

**Annual Waste Discharge Requirements**

# **Fee Handbook**

**March 1997**

**California State Water Resources Control Board  
and the Regional Water Quality Control Boards**



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## INTRODUCTION

Just like other public agencies, private firms and households, the State and Regional Boards build a financial plan from a complex series of assumptions about future income and future spending. The Water Boards' financial plan includes assumptions about how much income, or revenue, we will collect from multiple sources—to implement the spending plan we must collect the revenue.

Over time, the State and Regional Boards have become increasingly dependent on revenue collected by our own staff. In fiscal year 1987-88, Water Board staff collected \$6.3 million or 9% of the \$70.5 million needed to pay salaries, benefits and operating costs. In fiscal year 1996-97, nine years later, staff must collect \$39.6 million or 31% of the \$129 million needed to pay salaries, benefits and operating costs of the State and Regional Boards. Annual Waste Discharge Requirements (WDR) Fees—\$8.4 million in fiscal year 1995-96 or 21% of the total—are the largest source of revenue.

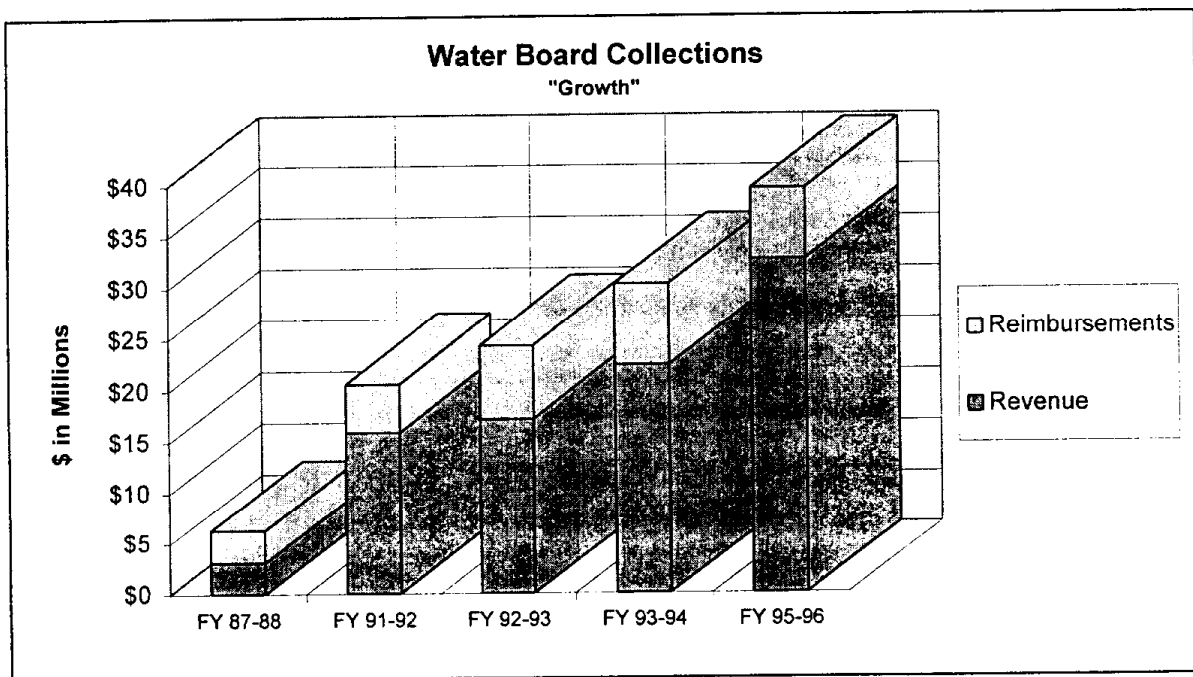


Figure 1. Growth in revenue and reimbursement funding budgeted for State Operations costs of the State and Regional Boards between fiscal year 1987-88 and 1995-96, the budgeted amount grew by 529%.

