construction could be a "qualifying program" if the MS4 operator requires a SWPPP, in addition to the requirements summarized in this fact sheet.

The ability to reference other programs in the NPDES permit is intended to reduce confusion between overlapping and similar requirements, while still providing for both local and national regulatory coverage of the construction site. The provision allowing NPDES permitting authorities to reference other programs has no impact on, or direct relation to, the small MS4 operator's responsibilities under the construction site runoff control minimum measure profiled in this fact sheet.

**Is a Small MS4 Operator Required to Regulate Construction Sites that the Permitting Authority has Waived from the NPDES Construction Program?**

No. If the NPDES permitting authority waives requirements for storm water discharges associated with small construction activity (see § 122.26(b)(15) of the Phase II rule), the small MS4 operator is not required to develop, implement, and/or enforce a program to reduce pollutant discharges from such sites.

**4.6.2.5 Post-construction Storm Water Management in New Development/Redevelopment****Why Is The Control of Post-Construction Runoff Necessary?**

Post-construction storm water management in areas undergoing new development or redevelopment is necessary because runoff from these areas has been shown to significantly effect receiving waterbodies. Many studies indicate that prior planning and design for the minimization of pollutants in post-construction storm water discharges is the most cost-effective approach to storm water quality management.

There are generally two forms of substantial impacts of post-construction runoff. The first is caused by an increase in the type and quantity of pollutants in storm water runoff. As runoff flows over areas altered by development, it picks up harmful sediment and chemicals such as oil and grease, pesticides, heavy metals, and nutrients (e.g., nitrogen and phosphorus). These pollutants often become suspended in runoff and are carried to receiving waters, such as lakes, ponds, and streams. Once deposited, these pollutants can enter the food chain through small aquatic life, eventually entering the tissues of fish and humans. The second kind of post-construction runoff impact occurs by increasing the quantity of water delivered to the waterbody during storms. Increased impervious surfaces interrupt the natural cycle of gradual percolation of water through vegetation and soil. Instead, water is collected from surfaces such as asphalt and concrete and routed to drainage systems where large volumes of runoff quickly flow to the nearest receiving water. The effects of this process include streambank scouring and downstream flooding, which often lead to a loss of aquatic life and damage to property.

**What Is Required?**

The Phase II Final Rule requires an operator of a regulated small MS4 to develop, implement, and enforce a program to reduce pollutants in post-construction runoff to their MS4 from new development and redevelopment projects that result in the land disturbance of greater than or equal to 1 acre. The small MS4 operator is required to:

- Develop and implement strategies which include a combination of structural and/or non-structural best management practices (BMPs);

- ❑ Have an ordinance or other regulatory mechanism requiring the implementation of post-construction runoff controls to the extent allowable under State, Tribal or local law;
- ❑ Ensure adequate long-term operation and maintenance of controls;
- ❑ Determine the appropriate best management practices (BMPs) and measurable goals for this minimum control measure.

### **What Is Considered a “Redevelopment” Project?**

The term “redevelopment” refers to alterations of a property that change the “footprint” of a site or building in such a way that the disturbance of equal to or greater than 1 acre of land results. The term does not include such activities as exterior remodeling. Because redevelopment projects may have site constraints not found on new development sites, the rule provides flexibility for implementing post-construction controls on redevelopment sites that consider these constraints.

### **What Are Some Guidelines for Developing and Implementing This Measure?**

This section includes some sample non-structural and structural BMPs that could be used to satisfy the requirements of the post-construction runoff control minimum measure. It is important to recognize that many BMPs are climate-specific, and not all BMPs are appropriate in every geographic area. Because the requirements of this measure are closely tied to the requirements of the construction site runoff control minimum measure (see Fact Sheet 2.6), EPA recommends that small MS4 operators develop and implement these two measures in tandem. Sample BMPs follow.

#### **❑ Non-Structural BMPs**

- **Planning and Procedures.** Runoff problems can be addressed efficiently with sound planning procedures. Master Plans, Comprehensive Plans, and zoning ordinances can promote improved water quality by guiding the growth of a community away from sensitive areas and by restricting certain types of growth (industrial, for example) to areas that can support it without compromising water quality.
- **Site-Based Local Controls.** These controls can include buffer strip and riparian zone preservation, minimization of disturbance and imperviousness, and maximization of open space.

#### **❑ Structural BMPs**

- **Storage Practices.** Storage or detention BMPs control storm water by gathering runoff in wet ponds, dry basins, or multichamber catch basins and slowly

releasing it to receiving waters or drainage systems. These practices both control storm water volume and settle out particulates for pollutant removal.

- **Infiltration Practices.** Infiltration BMPs are designed to facilitate the percolation of runoff through the soil to ground water, and, thereby, result in reduced storm water quantity and reduced mobilization of pollutants. Examples include infiltration basins/trenches, dry wells, and porous pavement.
- **Vegetative Practices.** Vegetative BMPs are landscaping features that, with optimal design and good soil conditions, enhance pollutant removal, maintain/improve natural site hydrology, promote healthier habitats, and increase aesthetic appeal. Examples include grassy swales, filter strips, artificial wetlands, and rain gardens.

**What Are Appropriate Measurable Goals?**

Measurable goals, which are required for each minimum control measure, are intended to gauge permit compliance and program effectiveness. The measurable goals, as well as the BMPs, should reflect needs and characteristics of the operator and the area served by its small MS4. Furthermore, the measurable goals should be chosen using an integrated approach that fully addresses the requirements and intent of the minimum control measure. An integrated approach for this minimum measure could include the following goals:

<u>Target Date</u>	<u>Activity</u>
1 year.....	Strategies developed that include structural and/or non-structural BMPs.
2 years.....	Strategies codified by use of ordinance or other regulatory mechanism.
3 years.....	Reduced percent of new impervious surfaces associated with new development projects.
4 years.....	Improved clarity and reduced sedimentation of local waterbodies.

**4.6.2.6 Pollution Prevention/Good Housekeeping for Municipal Operations**

**Why Is Pollution Prevention/Good Housekeeping Necessary?**

The Pollution Prevention/Good Housekeeping for municipal operations minimum control measure is a key element of the small MS4 storm water management program. This measure requires the small MS4 operator to examine and subsequently alter own actions to help ensure a reduction in the amount and type of pollution that (1) collects on streets, parking lots, open spaces, and storage and vehicle maintenance areas and is discharged into local waterways; and (2) results from actions such as environmentally damaging land development and flood management practices or poor maintenance of storm sewer systems.



While this measure is meant primarily to accomplish the goal of improving or protecting the quality of receiving waters by altering the performance of municipal or facility operations, it also can result in a cost savings for the small MS4 operator, since proper and timely maintenance of storm sewer systems can help avoid repair costs from damage caused by age and neglect.

### What Is Required?

Recognizing the benefits of pollution prevention practices, the rule requires an operator of a regulated small MS4 to:

- ❑ Develop and implement an operation and maintenance program with the ultimate goal of preventing or reducing pollutant runoff from municipal operations into the storm sewer system;
- ❑ Include employee training on how to incorporate pollution prevention/good housekeeping techniques into municipal operations such as park and open space maintenance, fleet and building maintenance, new construction and land disturbances, and storm water system maintenance. To minimize duplication of effort and conserve resources, the MS4 operator could use training materials that are available from EPA, their State or Tribe, or relevant organizations;
- ❑ Determine the appropriate best management practices (BMPs) and measurable goals for this minimum control measure. Some program implementation approaches, BMPs (i.e., the program actions/activities), and measurable goals are suggested below.

### What Are Some Guidelines for Developing and Implementing This Measure?

The intent of this control measure is to ensure that existing municipal, State or Federal operations are performed in ways that will minimize contamination of storm water discharges. EPA encourages the small MS4 operator to consider the following components when developing their program for this measure:

***Maintenance activities, maintenance schedules, and long-term inspection procedures*** for structural and non-structural controls to reduce floatables and other pollutants discharged from the separate storm sewers;

***Controls for reducing or eliminating the discharge of pollutants*** from areas such as roads and parking lots, maintenance and storage yards (including salt/sand storage and snow disposal areas), and waste transfer stations. These controls could include programs that promote recycling (to reduce litter), minimize pesticide use, and ensure the proper disposal of animal waste;

***Procedures for the proper disposal of waste*** removed from the separate

storm sewer systems and the areas listed in the bullet above, including dredge spoil, accumulated sediments, floatables, and other debris; and

**Ways to ensure that new flood management projects assess the impacts on water quality** and examine existing projects for incorporation of additional water quality protection devices or practices. EPA encourages coordination with flood control managers for the purpose of identifying and addressing environmental impacts from such projects.

The effective performance of this control measure hinges on the proper maintenance of the BMPs used, particularly for the first two bullets above. For example, structural controls, such as grates on outfalls to capture floatables, typically need regular cleaning, while non-structural controls, such as training materials and recycling programs, need periodic updating.

**What Are Appropriate Measurable Goals?**

Measurable goals, which are required for each minimum control measure, are meant to gauge permit compliance and program effectiveness. The measurable goals, as well as the BMPs, should consider the needs and characteristics of the operator and the area served by its small MS4. The measurable goals should be chosen using an integrated approach that fully addresses the requirements and intent of the minimum control measure. An integrated approach for this minimum measure could include the following measurable goals:

<b>Target Date</b>	<b>Activity</b>
1 year.....	Pollution prevention plan (the new BMPs and revised procedures) completed; employee training materials gathered or developed; procedures in place for catch basin cleaning after each storm and regular street sweeping.
2 years.....	Training for appropriate employees completed; recycling program fully implemented.
3 years.....	Some pollution prevention BMPs incorporated into master plan; a certain percentage reduction in pesticide and sand/salt use; maintenance schedule for BMPs established.
4 years.....	A certain percentage reduction in floatables discharged; a certain compliance rate with maintenance schedules for BMPs; controls in place for all areas of concern.

**4.6.3 Program Requirements: Evaluation/Assessment & Reporting**

If coverage is obtained under a general permit or an individual permit under the Phase II regulations, the operator of a regulated small MS4 is required to comply with the evaluation/assessment and reporting requirements summarized in this section.

***Frequency of Reports***

Reports must be submitted annually during the first permit term – permit terms are typically a 5-year period. For subsequent permit terms, reports must be submitted in years 2 and 4 only, unless the NPDES permitting authority requests more frequent reports. Reports do not need to be submitted if the operator of the regulated small MS4 is relying on another entity to satisfy all permit obligations (see section 4.5.1.3)

***Required Report Content***

The reports must include the following:

- The status of compliance with permit conditions, including an assessment of the appropriateness of the selected BMPs and progress toward achieving the selected measurable goals for each minimum measure;
- Results of any information collected and analyzed, including monitoring data, if any;
- A summary of the storm water activities planned for the next reporting cycle;
- A change in any identified best management practices or measurable goals for any minimum measure; and
- Notice of relying on another governmental entity to satisfy some of the permit obligations (if applicable – see section 4.5.1.3 ).

***A Change in Selected BMPs***

If, upon evaluation of the program, improved controls are identified as necessary, permittees should revise their mix of BMPs to provide for a more effective program. Such a change, and an explanation of the change, must be noted in a report to the NPDES permitting authority.

***Recordkeeping Requirements***

Records required by the NPDES permitting authority must be kept for at least 3 years and made accessible to the public at reasonable times during regular business hours. Records need not be submitted to the NPDES permitting authority unless the permittee is requested to do so.

**4.7 SMALL MS4 PROGRAM COMPLIANCE PROCESS: What Do I Need to Do To Comply?**

Sections 4.1 through 4.6 of this guidance have provided a details on who's covered and what's required under the Phase II regulations for regulated small MS4s. Now that you are familiar with the Phase II program, this section walks you through the process, from beginning to end, that an operator of a regulated small should take to comply with the regulation. This step-by-step "walk-through" references the appropriate sections of the

guidance along the way as a means for understanding how the information in sections 4.1 through 4.6 fits together.

The last page of this section includes a permitting decision tree to help operators of MS4s determine if they need an NPDES storm water permit. By starting in the upper left hand corner, an operator can follow the decision tree to determine if they fall under Phase I or Phase II, and if they are eligible for a waiver.

