



U.S. Environmental Protection Agency
Region 10
Office of Water and Watersheds
NPDES Permits Unit

National Pollutant Discharge Elimination System (NPDES) Program

State Authorization Guidance

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Staff within the U.S. Environmental Protection Agency (EPA) - Region 10, Office of Water and Watersheds (OWW), NPDES Permits Unit (NPU) developed this guidance to facilitate discussions about the State of Idaho's NPDES program authorization submission. Clean Water Act (CWA) and NPDES implementing regulations govern NPDES program authorization. CWA provisions and regulations contain legally binding requirements. This document does not substitute for those provisions or regulations, but rather, summarizes the applicable requirements. This document does not create any regulatory requirements or bind the Agency or any other parties. This document is for informational purposes only and does not represent official EPA policy or guidance.

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Executive Summary

The State Authorization Guidance is intended to provide information to the State of Idaho about the elements of the National Pollutant Discharge Elimination System (NPDES) program and the process of program delegation. In addition to fulfilling all program requirements, the State must possess sufficient legal authority to implement the NPDES program as provided in the Clean Water Act (CWA) and EPA regulations.

The EPA may authorize qualified state, territorial, or tribal government agencies to implement all or parts of the NPDES program. States, territories, or tribes (hereafter *states*) are authorized through a process defined by CWA section 402(b) and NPDES regulations 40 CFR Part 123 – State Program Requirements. A state seeking authorization to administer the NPDES program must submit to the EPA a letter from the governor requesting review and approval of its program submission. The program submission requirements include a Memorandum of Agreement (MOA), a Program Description, a Statement of Legal Authority (also known as an *Attorney General's Statement* or *AG Statement*), and the underlying state laws and regulations. In accordance with Part 123, the EPA determines whether the package is complete within 30 days of receipt. Within 90 days of receipt, the EPA renders a decision to approve or disapprove the program. The time for review can be extended by agreement. The process of authorization includes a public review and comment period, and a public hearing.

States may apply for the authority to issue one or more of the following five types of NPDES authorization:

- NPDES Base Program for individual municipal and industrial facilities
- General Permit Program
- Pretreatment Program ([40 CFR 403](#))
- Federal Facilities Program
- Biosolids (Sewage Sludge) Program ([40 CFR 503](#))

A state can receive authorization for one or more of the above NPDES program components or portions thereof in accordance with CWA Section 402(n). If the state did not receive authority for one component, the authority would reside with the EPA.

The NPDES implementing regulations at [40 CFR Part 122](#) cover four broad areas:

- *Subpart A - Definitions and General Program Requirements* such as: exclusions, prohibitions, continuation of permits,
- *Subpart B - Permit Application and Special NPDES Program Requirements* such as: CAFOs, storm water discharges, general permit requirements, municipal separate storm sewer system (MS4) requirements,
- *Subpart C - Permit Conditions*, and
- *Subpart D - Transfer, Modification, Revocation, Reissuance and Termination of Permits.*

I. NPDES Program Basics

From the 1948 Federal Water Pollution Control Act (FWPCA) to the 1977 Clean Water Act (CWA) to the Water Quality Act (WQA) of 1987, the NPDES permitting program evolved from environmental legislation to control water quality degradation. Under the NPDES Program, all facilities, which discharge pollutants from any point source into waters of the United States, are required to obtain an NPDES permit. Improvements to the quality of water in this country can be directly linked to the implementation of the NPDES program and the control of pollutants discharged from both municipal and industrial point sources into waters of the United States. Individual and general permits set technology-based and water quality-based effluent limits to maintain environmental standards that ensure safe water for the enjoyment of all. Additional information about the NPDES program and NPDES Permitting is available on EPA's webpage.

NPDES Permit Program Basics (<http://water.epa.gov/polwaste/npdes/basics/index.cfm>)

NPDES Permitting 101 (<http://www.epa.gov/npdes/pubs/101pape.pdf>)

II. State NPDES Program Authority

The EPA may authorize qualified state, territorial, or tribal government agencies to implement all or parts of the NPDES program. States, territories, or tribes (hereafter *states*) are authorized through a process defined by CWA section 402(b) and NPDES regulations Part 123 – State Program Requirements. A state seeking authorization to administer the NPDES program must submit to the EPA a letter from the governor requesting review and approval of its program submission. The program submission requirements include a Memorandum of Agreement (MOA), a Program Description, a Statement of Legal Authority (also known as an *Attorney General's Statement* or *AG Statement*), and the underlying state laws and regulations. In accordance with Part 123, the EPA determines whether the package is complete within 30 days of receipt. Within 90 days of receipt, the EPA renders a decision to approve or disapprove the program. The time for review can be extended by agreement. The process of authorization includes a public review and comment period, and a public hearing.

States may apply for the authority to issue one or more of the following five types of NPDES authorization:

- NPDES Base Program for individual municipal and industrial facilities
- General Permit Program
- Pretreatment Program
- Federal Facilities Program
- Biosolids (Sewage Sludge) Program

A state can receive authorization for one or more of the NPDES program components or portions thereof in accordance with CWA Section 402(n). For example, a state might receive authorization for the NPDES Base Program, General Permit Program,

Pretreatment Program, the Federal Facilities Program but not the Biosolids Program. In such a case, the EPA continues to implement the Biosolids Program.

Table 1. Status of Program Delegation – Region 10 States

State	Approved State NPDES Permit Program	Approved to Regulate Federal Facilities	Approved State Pretreatment Program	Approved General Permits Program	Approved Biosolids (Sludge) Program
Alaska	✓	✓	✓	✓	
Idaho					
Oregon	✓	✓	✓	✓	
Washington	✓		✓	✓	

If the EPA approves a program, the state assumes permitting authority in lieu of the EPA. All new permit applications would then be submitted to the state agency for NPDES permit issuance. Certain permits issued before authorization might continue under EPA administration as set forth in the MOA. Even after a state receives NPDES authorization, the EPA continues to issue NPDES permits on tribal lands within the boundaries of the state (if the tribe is not administering its own approved NPDES program). Following authorization, the EPA also continues its national program management responsibilities by ensuring that state programs meet applicable federal requirements. If the EPA disapproves the program, the EPA remains the permitting authority for that state.¹

Additional information about state and tribal program authorizations is available on EPA’s website accessible through the following hyperlinks.²

- Map of Authorized States and Territories
<http://water.epa.gov/polwaste/npdes/basics/upload/State_NPDES_Prog_Auth.pdf>
- Chart of Authorized States and Territories
<<http://water.epa.gov/polwaste/npdes/basics/NPDES-State-Program-Status.cfm>>
- Specific State Program Status
<<http://water.epa.gov/polwaste/npdes/basics/State-Program-Status.cfm>>
- Contact information for State and Territory NPDES Programs
<<http://water.epa.gov/polwaste/npdes/NPDES-State-Contacts.cfm>>

III. Roles and Responsibilities of the Federal and State Authorities

The EPA is the permitting authority and issues all permits, conducts all compliance and monitoring activities, and enforces all program requirements until the state program is authorized.

¹ U.S. EPA, NPDES Permit Writers’ Manual, September 2010. p. 2-2, 2-4.
<http://www.epa.gov/npdes/pubs/pwm_2010.pdf>

² State and Tribal Program Authorization Status <<http://water.epa.gov/polwaste/npdes/basics/US-State-Information.cfm>>

If a state has only partial authority, the EPA will implement the other program activities for which the state lacks authority. For example, where a state has an approved NPDES program but has not received EPA approval of its state sewage sludge management program, the EPA Region is responsible for including conditions to implement the Part 503 Standards for the Use or Disposal of Sewage Sludge in permits issued to treatment works treating domestic sewage (TWTDS) in that state. The EPA could issue a separate permit with the applicable sewage sludge standards and requirements, or collaborate with the state on joint issuance of NPDES permits containing the Part 503 sewage sludge standards. The same process also applies where a state has not received approval of its pretreatment program or federal facilities program. One exception to that process is when an NPDES-authorized state is not approved to implement the general permit program. In such cases, the EPA may not issue a general permit in that state as clarified in the memorandum EPA’s Authority to Issue NPDES General Permits in Approved NPDES States.

Once a state is authorized to issue permits, the EPA generally is precluded from issuing permits in the state; however, the EPA must be provided with an opportunity to review certain permits and may formally object to elements that conflict with federal requirements. If the permitting agency does not satisfactorily address the points of objection, the EPA will issue the permit directly. Once a permit is issued through a government agency, it is enforceable by the approved state and federal agencies (including the EPA) with legal authority to implement and enforce the permit. Private citizens may also bring a civil action in federal court against an alleged violator or against the EPA Administrator for alleged failure to enforce NPDES permit requirements. The figure below presents a summary of federal and state roles before and after program authorization.³

Figure 1. Summary of federal and state/territorial/tribal roles in the NPDES permitting program

<p>Before state/territorial/tribal program approval: EPA issues permits EPA conducts compliance and monitoring activities EPA enforces State/territory/tribe reviews permits and grants CWA section 401 certification</p>
<p>After state/territorial/tribal program approval: State/territory/tribe issues permits State/territory/tribe conducts compliance and monitoring activities State/territory/tribe enforces EPA provides administrative, technical and legal support EPA ensures state program meets federal requirements EPA offers NPDES program training EPA oversees grants to states (e.g., CWA section 106) EPA reviews permits and, as necessary, comments or objects EPA oversees enforcement of permits, and also retains concurrent enforcement authority</p>

³ U.S. EPA, NPDES Permit Writers’ Manual, September 2010. Pp. 2-5.
http://www.epa.gov/npdes/pubs/pwm_2010.pdf

IV. State Program Requirements (40 CFR Part 123)

40 CFR Part 123 describes the elements of a state program, program submission requirements, roles and responsibilities of the State and the EPA regarding the sharing of information and the review of permits, and the EPA's procedures for reviewing a state program submission, revising and withdrawal requirements.

The following section includes the regulatory text along with Region 10 expectations, commentary and informational updates. Non-regulatory text is identified in a shaded box to distinguish it from regulatory text.

For example, Region 10 explanatory text is identified by use of a highlighted box of text.

A. Subpart A—General

§123.1 Purpose and scope

(a) This part specifies the procedures EPA will follow in approving, revising, and withdrawing State programs and the requirements State programs must meet to be approved by the Administrator under sections 318, 402, and 405(a) (National Pollutant Discharge Elimination System—NPDES) of the CWA.⁴ This part also specifies the procedures EPA will follow in approving, revising, and withdrawing State programs under section 405(f) (sludge management programs) of the CWA. The requirements that a State sewage sludge management program must meet for approval by the Administrator under section 405(f) are set out at 40 CFR Part 501.

(b) These regulations are promulgated under the authority of sections 304(i), 101(e), 405, and 518(e) of the CWA, and implement the requirements of those sections.

(c) The Administrator will approve State programs which conform to the applicable requirements of this part. A State NPDES program will not be approved by the Administrator under section 402 of CWA unless it has authority to control the discharges specified in sections 318 and 405(a) of CWA. Permit programs under sections 318 and 405(a) will not be approved independent of a section 402 program.

(d)

(1) Upon approval of a State program, the Administrator shall suspend the issuance of Federal permits for those activities subject to the approved State program. After program approval EPA shall retain jurisdiction over any permits (including general permits) which it has issued unless arrangements have been made with the State in the Memorandum of Agreement for the State to assume responsibility for these permits. Retention of jurisdiction shall include the processing of any permit appeals, modification requests, or variance requests; the conduct of inspections, and the receipt and review of self-monitoring reports. If any permit appeal, modification

⁴ Clean Water Act, <<http://www2.epa.gov/laws-regulations/summary-clean-water-act>>
pdf version <<http://www.epw.senate.gov/water.pdf>>

request or variance request is not finally resolved when the federally issued permit expires, EPA may, with the consent of the State, retain jurisdiction until the matter is resolved.

It will be important for the State and the EPA to discuss and coordinate the smooth transfer of permits. Details about program transfer will be conveyed in the MOA.

The EPA will suspend its permit activities upon approval of the State program. All expired permit and permit applications not acted upon will be transferred to the State. The EPA will also transfer all active permits to the State. The State must develop appropriate statutory and/or regulatory authority to take over active NPDES permits and ensure that administratively extended permit remain in effect.

The EPA would retain jurisdiction over permits under appeal or enforcement action until the actions are resolved.

(2) Deleted - applicable to Indian Tribes only.

(e) Upon submission of a complete program, EPA will conduct a public hearing, if interest is shown, and determine whether to approve or disapprove the program taking into consideration the requirements of this part, the CWA and any comments received.

Additionally, the EPA will initiate government-to-government consultation with affected tribes.

(f) Any State program approved by the Administrator shall at all times be conducted in accordance with the requirements of this part.

Once a state received program authority, it must conduct its program in accordance with Part 123 and agreements with EPA as stipulated in the MOA.

(g)

(1) Except as may be authorized pursuant to paragraph (g)(2) of this section or excluded by §122.3, the State program must prohibit all point source discharges of pollutants, all discharges into aquaculture projects, and all disposal of sewage sludge which results in any pollutant from such sludge entering into any waters of the United States within the State's jurisdiction except as authorized by a permit in effect under the State program or under section 402 of CWA. NPDES authority may be shared by two or more State agencies but each agency must have Statewide jurisdiction over a class of activities or discharges. When more than one agency is responsible for issuing permits, each agency must make a submission meeting the requirements of §123.21 before EPA will begin formal review.

(2) A State may seek approval of a partial or phased program in accordance with section 402(n) of the CWA.

(h) In many cases, States (other than Indian Tribes) will lack authority to regulate activities on Indian lands. This lack of authority does not impair that State's ability to obtain full program approval in accordance with this part, i.e., inability of a State to regulate activities on Indian lands does not constitute a partial program. EPA will administer the program on Indian lands if a State (or Indian Tribe) does not seek or have authority to regulate activities on Indian lands.

The EPA will administer the NPDES program on Indian reservations, other Indian country, or in disputed areas.

Note: States are advised to contact the United States Department of the Interior, Bureau of Indian Affairs, concerning authority over Indian lands.

(i) Nothing in this part precludes a State from:

- (1) Adopting or enforcing requirements which are more stringent or more extensive than those required under this part;
- (2) Operating a program with a greater scope of coverage than that required under this part. If an approved State program has greater scope of coverage than required by Federal law the additional coverage is not part of the Federally approved program.

Note: For example, if a State requires permits for discharges into publicly owned treatment works, these permits are not NPDES permits.