**Why a handbook?** We developed the handbook to improve our ability to efficiently collect the Annual WDR Fee revenue that the State and Regional Boards use to pay for a significant portion of the costs of water quality activities. Specifically, the handbook focuses on:

- Making the best use of technical and administrative staff time
- Improving our ability to provide information to fee-payers
- Improving the flow of information between the primary data bases that make up the information system we rely on—the Waste Discharger System (WDS), the Annual Fees Billing System (AFBS) and the Annual Fees Remittance System (AFRS).

**Whose ideas are in the handbook?** Between May and December 1995, members of the Statewide Fee Team worked together to develop a common understanding of the Annual WDR Fee process—this handbook reflects that understanding.

**Is the process perfect?** No, but we think it is better. The Statewide Fee Team developed a list of significant problems and provided guidance on priorities—the Fee Unit will work continuously with staff involved in the process to develop solutions. WDS Coordinators' Team meetings are the primary forum for sharing and gathering information—Statewide Fee Team members agreed to serve as an advisory body on particularly complex or sensitive issues. Improvement efforts will focus on the following priorities recommended by the Statewide Fee Team:

- Priority 1.* Data System Problems
- Priority 2.* Billing and Collection Process Problems
- Priority 3.* Problems from the Fee-Payers' Perspective
- Priority 4.* Report Problems
- Priority 5.* Program Guidance Problems
- Priority 6.* Unresolved Past Year Invoice Problems
- Priority 7.* Form Design Problems
- Priority 8.* Payment Policy Problems
- Priority 9.* Cash Flow and Billing Cycle Problems

**Who will use the handbook?** The handbook should be useful to people who are interested in making the process more effective and efficient, to people who want to understand how their work relates to the work of others and to people who want to understand how fee-related actions and decisions affect organizations and fee-payers.

**Which fees are described in the handbook?** The handbook relates to the Annual WDR Fees collected for sites regulated through the following water quality program activities:

- NPDES Individual Permits
- NPDES General Permits
- NPDES Areawide Urban Stormwater Permits
- NPDES Pretreatment Surcharges
- Non-Chapter 15 Waste Discharge Requirements (WDRs)
- Non-Chapter 15 General Permits
- Chapter 15 Waste Discharge Requirements (WDRs)
- Chapter 15 General Permits
- Dredge and Fill Permits

**Do we use the Annual Fee Billing System (AFBS) and the Annual Fee Remittance System (AFRS) databases for other fees?** Yes. We use AFBS and AFRS to bill and collect NPDES Municipal and Industrial Stormwater fees, as well as Bay Protection and Toxic Cleanup Program fees. However, procedures for these fee types are beyond the scope of this handbook.



**Are there other fees and other billing systems?** Yes. The Division of Administrative Services, State and Regional Board organizations and other state agencies collect other fees that support water quality and water rights programs. Some of those fees are listed below.

**What organizations should I contact for information about fees?** The organizations listed below share responsibility for maintaining regulatory and financial records with the Division of Administrative Services. For information, contact the organizations listed below.

***Division of Administrative Services Fee Unit***

Annual WDR fees

Bay Protection and Toxic Cleanup Fees

***Division of Clean Water Programs***

Spills, Leaks, Investigations, and Cleanup cost recovery

Underground Storage Tanks Cleanup Fund fees\*

Underground Storage Tank cost recovery

Underground Storage Tank Tester License fees

Aboveground Storage Tank cost recovery and fees

Toxic Pits cost recovery and fees

Underground Storage Tank permit surcharges

***Division of Water Quality***

NPDES Municipal and Industrial Stormwater fees

401 Certification fees

***Division of Water Rights***

Water Rights fees

***Office of the Chief Counsel***

Administrative Civil Liability (ACL) liabilities and assessments.