- Step 1:** Determine if you are an operator of an MS4 (see section 4.1.1).
- Step 2:** As an operator of an MS4, determine if you are an operator of a small MS4 (see section 4.1.4).
- Step 3:** As an operator of a small MS4, determine if you are an operator of a regulated small MS4 (see section 4.2). You need to find out if you are:
- A. Automatically designated by the rule**
- First, determine if your system is located partially or fully within an urbanized area (See section 4.3),
  - Second, determine if you may qualify for a waiver (waivers are at the discretion of the permitting authority). If you qualify for a waiver, stop here. (See section 4.4)
- B. Potentially designated by the NPDES permitting authority**
- Determine if your system, located outside of a UA, may fit the criteria for potential designation. Since designations are at the discretion of the permitting authority, a final determination is made by the permitting authority and not the small MS4 operator. If designated, continue with Step 4.
- Step 4:** Read Phase II Rule and guidance materials to get a sense of the permitting options (see section 4.5 ) and program requirements (see section 4.6 ).
- Step 5:** Determine which neighbors are regulated as Phase I MS4s (refer to list on the EPA web site) or Phase II MS4s (refer to Appendix 6 and maps of your UA). This information will be used to base your decision as to whether to:
- Be a co-permittee with another regulated MS4. (See section 4.5.1.2 )
  - Rely on another regulated MS4 for partial or full implementation of the minimum measures on your behalf. (See section 4.5.1.3 )
- Step 6:** Determine if programs similar to one or more of the minimum measures is already being performed by another entity. This information will be used to decide whether you wish to rely on another entity for partial implementation of the minimum measures on your behalf. (See section 4.5.1.3 )

- Step 7:** Determine which permit option to choose (depends on which are made available by the your NPDES permitting authority) (See section 4.5.1)
- General permit under the Phase II regulation
  - Individual permit under the Phase I or Phase II regulation
  - Modification of a Phase I individual permit (Co-permittee with a large or medium MS4)

In determine which option to choose, think about...

- If you wish to be a co-permittee and share responsibilities based on information from Step 5
- If, instead of the co-permittee option, you wish to have own permit but rely on another entity for implementing a measure or measures based on information from Steps 5 & 6.

- Step 8:** Begin planning and development of your storm water management program

- Use menu of BMPs as a guide (provided by EPA or the permitting authority). The EPA web site will also have references and links to helpful guidance on every facet of a storm water management program for MS4s.
- Meet with staff who will be responsible for implementing the storm water management program (may be a multi-departmental team). Task them with:
  - Assessing the storm water management characteristics and needs of the area served by the regulated small MS4.
  - Determining appropriate BMPs and measurable goals
  - Determining who will be responsible for what under the program
- Form a citizen advisory panel to help develop the program and give them similar tasks as those given to the staff.
- Meet with local Phase I and Phase II MS4 operators to discuss co-permittee status or sharing of resources, such as: hiring one enforcement inspector for multiple areas, co-sponsoring household hazardous waste collection events, or sharing a street sweeper, recycling truck, illicit discharge detection cameras, or any other equipment. (Note: Nothing listed here is required by the Phase II rule -- they are only examples)
- Meet with other entities that you may rely on to implement one or more of the minimum measures to discuss the arrangement and any legal agreements.

- Step 9:** **A. Under a General Permit:**

- 1) Once a general permit is issued, read it carefully. You may not be

required to implement every minimum measure due to the permitting authority recognizing or referencing other similar programs (see section 4.5.2.1). For this reason, before the permit is issued (which is expected to be no later than December 9, 2002) follow Step 8 but only do a preliminary storm water management program until the final permit requirements are known. Once the permit is issued, if you have chosen this option you will need to make final decisions on the following issues and complete the development of your storm water management plan:

- Do you want to be a co-permittee with another regulated small MS4?
- Do you want to rely on another entity for some or all of the permit requirements?
- Which BMPs and measurable goals will you use for each minimum measure you will be implementing?

**2)** Fill out an NOI in accordance with the Phase II regulation. (See section 4.6.2.1)

**B. Under an Individual Permit (new or modified):**

If you have chosen one of the individual permit options (i.e., under Phase II, under Phase I, or modified existing Phase I), you will need to continue efforts in Step 8, as applicable, and complete development of your permit application in accordance with the Phase II regulation. (See sections 4.6.2.2 through 4.6.2.4)

- Step 10:** Submit your NOI under a general permit or your individual permit application to the NPDES permitting authority by March 10, 2003; unless your NPDES permitting authority phases-in permit coverage and establishes alternative deadlines (see section 4.5.2.2).
- Step 11:** Implement your storm water management program in accordance with applicable standards (see section 4.6.1). The Phase II rule allows you up to five years to fully implement your program, although the exact timeframe is at the discretion of the your NPDES permitting authority.
- Step 12:** Write annual reports in your first permit term assessing the effectiveness of BMPs and if measurable goals were met, and submit the reports to your NPDES permitting authority. You may change the mix of BMPs originally selected if you find that such a change is necessary to ensure a more effective program. This step, as required in the Phase II regulations at § 122.34(g) and described in section 4.6.3, is not applicable if you sought coverage under an individual permit under the Phase I regulations or under a modification of an existing Phase I MS4 permit.

**Step 13:** Be aware that you may need to take over implementation of a minimum control measure if you are relying on another entity for its implementation and the other entity fails to perform it effectively. This is why EPA encourages a legally-binding agreement when choosing to rely on another entity. Also, the permitting authority may choose to change your mix of BMPs and measurable goals as submitted in your permit application if it determines that your program is not effectively controlling pollutant discharges.

#### **4.8 FEDERAL AND STATE-OPERATED REGULATED SMALL MS4S: Unique Program Implementation Issues**

In addition to local government jurisdictions, small MS4s include certain Federal and State-operated MS4s. Federal facilities were not designated for regulation by the NPDES Phase I storm water program for MS4s. The Phase II Final Rule, however, includes the “United States” in the definition of a small MS4, thereby including Federal MS4 operators in the NPDES Phase II storm water program. Federal and State-operated small MS4s can include universities, prisons, hospitals, roads (i.e., departments of transportation), military bases (e.g., State Army National Guard barracks), parks, and office buildings/complexes.

The small MS4 program, largely designed with municipally-operated small MS4s in mind, raises a number of implementation issues for Federal and State operators of regulated small MS4s who must obtain an NPDES permit that requires the development and implementation of a storm water management program that includes the six minimum control measures. This section highlights potential implementation issues related to the minimum control measures, and then discusses the implementation options included in the rule that may help resolve these issues.

##### **4.8.1 What Are Some Implementation Concerns?**

This section profiles the three most common implementation issues raised in the public comments submitted regarding Federal/State implementation of the small MS4 program.

##### ***How Does the Final Rule Account for Unique Characteristics?***

Federal and State small MS4s possess a number of characteristics that set them apart from their municipal counterparts. For example, whereas municipally-operated MS4s largely serve resident populations, many Federal or State-operated MS4s, such as medical clinics and departments of transportation (DOTs), do not. Other types of Federal and State MS4s, such as military bases, prisons, and State universities, serve populations that are different from a typical municipal population. Their unique characteristics might lead Federal or State MS4 operators to question either the need to implement the entire suite of minimum control measures or their ability to comply fully with their Phase II storm water permit. The flexibility within the minimum measures allows Federal and State MS4s to develop a storm water program that comprises the

minimum measures in a way that makes sense for their circumstances.

### ***What If the Operator Lacks Legal Authority?***

Three of the minimum control measures (illicit discharge detection and elimination, and the two construction-related measures) require enforceable controls on third party activities to ensure successful implementation of the measure. Some Federal and State operators, however, may not have the necessary legal regulatory authority to adopt these enforceable controls in the same manner as do local governments.

For example, a State DOT that is responsible for the portions of its roads running through urbanized areas may not have the legal authority to impose restrictions on, and penalties against, illicit (i.e., non-storm water) discharges into its MS4 if the source of the discharge is outside the DOT's right-of-way or jurisdiction. As in the case of local governments that lack such authority, State and Federal MS4s are expected to utilize the authority they do possess and to seek cooperative arrangements.

### ***How Can the Program Be Implemented in Areas Where There Are Multiple Regulated Entities?***

Since the final rule provides automatic coverage of all small MS4s within an urbanized area, regardless of political boundaries, coverage of multiple governments and agencies in a single area is likely. For example, a city government that operates a small MS4 within an urbanized area must obtain permit coverage alongside the county, State, and Federal DOTs if they all operate a portion of the roads (i.e., MS4s) in the city. All four entities are responsible for developing a storm water management program for their MS4s (or portions thereof) within the urbanized area. EPA encourages State and Federal small MS4 operators to establish cooperative agreements with cities and counties in implementing their storm water programs.

## **4.8.2 Are There Implementation Strategies that Help Facilitate Program Implementation?**

This section offers two hypothetical strategies for resolving the implementation issues raised above. The best solution may include a creative combination of strategies.

### **STRATEGY #1 *A Focus on Choosing Appropriate BMPs***

The final rule requires the permittee to choose *appropriate* best management practices (BMPs) for each minimum control measure. In other words, EPA expects Phase II permittees to tailor their storm water management plans and their BMPs to fit the particular characteristics and needs of the permittee and the area served by its MS4. Therefore, the Federal or State operator of a regulated storm sewer system can take advantage of the flexibility provided by the rule to utilize the most suitable minimum control measures for its MS4. Below is an example of tailored activities and BMPs that



Federal or State operators can implement for each measure:

- ❑ **Public Education and Outreach.** Distribute brochures and post fliers to educate employees of a Federal hospital about the problems associated with storm water runoff and the steps they can take to reduce pollutants in storm water discharges. For example, employees could be advised against carelessly discarding trash on the ground or allowing their cars to leak oil/fluids in the parking lot.
- ❑ **Public Participation/Involvement.** Provide notice of storm water management plan development and hold meetings at which employees of a Federal office complex are encouraged to voice their ideas and opinions about the effort. Request volunteers to help develop the plan.
- ❑ **Illicit Discharge Detection and Elimination.** Develop a map of the storm sewer system on a military base. Perform visual dry weather monitoring of any outfalls to determine whether the storm sewer system is receiving any non-storm water discharges from the base. If a dry weather flow is found, trace it back to the source and stop the discharge. Should a Federal military base identify an illicit discharge, the source of which is traced to the boundary of its system, the Federal operator should refer the discharge to the adjoining regulated MS4 for further action.
- ❑ **Construction Site Runoff Control.** Require the implementation of erosion and sediment controls, and control of waste, for any Federal or State DOT road construction. The DOT would review site plans for proper controls, perform inspections, and establish penalties in the construction contract if controls are not implemented. If construction is done directly by the regulated DOT instead of a private contractor, the DOT could be penalized by the NPDES permitting authority for non-compliance with its small MS4 permit in the event that controls are not properly implemented.
- ❑ **Post-Construction Runoff Control.** Require the implementation of post-construction storm water controls for any new construction on the grounds of a prison. This can be required as part of a construction contract, instituted as internal policy, and considered during site plan review.
- ❑ **Pollution Prevention/Good Housekeeping for Municipal Operations.** Train maintenance staff at a State university to employ pollution prevention techniques whenever possible. For example, routinely pick up trash/litter from the university grounds, use less salt on the parking lots and access roads in the winter, perform any maintenance of university vehicles under shelter only, limit pesticide use to the minimum needed, use vegetative buffer strips in the parking lots to filter runoff, and keep dumpster lids closed.

## **STRATEGY #2**

### ***Working with Other Entities***

There may be instances when the Federal or State permittee has limited capabilities to satisfy one or more of the minimum control measures. As discussed above, the permittee may lack the proper legal authority to enforce controls (although it should try to obtain the necessary legal authority if at all possible).

In the case of limited capabilities, the permittee can work with neighboring operators of regulated small MS4s, preferably on a watershed basis, to form a shared storm water management program in which each permittee is responsible for activities that are within individual legal authorities and abilities. The final rule allows the permittee to rely on other entities, with their permission, to implement those minimum measures that the permittee is otherwise unable to implement. Three examples are:

- ❑ A State DOT with limited regulatory legal authority can reference a local sewer district's illicit detection and elimination program in its permit application, provided the program sufficiently addresses illicit discharges into the DOT's storm sewer system.
- ❑ The permittee or NPDES permitting authority can reference such programs as coastal nonpoint pollution control programs, State or local watershed programs, State or local construction programs, and environmental education efforts by public or private entities.
- ❑ The permittee can become a co-permittee with a neighboring Phase I MS4 through a modification of the Phase I MS4's individual permit. This may be the most logical and preferable option for those Federal and State entities located in close proximity to Phase I MS4s.