B. Subpart B—State Program Submissions

§123.21 Elements of a program submission

(a) Any State that seeks to administer a program under this part shall submit to the Administrator at least three copies of a program submission. The submission shall contain the following:

- (1) A letter from the Governor of the State (or in the case of an Indian Tribe in accordance with §123.33(b), the Tribal authority exercising powers substantially similar to those of a State Governor) requesting program approval;
- (2) A complete program description, as required by §123.22, describing how the State intends to carry out its responsibilities under this part;
- (3) An Attorney General's statement as required by §123.23;
- (4) A Memorandum of Agreement with the Regional Administrator as required by §123.24;
- (5) Copies of all applicable State statutes and regulations, including those governing State administrative procedures;

(b)

(1) Within 30 days of receipt by EPA of a State program submission, EPA will notify the State whether its submission is complete. If EPA finds that a State's submission is complete, the statutory review period (i.e., the period of time allotted for formal EPA review of a proposed State program under CWA) shall be deemed to have begun on the date of receipt of the State's submission. If EPA finds that a State's submission is incomplete, the statutory review period shall not begin until all the necessary information is received by EPA.

(2) In the case of an Indian Tribe eligible under §123.33(b), EPA shall take into consideration the contents of the Tribe's request submitted under §123.32, in determining if the program submission required by §123.21(a) is complete.

(c) If the State's submission is materially changed during the statutory review period, the statutory review period shall begin again upon receipt of the revised submission.

(d) The State and EPA may extend the statutory review period by agreement.

The EPA expects that the State will submit draft copies of its program description (including implementation procedures), regulations, any additional legislative changes and the MOA for EPA review and comment. This should facilitate the EPA's understanding of the State's program and program approval.

The regulations contemplate that EPA will determine completeness within 30 days. If complete, the statutory review period begins on the date of the program submittal. If the State's proposed program is materially changed after being submitted, then the review clock stops and would start upon receipt of the changes. EPA and the State can change the statutory review period upon agreement. Based on experience from previous approvals of state programs (e.g. Alaska, Arizona and Maine), it is expected that more time will be necessary to review and approve the program. On average, it may take approximately one and one-half to two years for the EPA to formally approve a state program, depending how extensively EPA and the state work together on the application prior to submission.

§123.22 Program description.

Any State that seeks to administer a program under this part shall submit a description of the program it proposes to administer in lieu of the Federal program under State law or under an interstate compact. The program description shall include:

(a) A description in narrative form of the scope, structure, coverage and processes of the State program.

The EPA expects the program description to include:

- An overview of the program in clear and concise language that can be easily understood by the public.
- A detailed discussion of the State’s procedures, legal authority, staffing resources and program funding.

Areas to be covered include:

- A description of the programs for which the state is seeking primary (base program of individual permitting, general permits, pretreatment, federal facilities, biosolids)
- A description of the NPDES program in general terms.
- An explanation how the State will administer the program and the overall organization.
- Description of permits, Types: individual permit, general permits, stormwater permits (both individual and general), Categories: Major, Minor. Refer to Section VIII, an approximation of the current permits in Idaho.

Note: Stormwater is typically covered under general permits. The EPA assumes the State will want to use general permits to cover various industrial and construction stormwater discharges. The State may choose to use EPA’s general permits as models. Refer to EPA’s [Multi-Sector General Permit \(MSGP\)](#) covering stormwater discharges from industrial activities and the [Construction General Permit \(CGP\)](#) for stormwater discharges related to construction activities.

(b) A description (including organization charts) of the organization and structure of the State agency or agencies which will have responsibility for administering the program, including the information listed below. If more than one agency is responsible for administration of a program, each agency must have statewide jurisdiction over a class of activities. The responsibilities of each agency must be delineated, their procedures for coordination set forth, and an agency may be designated as a “lead agency” to facilitate communications between EPA and the State agencies having program responsibility. If the State proposes to administer a program of greater scope of coverage than is required by Federal law, the information provided under this paragraph shall indicate the resources dedicated to administering the Federally required portion of the program.

(1) A description of the State agency staff who will carry out the State program, including the number, occupations, and general duties of the employees. The State need not submit complete job descriptions for every employee carrying out the State program.

(2) An itemization of the estimated costs of establishing and administering the program for the first two years after approval, including cost of the personnel listed in paragraph (b)(1) of this section, cost of administrative support, and cost of technical support.

(3) An itemization of the sources and amounts of funding, including an estimate of Federal grant money, available to the State Director for the first two years after approval to meet the costs listed in paragraph (b)(2) of this section, identifying any restrictions or limitations upon this funding.

(c) A description of applicable State procedures, including permitting procedures and any State administrative or judicial review procedures;

(d) Copies of the permit form(s), application form(s), and reporting form(s) the State intends to employ in its program. Forms used by States need not be identical to the forms used by EPA but should require the same basic information, except that State NPDES programs are required to use standard Discharge Monitoring Reports (DMR). The State need not provide copies of uniform national forms it intends to use but should note its intention to use such forms. (States are encouraged to use uniform national forms established by the Administrator. If uniform national forms are used, they may be modified to include the State Agency's name, address, logo, and other similar information, as appropriate, in place of EPA's.)

The application should include various forms including permit applications, inspections report, permit templates, fact sheet templates, tracking documents, enforcement documents, etc.

About Discharge Monitoring Reports (DMR):

On July 15, 2013, the EPA proposed the NPDES Electronic Reporting Rule. The EPA encourages state agencies to require the electronic reporting of DMR information. For more information about EPA's Electronic Report Rule refer to EPA's webpage <<http://www2.epa.gov/compliance/proposed-ndpes-electronic-reporting-rule>>.

Many states have developed their own NPDES permit databases to house extensive NPDES permit data. States with their own NDPEs databases must upload data monthly to EPA's [Integrated Compliance Information System \(ICIS\)](#). Other states or permittees directly enter DMR data into ICIS. The State will be required to manually enter or migrate data to ICIS.

In addition to managing DMR data, the state must also establish develop and maintain tools to provide public and stakeholder access to NPDES permits, fact sheets, response to comments and other program and permitted facility documentation. Most states provide this information in an electronic format available on the internet. The state must also develop a public notification process for permit actions including notices of the availability of draft permits, permit modifications and certain enforcement actions.

(e) A complete description of the State's compliance tracking and enforcement program.

The State must have a robust compliance and enforcement program utilizing legal authorities and procedures for addressing non-compliance. A compliance assurance program uses a mix of compliance monitoring, compliance incentives, compliance assistance and enforcement.

Compliance monitoring includes review of DMR data and other permit required submittals, and performing and documenting facility inspections. The EPA goal is to provide annual inspections of major following [40 CFR 123.26\(e\)\(5\)](#) [Inspecting the facilities of all major dischargers at least annually].

Incentives are set of policies that eliminate, reduce or waive penalties under certain conditions for violators who voluntarily discover, disclose and correct compliance problems.

Compliance and technical assistance is a tool used to educate the regulated community about compliance and environmental regulations.

Enforcement is used to protect human health and the environment by taking legal action to address violations of laws, regulations and permits. The State must have the legal authority to undertake administrative, civil and criminal actions.

The enforcement program should include public notification and participation elements.

The State is required to submit compliance information following [40 CFR §123.45](#) Noncompliance and program reporting by the Director.

For more information about NPDES Compliance Monitoring,
<http://www.epa.gov/compliance/monitoring/programs/cwa/npdes.html>

(f) Deleted - applicable to Indian Tribes only.

§123.23 Attorney General's statement.

(a) Any State that seeks to administer a program under this part shall submit a statement from the State Attorney General (or the attorney for those State or interstate agencies which have independent legal counsel) that the laws of the State, or an interstate compact, provide adequate authority to carry out the program described under §123.22 and to meet the requirements of this part. This statement shall include citations to the specific statutes, administrative regulations, and, where appropriate, judicial decisions which demonstrate adequate authority. State statutes and regulations cited by the State Attorney General or independent legal counsel shall be in the form of lawfully adopted State statutes and regulations at the time the statement is signed and shall be fully effective by the time the program is approved. To qualify as “independent legal counsel” the attorney signing the statement required by this section must have full authority to independently represent the State agency in court on all matters pertaining to the State program.

Note: EPA will supply States with an Attorney General's statement format on request.

(b) If a State (which is not an Indian Tribe) seeks authority over activities on Indian lands, the statement shall contain an appropriate analysis of the State's authority.

(c) The Attorney General's statement shall certify that the State has adequate legal authority to issue and enforce general permits if the State seeks to implement the general permit program under §122.28.

The statutes and regulations must be adopted at the time the statement is signed and fully effective by the time the program is approved.

The statement must certify legal authority to implement the general permits program under [40 CFR §122.28](#)—(General permits).

The EPA urges the State to carefully review state laws early in the process of seeking program authorization to ensure the agency's statutory authority meets all the requirements of federal statutes and regulations. In EPA experience, instituting necessary statutory changes requires considerable time and effort on the part of the state.

§123.24 Memorandum of Agreement with the Regional Administrator.

(a) Any State that seeks to administer a program under this part shall submit a Memorandum of Agreement. The Memorandum of Agreement shall be executed by the State Director and the Regional Administrator and shall become effective when approved by the Administrator. In addition to meeting the requirements of paragraph (b) of this section, the Memorandum of Agreement may include other terms, conditions, or agreements consistent with this part and relevant to the administration and enforcement of the State's regulatory program. The Administrator shall not approve any Memorandum of Agreement, which contains provisions which restrict EPA's statutory oversight responsibility.

(b) The Memorandum of Agreement shall include the following:

(1)

(i) Provisions for the prompt transfer from EPA to the State of pending permit applications and any other information relevant to program operation not already in the possession of the State Director (e.g., support files for permit issuance, compliance reports, etc.). If existing permits are transferred from EPA to the State for administration, the Memorandum of Agreement shall contain provisions specifying a procedure for transferring the administration of these permits. If a State lacks the authority to directly administer permits issued by the Federal government, a procedure may be established to transfer responsibility for these permits.

Note: For example, EPA and the State and the permittee could agree that the State would issue a permit(s) identical to the outstanding Federal permit which would simultaneously be terminated.

(ii) Where a State has been authorized by EPA to issue permits in accordance with §123.23(b) on the Federal Indian reservation of the Indian Tribe seeking program approval, provisions describing how the transfer of pending permit applications, permits, and any other information relevant to the program operation not already in the possession of the Indian Tribe (support files for permit issuance, compliance reports, etc.) will be accomplished.

(2) Provisions specifying classes and categories of permit applications, draft permits, and proposed permits that the State will send to the Regional Administrator for review, comment and, where applicable, objection.

(3) Provisions specifying the frequency and content of reports, documents and other information which the State is required to submit to EPA. The State shall allow EPA to routinely review State records, reports, and files relevant to the administration and enforcement of the approved program. State reports may be combined with grant reports where appropriate. These procedures shall implement the requirements of §123.43.

(4) Provisions on the State's compliance monitoring and enforcement program, including:

(i) Provisions for coordination of compliance monitoring activities by the State and by EPA. These may specify the basis on which the Regional Administrator will select facilities or activities within the State for EPA inspection. The Regional Administrator will normally notify the State at least 7 days before any such inspection; and

(ii) Procedures to assure coordination of enforcement activities.

(5) When appropriate, provisions for joint processing of permits by the State and EPA for facilities or activities which require permits from both EPA and the State under different programs. (See §124.4.)

Note: To promote efficiency and to avoid duplication and inconsistency, States are encouraged to enter into joint processing agreements with EPA for permit issuance. Likewise, States are encouraged (but not required) to consider steps to coordinate or consolidate their own permit programs and activities.

(6) Provisions for modification of the Memorandum of Agreement in accordance with this part.

A draft MOA must be submitted with the program submittal. The final MOA will be signed by both the State and the EPA upon program approval and become effective.

(c) The Memorandum of Agreement, the annual program grant and the State/EPA Agreement should be consistent. If the State/EPA Agreement indicates that a change is needed in the Memorandum of Agreement, the Memorandum of Agreement may be amended through the procedures set forth in this part. The State/EPA Agreement may not override the Memorandum of Agreement.

Note: Detailed program priorities and specific arrangements for EPA support of the State program will change and are therefore more appropriately negotiated in the context of annual agreements rather than in the MOA. However, it may still be appropriate to specify in the MOA the basis for such detailed agreements, e.g., a provision in the MOA specifying that EPA will select facilities in the State for inspection annually as part of the State/EPA agreement.

(d) The Memorandum of Agreement shall also specify the extent to which EPA will waive its right to review, object to, or comment upon State-issued permits under section

402(d)(3), (e) or (f) of CWA. While the Regional Administrator and the State may agree to waive EPA review of certain “classes or categories” of permits, no waiver of review may be granted for the following classes or categories:

- (1) Discharges into the territorial sea;
 - (2) Discharges which may affect the waters of a State other than the one in which the discharge originates;
 - (3) Discharges proposed to be regulated by general permits (see §122.28);
 - (4) Discharges from publicly owned treatment works with a daily average discharge exceeding 1 million gallons per day;
 - (5) Discharges of uncontaminated cooling water with a daily average discharge exceeding 500 million gallons per day;
 - (6) Discharges from any major discharger or from any discharger within any of the 21 industrial categories listed in appendix A to part 122;
 - (7) Discharges from other sources with a daily average discharge exceeding 0.5 (one-half) million gallons per day, except that EPA review of permits for discharges of non-process wastewater may be waived regardless of flow.
- (e) Whenever a waiver is granted under paragraph (d) of this section, the Memorandum of Agreement shall contain:
- (1) A statement that the Regional Administrator retains the right to terminate the waiver as to future permit actions, in whole or in part, at any time by sending the State Director written notice of termination; and
 - (2) A statement that the State shall supply EPA with copies of final permits.

The EPA developed a model MOA which serves as a starting point for all revised and new MOAs. Refer to Appendix D (Page 58), for the current version of the model MOA.

§123.25 Requirements for permitting.

- (a) All State Programs under this part must have legal authority to implement each of the following provisions and must be administered in conformance with each, except that States are not precluded from omitting or modifying any provisions to impose more stringent requirements:

Part 122 (EPA Administered Permit Programs: The National Pollutant Discharge Elimination System) and **Part 124** (Procedures for Decisionmaking) contain addition provisions the State must have the legal authority to implement.

Refer to Appendix C: 40 CFR Parts 122 and 124 (Page 54) for the hyperlinks to Part 122 and Part 124.

Note: Each of the following provision include significant requirements the State must incorporate into its permitting processes. The state must have legal authority to implement each provision and the program must be administered in compliance with these provisions.