Choosing to work with other governmental entities as a co-permittee, or referencing parts of each other's plans, can help resolve issues that may arise where multiple regulated jurisdictions exist in the same area. Permittees can avoid duplicative efforts, as well as territorial or regulatory disputes, by working together to implement the storm water program.

### ***Suggested Steps for Working with Other Entities***

- (1) Identify the boundaries of the urbanized area.
- (2) Identify the operators of storm sewer systems or portions of the systems within the urbanized area such as local, State, Tribal or Federal governments or other entities.
- (3) In seeking permit coverage:

Identify where another entity's program may satisfy one or more minimum control measure. If a program has requirements that are equivalent to a minimum control measure's required elements, the operator of the regulated small MS4 may reference the program in its permit application, provided the other entity gives it permission to do so. While such an arrangement relieves the operator from performing the minimum measure itself, the operator remains ultimately responsible for the measure's effective implementation.

**OR**

Team with an operator of a Phase I MS4 and become a co-permittee on its existing Phase I individual permit.

#### **4.9 FUNDING OPTIONS**

Possibly the biggest challenge for an operator of a regulated small MS4 in implementing a storm water management program is finding funding for the program. Funding is needed to maintain the staff, equipment and materials necessary to develop and implement an effective program. Adequate funding is critical to the success of the program but attaining it can be difficult as many other important programs compete for the same limited revenues from a general fund. Therefore, the operator of a regulated small MS4 will need to consider alternative funding options. This section provides brief introductions to some of the various funding options currently in use across the country. The following information on funding options was written by the American Public Works Association (AWPA) as part of their Storm Water Phase II workshops:

- Debt Financing:** Typically used for capital-intensive projects, local governments can issue debt to finance storm water management programs and facilities. Revenue bonds - or bonds that rely on ongoing source of revenue may be used. Alternatively, a general obligation bond can be issued which are backed by the full faith and credit of your municipality (based on your ability to generate revenues through taxes and other fees).
- Grants and Loans:** Federal, State, or Regional grant or loan funds may be available for some elements of the storm water program, depending on the BMP's selected and the location. Grants and loans are usually applicable to specific projects and not on-going activities, such as operation and maintenance.
- Users /Utility Fees:** Utility services charges are rates billed to customers for providing storm water management services. The service charges may be flat rates, or variable rates based on classes of

customers. Utility service charges may represent a dedicated source of funding and an ongoing method of funding some or all storm water management programs.

**Special Assessment:** Properties can be assessed annually to fund storm water management programs. Often, special assessments are used to fund a special district or authority that can implement all or portions of a region's storm water management program.

**Local Improvement** Under this type of funding system, individual properties benefitted by storm water projects are assessed to fund the project. Some states require special enabling legislation to establish this type of special benefits district.

**General Fund:** General fund monies are used for many storm water programs. If storm water programs are funded from your General Fund, the programs are at risk in each budget cycle. In addition, in order to increase funding levels for your program, other local government services may be affected or a general tax increase may be required.

**Inspection Fees:** Plan review and inspection fees allows the community to recover some or all of the direct cost associated with performing design reviews for pre and post construction BMP's.

**Developer Fees:** The developers construct needed facilities as a condition of development and bear associated costs.

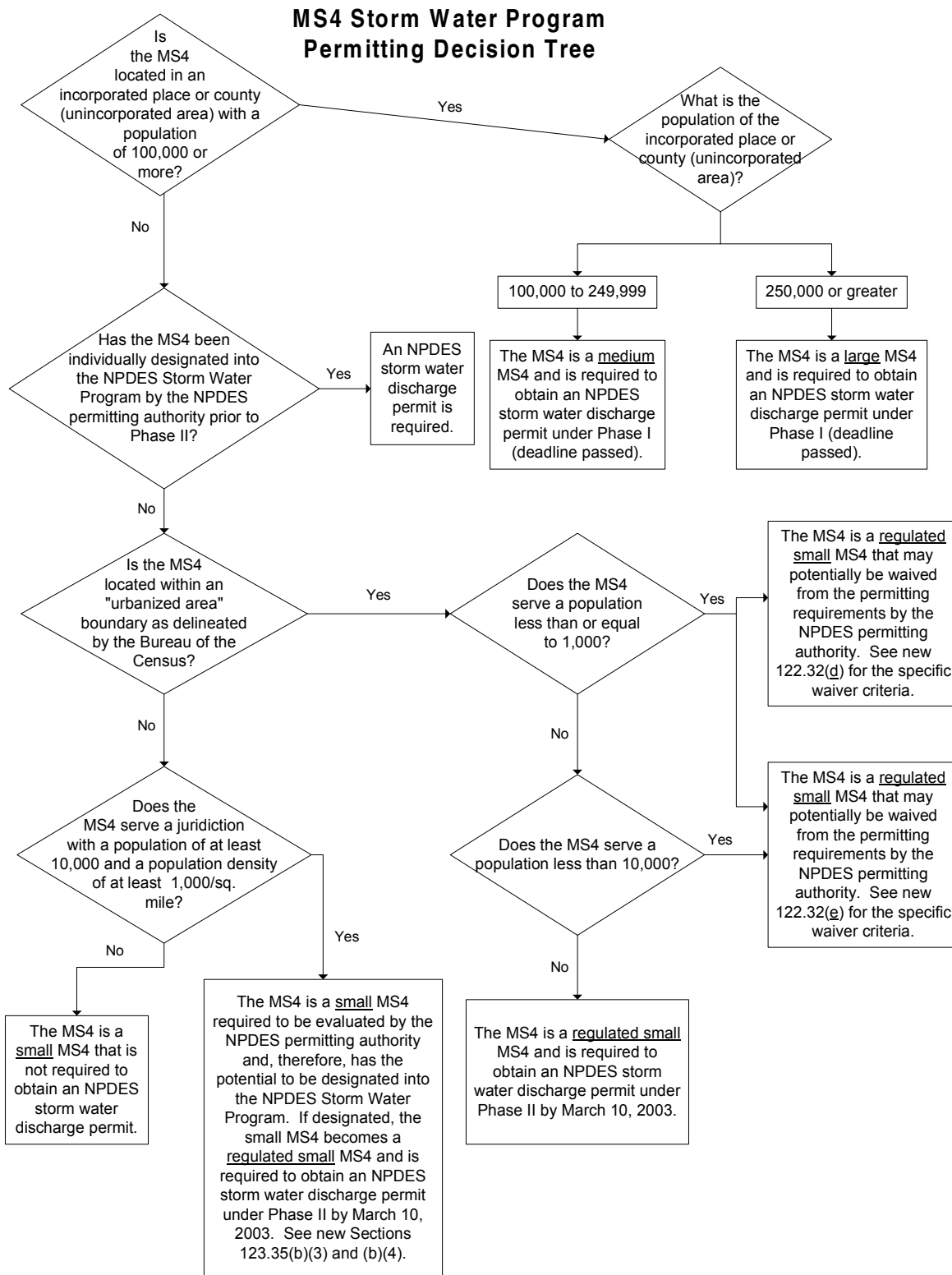
**Alternative Fees:** Instead of constructing on-site facilities to meet development requirements, developers may be given the option of paying a comparable fee to be used by the local government to build regional facilities that are designed to meet the same objectives as the developer-constructed on-site mitigation.

**Connection Fees:** A one time charge assessed at the time of development to recover a proportionate share of the cost of existing facilities and planned future facilities. The applicability depends upon legislation in each state.

### ***Additional Resources***

- Storm Water Utilities: Innovative Financing for Storm Water Management. 1992. U.S. EPA, Office of Policy, Planning, and Evaluation. Washington, D.C.
- State and Local Funding of Nonpoint Source Control Programs. 1992. U.S. EPA, Office of Water, Assessment and Watershed Protection Division. Washington, D.C.
- Storm Water Management Utility Implementation Manual. South Carolina Land Resources Commission, Columbia, S.C.

- Storm Water Maintenance and Financing Options (draft). 1987. State of Maryland, Maryland Department of Natural Resources.



1. See Appendices F, G, H, and I to Part 122 (as revised by the Phase II Final Rule) for the list of incorporated places and counties (unincorporated areas) with a population of 100,000 or greater. If the MS4 is located in a listed entity, then the answer to this question is "Yes" and the MS4 is covered under the Phase I MS4 program as a medium or large MS4.

## 5.0 SMALL CONSTRUCTION ACTIVITY

After reading Section 5.0, you should understand what type of construction activity is subject to the Phase II small construction activity regulations (including who may be waived from coverage), who is considered an operator of small construction activity, the permit options and requirements for small construction activity, and the interaction of the NPDES storm water program for construction with the NPDES storm water program for regulated MS4s. The discussion of these elements concludes with a step-by-step review of the process for compliance with the Phase II regulations for small construction activity.

### 5.1 COVERAGE: Who Is Subject to the Phase II Rule?

The NPDES Storm Water Program defines construction activities as "small" and "large" for the purposes of regulation. The Phase I storm water program covers large construction activity. The Phase II storm water regulation covers small construction activity. To understand who is covered under the Phase II Rule, it is necessary to understand who is already covered under the Phase I Rule. Toward this end, this section provides a definition of the type of construction activity covered by Phase I and Phase II, as well as other definitions essential to understanding the construction component of the NPDES Storm Water Program.

#### 5.1.1 What Type of Construction Activity Is Covered Under the Phase I Regulations?

The Phase I Rule identifies eleven categories of industrial activity in the definition of "storm water discharge associated with industrial activity" that must obtain an NPDES storm water discharge permit ( see section 6.1). Category (x) of this definition includes construction activity (including clearing, grading and excavation) that results in **a total land disturbance of 5 acres or greater**. Disturbances of less than 5 acres are also regulated under category (x) if they are part of a "larger common plan of development or sale" with a planned land disturbance of 5 acres or greater. Phase I construction activity is commonly referred to as "large"

**Construction activities** can include road building, construction of residential houses, office buildings, industrial sites, or demolition.

**Land Disturbance** means exposed soil due to clearing, grading, or excavation activities.

**Larger common plan of development or sale** describes a situation in which multiple construction activities are occurring, or will occur, on a contiguous area.

**An operator** is the person or persons that has either operational control of construction project plans and specifications, or day-to-day operational control of activities necessary to ensure compliance with storm water permit conditions.

construction activity. The Phase I rule requires all operators of large construction activity to obtain an NPDES storm water discharge permit before discharging storm water runoff to a municipal separate storm sewer system or waters of the United States.

### 5.1.2 What Type of Construction Activity Is Covered Under the Phase II Regulations?

In 1992, the Ninth Circuit court remanded for further proceedings the portion of EPA's Phase I storm water regulation related to category (x) construction activity (NRDC v. EPA, 966 F.2d at 1292). EPA responded to the court's decision by designating under Phase II storm water discharges from construction site activities that ultimately will result in a **land disturbance of equal to or greater than 1 and less than 5 acres** as "storm water discharges associated with *small construction* activity" (see § 122.26(b)(15)). The Phase II rule requires all operators of small construction activity to obtain an NPDES storm water discharge permit before discharging storm water runoff to a municipal separate storm sewer system or waters of the United States.

Construction activities disturbing less than 1 acre are also included in Phase II of the NPDES storm water program if they are part of a larger common plan of development or sale with a planned disturbance of equal to or greater than 1 acre and less than 5 acres, or if they are designated by the NPDES permitting authority. The NPDES permitting authority or EPA Region may designate construction activities disturbing less than 1 acre based on the potential for contribution to a violation of a water quality standard or for significant contribution of pollutants to waters of the United States.

The definition of small construction activity does not apply where the construction operator can certify to one of two waivers – see section 5.2 for more information on waiver options.

### 5.1.3 What is meant by the terms "land disturbance," "larger common plan of development or sale," and "operator" of a construction site?

The definitions of "land disturbance," "larger common plan of development or sale," and "operator" of a construction site are key in understanding coverage under the NPDES Storm Water Program for construction activity. These definitions originate from the NPDES storm water general permit for large construction activity.