- (1) §122.4—(Prohibitions);
- (2) §122.5(a) and (b)—(Effect of permit);
- (3) §122.7(b) and (c)—(Confidential information);
- (4) §122.21 (a)-(b), (c)(2), (e)-(k), (m)-(p), (q), and (r)—(Application for a permit);
- (5) §122.22—(Signatories);
- (6) §122.23—(Concentrated animal feeding operations);
- (7) §122.24—(Concentrated aquatic animal production facilities);
- (8) §122.25—(Aquaculture projects);
- (9) §122.26—(Storm water discharges);
- (10) §122.27—(Silviculture);
- (11) §122.28—(General permits), Provided that States which do not seek to implement the general permit program under §122.28 need not do so.
- (12) Section 122.41 (a)(1) and (b) through (n)—(Applicable permit conditions) (Indian Tribes can satisfy enforcement authority requirements under §123.34);
- (13) §122.42—(Conditions applicable to specified categories of permits);
- (14) §122.43—(Establishing permit conditions);
- (15) §122.44—(Establishing NPDES permit conditions);
- (16) §122.45—(Calculating permit conditions);
- (17) §122.46—(Duration);
- (18) §122.47(a)—(Schedules of compliance);
- (19) §122.48—(Monitoring requirements);
- (20) §122.50—(Disposal into wells);

- (21) §122.61—(Permit transfer);
- (22) §122.62—(Permit modification);
- (23) §122.64—(Permit termination);
- (24) §124.3(a)—(Application for a permit);
- (25) §124.5 (a), (c), (d), and (f)—(Modification of permits);
- (26) §124.6 (a), (c), (d), and (e)—(Draft permit);
- (27) §124.8—(Fact sheets);
- (28) §124.10 (a)(1)(ii), (a)(1)(iii), (a)(1)(v), (b), (c), (d), and (e)—(Public notice);
- (29) §124.11—(Public comments and requests for hearings);
- (30) §124.12(a)—(Public hearings); and
- (31) §124.17 (a) and (c)—(Response to comments);
- (32) §124.56—(Fact sheets);
- (33) §124.57(a)—(Public notice);
- (34) §124.59—(Comments from government agencies);
- (35) §124.62—(Decision on variances);
- (36) Subparts A, B, D, H, I, J, and N of part 125 of this chapter;
- (37) 40 CFR parts 129, 133, and subchapter N;
- (38) For a Great Lakes State or Tribe (as defined in 40 CFR 132.2), 40 CFR part 132 (NPDES permitting implementation procedures only);
- (39) §122.30 (What are the objectives of the storm water regulations for small MS4s?);
- (40) §122.31 (For Indian Tribes only) (As a Tribe, what is my role under the NPDES storm water program?);
- (41) §122.32 (As an operator of a small MS4, am I regulated under the NPDES storm water program?);
- (42) §122.33 (If I am an operator of a regulated small MS4, how do I apply for an NPDES permit? When do I have to apply?);

(43) §122.34 (As an operator of a regulated small MS4, what will my NPDES MS4 storm water permit require?);

(44) §122.35 (As an operator of a regulated small MS4, may I share the responsibility to implement the minimum control measures with other entities?);

(45) §122.36 (As an operator of a regulated small MS4, what happens if I don't comply with the application or permit requirements in §§122.33 through 122.35?);
and

(46) For states that wish to receive electronic documents, 40 CFR Part 3—(Electronic reporting).

Note: Except for paragraph (a)(46) of this section, states need not implement provisions identical to the above listed provisions. Implemented provisions must, however, establish requirements at least as stringent as the corresponding listed provisions. (emphasis added) While States may impose more stringent requirements, they may not make one requirement more lenient as a tradeoff for making another requirement more stringent; for example, by requiring that public hearings be held prior to issuing any permit while reducing the amount of advance notice of such a hearing.

State programs may, if they have adequate legal authority, implement any of the provisions of parts 122 and 124. See, for example, §122.5(d) (continuation of permits) and §124.4 (consolidation of permit processing).

For example, a State may impose more stringent requirements in an NPDES program by omitting the upset provision of §122.41 or by requiring more prompt notice of an upset.

(b) State NPDES programs shall have an approved continuing planning process under 40 CFR 130.5 and shall assure that the approved planning process is at all times consistent with the CWA.

(c) State NPDES programs shall ensure that any board or body which approves all or portions of permits shall not include as a member any person who receives, or has during the previous 2 years received, a significant portion of income directly or indirectly from permit holders or applicants for a permit.

(1) For the purposes of this paragraph:

(i) Board or body includes any individual, including the Director, who has or shares authority to approve all or portions of permits either in the first instance, as modified or reissued, or on appeal.

(ii) Significant portion of income means 10 percent or more of gross personal income for a calendar year, except that it means 50 percent or more of gross personal income for a calendar year if the recipient is over 60 years of age and is receiving that portion under retirement, pension, or similar arrangement.

(iii) Permit holders or applicants for a permit does not include any department or agency of a State government, such as a Department of Parks or a Department of Fish and Wildlife.

(iv) Income includes retirement benefits, consultant fees, and stock dividends.

(2) For the purposes of paragraph (c) of this section, income is not received “directly or indirectly from permit holders or applicants for a permit” when it is derived from mutual fund payments, or from other diversified investments for which the recipient does not know the identity of the primary sources of income.

§123.26 Requirements for compliance evaluation programs.

(a) State programs shall have procedures for receipt, evaluation, retention and investigation for possible enforcement of all notices and reports required of permittees and other regulated persons (and for investigation for possible enforcement of failure to submit these notices and reports).

(b) State programs shall have inspection and surveillance procedures to determine, independent of information supplied by regulated persons, compliance or noncompliance with applicable program requirements. The State shall maintain:

(1) A program which is capable of making comprehensive surveys of all facilities and activities subject to the State Director's authority to identify persons subject to regulation who have failed to comply with permit application or other program requirements. Any compilation, index or inventory of such facilities and activities shall be made available to the Regional Administrator upon request;

(2) A program for periodic inspections of the facilities and activities subject to regulation. These inspections shall be conducted in a manner designed to:

(i) Determine compliance or noncompliance with issued permit conditions and other program requirements;

(ii) Verify the accuracy of information submitted by permittees and other regulated persons in reporting forms and other forms supplying monitoring data; and

(iii) Verify the adequacy of sampling, monitoring, and other methods used by permittees and other regulated persons to develop that information;

(3) A program for investigating information obtained regarding violations of applicable program and permit requirements; and

(4) Procedures for receiving and ensuring proper consideration of information submitted by the Public about violations. Public effort in reporting violations shall be encouraged, and the State Director shall make available information on reporting procedures.

(c) The State Director and State officers engaged in compliance evaluation shall have authority to enter any site or premises subject to regulation or in which records relevant to program operation are kept in order to copy any records, inspect, monitor or otherwise investigate compliance with the State program including compliance with permit conditions and other program requirements. States whose law requires a search warrant before entry conform with this requirement.

(d) Investigatory inspections shall be conducted, samples shall be taken and other information shall be gathered in a manner (e.g., using proper “chain of custody” procedures) that will produce evidence admissible in an enforcement proceeding or in court.

(e) State NPDES compliance evaluation programs shall have procedures and ability for:

(1) Maintaining a comprehensive inventory of all sources covered by NPDES permits and a schedule of reports required to be submitted by permittees to the State agency;

(2) Initial screening (i.e., pre-enforcement evaluation) of all permit or grant-related compliance information to identify violations and to establish priorities for further substantive technical evaluation;

(3) When warranted, conducting a substantive technical evaluation following the initial screening of all permit or grant-related compliance information to determine the appropriate agency response;

(4) Maintaining a management information system which supports the compliance evaluation activities of this part; and

(5) Inspecting the facilities of all major dischargers at least annually.

§123.27 Requirements for enforcement authority.

(a) Any State agency administering a program shall have available the following remedies for violations of State program requirements:

(1) To restrain immediately and effectively any person by order or by suit in State court from engaging in any unauthorized activity which is endangering or causing damage to public health or the environment;

Note: This paragraph (a)(1) requires that States have a mechanism (e.g., an administrative cease and desist order or the ability to seek a temporary restraining order) to stop any unauthorized activity endangering public health or the environment.

(2) To sue in courts of competent jurisdiction to enjoin any threatened or continuing violation of any program requirement, including permit conditions, without the necessity of a prior revocation of the permit;

(3) To assess or sue to recover in court civil penalties and to seek criminal remedies, including fines, as follows:

(i) Civil penalties shall be recoverable for the violation of any NPDES permit condition; any NPDES filing requirement; any duty to allow or carry out inspection, entry or monitoring activities; or, any regulation or orders issued by the State Director. These penalties shall be assessable in at least the amount of \$5,000 a day for each violation.

(ii) Criminal fines shall be recoverable against any person who willfully or negligently violates any applicable standards or limitations; any NPDES permit condition; or any NPDES filing requirement. These fines shall be assessable in at least the amount of \$10,000 a day for each violation.

Note: States which provide the criminal remedies based on “criminal negligence,” “gross negligence” or strict liability satisfy the requirement of paragraph (a)(3)(ii) of this section.

(iii) Criminal fines shall be recoverable against any person who knowingly makes any false statement, representation or certification in any NPDES form, in any notice or report required by an NPDES permit, or who knowingly renders inaccurate any monitoring device or method required to be maintained by the Director. These fines shall be recoverable in at least the amount of \$5,000 for each instance of violation.

Note: In many States the State Director will be represented in State courts by the State Attorney General or other appropriate legal officer. Although the State Director need not appear in court actions he or she should have power to request that any of the above actions be brought.

(b)

(1) The maximum civil penalty or criminal fine (as provided in paragraph (a)(3) of this section) shall be assessable for each instance of violation and, if the violation is continuous, shall be assessable up to the maximum amount for each day of violation.

(2) The burden of proof and degree of knowledge or intent required under State law for establishing violations under paragraph (a)(3) of this section, shall be no greater than the burden of proof or degree of knowledge or intent EPA must provide when it brings an action under the appropriate Act;

Note: For example, this requirement is not met if State law includes mental state as an element of proof for civil violations.

(c) A civil penalty assessed, sought, or agreed upon by the State Director under paragraph (a)(3) of this section shall be appropriate to the violation.

Note: To the extent that State judgments or settlements provide penalties in amounts which EPA believes to be substantially inadequate in comparison to the amounts which

EPA would require under similar facts, EPA, when authorized by the applicable statute, may commence separate actions for penalties.

Procedures for assessment by the State of the cost of investigations, inspections, or monitoring surveys which lead to the establishment of violations;

In addition to the requirements of this paragraph, the State may have other enforcement remedies. The following enforcement options, while not mandatory, are highly recommended:

Procedures which enable the State to assess or to sue any persons responsible for unauthorized activities for any expenses incurred by the State in removing, correcting, or terminating any adverse effects upon human health and the environment resulting from the unauthorized activity, whether or not accidental;

Procedures which enable the State to sue for compensation for any loss or destruction of wildlife, fish or aquatic life, or their habitat, and for any other damages caused by unauthorized activity, either to the State or to any residents of the State who are directly aggrieved by the unauthorized activity, or both; and

Procedures for the administrative assessment of penalties by the Director.

(d) Any State administering a program shall provide for public participation in the State enforcement process by providing either:

(1) Authority which allows intervention as of right in any civil or administrative action to obtain remedies specified in paragraphs (a)(1), (2) or (3) of this section by any citizen having an interest which is or may be adversely affected; or

(2) Assurance that the State agency or enforcement authority will:

(i) Investigate and provide written responses to all citizen complaints submitted pursuant to the procedures specified in §123.26(b)(4);

(ii) Not oppose intervention by any citizen when permissive intervention may be authorized by statute, rule, or regulation; and

(iii) Publish notice of and provide at least 30 days for public comment on any proposed settlement of a State enforcement action.

(e) Indian Tribes that cannot satisfy the criminal enforcement authority requirements of this section may still receive program approval if they meet the requirement for enforcement authority established under §123.34.

§123.28 Control of disposal of pollutants into wells.

State law must provide authority to issue permits to control the disposal of pollutants into wells. Such authority shall enable the State to protect the public health and welfare and to prevent the pollution of ground and surface waters by prohibiting well discharges or by issuing permits for such discharges with appropriate permit terms and conditions. A

program approved under section 1422 of SDWA satisfies the requirements of this section.

§123.29 Prohibition.

State permit programs shall provide that no permit shall be issued when the Regional Administrator has objected in writing under §123.44.

§123.30 Judicial review of approval or denial of permits.

All States that administer or seek to administer a program under this part shall provide an opportunity for judicial review in State Court of the final approval or denial of permits by the State that is sufficient to provide for, encourage, and assist public participation in the permitting process. A State will meet this standard if State law allows an opportunity for judicial review that is the same as that available to obtain judicial review in federal court of a federally-issued NPDES permit (see §509 of the Clean Water Act). A State will not meet this standard if it narrowly restricts the class of persons who may challenge the approval or denial of permits (for example, if only the permittee can obtain judicial review, if persons must demonstrate injury to a pecuniary interest in order to obtain judicial review, or if persons must have a property interest in close proximity to a discharge or surface waters in order to obtain judicial review.) This requirement does not apply to Indian Tribes.

§123.31 Requirements for eligibility of Indian Tribes.

Not applicable to State Authority.

§123.32 Request by an Indian Tribe for a determination of eligibility.

Not applicable to State Authority.

§123.33 Procedures for processing an Indian Tribe's application.

Not applicable to State Authority.

§123.34 Provisions for Tribal criminal enforcement authority.

Not applicable to State Authority.

§123.35 As the NPDES Permitting Authority for regulated small MS4s, what is my role?

(a) You must comply with the requirements for all NPDES permitting authorities under Parts 122, 123, 124, and 125 of this chapter. (This section is meant only to supplement those requirements and discuss specific issues related to the small MS4 storm water program.)

(b) You must develop a process, as well as criteria, to designate small MS4s other than those described in §122.32(a)(1) of this chapter, as regulated small MS4s to be covered under the NPDES storm water discharge control program. This process must include the authority to designate a small MS4 waived under paragraph (d) of this section if circumstances change. EPA may make designations under this section if a State or Tribe

fails to comply with the requirements listed in this paragraph. In making designations of small MS4s, you must:

(1)

(i) Develop criteria to evaluate whether a storm water discharge results in or has the potential to result in exceedances of water quality standards, including impairment of designated uses, or other significant water quality impacts, including habitat and biological impacts.

(ii) Guidance: For determining other significant water quality impacts, EPA recommends a balanced consideration of the following designation criteria on a watershed or other local basis: discharge to sensitive waters, high growth or growth potential, high population density, contiguity to an urbanized area, significant contributor of pollutants to waters of the United States, and ineffective protection of water quality by other programs;

(2) Apply such criteria, at a minimum, to any small MS4 located outside of an urbanized area serving a jurisdiction with a population density of at least 1,000 people per square mile and a population of at least 10,000;

(3) Designate any small MS4 that meets your criteria by December 9, 2002. You may wait until December 8, 2004 to apply the designation criteria on a watershed basis if you have developed a comprehensive watershed plan. You may apply these criteria to make additional designations at any time, as appropriate; and

(4) Designate any small MS4 that contributes substantially to the pollutant loadings of a physically interconnected municipal separate storm sewer that is regulated by the NPDES storm water program.

(c) You must make a final determination within 180 days from receipt of a petition under §122.26(f) of this chapter (or analogous State or Tribal law). If you do not do so within that time period, EPA may make a determination on the petition.