- **Land disturbance** refers to exposed soil resulting from activities such as clearing, grading and excavating.
- **Larger common plan of development or sale** is a contiguous area where multiple separate and distinct construction activities are occurring under one plan (e.g., the operator is building on three half-acre lots in a 6-acre development). The "plan" in a common plan of development or sale is broadly defined as any announcement or piece of documentation (including a sign, public notice or hearing, sales pitch,



advertisement, drawing, permit application, zoning request, computer design, etc.) or physical demarcation (including boundary signs, lot stakes, surveyor markings, etc.) indicating that construction activities may occur on a specific plot.

- **An operator** of a construction site is the person (or persons) responsible for obtaining coverage under an NPDES storm water permit for construction activity, and complying with the permit requirements. An operator is the person or persons that meet either of the following criteria:
  - ❑ Has operational control of construction project plans and specifications, including the ability to make modifications to those plans and specifications; or
  - ❑ Has day-to-day operational control of those activities at a project which are necessary to ensure compliance with a storm water pollution prevention plan (SWPPP) for the site or other permit conditions (e.g., they are authorized to direct workers at a site to carry out activities required by the SWPPP or comply with other permit conditions).

There may be more than one party at a site responsible for “operational control.” Depending on the project and the distinction between the parties’ (e.g., owner’s vs. developer’s) responsibilities, there can either be a single party acting as a site operator needing permit coverage or there can be two (or more) operators who may share permit responsibilities. In cases where there are two or more operators, both parties will need permit coverage if they choose to keep the responsibilities as described in the above bullets separate, or they choose to separately maintain operational control for different portions of the site, etc. In such cases both operators should obtain permit coverage as co-permittees by co-submitting separate Notice of Intent forms, and should share in meeting permit conditions (e.g., generating the storm water pollution prevention plan, performing inspections, etc.). The option to have one sole operator who is willing to assume complete responsibility / liability for all permit requirements still exists and, in many cases, may be the less overall burdensome way to comply with storm water requirements.

There are other instances where parties conduct earth disturbing activities at a site but do not need their own permit coverage. Examples for whom this may apply include a subcontractor who is under the supervision of the operator, or an entity that is neither a subcontractor nor has operational control (e.g., a utility line installer).

Additional information on the responsibilities of operators can be found in Part III.E of EPA's NPDES Construction General Permit, published on February 17, 1998 (63 FR 7858). Part II of the fact sheet contained in the NPDES Construction General Permit also provides answers to common questions regarding roles and responsibilities of different parties involved on a construction site.

**Important note:** NPDES-authorized States may use a different definition of "operator" than the one provided above.

### 5.2 WAIVERS: Which Small Construction Activity Sites May Obtain a Waiver From Coverage?

Under the Phase II Rule, NPDES permitting authorities have the option of providing a waiver from Phase II coverage and requirements to operators of small construction activity who certify to one of two conditions:

- ① Low predicted rainfall potential (i.e., activity occurs during a negligible rainfall period), where the rainfall erosivity factor ("R" in the Revised Universal Soil Loss Equation [RUSLE]) would be less than 5 during the period of construction activity.
- ② A determination that storm water controls are not necessary based on either:
  - (A) A "total maximum daily load" (TMDL) that address the pollutant(s) of concern for construction activities; **OR**
  - (B) For nonimpaired waters that don't require TMDLs, an equivalent analysis that determines allocations for small construction sites for the pollutants of concern or determines that such allocations are not needed to protect water quality based on consideration of instream concentrations, expected growth in pollutant concentrations from all sources, and a margin of safety.

**Pollutants of concern** include sediment or a parameter that addresses sediment (such as total suspended solids, turbidity, or siltation) and any other pollutant that has been identified as a cause of impairment of a receiving waterbody.

The intent of these waiver provisions (see §§ 122.26(b)(15)(A) and(B)) is to waive only those sites that are highly unlikely to have a negative effect on water quality. Therefore, before applying for a waiver, operators of small construction activity are encouraged to consider the potential water quality impacts that may result from their project and to carefully examine such factors as proximity to water resources and sensitivity of receiving waters. Small construction activities disturbing less than 1 acre that are designated by the permitting authority are not eligible for these waivers.

#### 5.2.1 Waiver 1: The Rainfall Erosivity Factor Waiver

The Rainfall Erosivity Factor waiver is based on the potential for a construction activity to occur in an area, or during a certain period of time, where there is low

predicted rainfall potential and, therefore, less likelihood of causing impacts. This waiver is time-sensitive and is dependent on when during the year a construction activity takes place, how long it lasts, and the expected rainfall and intensity during that time. It creates an incentive for construction site operators to build during the dry part of the year.

### How would an operator qualify for, and certify to, this waiver?

To qualify for this waiver, the construction site operator must determine the value of the rainfall erosivity factor (R factor) in the Revised Universal Soil Loss Equation (RUSLE) and then certify to the permitting authority that the value of the factor is less than 5 during the period of construction. The RUSLE is a refinement of the Universal Soil Loss Equation (USLE), which is a method developed by the U.S. Department of Agriculture to measure soil loss from agricultural lands at various times of the year on a regional basis. The R factor varies based on location and time period during the year.

A construction site operator will need site-specific data to calculate the values for rainfall erosivity using the RUSLE. The rainfall erosivity factor is determined in accordance with Chapter 2 of *Agriculture Handbook Number 703, Predicting Soil Erosion by Water: A Guide to Conservation Planning With the Revised Universal Soil Loss Equation (RUSLE)*. This handbook is no longer in print but Chapter 2 can be obtained from EPA's web site or by contacting EPA's Water Resource Center.

### 5.2.1 Waiver 2: The Water Quality Waiver

The Water Quality waiver consists of: 1) a component for small construction sites that will discharge to an impaired waterbody where total maximum daily load (TMDL) assessments have been performed, and 2) a component for small construction sites that will discharge to non-impaired waters where an analysis equivalent to the TMDL assessments have been performed.

For impaired waters where technology-based controls required by NPDES permits are not achieving State water quality standards, the CWA requires implementation of the TMDL process.

The **TMDL process** establishes the maximum amount of pollutants a waterbody can assimilate before water quality is impaired, then requires that this maximum level not be exceeded. A TMDL assessment determines the source or sources of a pollutant of concern, considers the maximum allowable level of that pollutant for the waterbody, then allocates to each source or category of sources a set level of the pollutant that it is allowed to discharge into the waterbody. Allocations to point sources are called wasteload allocations.

A TMDL is developed for each pollutant that is found to be contributing to the impairment of a waterbody or a segment of a waterbody. To allow a waiver for construction activities, a TMDL would need to address sediment, or a parameter that addresses sediment such as total suspended solids, turbidity, or siltation. Additional TMDLs addressing common pollutants from construction sites such as nitrogen, phosphorus, and oil and grease also may be necessary to ensure water quality protection and allow a waiver from the NPDES storm water program. More information on TMDLs can be found at <http://www.epa.gov/owow/tmdl/>.

Non-impaired waterbodies do not require TMDL assessments. However, construction site operators that discharge to non-impaired waterbodies are still eligible for this waiver. A construction site operator is eligible for a waiver if an analysis equivalent to a TMDL assessment is conducted for the pollutants of concern and it is determined through this analysis that small construction sites would not have to control their contribution of pollutants of concern to the waterbody to protect water quality. The analysis may also determine that allocations are not needed to protect water quality based on consideration of variables including existing in-stream concentrations; expected growth in pollutant contributions from all sources; and a margin of safety. In this situation, the construction site operator also qualifies for a waiver.

### **How would an operator qualify for, and certify to, this waiver?**

EPA expects that when TMDLs, or equivalent analyses are completed, there may be a determination that certain classes of sources, such as small construction sites, would not have to control their contribution of pollutants of concern to the waterbody in order for the waterbody to be in attainment with water quality standards (i.e., these sources were not assigned wasteload allocations). In such a case, to qualify for the Water Quality waiver, the operator of the construction site would need to certify that its construction activity will take place, and the storm water discharges will occur, within the area covered either by the TMDLs or equivalent analysis. A certification form would likely be provided by the NPDES permitting authority.

## **5.3 PERMIT OPTIONS**

The Storm Water Phase II Rule requires operators of small construction activities to obtain National Pollutant Discharge Elimination System (NPDES) permit coverage because their storm water discharges are considered “point sources” of pollution. Point source pollutant discharges, unlike nonpoint sources such as agricultural runoff, are required under the Clean Water Act (CWA) to be covered by federally enforceable NPDES permits.

NPDES storm water permits are issued by an NPDES permitting authority, which may be an NPDES-authorized State or a U.S. EPA Region in non-authorized States (see *Appendix A* for a list of U.S. EPA Regions). Once a permit application is submitted by the operator of a small construction activity, the conditions of the permit must be

satisfied (i.e., implementation of a storm water pollution prevention plan). This section addresses the permit options under the Phase II regulations for operators of small construction activity, as well as for the permitting authority. The permit requirements are discussed in Section 5.4.

### **5.3.1 For Operators of Small Construction Activity: What Types of Permit Coverage Are Available?**

Similar to the Phase I program for large construction activity, the Phase II approach allows operators of small construction activities to choose between two permitting options. Each NPDES permitting authority has the discretion, however, to determine which options are available to operators of small construction activities in their jurisdiction.

#### **1) General Permits**

- # General permits are strongly encouraged by EPA for small construction activity. EPA anticipates that the existing general permit for large construction activity will serve as a model for small construction activity general permits.
- # General permits prescribe one set of requirements for all applicable permittees. General permits are drafted by the NPDES permitting authority, then published for public comment before being finalized and issued.
- # A Notice of Intent (NOI) serves as the application for the general permit. Under the Phase II Rule, NPDES permitting authorities have the discretion to not require submittal of an NOI under a general permit for small construction activity.
- # Small construction operators must submit an NOI and obtain coverage under a general permit by March 10, 2003 or an earlier date set by the permitting authority (if this option is available).

#### **2) Individual Permits**

- # NPDES permitting authorities may deny coverage under general permits and require operators to submit an individual NPDES permit application based on information such as water quality data.
- # In the event that an NPDES permitting authority decides to issue an individual construction permit for small construction activity, operators are subject to the individual application requirements found at 40 CFR §122.26(c)(1)(ii).
- # For any discharges of storm water associated with small construction activity identified in §122.26(b)(15) that are not authorized by a general permit, an individual permit application must be submitted to the permitting authority by

March 10, 2003.

### **5.3.2 For the NPDES Permitting Authority**

#### **5.3.2.1 Alternative Option for Writing Permit Requirements: Referencing a Qualifying State, Tribal or Local Erosion and Sediment Control Program**

Under §122.44(s) of the Phase II Rule, permitting authorities have the flexibility to develop permit conditions that incorporate by reference qualifying State, Tribal, or local erosion and sediment control programs into permits for large and small construction activity.

To be considered a qualifying State, Tribal, or local program, the program must require construction site operators to:

- Implement appropriate erosion and sediment control BMPs;
- Control waste such as discarded building materials, concrete truck washout, chemicals, litter, and sanitary waste at the site that may cause adverse impacts to water quality;
- Submit a site plan for review that incorporates consideration of potential water quality impacts; and
- Develop and implement a storm water pollution prevention plan (SWPPP) containing elements similar to those required by other NPDES construction storm water permits.

In addition to these elements, a qualifying program for large construction activities must also include any additional requirements necessary to achieve the applicable technology-based standards of “Best Available Technology” (BAT) and “Best Conventional Technology” (BCT) based on the best professional judgment of the permit writer.

**Important Note:** Not all the construction programs administered by NPDES-permitted MS4s would qualify. A primary reason for this is because NPDES-permitted MS4s are not obligated under their permit to require construction operators to develop a SWPPP.

Should a State, Tribal, or local program include one or more, but not all, of the elements listed above, the NPDES permitting authority can reference the program in the permit, provided it also lists the missing element(s) as a condition in the permit.

#### **5.3.2.2 Permit Application: Optional Use of NOIs**

Under the Phase II Rule, EPA is providing NPDES permitting authorities with the

discretion to not require NOIs under a general permit for discharges from small construction activity, if desired. EPA does, however, recommend the use of NOIs for tracking permit coverage and prioritizing inspections and enforcement. This alternative option does not apply to general permits for large construction activity.