(d) You must issue permits consistent with §§122.32 through 122.35 of this chapter to all regulated small MS4s. You may waive or phase in the requirements otherwise applicable to regulated small MS4s, as defined in §122.32(a)(1) of this chapter, under the following circumstances:

(1) You may waive permit coverage for each small MS4s in jurisdictions with a population under 1,000 within the urbanized area where all of the following criteria have been met:

(i) Its discharges are not contributing substantially to the pollutant loadings of a physically interconnected regulated MS4 (see paragraph (b)(4) of this section); and

(ii) If the small MS4 discharges any pollutant(s) that have been 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 address the pollutant(s) of concern.

(2) You may waive permit coverage for each small MS4 in jurisdictions with a population under 10,000 where all of the following criteria have been met:

(i) You have evaluated all waters of the U.S., including small streams, tributaries, lakes, and ponds, that receive a discharge from the MS4 eligible for such a waiver.

(ii) For all such waters, you have determined 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, if a TMDL has not been developed or approved, an equivalent analysis that determines sources and allocations for the pollutant(s) of concern.

(iii) For the purpose of paragraph (d)(2)(ii) of this section, the pollutant(s) 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 of any water body that will receive a discharge from the MS4.

(iv) You have determined that current and future discharges from the MS4 do not have the potential to result in exceedances of water quality standards, including impairment of designated uses, or other significant water quality impacts, including habitat and biological impacts.

(v) Guidance: To help determine other significant water quality impacts, EPA recommends a balanced consideration of the following criteria on a watershed or other local basis: discharge to sensitive waters, high growth or growth potential, high population or commercial density, significant contributor of pollutants to waters of the United States, and ineffective protection of water quality by other programs.

(3) You may phase in permit coverage for small MS4s serving jurisdictions with a population under 10,000 on a schedule consistent with a State watershed permitting approach. Under this approach, you must develop and implement a schedule to phase in permit coverage for approximately 20 percent annually of all small MS4s that qualify for such phased-in coverage. Under this option, all regulated small MS4s are required to have coverage under an NPDES permit by no later than March 8, 2007. Your schedule for phasing in permit coverage for small MS4s must be approved by the Regional Administrator no later than December 10, 2001.

(4) If you choose to phase in permit coverage for small MS4s in jurisdictions with a population under 10,000, in accordance with paragraph (d)(3) of this section, you may also provide waivers in accordance with paragraphs (d)(1) and (d)(2) of this section pursuant to your approved schedule.

(5) If you do not have an approved schedule for phasing in permit coverage, you must make a determination whether to issue an NPDES permit or allow a waiver in accordance with paragraph (d)(1) or (d)(2) of this section, for each eligible MS4 by December 9, 2002.

(6) You must periodically review any waivers granted in accordance with paragraph (d)(2) of this section to determine whether any of the information required for granting the waiver has changed. At a minimum, you must conduct such a review once every five years. In addition, you must consider any petition to review any waiver when the petitioner provides evidence that the information required for granting the waiver has substantially changed.

(e) You must specify a time period of up to 5 years from the date of permit issuance for operators of regulated small MS4s to fully develop and implement their storm water program.

(f) You must include the requirements in §§122.33 through 122.35 of this chapter in any permit issued for regulated small MS4s or develop permit limits based on a permit application submitted by a regulated small MS4. (You may include conditions in a regulated small MS4 NPDES permit that direct the MS4 to follow an existing qualifying local program's requirements, as a way of complying with some or all of the requirements in §122.34(b) of this chapter. See §122.34(c) of this chapter. Qualifying local, State or Tribal program requirements must impose, at a minimum, the relevant requirements of §122.34(b) of this chapter.)

(g) If you issue a general permit to authorize storm water discharges from small MS4s, you must make available a menu of BMPs to assist regulated small MS4s in the design and implementation of municipal storm water management programs to implement the minimum measures specified in §122.34(b) of this chapter. EPA plans to develop a menu of BMPs that will apply in each State or Tribe that has not developed its own menu. Regardless of whether a menu of BMPs has been developed by EPA, EPA encourages State and Tribal permitting authorities to develop a menu of BMPs that is appropriate for local conditions. EPA also intends to provide guidance on developing BMPs and measurable goals and modify, update, and supplement such guidance based on the assessments of the NPDES MS4 storm water program and research to be conducted over the next thirteen years.

(h)

(1) You must incorporate any additional measures necessary to ensure effective implementation of your State or Tribal storm water program for regulated small MS4s.

(2) Guidance: EPA recommends consideration of the following:

(i) You are encouraged to use a general permit for regulated small MS4s;

- (ii) To the extent that your State or Tribe administers a dedicated funding source, you should play an active role in providing financial assistance to operators of regulated small MS4s;
- (iii) You should support local programs by providing technical and programmatic assistance, conducting research projects, performing watershed monitoring, and providing adequate legal authority at the local level;
- (iv) You are encouraged to coordinate and utilize the data collected under several programs including water quality management programs, TMDL programs, and water quality monitoring programs;
- (v) Where appropriate, you may recognize existing responsibilities among governmental entities for the control measures in an NPDES small MS4 permit (see §122.35(b) of this chapter); and
- (vi) You are encouraged to provide a brief (e.g., two page) reporting format to facilitate compiling and analyzing data from submitted reports under §122.34(g)(3) of this chapter. EPA intends to develop a model form for this purpose.

§123.36 Establishment of technical standards for concentrated animal feeding operations.

If the State has not already established technical standards for nutrient management that are consistent with 40 CFR 412.4(c)(2), the Director shall establish such standards by the date specified in §123.62(e).

C. Subpart C—Transfer of Information and Permit Review

§123.41 Sharing of information.

- (a) Any information obtained or used in the administration of a State program shall be available to EPA upon request without restriction. If the information has been submitted to the State under a claim of confidentiality, the State must submit that claim to EPA when providing information under this section. Any information obtained from a State and subject to a claim of confidentiality will be treated in accordance with the regulations in 40 CFR part 2. If EPA obtains from a State information that is not claimed to be confidential, EPA may make that information available to the public without further notice.
- (b) EPA shall furnish to States with approved programs the information in its files not submitted under a claim of confidentiality which the State needs to implement its approved program. EPA shall furnish to States with approved programs information submitted to EPA under a claim of confidentiality, which the State needs to implement its approved program, subject to the conditions in 40 CFR part 2.

§123.42 Receipt and use of Federal information.

Upon approving a State permit program, EPA will send to the State agency administering the permit program any relevant information which was collected by EPA. The Memorandum of Agreement under §123.24 (or, in the case of a sewage sludge management program, §501.14 of this chapter) will provide for the following, in such manner as the State Director and the Regional Administrator agree:

- (a) Prompt transmission to the State Director from the Regional Administrator of copies of any pending permit applications or any other relevant information collected before the approval of the State permit program and not already in the possession of the State Director. When existing permits are transferred to the State Director (e.g., for purposes of compliance monitoring, enforcement or reissuance), relevant information includes support files for permit issuance, compliance reports and records of enforcement actions.
- (b) Procedures to ensure that the State Director will not issue a permit on the basis of any application received from the Regional Administrator which the Regional Administrator identifies as incomplete or otherwise deficient until the State Director receives information sufficient to correct the deficiency.

§123.43 Transmission of information to EPA.

(a) Each State agency administering a permit program shall transmit to the Regional Administrator copies of permit program forms and any other relevant information to the extent and in the manner agreed to by the State Director and Regional Administrator in the Memorandum of Agreement and not inconsistent with this part. Proposed permits shall be prepared by State agencies unless agreement to the contrary has been reached under §123.44(j). The Memorandum of Agreement shall provide for the following:

- (1) Prompt transmission to the Regional Administrator of a copy of all complete permit applications received by the State Director, except those for which permit review has been waived under §123.24(d). The State shall supply EPA with copies of permit applications for which permit review has been waived whenever requested by EPA;
 - (2) Prompt transmission to the Regional Administrator of notice of every action taken by the State agency related to the consideration of any permit application or general permit, including a copy of each proposed or draft permit and any conditions, requirements, or documents which are related to the proposed or draft permit or which affect the authorization of the proposed permit, except those for which permit review has been waived under §123.24(d). The State shall supply EPA with copies of notices for which permit review has been waived whenever requested by EPA; and
 - (3) Transmission to the Regional Administrator of a copy of every issued permit following issuance, along with any and all conditions, requirements, or documents which are related to or affect the authorization of the permit.
- (b) If the State intends to waive any of the permit application requirements of §122.21(j) or (q) of this chapter for a specific applicant, the Director must submit a written request

to the Regional Administrator no less than 210 days prior to permit expiration. This request must include the State's justification for granting the waiver.

(c) The State program shall provide for transmission by the State Director to EPA of:

(1) Notices from publicly owned treatment works under §122.42(b) and 40 CFR part 403, upon request of the Regional Administrator;

(2) A copy of any significant comments presented in writing pursuant to the public notice of a draft permit and a summary of any significant comments presented at any hearing on any draft permit, except those comments regarding permits for which permit review has been waived under §123.24(d) and for which EPA has not otherwise requested receipt, if:

(i) The Regional Administrator requests this information; or

(ii) The proposed permit contains requirements significantly different from those contained in the tentative determination and draft permit; or

(iii) Significant comments objecting to the tentative determination and draft permit have been presented at the hearing or in writing pursuant to the public notice.

(d) Any State permit program shall keep such records and submit to the Administrator such information as the Administrator may reasonably require to ascertain whether the State program complies with the requirements of CWA or of this part.

§123.44 EPA review of and objections to State permits.

(a)

(1) The Memorandum of Agreement shall provide a period of time (up to 90 days from receipt of proposed permits) to which the Regional Administrator may make general comments upon, objections to, or recommendations with respect to proposed permits. EPA reserves the right to take 90 days to supply specific grounds for objection, notwithstanding any shorter period specified in the Memorandum of Agreement, when a general objection is filed within the review period specified in the Memorandum of Agreement. The Regional Administrator shall send a copy of any comment, objection or recommendation to the permit applicant.

(2) In the case of general permits, EPA shall have 90 days from the date of receipt of the proposed general permit to comment upon, object to or make recommendations with respect to the proposed general permit, and is not bound by any shorter time limits set by the Memorandum of Agreement for general comments, objections or recommendations.

(b)

(1) Within the period of time provided under the Memorandum of Agreement for making general comments upon, objections to or recommendations with respect to proposed permits, the Regional Administrator shall notify the State Director of any objection to issuance of a proposed permit (except as provided in paragraph (a)(2) of this section for proposed general permits). This notification shall set forth in writing the general nature of the objection.

(2) Within 90 days following receipt of a proposed permit to which he or she has objected under paragraph (b)(1) of this section, or in the case of general permits within 90 days after receipt of the proposed general permit, the Regional Administrator shall set forth in writing and transmit to the State Director:

(i) A statement of the reasons for the objection (including the section of CWA or regulations that support the objection), and

(ii) The actions that must be taken by the State Director to eliminate the objection (including the effluent limitations and conditions which the permit would include if it were issued by the Regional Administrator.)

Note: Paragraphs (a) and (b) of this section, in effect, modify any existing agreement between EPA and the State which provides less than 90 days for EPA to supply the specific grounds for an objection. However, when an agreement provides for an EPA review period of less than 90 days, EPA must file a general objection, in accordance with paragraph (b)(1) of this section within the time specified in the agreement. This general objection must be followed by a specific objection within the 90-day period. This modification to MOA's allows EPA to provide detailed information concerning acceptable permit conditions, as required by section 402(d) of CWA. To avoid possible confusion, MOA's should be changed to reflect this arrangement.

(c) The Regional Administrator's objection to the issuance of a proposed permit must be based upon one or more of the following grounds:

(1) The permit fails to apply, or to ensure compliance with, any applicable requirement of this part;

Note: For example, the Regional Administrator may object to a permit not requiring the achievement of required effluent limitations by applicable statutory deadlines.

(2) In the case of a proposed permit for which notification to the Administrator is required under section 402(b)(5) of CWA, the written recommendations of an affected State have not been accepted by the permitting State and the Regional Administrator finds the reasons for rejecting the recommendations are inadequate;

(3) The procedures followed in connection with formulation of the proposed permit failed in a material respect to comply with procedures required by CWA or by regulations thereunder or by the Memorandum of Agreement;

- (4) Any finding made by the State Director in connection with the proposed permit misinterprets CWA or any guidelines or regulations under CWA, or misapplies them to the facts;
 - (5) Any provisions of the proposed permit relating to the maintenance of records, reporting, monitoring, sampling, or the provision of any other information by the permittee are inadequate, in the judgment of the Regional Administrator, to assure compliance with permit conditions, including effluent standards and limitations or standards for sewage sludge use and disposal required by CWA, by the guidelines and regulations issued under CWA, or by the proposed permit;
 - (6) In the case of any proposed permit with respect to which applicable effluent standards and limitations or standards for sewage sludge use and disposal under sections 301, 302, 306, 307, 318, 403, and 405 of CWA have not yet been promulgated by the Agency, the proposed permit, in the judgment of the Regional Administrator, fails to carry out the provisions of CWA or of any regulations issued under CWA; the provisions of this paragraph apply to determinations made pursuant to §125.3(c)(2) in the absence of applicable guidelines, to best management practices under section 304(e) of CWA, which must be incorporated into permits as requirements under section 301, 306, 307, 318, 403 or 405, and to sewage sludge use and disposal requirements developed on a case-by-case basis pursuant to section 405(d) of CWA, as the case may be;
 - (7) Issuance of the proposed permit would in any other respect be outside the requirements of CWA, or regulations issued under CWA.
 - (8) The effluent limits of a permit fail to satisfy the requirements of 40 CFR 122.44(d).
 - (9) For a permit issued by a Great Lakes State or Tribe (as defined in 40 CFR 132.2), the permit does not satisfy the conditions promulgated by the State, Tribe, or EPA pursuant to 40 CFR part 132.
- (d) Prior to notifying the State Director of an objection based upon any of the grounds set forth in paragraph (c) of this section, the Regional Administrator:
- (1) Will consider all data transmitted pursuant to §123.43 (or, in the case of a sewage sludge management program, §501.21 of this chapter);
 - (2) May, if the information provided is inadequate to determine whether the proposed permit meets the guidelines and requirements of CWA, request the State Director to transmit to the Regional Administrator the complete record of the permit proceedings before the State, or any portions of the record that the Regional Administrator determines are necessary for review. If this request is made within 30 days of receipt of the State submittal under §123.43 (or, in the case of a sewage sludge management program, §501.21 of this chapter), it will constitute an interim objection to the issuance of the permit, and the full period of time specified in the Memorandum of

Agreement for the Regional Administrator's review will recommence when the Regional Administrator has received such record or portions of the record; and

(3) May, in his or her discretion, and to the extent feasible within the period of time available under the Memorandum of Agreement, afford to interested persons an opportunity to comment on the basis for the objection;

(e) Within 90 days of receipt by the State Director of an objection by the Regional Administrator, the State or interstate agency or any interested person may request that a public hearing be held by the Regional Administrator on the objection. A public hearing in accordance with the procedures of §124.12 (c) and (d) of this chapter (or, in the case of a sewage sludge management program, §501.15(d)(7) of this chapter) will be held, and public notice provided in accordance with §124.10 of this chapter, (or, in the case of a sewage sludge management program, §501.15(d)(5) of this chapter), whenever requested by the State or the interstate agency which proposed the permit or if warranted by significant public interest based on requests received.