### 5.4 PERMIT REQUIREMENTS

The Phase II Rule requires operators of small construction sites, nationally, to obtain an NPDES permit and implement practices to minimize pollutant runoff. The Phase II Rule directs permitting authorities to develop and issue permits for small construction activity no later than December 9, 2002. Operators of small construction activity will be required to obtain permit coverage by March 10, 2003, or an earlier date set by the permitting authority. However, operators may have to comply with local, State, or Tribal construction runoff control programs (see section 4.6.2.4 for information on the Phase II small MS4's construction program).

For the Phase II small construction program, EPA has taken an approach similar to Phase I where the program requirements are not fully defined in the rule but rather in the NPDES permit by the NPDES permitting authority. EPA recommends that the NPDES permitting authorities use their existing Phase I NPDES construction general permits as a guide to developing their Phase II construction permits. In doing so, the Phase II requirements would be similar to the Phase I requirements described in subsection 5.4.2, although the applicable standards for small construction activity are different as outlined in subsection 5.4.1.

#### 5.4.1 Applicable Water Quality Standards

Unlike the technology-based standards of BAT and BCT that are applicable to large construction activity, an operator of small construction activity is required to design its pollutant control plan so that it:

- Protects water quality (under CWA section 402(p)(6)); and
- Satisfies the appropriate water quality requirements of the CWA.

The water quality standards for large and small construction activity are different because they were designated into the NPDES storm water program under two separate sections of the CWA with differing standards. Practically, though, the standard for small construction activity would be substantively the same as the standard for large construction activity.

#### 5.4.2 Potential Small Construction Activity Permit Requirements

EPA currently has only one type of permit available for construction activity operators, the NPDES Construction General Permit. This permit provides coverage to

large construction activities only. EPA expects any general permit for small construction activity to be very similar to the CGP. To gain familiarity with the CGP, the three main elements of the CGP are included below.

**Important note:** This section on the CGP requirements is included for informational purposes only in order to provide a sense of what the permit requirements for small construction activity may be – these are not the requirements for small construction activity.

### 5.4.2.1 Notice of Intent

A complete and accurate NOI must be submitted to the NPDES permitting authority. An NOI includes general information and a certification that the activity will not impact endangered or threatened species. This certification is unique to EPA's NOI and is not a requirement of most NPDES-delegated State's NOIs.

An NOI must be postmarked at least two days prior to commencement of any work on site (if the operator has control over plans and specifications) or two days prior to commencement of the operator's portion of the work (if the operator has only day-to-day operational control).

### 5.4.2.2 Storm Water Pollution Prevention Plan (SWPPP)

The most important requirement of the CGP is the construction storm water pollution prevention plan (SWPPP) that includes the appropriate BMPs to minimize the discharge of pollutants from the site. The CGP requires at least one SWPPP for each construction project or site.

The construction site operator, or operators, must develop the SWPPP prior to submitting the NOI to obtain permit coverage. Unlike the NOI and other reporting forms, the operator(s) does not submit the SWPPP to the permitting authority. Instead, the SWPPP remains onsite and made accessible according to the requirements described in the CGP.

The SWPPP comprises several elements:

- **Site description.** This will contain a description of potential pollutant sources and other information.
- **Controls (BMPs).** This part of the SWPPP must clearly describe not only the controls, but also the timing and responsible permittee for implementing the controls in the following categories:

- ✓ Erosion and Sediment Controls
- ✓ Storm Water Management Controls



### ✓ Other Controls

- **Inspections.** Another critical element of the SWPPP is regular inspections of disturbed areas of the site that has not been stabilized; exposed materials storage areas; structural controls; and vehicle entrances and exits.
- **Maintenance.** The SWPPP also requires that operators perform maintenance on the controls (BMPs) to ensure they are in effective operating condition.
- **Signatures.** The SWPPP must be signed by at least one of the persons responsible for submitting an NOI for the project.
- **Accessibility.** The CGP requires the operator(s) to retain a copy of the SWPPP at the construction site or other local location accessible to the permitting authority.

More information on the construction SWPPP requirements can be found in the CGP, published on February 17, 1998 (63 *FR* 7858, p. 7906). EPA has also issued a construction general permit for Regions IV and VI. Contact your EPA Regional office or State environmental agency for information on construction permits in your State. In addition, EPA published a construction SWPPP guidance in a document entitled *Storm Water Management for Construction Activities: Developing Storm Water Pollution Prevention Plans and Best Management Practices* (EPA 832-R-92-005, September 1992).

### 5.4.2.3 Notice of Termination (NOT)

A completed Notice of Termination (NOT) must be submitted to the NPDES permitting authority within 30 days after one or more of the following conditions have been met:

- Final stabilization has been achieved on all portions of the site for which the permittee is responsible;
- Another operator/permittee has assumed control over all areas of the site that have not been finally stabilized; or
- For residential construction only: temporary stabilization of a lot has been completed prior to transference of ownership to the homeowner, with the homeowner being made aware of the need to perform final stabilization.

## 5.5 INTEGRATION OF NPDES PROGRAM FOR CONSTRUCTION WITH NPDES PROGRAM FOR MS4S

There is often confusion about the interaction between the NPDES Storm Water Program for construction activity, which has been the topic of discussion in this section, and the construction runoff control program implemented by NPDES-regulated MS4s, which was the topic of discussion in section 4.6.2.4.

- These are two separate and distinct construction programs.
- A construction operator is subject to requirements under BOTH programs if it is located in an NPDES-regulated MS4's jurisdiction.

**The NPDES Storm Water Program for Construction** is administered by the NPDES permitting authority, either the State or an EPA Regional Office.

- This program requires the construction site operator to seek coverage under an NPDES storm water discharge permit for construction. The current permit, the Construction General Permit, requires the operator to submit an NOI, develop a SWPPP, and comply with other applicable NPDES storm water discharge permit requirements.
- The Construction General Permit (CGP) currently only applies to large construction activity disturbing greater than 5 acres. Permits for small construction activity will be issued by each NPDES permitting authority by December 9, 2002.

**The NPDES Storm Water Program for MS4s: MS4 Construction Runoff Control Programs** are administered by the MS4 operator. The MS4 operator's NPDES storm water discharge permit requires it to establish requirements to control storm water discharges from construction activity and new development and redevelopment.

- Regulated small MS4s must control 1 acre and above.
- Medium and large MS4s have no particular size thresholds that they must control – differs among MS4s
- The specific requirements of the construction programs will vary among MS4s. An MS4 permit typically does not specify that the MS4 operator must require a SWPPP or that a permit application be submitted.

### 5.6 SMALL CONSTRUCTION ACTIVITY COMPLIANCE PROCESS: What Do I Need To Do To Comply?

Sections 5.1 through 5.5 of this guidance have provided details on who's covered, who may be waived, and what may be required under the Phase II regulations for small construction activity. Now that you are familiar with the Phase II program, this section

walks you through the process, from beginning to end, that an operator of a small construction activity should take to comply with the regulation. This step-by-step "walk-through" assumes the issuance of a general permit for small construction activity that is similar to the CGP. Remember, the general permit for small construction activity may have different requirements, timeframes, and deadlines than what is noted here. Repeat the steps for each individual construction site.

The last page of this section includes a permitting decision tree to help operators of construction activity determine if they need an NPDES storm water permit. By starting in the upper left hand corner, an operator can follow the decision tree to determine if they fall under Phase I, Phase II, or are eligible for a waiver.

**Step 1:** Determine if your construction site will discharge storm water runoff into a MS4 (see section 4.1.1 for definition) or to waters of the United States. If so, proceed to Step 2. If not, stop here.

***Waters of the United States*** include interstate lakes, rivers, streams (including intermittent streams), mudflats, sandflats, wetlands, sloughs, prairie potholes, wet meadows, playa lakes, or natural ponds the use, degradation, or destruction of which would affect or could affect interstate or foreign commerce. (Waste treatment systems, including treatment ponds or lagoons designed to meet the requirements of CWA are not waters of the United States.) A complete definition can be found at 40 CFR 122.2.

**Step 2:** Determine if your construction site's storm water discharge will meet the definition of a "storm water discharge associated with small construction activity." If so, proceed to Step 3. If not, stop here. (See section 5.1.2)

**Step 3:** If your site meets the definition of small construction activity, determine if it qualifies for a waiver from the permit requirements. If so, stop here. If not, proceed to Step 4. (See section 5.2)

**Step 4:** Obtain and read the applicable storm water discharge permit for small construction activity (or the CGP until the small construction permit has been issued to get a sense of the upcoming permit requirements). The small construction permit should be issued by the NPDES permitting authority by December 9, 2002. (See section 5.4.2 for potential requirements)

**Step 5:** Determine which parties are considered *operators* and, therefore, are responsible for complying with the requirements described in the storm water permit for small construction activity (See section 5.1.3)

**Step 6:** Develop a SWPPP. (See section 5.4.2.2)

- SWPPPs must be developed prior to submitting the NOI.
- You do not need to submit the SWPPP to your NPDES permitting authority, however, it should be accessible to the public.

**Step 7:** Complete and submit an NOI. (See section 5.4.2.1)

- Your NPDES permitting authority may or may not require a NOI. If so, the Phase II regulation requires that you submit your NOI no later than March 10, 2003 (or 90 days after the NPDES permitting authority issues the permit, whichever comes first).
- Submit a completed NOI to your NPDES permitting authority two days prior to beginning work at the construction site.

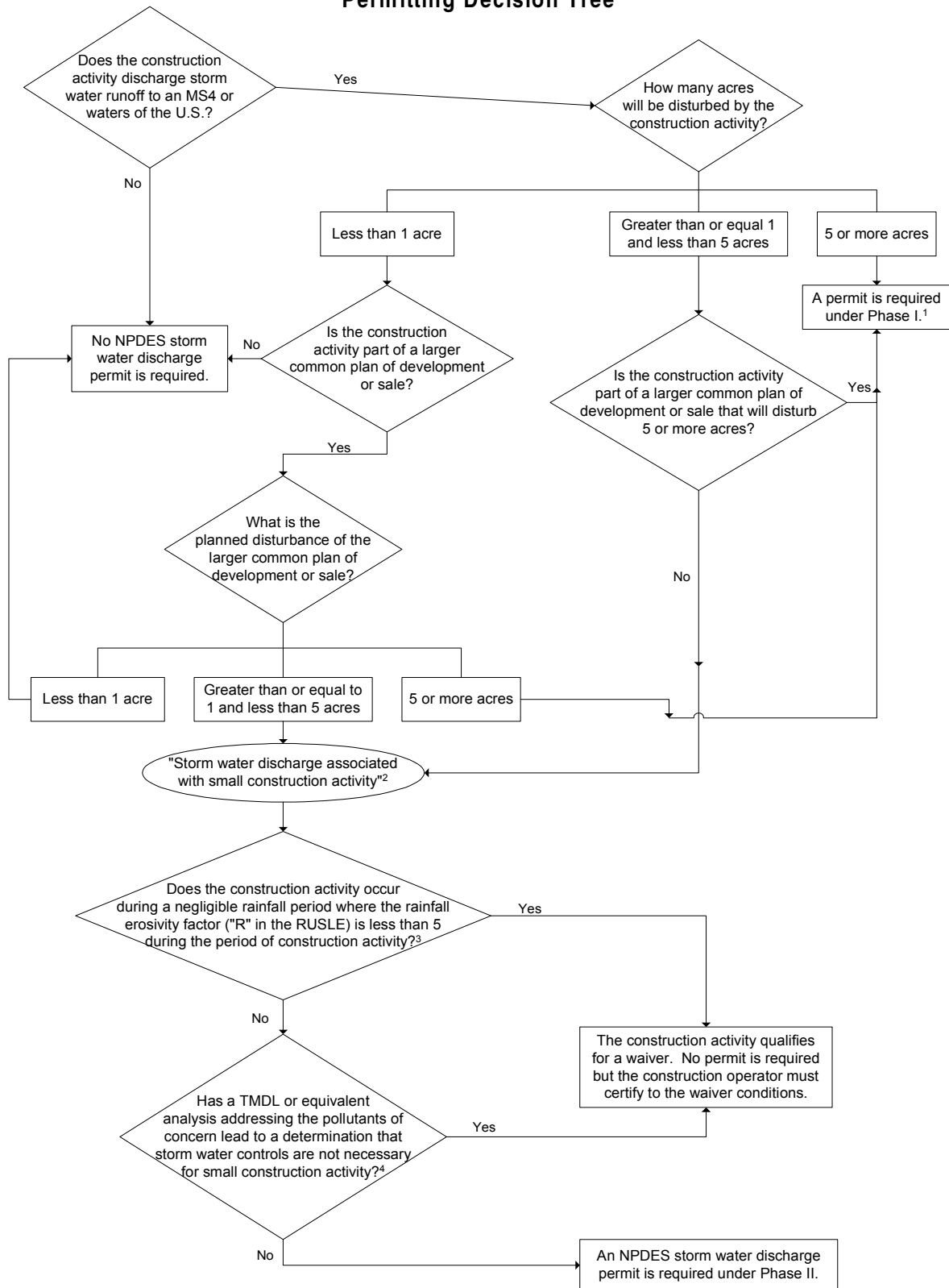
**Step 8:** Implement the SWPPP.

- Includes generation of inspection reports that are to be kept on-site.

**Step 9:** Complete and submit an NOT. (See section 5.4.2.3)

- Submit a completed NOT to your NPDES permitting authority within 30 days after one or more of the appropriate conditions have been met.

**Construction Activities Storm Water Program  
Permitting Decision Tree**



1. Construction activity disturbing, or part of a planned disturbance of, five or more acres is a "storm water discharge associated with industrial activity" under category (x). See 40 CFR 122.26(b)(14)(x).  
 2. See new 122.26(b)(15) for the definition of "storm water discharge associated with small construction activity."  
 3. See new 122.26(b)(15)(i)(A) for more details.  
 4. See new 122.26(b)(15)(i)(B) for more details.

## 6.0 INDUSTRIAL ACTIVITY

After reading section 6.0, you should understand the basic components and requirements of the Phase II regulations as they affect the categories of industrial activity covered by the Phase I regulations. Phase II revises the original Phase I industrial no exposure exemption and also sets a new deadline for permit coverage for the municipally-owned industrial activity that had been temporarily exempted from storm water permit coverage.

### 6.1 PHASE I INDUSTRIAL ACTIVITY: What Industrial Activities are Covered by Phase I of EPA's Storm Water Program?

The 1990 storm water regulations for Phase I of the federal storm water program identify eleven categories of industrial activities under the definition of a "storm water discharge associated with industrial activity" that must obtain a National Pollutant Discharge Elimination System (NPDES) permit. The categories contain industries listed either by reference to an industry's Standard Industrial Classification (SIC) code, or by a short narrative description of the activity found at the industrial site (see text box at right for more detailed descriptions). For facilities that match the SIC codes or description in one of the categories, only those that have a storm water discharge to a *municipal separate storm sewer system (MS4)* or *waters of the United States* are required to seek permit coverage. The NPDES permit requirements vary between individual and general permits, but in general involve the development of a storm water pollution prevention plan based upon site assessments, monitoring and reporting data on storm water discharges, and mitigating any possible effects of discharges on endangered species and national historic properties (for EPA issued permits).

#### Storm Water Discharge Associated with Industrial Activity (40 CFR 122.26(b)(14)(i) - (xi))

- Facilities subject to storm water effluent limitation guidelines; new source performance standards, or toxic pollutant effluent standards under 40 CFR Subchapter N.
- "Heavy" industrial facilities with SIC codes listed in 40 CFR 122.26(b)(14)(ii), (iii), and (vi)
- "Light" industrial facilities with SIC codes listed in 40 CFR 122.26(b)(14)(xi), which conduct the activities specified in that sections.
- Hazardous waste treatment, storage, or disposal facilities.
- Landfills, land application sites, and open dumps that receive or have received industrial waste.
- Steam electric power generating facilities.
- Sewage treatment works.
- Construction activity (including clearing, grading, and excavation) disturbing five or more acres of land, or less than five acres of land if it is part of a larger common plan of development or sale of five acre or greater.

Under the Phase I regulations, operators of facilities within category eleven (xi), commonly referred to as “light industry,” were exempted from the definition of “storm water discharge associated with industrial activity,” and the subsequent requirement to obtain an NPDES permit, provided their industrial materials or activities were not “exposed” to storm water. This Phase I no exposure exemption from permitting was limited to those facilities identified in category (xi), and did not require category (xi) facility operators to submit any information supporting their no exposure claim.

In 1992, the Ninth Circuit court remanded to EPA for further rulemaking the no exposure exemption for light industry after making a determination that the limited exemption was arbitrary and capricious. The result was a revised no exposure exemption (now an "exclusion") as part of the Phase II regulation.

## **6.2 PHASE II NO EXPOSURE EXCLUSION: What is the Conditional No Exposure Exclusion for Industrial Activity as Revised by this Regulation?**

The intent of the no exposure provision is to provide a simplified method for complying with the Clean Water Act to all industrial facilities that are entirely indoors. This includes facilities that are located within a large office building, or at which the only items permanently exposed to precipitation are roofs, parking lots, vegetated areas, and other non-industrial areas or activities.

As revised in the Phase II regulation, if a condition of No Exposure exists at a Phase I industrial facility, then permits will not be required for storm water discharges from these facilities. All industrial facilities that have no exposure of materials to storm water, including the "light industrial" facilities, must submit a certification to the permitting authority. The facility must certify that a condition of No Exposure exists at its facility and either maintain a condition of no exposure or obtain a permit. The following subsections discuss who is eligible for the revised no exposure exclusion, the definition of no exposure, and the requirement to submit a written certification of no exposure in place of a permit application.

### **6.2.1 Who is Eligible to Qualify for the No Exposure Exclusion?**

The Phase II Conditional No Exposure Exclusion represents a significant expansion in the scope of the original no exposure provision in terms of eligibility. Now, all Phase I industrial categories with a condition of no exposure, except for construction activity, are eligible for the no exposure exclusion. The exclusion from permitting is available on a facility-wide basis only, not for individual outfalls

### **6.2.2 What is the Definition of No Exposure?**

The Phase II regulatory definition of no exposure is as follows:

***No exposure*** means all industrial materials and activities are protected

by a storm resistant shelter to prevent exposure to rain, snow, snowmelt, and/or runoff. Industrial materials or activities include, but are not limited to, material handling equipment or activities, industrial machinery, raw materials, intermediate products, by-products, final products, or waste products.

A storm resistant shelter is not required for the following industrial materials and activities:

- Drums, barrels, tanks, and similar containers that are tightly sealed, provided those containers are not deteriorated and do not leak. “Sealed” means banded or otherwise secured and without operational taps or valves;
- Adequately maintained vehicles used in materials handling;
- Final products, other than products that would be mobilized in storm water discharges (e.g., rock salt).

The term “storm-resistant shelter,” as used in the no exposure definition, includes completely roofed and walled buildings or structures, as well as structures with only a top cover but no side coverings, provided material under the structure is not otherwise subject to any run-on and subsequent runoff of storm water.

While the intent of the no exposure provision is to promote a condition of permanent no exposure, certain machinery, such as trucks, may become temporarily exposed to rain and snow while passing between buildings. Adequately maintained mobile equipment (e.g., trucks, automobiles, forklifts, trailers, or other such general purpose vehicles found at the industrial site that are not industrial machinery, and that are not leaking contaminants or are not otherwise a source of industrial pollutants) also can be exposed to precipitation or runoff. Such activities alone would not prevent a facility from certifying to no exposure. Similarly, trucks or other vehicles awaiting maintenance at vehicle maintenance facilities that are not leaking contaminants or are not otherwise a source of industrial pollutants, would not be considered exposed.

EPA recognizes that there are circumstances where permanent no exposure of industrial activities or materials is not possible and, therefore, under such conditions, materials and activities could be sheltered with temporary covers (e.g., tarps) between periods of permanent enclosure. The No Exposure provision does not specify every such situation, but NPDES permitting authorities can address this issue on a case-by-case basis.

The Phase II regulation also addresses particulate matter emissions from roof stacks/vents. If regulated by, and in compliance with, other environmental protection programs (i.e., air quality control programs) and not causing storm water contamination, they are considered not exposed. Particulate matter or visible deposits of residuals from roof stacks and/or vents not otherwise regulated (i.e., under an air quality control program) and evident in storm water outflow are considered “exposed.” Likewise,



visible “track out” (i.e., pollutants carried on the tires of vehicles) or windblown raw materials are considered “exposed.” Leaking pipes containing contaminants exposed to storm water are deemed “exposed,” as are past sources of storm water contamination that remain onsite. General refuse and trash, not of an industrial nature, is not considered exposed as long as the container is completely covered and nothing can drain out holes in the bottom, or is lost in loading onto a garbage truck. Industrial refuse and trash that is left uncovered, however, is considered “exposed.”

### **6.2.3 What Do I Need To Know About Certifying to a Condition of No Exposure?**

In order to obtain the Conditional No Exposure exclusion, you will have to submit written certification that your facility meets the definition of “no exposure,” even if you are a category (xi) facility operator. The Phase II Rule included as an appendix to the preamble a four-page No Exposure Certification form to be used for this purpose in areas where EPA is the NPDES permitting authority. EPA's certification form uses a series of yes/no questions which you must answer regarding the your industrial activity. You may certify to no exposure if you can answer "no" to all of the questions.

**Important note:** EPA's No Exposure Certification form applies only in areas where EPA is the NPDES permitting authority. Where a State is the NPDES permitting authority, the State will issue its own form. Since most aspects of EPA's form are also regulatory requirements as to what must be included within a written certification of no exposure, you may expect the State forms to be very similar to EPA's.

The Certification form serves two purposes: 1) as an aid to help you in determining whether you have a condition of No Exposure at your facility or site, and 2) as the necessary written certification of No Exposure, provided you are able to answer all the questions in the negative.

- If, after you have completed the form, you find that you answered "yes" to one or more of the questions about possible exposure, you must make the appropriate changes at the facility if you still wish to apply for the conditional exclusion. These changes must remove the particular material, process, or activity at the facility or site from exposure to storm water.
- If, after completing the form, you find that you were able to check "no" to every question, you qualify for the no exposure exclusion and must sign and submit the form to your NPDES permitting authority.

#### ***Certification Facts:***

- The certification must be completed and submitted to your permitting authority once every 5 years, and can only be done so if the condition of no exposure continues to exist at the facility.
- The Certification must be provided for each facility qualifying for the no exposure

exclusion.

- The form is non-transferable. If a new operator takes over your facility, they must complete, sign, and submit a new form to claim the no exposure exclusion when they assume control over the operations of the facility.

#### **6.2.4 Are There Any Concerns Related to Water Quality Standards?**

Yes. An operator certifying that its facility qualifies for the conditional no exposure exclusion may, nonetheless, be required by the permitting authority to obtain permit authorization. Such a requirement would follow the permitting authority's determination that the facility's discharge is likely to have an adverse impact on water quality.

Many efforts to achieve no exposure can employ simple good housekeeping and contaminant cleanup activities such as moving materials and activities indoors into existing buildings or structures. In limited cases, however, industrial operators may make major changes at a site to achieve no exposure. These efforts may include constructing a new building or cover to eliminate exposure or constructing structures to prevent run-on and storm water contact with industrial materials and activities. Major changes undertaken to achieve no exposure, however, can increase the impervious area of the site, such as when a building is placed in a formerly vegetated area. Increased impervious area can lead to an increase in the volume and velocity of storm water runoff, which, in turn, can result in a higher concentration of pollutants in the discharge, since fewer pollutants are naturally filtered out.

The concern of increased impervious area is addressed in one of the last questions on the Certification form, which asks, "Have you paved or roofed over a formerly exposed, pervious area in order to qualify for the no exposure exclusion? If yes, please indicate approximately how much area was paved or roofed over." This question is intended to aid the NPDES permitting authority in assessing the likelihood of such actions interfering with water quality standards. Where this is a concern, the facility operator and its NPDES permitting authority should take appropriate actions to ensure that water quality standards can be achieved.