(f) A public hearing held under paragraph (e) of this section shall be conducted by the Regional Administrator, and, at the Regional Administrator's discretion, with the assistance of an EPA panel designated by the Regional Administrator, in an orderly and expeditious manner.

(g) Following the public hearing, the Regional Administrator shall reaffirm the original objection, modify the terms of the objection, or withdraw the objection, and shall notify the State of this decision.

(h)

(1) If no public hearing is held under paragraph (e) of this section and the State does not resubmit a permit revised to meet the Regional Administrator's objection within 90 days of receipt of the objection, the Regional Administrator may issue the permit in accordance with parts 121, 122 and 124 of this chapter and any other guidelines and requirements of CWA.

(2) If a public hearing is held under paragraph (e) of this section, the Regional Administrator does not withdraw the objection, and the State does not resubmit a permit revised to meet the Regional Administrator's objection or modified objection within 30 days of the date of the Regional Administrator's notification under paragraph (g) of this section, the Regional Administrator may issue the permit in accordance with parts 121, 122 and 124 of this chapter and any other guidelines and requirements of CWA.

(3) Exclusive authority to issue the permit passes to EPA when the times set out in this paragraph expire.

(i) [Reserved]

(j) The Regional Administrator may agree, in the Memorandum of Agreement under §123.24 (or, in the case of a sewage sludge management program, §501.14 of this

chapter), to review draft permits rather than proposed permits. In such a case, a proposed permit need not be prepared by the State and transmitted to the Regional Administrator for review in accordance with this section unless the State proposes to issue a permit which differs from the draft permit reviewed by the Regional Administrator, the Regional Administrator has objected to the draft permit, or there is significant public comment.

§123.45 Noncompliance and program reporting by the Director.

The Director shall prepare quarterly, semi-annual, and annual reports as detailed below. When the State is the permit-issuing authority, the State Director shall submit all reports required under this section to the Regional Administrator, and the EPA Region in turn shall submit the State reports to EPA Headquarters. When EPA is the permit-issuing authority, the Regional Administrator shall submit all reports required under this section to EPA Headquarters.

(a) Quarterly reports. The Director shall submit quarterly narrative reports for major permittees as follows:

(1) Format. The report shall use the following format:

(i) Provide a separate list of major NPDES permittees which shall be subcategorized as non-POTWs, POTWs, and Federal permittees.

(ii) Alphabetize each list by permittee name. When two or more permittees have the same name, the permittee with the lowest permit number shall be entered first.

(iii) For each permittee on the list, include the following information in the following order:

(A) The name, location, and permit number.

(B) A brief description and date of each instance of noncompliance for which paragraph (a)(2) of this section requires reporting. Each listing shall indicate each specific provision of paragraph (a)(2) (e.g., (ii)(A) thru (iii)(G)) which describes the reason for reporting the violation on the quarterly report.

(C) The date(s), and a brief description of the action(s) taken by the Director to ensure compliance.

(D) The status of the instance(s) of noncompliance and the date noncompliance was resolved.

(E) Any details which tend to explain or mitigate the instance(s) of noncompliance.

(2) Instances of noncompliance by major dischargers to be reported—

(i) General. Instances of noncompliance, as defined in paragraphs (a)(2)(ii) and (iii) of this section, by major dischargers shall be reported in successive reports until the noncompliance is reported as resolved (i.e., the permittee is no longer

violating the permit conditions reported as noncompliance in the QNCR). Once an instance of noncompliance is reported as resolved in the QNCR, it need not appear in subsequent reports.

(A) All reported violations must be listed on the QNCR for the reporting period when the violation occurred, even if the violation is resolved during that reporting period.

(B) All permittees under current enforcement orders (i.e., administrative and judicial orders and consent decrees) for previous instances of noncompliance must be listed in the QNCR until the orders have been satisfied in full and the permittee is in compliance with permit conditions. If the permittee is in compliance with the enforcement order, but has not achieved full compliance with permit conditions, the compliance status shall be reported as “resolved pending,” but the permittee will continue to be listed on the QNCR.

(ii) Category I noncompliance. The following instances of noncompliance by major dischargers are Category I noncompliance:

(A) Violations of conditions in enforcement orders except compliance schedules and reports.

(B) Violations of compliance schedule milestones for starting construction, completing construction, and attaining final compliance by 90 days or more from the date of the milestone specified in an enforcement order or a permit.

(C) Violations of permit effluent limits that exceed the Appendix A “Criteria for Noncompliance Reporting in the NPDES Program”.

(D) Failure to provide a compliance schedule report for final compliance or a monitoring report. This applies when the permittee has failed to submit a final compliance schedule progress report, pretreatment report, or a Discharge Monitoring Report within 30 days from the due date specified in an enforcement order or a permit.

(iii) Category II noncompliance. Category II noncompliance includes violations of permit conditions which the Agency believes to be of substantial concern and may not meet the Category I criteria. The following are instances of noncompliance which must be reported as Category II noncompliance unless the same violation meets the criteria for Category I noncompliance:

(A) (1) Violation of a permit limit;

(2) An unauthorized bypass;

(3) An unpermitted discharge; or

(4) A pass-through of pollutants which causes or has the potential to cause a water quality problem (e.g., fish kills, oil sheens) or health problems (e.g., beach closings, fishing bans, or other restrictions of beneficial uses).

(B) Failure of an approved POTW to implement its approved pretreatment program adequately including failure to enforce industrial pretreatment requirements on industrial users as required in the approved program.

(C) Violations of any compliance schedule milestones (except those milestones listed in paragraph (a)(2)(ii)(B) of this section) by 90 days or more from the date specified in an enforcement order or a permit.

(D) Failure of the permittee to provide reports (other than those reports listed in paragraph (a)(2)(ii)(D) of this section) within 30 days from the due date specified in an enforcement order or a permit.

(E) Instances when the required reports provided by the permittee are so deficient or incomplete as to cause misunderstanding by the Director and thus impede the review of the status of compliance.

(F) Violations of narrative requirements (e.g., requirements to develop Spill Prevention Control and Countermeasure Plans and requirements to implement Best Management Practices), which are of substantial concern to the regulatory agency.

(G) Any other violation or group of permit violations which the Director or Regional Administrator considers to be of substantial concern.

(b) Semi-annual statistical summary report. Summary information shall be provided twice a year on the number of major permittees with two or more violations of the same monthly average permit limitation in a six month period, including those otherwise reported under paragraph (a) of this section. This report shall be submitted at the same time, according to the Federal fiscal year calendar, as the first and third quarter QNCRs.

(c) Annual reports for NPDES—

(1) Annual noncompliance report. Statistical reports shall be submitted by the Director on nonmajor NPDES permittees indicating the total number reviewed, the number of noncomplying nonmajor permittees, the number of enforcement actions, and number of permit modifications extending compliance deadlines. The statistical information shall be organized to follow the types of noncompliance listed in paragraph (a) of this section.

(2) A separate list of nonmajor discharges which are one or more years behind in construction phases of the compliance schedule shall also be submitted in alphabetical order by name and permit number.

(d) Schedule—

(1) For all quarterly reports. On the last working day of May, August, November, and February, the State Director shall submit to the Regional Administrator information concerning noncompliance with NPDES permit requirements by major dischargers in the State in accordance with the following schedule. The Regional Administrator shall prepare and submit information for EPA-issued permits to EPA Headquarters in accordance with the same schedule:

Quarters covered by reports on noncompliance by major dischargers:

[Date for completion of reports]

January, February, and March	¹ May 31
April, May, and June	¹ August 31
July, August, and September	¹ November 30
October, November, and December	¹ February 28

¹Reports must be made available to the public for inspection and copying on this date.

(2) For all annual reports. The period for annual reports shall be for the calendar year ending December 31, with reports completed and available to the public no more than 60 days later.

[Appendix A to §123.45—Criteria for Noncompliance Reporting in the NPDES Program](#)

§123.46 Individual control strategies.

(a) Not later than February 4, 1989, each State shall submit to the Regional Administrator for review, approval, and implementation an individual control strategy for each point source identified by the State pursuant to section 304(1)(1)(C) of the Act which discharges to a water identified by the State pursuant to section 304(1)(1)(B) which will produce a reduction in the discharge of toxic pollutants from the point sources identified under section 304(1)(1)(C) through the establishment of effluent limitations under section 402 of the CWA and water quality standards under section 303(c)(2)(B) of the CWA, which reduction is sufficient, in combination with existing controls on point and nonpoint sources of pollution, to achieve the applicable water quality standard as soon as possible, but not later than three years after the date of establishment of such strategy.

(b) The Administrator shall approve or disapprove the control strategies submitted by any State pursuant to paragraph (a) of this section, not later than June 4, 1989. If a State fails to submit control strategies in accordance with paragraph (a) of this section or the Administrator does not approve the control strategies submitted by such State in accordance with paragraph (a), then, not later than June 4, 1990, the Administrator in cooperation with such State and after notice and opportunity for public comment, shall implement the requirements of CWA section 304(1)(1) in such State. In the implementation of such requirements, the Administrator shall, at a minimum, consider for listing under CWA section 304(1)(1) any navigable waters for which any person submits a petition to the Administrator for listing not later than October 1, 1989.

(c) For the purposes of this section the term individual control strategy, as set forth in section 304(1) of the CWA, means a final NPDES permit with supporting documentation showing that effluent limits are consistent with an approved wasteload allocation, or other documentation which shows that applicable water quality standards will be met not later than three years after the individual control strategy is established. Where a State is unable to issue a final permit on or before February 4, 1989, an individual control strategy may be a draft permit with an attached schedule (provided the State meets the schedule for issuing the final permit) indicating that the permit will be issued on or before February 4, 1990. If a point source is subject to section 304(1)(1)(C) of the CWA and is also subject to an on-site response action under sections 104 or 106 of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), (42 U.S.C. 9601 et seq.), an individual control strategy may be the decision document (which incorporates the applicable or relevant and appropriate requirements under the CWA) prepared under sections 104 or 106 of CERCLA to address the release or threatened release of hazardous substances to the environment.

(d) A petition submitted pursuant to section 304(1)(3) of the CWA must be submitted to the appropriate Regional Administrator. Petitions must identify a waterbody in sufficient detail so that EPA is able to determine the location and boundaries of the waterbody. The petition must also identify the list or lists for which the waterbody qualifies, and the petition must explain why the waterbody satisfies the criteria for listing under CWA section 304(1) and 40 CFR 130.10(d)(6).

(e) If the Regional Administrator disapproves one or more individual control strategies, or if a State fails to provide adequate public notice and an opportunity to comment on the ICSs, then, not later than June 4, 1989, the Regional Administrator shall give a notice of approval or disapproval of the individual control strategies submitted by each State pursuant to this section as follows:

(1) The notice of approval or disapproval given under this paragraph shall include the following:

(i) The name and address of the EPA office that reviews the State's submittals.

(ii) A brief description of the section 304(1) process.

(iii) A list of ICSs disapproved under this section and a finding that the ICSs will not meet all applicable review criteria under this section and section 304(1) of the CWA.

(iv) If the Regional Administrator determines that a State did not provide adequate public notice and an opportunity to comment on the waters, point sources, or ICSs prepared pursuant to section 304(1), or if the Regional Administrator chooses to exercise his or her discretion, a list of the ICSs approved under this section, and a finding that the ICSs satisfy all applicable review criteria.

(v) The location where interested persons may examine EPA's records of approval and disapproval.

(vi) The name, address, and telephone number of the person at the Regional Office from whom interested persons may obtain more information.

(vii) Notice that written petitions or comments are due within 120 days.

(2) The Regional Administrator shall provide the notice of approval or disapproval given under this paragraph to the appropriate State Director. The Regional Administrator shall publish a notice of availability, in a daily or weekly newspaper with State-wide circulation or in the Federal Register, for the notice of approval or disapproval. The Regional Administrator shall also provide written notice to each discharger identified under section 304(l)(1)(C), that EPA has listed the discharger under section 304(l)(1)(C).

(3) As soon as practicable but not later than June 4, 1990, the Regional Offices shall issue a response to petitions or comments received under section 304(l). The response to comments shall be given in the same manner as the notice described in paragraph (e) of this section except for the following changes:

(i) The lists of ICSs reflecting any changes made pursuant to comments or petitions received.

(ii) A brief description of the subsequent steps in the section 304(l) process.

(f) EPA shall review, and approve or disapprove, the individual control strategies prepared under section 304(l) of the CWA, using the applicable criteria set forth in section 304(l) of the CWA, and in 40 CFR part 122, including §122.44(d). At any time after the Regional Administrator disapproves an ICS (or conditionally approves a draft permit as an ICS), the Regional Office may submit a written notification to the State that the Regional Office intends to issue the ICS. Upon mailing the notification, and notwithstanding any other regulation, exclusive authority to issue the permit passes to EPA.

D. Subpart D—Program Approval, Revision, and Withdrawal

§123.61 Approval process.

(a) After determining that a State program submission is complete, EPA shall publish notice of the State's application in the Federal Register, and in enough of the largest newspapers in the State to attract statewide attention, and shall mail notice to persons known to be interested in such matters, including all persons on appropriate State and EPA mailing lists and all permit holders and applicants within the State. The notice shall:

(1) Provide a comment period of not less than 45 days during which interested members of the public may express their views on the State program;

(2) Provide for a public hearing within the State to be held no less than 30 days after notice is published in the Federal Register;

(3) Indicate the cost of obtaining a copy of the State's submission;

(4) Indicate where and when the State's submission may be reviewed by the public;

(5) Indicate whom an interested member of the public should contact with any questions; and

(6) Briefly outline the fundamental aspects of the State's proposed program, and the process for EPA review and decision.

(b) Within 90 days of the receipt of a complete program submission under §123.21 the Administrator shall approve or disapprove the program based on the requirements of this part and of CWA and taking into consideration all comments received. A responsiveness summary shall be prepared by the Regional Office which identifies the public participation activities conducted, describes the matters presented to the public, summarizes significant comments received and explains the Agency's response to these comments.

(c) If the Administrator approves the State's program he or she shall notify the State and publish notice in the Federal Register. The Regional Administrator shall suspend the issuance of permits by EPA as of the date of program approval.

(d) If the Administrator disapproves the State program he or she shall notify the State of the reasons for disapproval and of any revisions or modifications to the State program which are necessary to obtain approval.

§123.62 Procedures for revision of State programs.