#### **6.2.5 Industrial Program Compliance Process: What Do I Need To Do To Obtain the No Exposure Exclusion and Comply with Applicable Requirements?**

Sections 6.1 through 6.2.4. of this guidance have provided information necessary to understand the conditional no exposure exclusion. Now that you are familiar with the no exposure exclusion, this section walks you through the process, from beginning to end, that an operator of industrial activity will need to take to comply with the Phase II regulation. This step-by-step "walk-through" assumes the issuance of a no exposure certification form that is similar to EPA's form. Remember, a State's certification form may have different requirements and deadlines than what is noted here. Repeat the steps for each individual facility or site.

**Step 1:** Determine if your industrial activity meets the definition of a "discharge associated with industrial activity." If so, proceed to Step 2. If not, stop here. (See section 6.1)

- If you are a regulated industrial operator, you need to **either** apply for a storm water permit, **or** submit a no exposure certification, in order to be in compliance with the NPDES storm water regulations. Any storm water permit you may currently hold becomes null and void once a completed conditional no exposure certification form is submitted

**Step 2:** Obtain the no exposure certification form from your NPDES permitting authority. Determine if your regulated industrial activity meets the definition of "no exposure" and qualifies for the exclusion from permitting. If it does, proceed to Step 3. If not, stop here and obtain industrial storm water permit coverage (probably through the multi-sector general permit or similar permit).

- The conditional no exposure exclusion option is currently available only for facilities in areas where EPA is the NPDES permitting authority. In all other areas, where the State is the NPDES permitting authority, the facility operators will need to wait until the State makes the option available.

**Step 3:** Submit the certification form to your NPDES permitting authority -- a new form must be submitted once every 5 years.

- Be aware that even when you certify to no exposure, your NPDES permitting authority still retains the authority to require you to apply for an individual or general permit if it has determined that your discharge is contributing to the violation of, or interfering with the attainment or maintenance of, water quality standards, including designated uses.

**Step 4:** Submit a copy, upon request, of the certification form to the municipality in which the facility is located.

**Step 5:** Allow your NPDES permitting authority or, if discharging into a municipal separate storm sewer system, the operator of the system, to (1) inspect the facility and (2) make such inspection reports publicly available upon request.

**Step 6:** Maintain a condition of no exposure.

- The no exposure exclusion is conditional and not an outright exemption. Therefore, if there is a change in circumstances that causes exposure of industrial activities or materials to storm water, the you are required to comply immediately with all the requirements of the NPDES Storm Water Program, including applying for and obtaining a storm water discharge permit.

- Failure to maintain the condition of no exposure or obtain coverage under an NPDES permit can lead to the unauthorized discharge of pollutants to waters of the United States, resulting in penalties under the CWA.

### **6.3 ISTEAMORATORIUM: How Has this Regulation Affected the Municipally-Operated Industrial Activity Subject to the Intermodal Surface Transportation Enforcement Act (ISTEA) Moratorium?**

Provisions within ISTEAM temporarily delayed the deadline for Phase I industrial activities operated by municipalities with populations of less than 100,000 people to obtain an NPDES storm water discharge permit. Congress delayed the permitting deadline to allow small municipalities additional time to comply with NPDES requirements. This moratorium on permitting did not apply to power plants, airports, and uncontrolled sanitary landfills operated by small municipalities.

The Phase II Rule slightly extended this temporary exemption from permitting and set a deadline of no later than March 10, 2003 for all ISTEAM-exempted municipally-operated industrial activities to obtain NPDES permit coverage. Of course, like any other regulated industrial activity, these municipally-operated industrial activities are eligible to qualify for the no exposure exclusion from permitting if a condition of no exposure exists. Municipal-operators must follow the same procedures outlined in Section 6.2.4 in order to obtain an exclusion from permitting.

Many of the small municipalities that will now have to obtain permit coverage for their industrial activity will also have to obtain permit coverage for their small MS4 (see section 4.0) and small construction activity (see section 5.0). The Phase II regulation deadlines for industrial, small MS4, and small construction permit coverage are all the same – no later than March 10, 2003 – to allow the NPDES permitting authority to issue one individual permit that covers all three components if it chooses to do so.

## 7.0 THE COMPLIANCE ASSURANCE PROCESS

After reading section 7, you should understand how EPA will determine compliance, what happens if you or the EPA discovers noncompliance, and where to go for compliance assistance information.

### 7.1 How Will EPA Determine Compliance?

EPA employs several approaches to monitor compliance with its environmental regulations, including both EPA-initiated and facility-initiated methods.

1. **Inspections** – EPA may conduct periodic inspections at facilities subject to this regulation. Inspections may be initiated by disclosures to EPA, randomly selecting facilities, or a variety of targeting methods. Inspections may be used, for instance, to monitor recordkeeping requirements, visit sites where storm water controls should be in place, and/or verify that facilities have permits.
2. **Permits, Records, and Reports** – Permits are not required for small construction sites and regulated small MS4s for up to three years and 90 days from the effective date of the final rule. After general permits are issued, the NPDES permitting authorities intend to use the data in storm water permit applications, construction waiver certifications, storm water pollution prevention plans (SWPPPs), no exposure certifications, records, and reports (as required by the Phase II regulation) to set appropriate permit conditions and track discharges covered by a storm water permit. Compliance and enforcement authorities will use the information to assess the regulated entity's level of compliance.
3. **Review of No Exposure Certifications** – Operators of industrial facilities that are eligible for a no exposure exclusion from the NPDES permitting requirements may prepare, and submit for review, a no exposure certification. NPDES authorities will use the information contained in the certification in determining compliance with the no exposure provisions. This information will particularly assist in determining compliance with the no exposure certification in conjunction with complaints from the public.
4. **Self-audit and Self Disclosure** – Facilities have the primary responsibility for ensuring that they are in continuous compliance. EPA encourages the facility to take advantage of EPA's Audit Policy, Small Business Policy, or Small Community Policy (these will be discussed in more detail in section 7.2).

In addition to this document, to aid in determining whether it is in compliance, the facility might use a document currently being developed by EPA entitled "Protocol for Conducting Environmental Compliance Audits under the Storm

Water Program.” This protocol, which is a part of a set containing other statute-specific audit protocols, is a tool to assist and encourage businesses and organizations to perform environmental audits and disclose violations in accordance with EPA’s Audit Policy. The protocol provides guidance on key requirements, defines regulatory terms, gives an overview of the federal laws affecting a particular environmental management area, and includes a checklist for review of the facility. EPA anticipates making the document available for public use in summer 2000. To see a sample of protocols that have been completed under other statutes (RCRA, EPCRA, CERCLA), visit the Internet site: <http://es.epa.gov/oeca/ccsmd/profile.html>.

### 7.2 If I Discover a Violation, How Can I Work With The Agency to Correct It?

EPA promotes environmental compliance by providing incentives. By participating in compliance assistance programs or voluntarily disclosing violations and promptly correcting violations, businesses may get penalty waivers or reductions. EPA has three policies that potentially apply to entities regulated by the Storm Water Phase II Rule. These policies do not apply if an enforcement action has already been initiated.

**Audit Policy.** The first of these policies is *“Incentives for Self-Policing: Discovery, Disclosure, Correction and Prevention of Violations”* (60 FR 66706), known as the “Audit Policy”. EPA initiated this policy to provide entities of all sizes with incentives to voluntarily discover and promptly disclose and correct violations of environmental regulations. For a more detailed description of the Audit Policy, visit the Internet site at: [www.epa.gov/oeca/polguid/polyguid1.html](http://www.epa.gov/oeca/polguid/polyguid1.html).

**Small Business Policy.** EPA’s *“Policy on Compliance Incentives for Small Business”* was developed to help small businesses with 100 or fewer employees achieve environmental compliance by creating benefits for businesses that make a good faith effort to comply with environmental regulations before a government agency discovers a violation or otherwise takes an enforcement action. The Policy currently provides incentives, such as penalty waivers or penalty reduction, for businesses that participate in on-site compliance assistance programs or conduct environmental audits to discover, disclose, and correct violations. The Policy is presently being modified to broaden when and how a small business can take advantage of the Policy. Revisions are expected in spring of 2000. Please see [www.epa.gov/oeca/polguid](http://www.epa.gov/oeca/polguid) or contact Ginger Gotliffe (202-564-7072) for more information.

**Small Community Policy.** The *“Policy on Flexible State Enforcement Responses to Small Community Violations”* (November, 1995) promotes alternative strategies for communities to achieve environmental and economic goals. States are encouraged to use multimedia compliance assistance and prioritize compliance issues to address specific needs of their small communities. As long as states work within the parameters of the Policy, EPA will generally defer to their decision to waive part or all of the penalty for a small community’s environmental violations. This approach allows small

communities to apply their limited resources to fixing their environmental problems, rather than to paying penalties. The policy applies to communities generally comprised of fewer than 2,500 residents. In the context of the Storm Water Phase II Rule, small MS4s that are not eligible for waivers from their regulatory requirements would be most likely to take advantage of this policy. For a more detailed description of the Small Communities Policy, visit the Internet sites: [www.epa.gov/oeca/scpolicy.html](http://www.epa.gov/oeca/scpolicy.html) or [www.epa.gov/oeca/ccsmd/mun.html](http://www.epa.gov/oeca/ccsmd/mun.html).

### 7.3 Where Can I Go for Compliance Assistance on the Storm Water Phase II Rule?

The permitting authority is the leading source for information on the Storm Water Phase II Rule. EPA is also developing a "tool box" to assist States, Tribes, municipalities, and other parties involved in the Phase II program. This tool box will facilitate implementation of the storm water program in an effective and cost-efficient manner. The tool box is available on EPA's web page at <http://www.epa.gov/owm/sw/phase2> and consists of the following eight major components:

- Fact Sheets
- Guidance Documents
- Menu of BMPs
- Training and Outreach Efforts
- Information Clearinghouse
- Technical Research
- Support for Demonstration Projects
- Compliance Monitoring/Assistance Tools

In addition, EPA provides widely available compliance assistance through the establishment of national compliance assistance centers, in partnership with industry, academic institutions, and other federal and state agencies. Centers have been established that provide services for several industries that contain many small businesses. Compliance assistance centers offer a range of communications services, including Web sites, e-mail groups, fax-back systems, and telephone assistance lines. Each Center is targeted to a specific sector and explains relevant federal environmental regulations. For instance, local governments can use the services of the Local Government Environmental Assistance Network (LGEAN). LGEAN is a "first-stop shop" providing environmental management, planning, and regulatory information for local government elected and appointed officials, managers, and staff. It provides 24-hour access to regulatory and pollution prevention information, message boards, regulatory updates, grants and information, and more. It is a good source for compliance assistance information on the Storm Water Phase II Rule.

For more information on EPA's compliance assistance centers, please contact Tracy Back (202-564-7076). You can access all the centers through [www.epa.gov/oeca/mcfac.html](http://www.epa.gov/oeca/mcfac.html) or individually at:

### EPA's Compliance Assistance Centers

Center	Phone	Web Address
Local Government Environmental Assistance Network (LGEAN)	1-877-TO-LGEAN	<a href="http://www.lgean.org">www.lgean.org</a>
National Metal Finishing Resource Center	1-800-AT-NMFRC	<a href="http://www.nmfrc.org">www.nmfrc.org</a>
Printers' National Environmental Assistance Center	1-888-USPNEAC	<a href="http://www.pneac.org">www.pneac.org</a>
CCAR-Greenlink (the Automotive Compliance Information Assistance Center)	1-888-GRN-LINK	<a href="http://www.ccar-greenlink.org">www.ccar-greenlink.org</a>
National Agriculture Compliance Assistance Center	1-888-663-2155	<a href="http://www.epa.gov/oeca/ag">www.epa.gov/oeca/ag</a>
Printed Wiring Board Resource Center	1-734-995-4911	<a href="http://www.pwbrc.org">www.pwbrc.org</a>
ChemAlliance	1-800-672-6048	<a href="http://www.chemalliance.org">www.chemalliance.org</a>
Transportation Environmental Resource Center	1-888-459-0656	<a href="http://www.transource.org">www.transource.org</a>
Paints and Coatings Resource Center	1-800-286-6372	<a href="http://www.paintcenter.org">www.paintcenter.org</a>





### 7.4 If the Agency Discovers a Violation, What Might Be Its Response?

To maximize compliance, EPA implements a balanced program of compliance assistance, compliance incentives, and traditional law enforcement. EPA knows that small businesses which must comply with complicated new statutes or rules often want to do the right thing, but may lack the requisite knowledge, resources, or skills. Compliance assistance information and technical advice helps small businesses to understand and meet their environmental obligations. Compliance incentives, such as our Small Business Policy, encourage persons to voluntarily discover, disclose, and correct violations before they are identified by the government. EPA's strong law enforcement program protects all of us by targeting persons who neither comply nor cooperate to address their problems.



EPA uses a variety of methods to determine whether regulated entities are complying, including inspecting facilities, reviewing records and reports, and responding to citizen complaints. If we learn an entity is violating the law, EPA (or a State, if the program is delegated) may file an enforcement action seeking penalties of up to \$27,500, per violation, per day. While the statutory maximum penalty is currently \$27,500, it may be increased periodically based on inflation in accordance with the Debt Collection Improvement Act of 1996. The proposed penalty in a given case will depend on many factors, including the number, length, and severity of the violations, the economic benefit obtained by the violator, and its ability to pay. EPA has policies in place to ensure penalties are calculated fairly. These policies are available to the public. In addition, any company charged with a violation has the right to contest EPA's allegations and proposed penalty before an impartial judge or jury.

EPA recognizes that we can achieve the greatest possible protection by encouraging businesses and organizations to work with us to discover, disclose, and correct violations. That is why we have issued Audit, Small Business, and Small Community policies to eliminate or reduce penalties for small and large entities which cooperate with EPA to address compliance problems. To help the regulated community in understanding their requirements for compliance with the rule, EPA provides compliance assistance through its regional offices, Office of Enforcement and Compliance Assurance at Headquarters, and national compliance assistance centers partners.

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**ABBREVIATIONS:**

BAT	Best Available Technology Economically Achievable (applies to non-conventional and toxic pollutants)
BCT	Best Conventional Pollutant Control Technology (applies to conventional pollutants)
BMP	Best Management Practice
BPJ	Best Professional Judgment
BPT	Best Practicable Control Technology Currently Available (generally applies to conventional pollutants and some metals)
CFR	Code of Federal Regulations
CGP	Construction General Permit
COD	Chemical Oxygen Demand
CSO	Combined Sewer Overflow
CWA	Clean Water Act (formerly referred to as the Federal Water Pollution Control Act or Federal Water Pollution Control Act Amendments of 1972)
CZARA	Coastal Zone Act Reauthorization Amendments
D.O.	Dissolved Oxygen
DMR	Discharge Monitoring Report
ELG	Effluent Limitations Guidelines
EPA	Environmental Protection Agency
FR	Federal Register
MEP	Maximum Extent Practicable
MS4	Municipal Separate Storm Sewer System
MSGP	Multi Sector General Permit
NOI	Notice of Intent
NOT	Notice of Termination
NOV	Notice of Violation
NPDES	National Pollutant Discharge Elimination System
NPS	Non-point Source
O&M	Operation and Maintenance
OW	Office of Water
OWM	Office of Wastewater Management
PA	Permitting Authority
POTW	Publicly Owned Treatment Works
SIC	Standard Industrial Classification
SWPPP	Storm Water Pollution Prevention Plan
TMDL	Total Maximum Daily Load
TSS	Total Suspended Solids
UA	Urbanized Area

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## DEFINITIONS:

**Best Available Treatment(BAT)/Best Control Technology (BCT):** A level of technology based on the very best (state of the art) control and treatment measures that have been developed or are capable of being developed and that are economically achievable within the appropriate industrial category.

**Best Management Practices (BMPs):** Activities or structural improvements that help reduce the quantity and improve the quality of storm water runoff. BMPs include treatment requirements, operating procedures, and practices to control site runoff, spillage or leaks, sludge or waste disposal, or drainage from raw material storage.

**Category (xi) facilities:** Specific facilities classified as light industry with equipment or materials exposed to storm water.

**Clean Water Act (Water Quality Act):** (formerly the Federal Water Pollution Control Act or Federal Water Pollution Control Act Amendments of 1972). Public law 92-500; 33 U.S.C. 1251 et seq.; legislation which provides statutory authority for the NPDES program. Also know as the Federal Water Pollution Control Act.

**Conveyance:** The process of water moving from one place to another.

**Discharge:** The volume of water (and suspended sediment if surface water) that passes a given location within a given period of time.

**Erosion:** When land is diminished or worn away due to wind, water, or glacial ice. Often the eroded debris (silt or sediment) becomes a pollutant via storm water runoff. Erosion occurs naturally but can be intensified by land clearing activities such as farming, development, road-building, and timber harvesting.

**Excavation:** The process of removing earth, stone, or other materials from land.

**General Permit:** A permit issued under the NPDES program to cover a certain class or category of storm water discharges. These permits reduce the administrative burden of permitting storm water discharges.

**Grading:** The cutting and/or filling of the land surface to a desired slope or elevation.

**Illicit Connection:** Any discharge to a municipal separate storm sewer that is not composed entirely of storm water and is not authorized by an NPDES permit, with some exceptions (e.g., discharges due to fire fighting activities).

**Industrial Activity:** Any activity which is directly related to manufacturing, processing or raw materials storage areas at an industrial plant.

**Large Municipal Separate Storm Sewer System (MS4):** An MS4 located in an incorporated place or county with a population of 250,000 or more, as determined by

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the latest U.S. Census

**Light Manufacturing Facilities:** Described under Category (xi) of the definition of "storm water discharges associated with industrial activity." [40 CFR 122.26(b)(14)(xi)] Under the Phase I NPDES Storm Water Program, these facilities were eligible for exemption from storm water permitting requirements if certain areas and activities were not exposed to storm water. As a result of the Phase II Final Rule, these facilities must now certify to a condition of no exposure.

**Maximum Extent Practicable (MEP):** A standard for water quality that applies to all MS4 operators regulated under the NPDES Storm Water Program. Since no precise definition of MEP exists, it allows for maximum flexibility on the part of MS4 operators as they develop and implement their programs.

**Medium Municipal Separate Storm Sewer System (MS4):** MS4 located in an incorporated place or county with a population of 100,000 or more but less than 250,000, as determined by the latest U.S. Census.

**Municipal Separate Storm Sewer System (MS4):** A publically-owned conveyance or system of conveyances that discharges to waters of the U.S. and is designed or used for collecting or conveying storm water, is not a combined sewer, and is not part of a publicly-owned treatment works (POTW).

**Multi-Sector General Permit (MSGP):** An NPDES permit that regulates storm water discharges from eleven categories of industrial activities.

**No exposure:** All industrial materials or activities are protected by a storm resistant shelter to prevent exposure to rain, snow, snowmelt, and/or runoff. Industrial materials or activities include, but are not limited to, material handling equipment or activities, industrial machinery, raw materials, intermediate products, by-products, final products, or waste products. Material handling activities include the storage, loading and unloading, transportation, or conveyance of any raw material, intermediate product, final product or waste product.

**Non-authorized States:** any State that does not have the authority to regulate the NPDES Storm Water Program.

**Non-point Source (NPS) Pollutants:** Pollutants from many diffuse sources. NPS pollution is caused by rainfall or snowmelt moving over and through the ground. As the runoff moves, it picks up and carries away natural and human-made pollutants, finally depositing them into lakes, rivers, wetlands, coastal waters, and even our underground sources of drinking water.

**Notice of Intent (NOI):** An application to notify the permitting authority of a facility's intention to be covered by a general permit; exempts a facility from having to submit an individual or group application.

**NPDES:** "National Pollutant Discharge Elimination System" the name of the surface water quality program authorized by Congress as part of the 1987 Clean Water Act. This is EPA's program to control the discharge of pollutants to waters of the United States (see 40 CFR 122.2).

**O&M Expenditures:** The operating and maintenance costs associated with the continual workings of a project.

**Outfall:** The point where wastewater or drainage discharges from a sewer pipe, ditch, or other conveyance to a receiving body of water.

**Permitting Authority (PA):** The NPDES-authorized state agency or EPA regional office that administers the NPDES Storm Water Program. PAs issue permits, provide compliance assistance, and inspect and enforce the program.

**Physically interconnected MS4:** This means that one MS4 is connected to a second MS4 in such a way that it allows for direct discharges into the second system.

**Point Source Pollutant:** Pollutants from a single, identifiable source such as a factory or refinery.

**Pollutant Loading:** The total quantity of pollutants in storm water runoff.

**Qualifying local program:** A local, State or Tribal municipal storm water management program that imposes, at a minimum, the relevant requirements of one or more of the minimum control measures includes in 122.34(b).

**Regulated MS4:** Any MS4 covered by the NPDES Storm Water Program (regulated small, medium, or large MS4s).

**Retrofit:** The modification of storm water management systems through the construction and/or enhancement of wet ponds, wetland plantings, or other BMPs designed to improve water quality

**Runoff:** Drainage or flood discharge that leaves an area as surface flow or as pipeline flow. Has reached a channel or pipeline by either surface or sub-surface routes.

**Sanitary Sewer:** A system of underground pipes that carries sanitary waste or process wastewater to a treatment plant.

**Sediment:** Soil, sand, and minerals washed from land into water, usually after rain. Sediment can destroy fish-nesting areas, clog animal habitats, and cloud waters so that sunlight does not reach aquatic plants.

**Sheet flow:** The portion of precipitation that moves initially as overland flow in very shallow depths before eventually reaching a stream channel.

**Site Plan:** A graphical representation of a layout of buildings and facilities on a parcel of land.

**Site Runoff:** Any drainage or flood discharge that is released from a specified area.

**Small Municipal Separate Storm Sewer System (MS4):** Any MS4 that is not regulated under Phase I of the NPDES Storm Water Program and Federally-owned MS4s.

**Stakeholder:** An entity that holds a special interest in an issue or program -- such as the storm water program -- since it is or may be affected by it.

**Standard Industrial Classification (SIC) Code:** A four digit number which is used to identify various types of industries.

**Storm Drain:** A slotted opening leading to an underground pipe or an open ditch for carrying surface runoff.

**Storm Water:** Precipitation that accumulates in natural and/or constructed storage and storm water systems during and immediately following a storm event.

**Storm Water Management:** Functions associated with planning, designing, constructing, maintaining, financing, and regulating the facilities (both constructed and natural) that collect, store, control, and/or convey storm water.

**Storm Water Pollution Prevention Plan (SWPPP):** A plan to describe a process whereby a facility thoroughly evaluates potential pollutant sources at a site and selects and implements appropriate measures designed to prevent or control the discharge of pollutants in storm water runoff.

**Surface Water:** Water that remains on the surface of the ground, including rivers, lakes, reservoirs, streams, wetlands, impoundments, seas, estuaries, etc.

**Total Maximum Daily Load (TMDL):** The maximum amount of pollutants which can be released into a water body without adversely affecting the water quality.

**Tool Box:** A term to describe the activities and materials that EPA plans to perform/produce to facilitate implementation of the storm water program in an effective and cost-efficient manner. The eight components include: 1) fact sheets; 2) guidance documents; 3) menu of BMPs; 4) compliance assistance; 5) information clearing house; 6) training and outreach efforts; 7) technical research; and 8) support for demonstration projects.

**Urbanized Area (UA):** A Bureau of the Census determination of a central place (or places) and the adjacent densely settled surrounding territory that together have a minimum residential population of 50,000 people and a minimum average density of 1,000 people/square mile. This is a simplified definition of a UA, the full definition is very complex.

**Urban Runoff:** Storm water from urban areas, which tends to contain heavy concentrations of pollutants from urban activities.

**Watershed:** That geographical area which drains to a specified point on a water course, usually a confluence of streams or rivers (also known as drainage area, catchment, or river basin).

**Wet Weather Flows:** Water entering storm drains during rainstorms/wet weather events.

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**Region 1 (CT, MA, ME, NH, RI, VT)**

Environmental Protection Agency  
1 Congress St. Suite 1100  
Boston, MA 02114-2023

<http://www.epa.gov/region01/>

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Environmental Protection Agency  
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Seattle, WA 98101

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<http://www.epa.gov/owm/sw/phase2>

Storm Water Phase II Final Rule Fact Sheet Series, January 2000

A series of 15 fact sheets breaking the final rule into separate parts.

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