(a) Either EPA or the approved State may initiate program revision. Program revision may be necessary when the controlling Federal or State statutory or regulatory authority is modified or supplemented. The State shall keep EPA fully informed of any proposed modifications to its basic statutory or regulatory authority, its forms, procedures, or priorities. Grounds for program revision include cases where a State's existing approved program includes authority to issue NPDES permits for activities on a Federal Indian reservation and an Indian Tribe has subsequently been approved for assumption of the NPDES program under 40 CFR part 123 extending to those lands.

(b) Revision of a State program shall be accomplished as follows:

(1) The State shall submit a modified program description, Attorney General's statement, Memorandum of Agreement, or such other documents as EPA determines to be necessary under the circumstances.

(2) Whenever EPA determines that the proposed program revision is substantial, EPA shall issue public notice and provide an opportunity to comment for a period of at least 30 days. The public notice shall be mailed to interested persons and shall be

published in the Federal Register and in enough of the largest newspapers in the State to provide Statewide coverage. The public notice shall summarize the proposed revisions and provide for the opportunity to request a public hearing. Such a hearing will be held if there is significant public interest based on requests received.

(3) The Administrator will approve or disapprove program revisions based on the requirements of this part (or, in the case of a sewage sludge management program, 40 CFR part 501) and of the CWA.

(4) A program revision shall become effective upon the approval of the Administrator. Notice of approval of any substantial revision shall be published in the Federal Register. Notice of approval of non-substantial program revisions may be given by a letter from the Administrator to the State Governor or his designee.

(c) States with approved programs must notify EPA whenever they propose to transfer all or part of any program from the approved State agency to any other State agency, and must identify any new division of responsibilities among the agencies involved. The new agency is not authorized to administer the program until approved by the Administrator under paragraph (b) of this section. Organizational charts required under §123.22(b) (or, in the case of a sewage sludge management program, §501.12(b) of this chapter) must be revised and resubmitted.

(d) Whenever the Administrator has reason to believe that circumstances have changed with respect to a State program, he may request, and the State shall provide, a supplemental Attorney General's statement, program description, or such other documents or information as are necessary.

(e) State NPDES programs only. All new programs must comply with these regulations immediately upon approval. Any approved State section 402 permit program which requires revision to conform to this part shall be so revised within one year of the date of promulgation of these regulations, unless a State must amend or enact a statute in order to make the required revision in which case such revision shall take place within 2 years, except that revision of State programs to implement the requirements of 40 CFR part 403 (pretreatment) shall be accomplished as provided in 40 CFR 403.10. In addition, approved States shall submit, within 6 months, copies of their permit forms for EPA review and approval. Approved States shall also assure that permit applicants, other than POTWs, submit, as part of their application, the information required under §§124.4(d) and 122.21 (g) or (h), as appropriate.

(f) Revision of a State program by a Great Lakes State or Tribe (as defined in 40 CFR 132.2) to conform to section 118 of the CWA and 40 CFR part §123.63 Criteria for withdrawal of State programs.

§123.63 Criteria for withdrawal of State programs.

(a) In the case of a sewage sludge management program, references in this section to “this part” will be deemed to refer to 40 CFR part 501. The Administrator may withdraw program approval when a State program no longer complies with the requirements of this

part, and the State fails to take corrective action. Such circumstances include the following:

(1) Where the State's legal authority no longer meets the requirements of this part, including:

- (i) Failure of the State to promulgate or enact new authorities when necessary; or
- (ii) Action by a State legislature or court striking down or limiting State authorities.

(2) Where the operation of the State program fails to comply with the requirements of this part, including:

- (i) Failure to exercise control over activities required to be regulated under this part, including failure to issue permits;
- (ii) Repeated issuance of permits which do not conform to the requirements of this part; or
- (iii) Failure to comply with the public participation requirements of this part.

(3) Where the State's enforcement program fails to comply with the requirements of this part, including:

- (i) Failure to act on violations of permits or other program requirements;
- (ii) Failure to seek adequate enforcement penalties or to collect administrative fines when imposed; or
- (iii) Failure to inspect and monitor activities subject to regulation.

(4) Where the State program fails to comply with the terms of the Memorandum of Agreement required under §123.24 (or, in the case of a sewage sludge management program, §501.14 of this chapter).

(5) Where the State fails to develop an adequate regulatory program for developing water quality-based effluent limits in NPDES permits.

(6) Where a Great Lakes State or Tribe (as defined in 40 CFR 132.2) fails to adequately incorporate the NPDES permitting implementation procedures promulgated by the State, Tribe, or EPA pursuant to 40 CFR part 132 into individual permits.

(b) [Reserved]

§123.64 Procedures for withdrawal of State programs.

(a) A State with a program approved under this part (or, in the case of a sewage sludge management program, 40 CFR part 501) may voluntarily transfer program

responsibilities required by Federal law to EPA by taking the following actions, or in such other manner as may be agreed upon with the Administrator.

(1) The State shall give the Administrator 180 days notice of the proposed transfer and shall submit a plan for the orderly transfer of all relevant program information not in the possession of EPA (such as permits, permit files, compliance files, reports, permit applications) which are necessary for EPA to administer the program.

(2) Within 60 days of receiving the notice and transfer plan, the Administrator shall evaluate the State's transfer plan and shall identify any additional information needed by the Federal government for program administration and/or identify any other deficiencies in the plan.

(3) At least 30 days before the transfer is to occur the Administrator shall publish notice of the transfer in the Federal Register and in enough of the largest newspapers in the State to provide Statewide coverage, and shall mail notice to all permit holders, permit applicants, other regulated persons and other interested persons on appropriate EPA and State mailing lists.

(b) The following procedures apply when the Administrator orders the commencement of proceedings to determine whether to withdraw approval of a State program.

(1) Order. The Administrator may order the commencement of withdrawal proceedings on his or her own initiative or in response to a petition from an interested person alleging failure of the State to comply with the requirements of this part as set forth in §123.63 (or, in the case of a sewage sludge management program, §501.33 of this chapter). The Administrator will respond in writing to any petition to commence withdrawal proceedings. He may conduct an informal investigation of the allegations in the petition to determine whether cause exists to commence proceedings under this paragraph. The Administrator's order commencing proceedings under this paragraph will fix a time and place for the commencement of the hearing and will specify the allegations against the State which are to be considered at the hearing. Within 30 days the State must admit or deny these allegations in a written answer. The party seeking withdrawal of the State's program will have the burden of coming forward with the evidence in a hearing under this paragraph.

(2) Definitions. For purposes of this paragraph the definitions of "Act," "Administrative Law Judge," "Hearing Clerk," and "Presiding Officer" in 40 CFR 22.03 apply in addition to the following:

(i) Party means the petitioner, the State, the Agency, and any other person whose request to participate as a party is granted.

(ii) Person means the Agency, the State and any individual or organization having an interest in the subject matter of the proceeding.

(iii) Petitioner means any person whose petition for commencement of withdrawal proceedings has been granted by the Administrator.

(3) Procedures.

(i) The following provisions of 40 CFR part 22 (Consolidated Rules of Practice) are applicable to proceedings under this paragraph:

- (A) §22.02—(use of number/gender);
- (B) §22.04(c)—(authorities of Presiding Officer);
- (C) §22.06—(filing/service of rulings and orders);
- (D) §22.09—(examination of filed documents);
- (E) §22.19(a), (b) and (c)—(prehearing conference);
- (F) §22.22—(evidence);
- (G) §22.23—(objections/offers of proof);
- (H) §22.25—(filing the transcript); and
- (I) §22.26—(findings/conclusions).

(ii) The following provisions are also applicable:

(A) Computation and extension of time—(1) Computation. In computing any period of time prescribed or allowed in these rules of practice, except as otherwise provided, the day of the event from which the designated period begins to run shall not be included. Saturdays, Sundays, and Federal legal holidays shall be included. When a stated time expires on a Saturday, Sunday, or legal holiday, the stated time period shall be extended to include the next business day.

(2) Extensions of time. The Administrator, Regional Administrator, or Presiding Officer, as appropriate, may grant an extension of time for the filing of any pleading, document, or motion (i) upon timely motion of a party to the proceeding, for good cause shown, and after consideration of prejudice to other parties, or (ii) upon his own motion. Such a motion by a party may only be made after notice to all other parties, unless the movant can show good cause why serving notice is impracticable. The motion shall be filed in advance of the date on which the pleading, document or motion is due to be filed, unless the failure of a party to make timely motion for extension of time was the result of excusable neglect.

(3) The time for commencement of the hearing shall not be extended beyond the date set in the Administrator's order without approval of the Administrator.

(B) Ex parte discussion of proceedings. At no time after the issuance of the order commencing proceedings shall the Administrator, the Regional Administrator, the Regional Judicial Officer, the Presiding Officer, or any other person who is likely to advise these officials in the decision on the case, discuss ex parte the merits of the proceeding with any interested person outside the Agency, with any Agency staff member who performs a prosecutorial or investigative function in such proceeding or a factually related proceeding, or with any representative of such person. Any ex parte memorandum or other communication addressed to the Administrator, the Regional Administrator, the Regional Judicial Officer, or the Presiding Officer during the pendency of the proceeding and relating to the merits thereof, by or on behalf of any party, shall be regarded as argument made in the proceeding and shall be served upon all other parties. The other parties shall be given an opportunity to reply to such memorandum or communication.

(C) Intervention—(1) Motion. A motion for leave to intervene in any proceeding conducted under these rules of practice must set forth the grounds for the proposed intervention, the position and interest of the movant and the likely impact that intervention will have on the expeditious progress of the proceeding. Any person already a party to the proceeding may file an answer to a motion to intervene, making specific reference to the factors set forth in the foregoing sentence and paragraph (b)(3)(ii)(C)(3) of this section, within ten (10) days after service of the motion for leave to intervene.

(2) However, motions to intervene must be filed within 15 days from the date the notice of the Administrator's order is first published.

(3) Disposition. Leave to intervene may be granted only if the movant demonstrates that (i) his presence in the proceeding would not unduly prolong or otherwise prejudice that adjudication of the rights of the original parties; (ii) the movant will be adversely affected by a final order; and (iii) the interests of the movant are not being adequately represented by the original parties. The intervenor shall become a full party to the proceeding upon the granting of leave to intervene.

(4) Amicus curiae. Persons not parties to the proceeding who wish to file briefs may so move. The motion shall identify the interest of the applicant and shall state the reasons why the proposed amicus brief is desirable. If the motion is granted, the Presiding Officer or Administrator shall issue an order setting the time for filing such brief. An amicus curiae is eligible to participate in any briefing after his motion is granted, and shall be served with all briefs, reply briefs, motions, and orders relating to issues to be briefed.

(D) Motions—(1) General. All motions, except those made orally on the record during a hearing, shall (i) be in writing; (ii) state the grounds therefor with particularity; (iii) set forth the relief or order sought; and (iv) be accompanied by any affidavit, certificate, other evidence, or legal

memorandum relied upon. Such motions shall be served as provided by paragraph (b)(4) of this section.

(2) Response to motions. A party's response to any written motion must be filed within ten (10) days after service of such motion, unless additional time is allowed for such response. The response shall be accompanied by any affidavit, certificate, other evidence, or legal memorandum relied upon. If no response is filed within the designated period, the parties may be deemed to have waived any objection to the granting of the motion. The Presiding Officer, Regional Administrator, or Administrator, as appropriate, may set a shorter time for response, or make such other orders concerning the disposition of motions as they deem appropriate.

(3) Decision. The Administrator shall rule on all motions filed or made after service of the recommended decision upon the parties. The Presiding Officer shall rule on all other motions. Oral argument on motions will be permitted where the Presiding Officer, Regional Administrator, or the Administrator considers it necessary or desirable.

(4) Record of proceedings.

(i) The hearing shall be either stenographically reported verbatim or tape recorded, and thereupon transcribed by an official reporter designated by the Presiding Officer;

(ii) All orders issued by the Presiding Officer, transcripts of testimony, written statements of position, stipulations, exhibits, motions, briefs, and other written material of any kind submitted in the hearing shall be a part of the record and shall be available for inspection or copying in the Office of the Hearing Clerk, upon payment of costs. Inquiries may be made at the Office of the Administrative Law Judges, Hearing Clerk, 1200 Pennsylvania Ave., NW., Washington, DC 20460;

(iii) Upon notice to all parties the Presiding Officer may authorize corrections to the transcript which involves matters of substance;

(iv) An original and two (2) copies of all written submissions to the hearing shall be filed with the Hearing Clerk;

(v) A copy of each submission shall be served by the person making the submission upon the Presiding Officer and each party of record. Service under this paragraph shall take place by mail or personal delivery;

(vi) Every submission shall be accompanied by an acknowledgement of service by the person served or proof of service in the form of a statement of the date, time, and manner of service and the names of the persons served, certified by the person who made service, and;

(vii) The Hearing Clerk shall maintain and furnish to any person upon request, a list containing the name, service address, and telephone number of all parties and their attorneys or duly authorized representatives.

(5) Participation by a person not a party. A person who is not a party may, in the discretion of the Presiding Officer, be permitted to make a limited appearance by making oral or written statement of his/her position on the issues within such limits and on such conditions as may be fixed by the Presiding Officer, but he/she may not otherwise participate in the proceeding.

(6) Rights of parties.

(i) All parties to the proceeding may:

(A) Appear by counsel or other representative in all hearing and pre-hearing proceedings;

(B) Agree to stipulations of facts which shall be made a part of the record.

(7) Recommended decision. (i) Within 30 days after the filing of proposed findings and conclusions, and reply briefs, the Presiding Officer shall evaluate the record before him/her, the proposed findings and conclusions and any briefs filed by the parties and shall prepare a recommended decision, and shall certify the entire record, including the recommended decision, to the Administrator.

(ii) Copies of the recommended decision shall be served upon all parties.

(iii) Within 20 days after the certification and filing of the record and recommended decision, all parties may file with the Administrator exceptions to the recommended decision and a supporting brief.

(8) Decision by Administrator.

(i) Within 60 days after the certification of the record and filing of the Presiding Officer's recommended decision, the Administrator shall review the record before him and issue his own decision.

(ii) If the Administrator concludes that the State has administered the program in conformity with the appropriate Act and regulations his decision shall constitute "final agency action" within the meaning of 5 U.S.C. 704.

(iii) If the Administrator concludes that the State has not administered the program in conformity with the appropriate Act and regulations he shall list the deficiencies in the program and provide the State a reasonable time, not to exceed 90 days, to take such appropriate corrective action as the Administrator determines necessary.

(iv) Within the time prescribed by the Administrator the State shall take such appropriate corrective action as required by the Administrator and shall file with the Administrator and all parties a statement certified by the State Director that such appropriate corrective action has been taken.

(v) The Administrator may require a further showing in addition to the certified statement that corrective action has been taken.

(vi) If the State fails to take such appropriate corrective action and file a certified statement thereof within the time prescribed by the Administrator, the Administrator shall issue a supplementary order withdrawing approval of the State program. If the State takes such appropriate corrective action, the Administrator shall issue a supplementary order stating that approval of authority is not withdrawn.

(vii) The Administrator's supplementary order shall constitute final Agency action within the meaning of 5 U.S.C. 704.

(viii) Withdrawal of authorization under this section and the appropriate Act does not relieve any person from complying with the requirements of State law, nor does it affect the validity of actions by the State prior to withdrawal.

V. Pretreatment Regulations (40 CFR Part 403)

The CWA established a water quality approach along with EPA-promulgated, industry-specific, technology-based effluent limitations. The NPDES permit program was established under the CWA to control the discharge of pollutants from point sources and served as a vehicle to implement the industrial technology-based standards for direct dischargers and to implement the categorical pretreatment standards for indirect dischargers under the POTW pretreatment program. To implement pretreatment standards and requirements, EPA promulgated 40 CFR Part 128 in late 1973, establishing general prohibitions against treatment plant interference and pass through and setting pretreatment standards for the discharge of incompatible pollutants from specific industrial categories.

The EPA believes it is mutually beneficial for the State of Idaho to seek authorization to administer the Pretreatment Program. The Pretreatment Program is designed to work in concert with the NPDES program to control sources of pollution. The State can realize fully the benefits of pollution source control by administering the Pretreatment Program. The State would be required to identify public operation treatment works (POTWs) that must develop a pretreatment program. Each jurisdiction that has been delegated pretreatment authority by the State must establish local limit for industries discharging to POTWs. Jurisdictions have the responsibility to approve and permit discharge to the POTW.

Once a pretreatment program is approved, the State is responsible for overseeing the program implementation. The State is responsible for conducting pretreatment audits and

pretreatment compliance inspections. Twelve jurisdictions in Idaho currently administer pretreatment programs approved by EPA.

1. Blackfoot
2. Boise
3. Burley
4. Caldwell
5. Coeur d'Alene
6. Idaho Falls
7. Lewiston
8. Nampa
9. Pocatello
10. Rexburg
11. Sandpoint
12. Twin Falls

For more information about Pretreatment, refer to EPA website at http://cfpub.epa.gov/npdes/home.cfm?program_id=3.

Pretreatment Regulations are available at [40 CFR Part 403](#) (general pretreatment regulations).

VI. Biosolids Regulations (40 CFR Part 503)

Biosolids are the nutrient-rich organic materials resulting from the treatment of sewage sludge (the name for the solid, semisolid or liquid untreated residue generated during the treatment of domestic sewage in a treatment facility). When treated and processed, sewage sludge becomes biosolids, which can be safely recycled and applied as fertilizer to sustainably improve and maintain productive soils and stimulate plant growth.

The Federal biosolids rule is contained in 40 CFR Part 503. This rule is described in the EPA publication entitled: [A Plain English Guide to the EPA Part 503 Biosolids Rule](#). The risk assessment for the Federal Part 503 rule that governs the land application of biosolids took nearly ten years to complete and had extensive rigorous review and comment.

Part 503 contains the primary technical regulations for biosolids management at the federal level. EPA has also published Parts 501 and 122. Part 501 describes the standards states must meet if they want to pursue delegation of federal authority, and the process for delegating that authority. Part 122 contains the requirements for state permitting programs. The federal program is self-implementing. This means that even in the absence of a permit, regulated facilities must comply with applicable portions of the regulation. A permit, however, may be used to impose additional or more stringent requirements.

While states can assume authority for the program, only eight states nationwide have approved programs. No Region 10 states have approved Biosolids program, but rather states implement the rule by reference in permits or have promulgated state rules (e.g. Washington).

For more information about Biosolids, refer to EPA website at <http://water.epa.gov/polwaste/wastewater/treatment/biosolids/index.cfm>.

Biosolids Regulations are available at [40 CFR Part 503](#) (sewage sludge disposal standards).

VII. NPDES Program Development and Implementation

The EPA recommends that state establish guidance for permit writers to ensure consistency among state-issued permits. The EPA recommends permit writer guidance for the following, for example:

- Calculating Reasonable Potential Analysis (RPA) and Effluent Limitations
- Establishing and authorizing mixing zones
- Establishing and implement compliance schedules
- Monitoring requirements and schedules

EPA Region 10 has established permit writing guidance and practices for use in the development of NPDES permits in Idaho. This information may be used by DEQ staff for NPDES program and permit development until such time as the State chooses to develop its own guidance. Appendix H: NPDES Permit Writers' Guidance (Page 63) provides information for guidance in developed by other Region 10 states.

VIII. Idaho Permit Universe

The **Integrated Compliance Information System (ICIS)** is a secure system only available to EPA and state users. The public should use the [Enforcement and Compliance History Online \(ECHO\)](#). ECHO is a Web-based tool that provides public users with compliance monitoring and enforcement data.⁵ ICIS is a complex and comprehensive tool. State and federal users who do not use ICIS frequently may find OTIS and ECHO more intuitive for their reporting needs. [More information is available about ICIS, its data, and the two Web tools, OTIS and ECHO \(PDF\)](#). ICIS National Pollutant Discharge Elimination System (ICIS-NPDES) which provides the ability for ICIS users to manage their NPDES program by tracking permits, limits, discharge monitoring data and other program reports.

Table 2 shows an estimate of the current permit universe based on data from the ICIS database December 2013. If Idaho should become authorized to implement the NPDES program all individual and general permits would be transferred to the state. EPA Region 10 would continue to issue and administer tribal permits.

⁵ Source: EPA Website at <http://www.epa.gov/Compliance/data/systems/water/index.html>.

Table 2. Universe of NPDES in Idaho – December 2013

Individual Permits		Idaho		
Permit No.	Permit Description		Expired ¹	Effective
ID00*	Individual Permits			
ID00*		Minor	100	27
ID00*		Major	26	12
ID00*		blank	17	
IDS02*	Stormwater - MS4		5	11
Total			148	50
			75%	25%

General Permits		Idaho		
Permit No.	Permit Description		Expired	Effective
IDG010*	CAFO Permit			1
IDG130*	Aquaculture		99	
IDG131*	Aquaculture - Cold Water Permit		10	
IDG132*	Fish Processors		4	
IDG37*	Small Suction Dredge Placer Miners			81
IDG87*	Pesticide			100
IDG91*	Groundwater Remediation Facilities		7	
IDP*	Stormwater - Industrial		7	
IDR*	Stormwater - Construction			99
Total			127	281
			31%	69%

Tribal Permits		Tribal		
Permit No.	Permit Description		Expired	Effective
ID00*	Individual Permits			
ID00*		Minor	8	8
ID00*		Major		
ID00*		blank		
IDG010*	CAFO Permit			
IDG130*	Aquaculture		3	
IDG131*	Aquaculture - Cold Water Permit			
IDG132*	Fish Processors			
IDG37*	Small Suction Dredge Placer Miners			
IDG91*	Groundwater Remediation Facilities			
IDP*	Stormwater - Industrial			
IDR*	Stormwater - Construction		1	
Total			12	8
			60%	40%

TOTAL PERMITTED FACILITIES			287	339
			46%	54%

Footnote:

- ¹ Expired permits include permits administratively extended following receipt of an application for permit renewal, permits expired because application was not received in a timely manner and pending applications for which a permit is required.

EPA-issued permits for facilities in Idaho are available on EPA Region 10's webpage at <http://yosemite.epa.gov/r10/water.nsf/NPDES+Permits/Current+ID1319>.

IX. Program Resource Requirements

Reserve for additional information about Region 10 States NPDE permit programs including, number permitted facilities, types, organization structure, staff, and budgets.

Reserve for: EPA Workload model, example of worksheet data requirements.

Idaho's previous assessment in Appendix G (Page 62).

Appendix A: Clean Water Act Section 402 (b) [33 USC § 1342]

State permit programs

At any time after the promulgation of the guidelines required by subsection (i)(2) of section 1314 of this title, the Governor of each State desiring to administer its own permit program for discharges into navigable waters within its jurisdiction may submit to the Administrator a full and complete description of the program it proposes to establish and administer under State law or under an interstate compact. In addition, such State shall submit a statement from the attorney general (or the attorney for those State water pollution control agencies which have independent legal counsel), or from the chief legal officer in the case of an interstate agency, that the laws of such State, or the interstate compact, as the case may be, provide adequate authority to carry out the described program. The Administrator shall approve each submitted program unless he determines that adequate authority does not exist:

- (1) To issue permits which
 - (A) apply, and insure compliance with, any applicable requirements of sections 1311, 1312, 1316, 1317, and 1343 of this title;
 - (B) are for fixed terms not exceeding five years; and
 - (C) can be terminated or modified for cause including, but not limited to, the following:
 - (i) violation of any condition of the permit;
 - (ii) obtaining a permit by misrepresentation, or failure to disclose fully all relevant facts;
 - (iii) change in any condition that requires either a temporary or permanent reduction or elimination of the permitted discharge;
 - (D) control the disposal of pollutants into wells;
- (2)
 - (A) To issue permits which apply, and insure compliance with, all applicable requirements of section 1318 of this title; or
 - (B) To inspect, monitor, enter, and require reports to at least the same extent as required in section 1318 of this title;
- (3) To insure that the public, and any other State the waters of which may be affected, receive notice of each application for a permit and to provide an opportunity for public hearing before a ruling on each such application;
- (4) To insure that the Administrator receives notice of each application (including a copy thereof) for a permit;
- (5) To insure that any State (other than the permitting State), whose waters may be affected by the issuance of a permit may submit written recommendations to the permitting State (and the Administrator) with respect to any permit application and, if any part of such written recommendations are not accepted by the permitting State, that the permitting State will notify such affected State (and the

Administrator) in writing of its failure to so accept such recommendations together with its reasons for so doing;

- (6) To insure that no permit will be issued if, in the judgment of the Secretary of the Army acting through the Chief of Engineers, after consultation with the Secretary of the department in which the Coast Guard is operating, anchorage and navigation of any of the navigable waters would be substantially impaired thereby;
- (7) To abate violations of the permit or the permit program, including civil and criminal penalties and other ways and means of enforcement;
- (8) To insure that any permit for a discharge from a publicly owned treatment works includes conditions to require the identification in terms of character and volume of pollutants of any significant source introducing pollutants subject to pretreatment standards under section 1317 (b) of this title into such works and a program to assure compliance with such pretreatment standards by each such source, in addition to adequate notice to the permitting agency of
 - (A) new introductions into such works of pollutants from any source which would be a new source as defined in section 1316 of this title if such source were discharging pollutants,
 - (B) new introductions of pollutants into such works from a source which would be subject to section 1311 of this title if it were discharging such pollutants, or
 - (C) a substantial change in volume or character of pollutants being introduced into such works by a source introducing pollutants into such works at the time of issuance of the permit. Such notice shall include information on the quality and quantity of effluent to be introduced into such treatment works and any anticipated impact of such change in the quantity or quality of effluent to be discharged from such publicly owned treatment works; and
- (9) To insure that any industrial user of any publicly owned treatment works will comply with sections 1284 (b), 1317, and 1318 of this title.

Appendix B: State Program Requirements (40 CFR Part 123)

TITLE 40—Protection of Environment
CHAPTER I—ENVIRONMENTAL PROTECTION AGENCY
SUBCHAPTER D—WATER PROGRAMS

Part 123—State Program Requirements

Subpart A—GENERAL

- §123.1 Purpose and scope.
- §123.2 Definitions.
- §123.3 Coordination with other programs.

Subpart B—STATE PROGRAM SUBMISSIONS

- §123.21 Elements of a program submission.
- §123.22 Program description.
- §123.23 Attorney General's statement.
- §123.24 Memorandum of Agreement with the Regional Administrator.
- §123.25 Requirements for permitting.
- §123.26 Requirements for compliance evaluation programs.
- §123.27 Requirements for enforcement authority.
- §123.28 Control of disposal of pollutants into wells.
- §123.29 Prohibition.
- §123.30 Judicial review of approval or denial of permits.
- §123.31 Requirements for eligibility of Indian Tribes.
- §123.32 Request by an Indian Tribe for a determination of eligibility.
- §123.33 Procedures for processing an Indian Tribe's application.
- §123.34 Provisions for Tribal criminal enforcement authority.
- §123.35 As the NPDES Permitting Authority for regulated small MS4s, what is my role?
- §123.36 Establishment of technical standards for concentrated animal feeding operations.

Subpart C—TRANSFER OF INFORMATION AND PERMIT REVIEW

- §123.41 Sharing of information.
- §123.42 Receipt and use of Federal information.
- §123.43 Transmission of information to EPA.
- §123.44 EPA review of and objections to State permits.
- §123.45 Noncompliance and program reporting by the Director.
- §123.46 Individual control strategies.

Subpart D—PROGRAM APPROVAL, REVISION, AND WITHDRAWAL

- §123.61 Approval process.
- §123.62 Procedures for revision of State programs.
- §123.63 Criteria for withdrawal of State programs.
- §123.64 Procedures for withdrawal of State programs.

Appendix C: 40 CFR Parts 122 and 124

TITLE 40—Protection of Environment
CHAPTER I—ENVIRONMENTAL PROTECTION AGENCY
SUBCHAPTER D—WATER PROGRAMS

Part 122—EPA Administered Permit Programs: the NPDES

Subpart A—DEFINITIONS AND GENERAL PROGRAM REQUIREMENTS

- §122.1 Purpose and scope.
- §122.2 Definitions.
- §122.3 Exclusions.
- §122.4 Prohibitions (applicable to State NPDES programs, see §123.25).
- §122.5 Effect of a permit.
- §122.6 Continuation of expiring permits.
- §122.7 Confidentiality of information.

Subpart B—PERMIT APPLICATION AND SPECIAL NPDES PROGRAM REQUIREMENTS

- §122.21 Application for a permit (applicable to State programs, see §123.25).
- §122.22 Signatories to permit applications and reports (applicable to State programs, see §123.25).
- §122.23 Concentrated animal feeding operations (applicable to State NPDES programs, see §123.25).
- §122.24 Concentrated aquatic animal production facilities (applicable to State NPDES programs, see §123.25).
- §122.25 Aquaculture projects (applicable to State NPDES programs, see §123.25).
- §122.26 Storm water discharges (applicable to State NPDES programs, see §123.25).
- §122.27 Silvicultural activities (applicable to State NPDES programs, see §123.25).
- §122.28 General permits (applicable to State NPDES programs, see §123.25).
- §122.29 New sources and new dischargers.
- §122.30 What are the objectives of the storm water regulations for small MS4s?
- §122.31 As a Tribe, what is my role under the NPDES storm water program?
- §122.32 As an operator of a small MS4, am I regulated under the NPDES storm water program?
- §122.33 If I am an operator of a regulated small MS4, how do I apply for an NPDES permit and when do I have to apply?
- §122.34 As an operator of a regulated small MS4, what will my NPDES MS4 storm water permit require?
- §122.35 As an operator of a regulated small MS4, may I share the responsibility to implement the minimum control measures with other entities?
- §122.36 As an operator of a regulated small MS4, what happens if I don't comply with the application or permit requirements in §§122.33 through 122.35?
- §122.37 Will the small MS4 storm water program regulations at §§122.32 through 122.36 and §123.35 of this chapter change in the future?

Subpart C—PERMIT CONDITIONS

- §122.41 Conditions applicable to all permits (applicable to State programs, see §123.25).

- §122.42 Additional conditions applicable to specified categories of NPDES permits (applicable to State NPDES programs, see §123.25).
- §122.43 Establishing permit conditions (applicable to State programs, see §123.25).
- §122.44 Establishing limitations, standards, and other permit conditions (applicable to State NPDES programs, see §123.25).
- §122.45 Calculating NPDES permit conditions (applicable to State NPDES programs, see §123.25).
- §122.46 Duration of permits (applicable to State programs, see §123.25).
- §122.47 Schedules of compliance.
- §122.48 Requirements for recording and reporting of monitoring results (applicable to State programs, see §123.25).
- §122.49 Considerations under Federal law.
- §122.50 Disposal of pollutants into wells, into publicly owned treatment works or by land application (applicable to State NPDES programs, see §123.25).

Subpart D—Transfer, Modification, Revocation and Reissuance, and Termination of Permits

- §122.61 Transfer of permits (applicable to State programs, see §123.25).
- §122.62 Modification or revocation and reissuance of permits (applicable to State programs, see §123.25).
- §122.63 Minor modifications of permits.
- §122.64 Termination of permits (applicable to State programs, see §123.25).

Appendix A to Part 122—NPDES Primary Industry Categories

Appendix B to Part 122 [Reserved]

Appendix C to Part 122—Criteria for Determining a Concentrated Aquatic Animal Production Facility (§122.24)

Appendix D to Part 122—NPDES Permit Application Testing Requirements (§122.21)

Appendix E to Part 122—Rainfall Zones of the United States

Appendix F to Part 122—Incorporated Places With Populations Greater Than 250,000 According to the 1990 Decennial Census by the Bureau of the Census

Appendix G to Part 122—Incorporated Places With Populations Greater Than 100,000 But Less Than 250,000 According to the 1990 Decennial Census by the Bureau of the Census

Appendix H to Part 122—Counties With Unincorporated Urbanized Areas With a Population of 250,000 or More According to the 1990 Decennial Census by the Bureau of the Census

Appendix I to Part 122—Counties With Unincorporated Urbanized Areas Greater Than 100,000, But Less Than 250,000 According to the 1990 Decennial Census by the Bureau of the Census

Appendix J to Part 122—NPDES Permit Testing Requirements for Publicly Owned Treatment Works (§122.21(j))

TITLE 40—Protection of Environment
CHAPTER I—ENVIRONMENTAL PROTECTION AGENCY
SUBCHAPTER D—WATER PROGRAMS

Part 124—Procedures for Decisionmaking

Subpart A—General Program Requirements

- §124.1 Purpose and scope.
- §124.2 Definitions.
- §124.3 Application for a permit.
- §124.4 Consolidation of permit processing.
- §124.5 Modification, revocation and reissuance, or termination of permits.
- §124.6 Draft permits.
- §124.7 Statement of basis.
- §124.8 Fact sheet.
- §124.9 Administrative record for draft permits when EPA is the permitting authority.
- §124.10 Public notice of permit actions and public comment period.
- §124.11 Public comments and requests for public hearings.
- §124.12 Public hearings.
- §124.13 Obligation to raise issues and provide information during the public comment period.
- §124.14 Reopening of the public comment period.
- §124.15 Issuance and effective date of permit.
- §124.16 Stays of contested permit conditions.
- §124.17 Response to comments.
- §124.18 Administrative record for final permit when EPA is the permitting authority.
- §124.19 Appeal of RCRA, UIC, NPDES and PSD Permits.
- §124.20 Computation of time.
- §124.21 Effective date of part 124.

Subpart B—Specific Procedures Applicable to RCRA Permits

- §124.31 Pre-application public meeting and notice.
- §124.32 Public notice requirements at the application stage.
- §124.33 Information repository.

Subpart C—Specific Procedures Applicable to PSD Permits

- §124.41 Definitions applicable to PSD permits.
- §124.42 Additional procedures for PSD permits affecting Class I areas.

Subpart D—Specific Procedures Applicable to NPDES Permits

- §124.51 Purpose and scope.
- §124.52 Permits required on a case-by-case basis.
- §124.53 State certification.
- §124.54 Special provisions for State certification and concurrence on applications for section 301(h) variances.
- §124.55 Effect of State certification.
- §124.56 Fact sheets.

- §124.57 Public notice.
- §124.58 [Reserved]
- §124.59 Conditions requested by the Corps of Engineers and other government agencies.
- §124.60 Issuance and effective date and stays of NPDES permits.
- §124.61 Final environmental impact statement.
- §124.62 Decision on variances.
- §124.63 Procedures for variances when EPA is the permitting authority.
- §124.64 Appeals of variances.
- §124.65 [Reserved]
- §124.66 Special procedures for decisions on thermal variances under section 316(a).

Appendix D: Memorandum of Agreements between EPA and States Authorized to Implement the NPDES Program⁶

On August 24, 2012, EPA's Office of Enforcement and Compliance Assurance and Office of Water distributed [Final Documents for Review of Existing State/EPA Memoranda of Agreement](http://www.epa.gov/compliance/resources/policies/state/moa/finalepastatemoa.pdf) <<http://www.epa.gov/compliance/resources/policies/state/moa/finalepastatemoa.pdf>>.

EPA, with input from the states, developed review criteria, a [checklist](#) and a [model NPDES MOA](#), as tools for EPA regions and states to use in reviewing an existing MOA, deciding whether revisions are needed, and in making appropriate revisions where necessary. These documents are not legally binding or enforceable and MOAs do not need to mirror the model. The model is an example that provides sample language as a reference tool.

The EPA expects that NPDES program MOAs will be reviewed by each state and EPA regional office at least once every four years in accordance with the four-year cycle for integrated program reviews. [NPDES Permit Quality Reviews](#) and [State Review Framework](#) enforcement reviews were integrated under the [Clean Water Act Action Plan](#), beginning in FY2013.

MOAs must meet the requirements of 40 CFR §123.24 and should contain provisions outlining long-term state and federal responsibilities. This model provides an example of language recommended to be used by states and regions when creating or revising an NPDES program MOA. The majority of the provisions mirror the federal regulations and thus would meet the substance of the regulatory requirements. It is also consistent with EPA policy and guidance and covers base program requirements. The MOA is part of the overall relationship between EPA and the State. EPA intends to collaborate with the State on any decision to revise the MOA. This document is not itself legally binding or enforceable. Regulation cites inform the evaluation – state programs need to be no less stringent than the applicable federal program, but do not need to track the language of the applicable federal regulations exactly.

A [summary table](#) listing the approval dates for each state NPDES program and subprogram is also available.

⁶ Source: EPA webpage at <http://www.epa.gov/compliance/resources/policies/state/moa/>

Appendix E: Region 10 States' Resources Requirements and Operating Budgets

Reserve should additional information become available about R10 states' staffing and program budgets.

Appendix F: Alaska 2008 Delegation

Alaska was the most recent state to gain NPDES authority. The application package provided on the Department of Environmental Conservation's website serves as an example.

Alaska Primacy Application

<http://dec.alaska.gov/water/npdes/APDESApplication.htm>

The application consists of six components:

1. A [letter from the Governor](#) (PDF) requesting approval of the state's application;
2. A [Program Description](#) that describes how the state will issue APDES permits, ensure permit compliance, conduct enforcement, fund the program, and manage program information and data;
3. A signed [Memorandum of Agreement \(MOA\)](#) between the State and EPA that establishes timeframes for the State to assume authority for the program;
4. An [Attorney General Statement](#) (PDF) confirming that the State's laws and regulations are sufficient to implement the NPDES program;
5. [Statutes](#) and [Regulations](#) that the State adopted to provide the necessary authority to implement the NPDES program, including [HB 149](#) (PDF) signed by Governor Palin; and
6. A [Continuing Planning Process](#) document that discusses how DEC will continually update its program.

APDES Authority <http://dec.alaska.gov/water/npdes/APDESAuthority.htm>

EPA's Alaska NPDES Authorization Information

<http://yosemite.epa.gov/R10/water.nsf/npdes+permits/apdes>

Summary: On October 31, 2008, EPA approved the State of Alaska's application to administer and enforce an Alaska version of the National Pollutant Discharge Elimination System (NPDES) program under Section 402 of the Clean Water Act. The State administers the approved [Alaska Pollutant Discharge Elimination System program](#) through the Alaska Department of Environmental Conservation. EPA retains permitting and enforcement authorities for facilities operating outside state waters (generally 3 miles offshore), and others, such as facilities located in Indian Country.

The approved implementation plan transfers administration of specific NPDES program components from EPA to Alaska in Phases I through-IV, subject to continuing EPA oversight and enforcement authority:

Phase I (transferred October 2008): Domestic discharges, timber, seafood processing

Phase II (transferred October 2009): Federal facilities, stormwater, pretreatment program, misc. non-domestic discharges

Phase III (transferred October 2010): Mining

Phase IV (scheduled to transfer October 2012): [oil & gas facilities](#), cooling water intake structures, munitions, and remaining facilities not previously transferred in Phases I-III

Appendix G: Idaho DEQ NPDES Information

In Idaho, the NPDES permit program is administered by EPA, which means EPA is responsible for issuing and enforcing all NPDES permits in Idaho. Idaho is one of only a handful of states where the NPDES program is administered by EPA. States are encouraged by EPA to attain primacy for the program. Primacy enables states to assume responsibility for administering certain federally mandated programs, such as the NPDES program. Over the past several years, various studies have been conducted on the pros and cons of transferring primacy for the NPDES program from EPA to DEQ. Several reports have been submitted to the Legislature outlining the benefits of doing so, but questions remain over potential costs and funding. As a result, responsibility for operating the program in Idaho continues to rest with EPA.

Source: <http://www.deq.idaho.gov/permitting/water-quality-permitting/npdes.aspx>

DEQ Resources

[NPDES Program Review: Decision Analysis Report 1](#) (January 2001)

[NPDES Program Review: Decision Analysis Report 2](#) (November 2002)

[NPDES Program Review: Decision Analysis Report 3](#) (December 2005)

Appendix H: NPDES Permit Writers' Guidance

EPA Permit Writers' Course

Information about upcoming courses is available at:

<http://water.epa.gov/polwaste/npdes/NPDES-Permit-Writers-Course.cfm>

EPA Permit Writer's Course – Online

<http://water.epa.gov/polwaste/npdes/>

Self-Paced Web Training

- [NPDES Permit Writers' Training](#)
- [Web-based Water Quality Trading Training](#)
- [TMDL to NPDES Permits Training](#)

EPA's Permit Writers' Manual

http://www.epa.gov/npdes/pubs/pwm_2010.pdf

Guidance Documents for Alaska

Recourses not yet available online.

Guidance Documents for Oregon

WQ Internal Management Directives

[Antidegradation Policy Implementation IMD - Mar. 2001](#)

[Arsenic Reduction Policy in Surface Water Drinking Water Source Area - May 7, 2013](#)

[Compliance Schedules in NPDES Permits](#)

[Implementation of Methylmercury Criterion in NPDES Permits - Jan. 8](#)

- [Transmittal Memo for Implementation for Methylmercury Criterion](#)

[Implementing Oregon's Biosolids Program IMD - Dec. 2005](#)

[Indirect Discharge to Surface Water via Groundwater or Hyporheic Water - Sept. 2007](#)

[Interim Procedure for Addressing Naturally Occurring Arsenic in NPDES Permits - *Note:*](#)

This document applies only to permits that reference it.

[Monitoring Background Groundwater Quality IMD for Regulating Permitted Operations under OAR 340-040-0030 - July 2003](#)

[Nonpoint Source Compliance With the Protecting Cold Water Criterion of the Temperature Standard](#)

[Operations, Monitoring and Management \(OM&M\) Plans for Land Application of Non-Sanitary Wastewater - Nov. 2002](#)

[Oregon Bacterial Rule: Bacterial Criteria for Marine and Estuarine Waters](#)

[Reasonable Potential Analysis for Toxic Pollutants IMD, Revision 3.1 - Feb. 2012](#)

- [Transmittal Memo for Reasonable Potential Analysis IMD - Aug. 2011](#)
- [RPA Calculation Workbook, Domestic, Revision 3.4](#)
- [RPA Calculation Workbook, Industrial, Revision 3.6](#)

Please contact [Spencer Bohaboy](#) for questions or to provide edits or feedback, 503-229-5415.

[Reasonable Potential Analysis for Toxic Pollutants, Revision 3.0 August 2011/a>](#):
[Exceptional Analytic Methods, limits and Implementation Guidelines](#)
[Recycled Water IMD - June 2009](#)
[Regulatory Mixing Zone IMD - May 2012](#)

- [Part 1: Allocating Regulatory Mixing Zones](#)
- [Part 2: Reviewing Mixing Zone Studies](#)
- [Transmittal Memo](#)

[Sanitary Sewer Overflows \(SSOs\) IMD - Nov. 2010](#)
[Site Specific Background Pollutant Criterion IMD \(SSBPC\) - June, 2012](#)

- [SSBPC IMD Transmittal Memo](#)
- Please contact a [Surface Water Management representative](#) at 503.229.5415 to obtain the worksheets associated with the implementation of the criterion.

[Temperature Water Quality Standard Implementation IMD - Apr. 2008](#)
[Use Attainability Analysis and Site Specific Criteria](#)
[Use of Significant Figures and Rounding Conventions in Water Quality Permitting - Dec. 2013](#)

- [Transmittal Memo](#)

[Variances for NPDES Permit Holders - Feb. 2012](#)
[Water Quality Trading IMD - Dec. 2009](#)

Guidance Documents for Washington

[Ecology Permit Writer's Manual](#)

Source: <https://fortress.wa.gov/ecy/publications/publications/92109.pdf>

This is the technical guidance and policy manual for permit writers who develop wastewater discharge permits in Washington State.

NPDES Permit Writing Guidance and Tools

<http://www.ecy.wa.gov/programs/wq/permits/guidance.html#tools>

References

Clean Water Act <http://www2.epa.gov/laws-regulations/summary-clean-water-act>

CFR Title 40, Protection of Environment http://www.ecfr.gov/cgi-bin/text-idx?SID=7ca1925c865ae2f3d3d7073561fd71cb&tpl=/ecfrbrowse/Title40/40tab_02.tpl

EPA Websites

As cited throughout document.

U.S. Environmental Protection Agency, NPDES Permit Writers' Manual, September 2010. <http://www.epa.gov/npdes/pubs/pwm_2010.pdf>