*\*Collected by the Board of Equalization*



## THE PROCESS AT A GLANCE

### PHASE I. Preparing Invoices

**STEP 1. FEE-PAYERS APPLY FOR WASTE DISCHARGE PERMIT REQUIREMENTS ("Permit").** Regional Boards become aware of the need to develop or revise waste discharge permit requirements for a facility when they receive letters or calls from potential dischargers, from consultants, from local governments, or when they receive complaints from the public. Regional Board technical staff work with applicants to help them gather the background information necessary for a complete application. The potential fee-payer submits an application package to the Regional Board.

**STEP 2. REGIONAL BOARDS IDENTIFY APPROPRIATE REGULATORY FRAMEWORK, COLLECT THE APPLICATION FEE, IDENTIFY A BILLING ADDRESS AND DRAFT PERMIT REQUIREMENTS.** Regional Board staff review the application to determine: (1) if the facility should be regulated by the Regional Board, (2) the appropriate regulatory program, e.g., NPDES, Chapter 15, Non-Chapter 15, (3) the threat to water quality (TTWQ) and complexity (CPLX) rating, cubic yards of dredged material, or the population of the area served for urban stormwater applications. Based on that information, Regional Board staff determine the appropriate Annual WDR Fee, inform the potential fee-payer of the amount, collect an application fee equal to the first year's Annual WDR Fee, and identify a billing address. Then, technical staff draft the waste discharge requirements.

**STEP 3. REGIONAL BOARDS ENTER FACILITY INFORMATION INTO WDS DATABASE.** Regional Board staff work with WDS Coordinators to make sure that the Waste Discharger System (WDS) PC, individual databases maintained by each Regional Board on personal computers, reflects the date the Regional Board received the application, collection of the application fee, as well as other critical information about the facility.

**STEP 4. REGIONAL BOARDS UPLOAD WDS DATA FILES TO THE STATE BOARD.** On the 8th day of each month, Regional Board WDS Coordinators upload WDS data files through the OA system to the Information Services Branch (ISB) at the State Board. ISB staff move data between the State Board's computers and a mainframe computer at Teale Data Center—the State Board stores consolidated statewide WDS data at Teale Data Center. State and Regional Board staff do not have on-line access to the data—ISB staff prepare reports on request.

**STEP 5. REGIONAL BOARDS AND THE STATE BOARD CONDUCT THE ANNUAL TEST RUN.** To prepare for the Annual WDR Fee billing process, the Fee Unit works with Regional Board and ISB staff to conduct a "test run" of the fee-related data in Regional Board WDS data files during the first quarter of each fiscal year. WDS Coordinators upload data to the State Board, then ISB staff upload fee-related data from the WDS files to the Annual Fees Billing System (AFBS) at Teale Data Center. The AFBS database uses WDS PC data to produce an "Invoice Inventory Report" for each Regional Board, along with a series of error reports that identify data problems. WDS Coordinators work with other Regional Board staff to review the list of potential invoices and to make necessary corrections to Regional Board WDS data files. Critical elements include verifying that data files include an accurate billing address, fee rating, and application fee for each discharger.

**STEP 6. STATE BOARD ISSUES ANNUAL WDR FEE INVOICES.** After improving the quality of WDS PC data through the Test Run, Regional Boards upload WDS PC data files to the State Board—State Board staff use this data to prepare the actual Annual WDR Fee billing. The Fee Unit and ISB work with Teale Data Center to prepare the invoices. Teale uses the AFBS system, which contains a sub-set of Regional Board WDS PC data, to print the Annual WDR Fee invoices. If facility records in WDS PC data files reflect receipt of an application fee, the billing system will calculate a credit to the discharger and reduce the amount of the invoice. Teale forwards the invoices to the State Board—Mailroom staff mail an invoice, a letter from the Director, an informational brochure on "frequently asked questions," a return mail envelope and an address change card to each fee-payer. Invoices direct fee-payers to mail payments to the State Board and to contact the local Regional Board if they have regulatory questions.

## PHASE II. Collecting Fees

**STEP 7. ACCOUNTING OFFICE STAFF RECEIVE CHECKS, DEPOSIT CHECKS AND UPDATE PAYMENT RECORDS IN AFRS.** Accounting Office staff open payment envelopes; look for numeric identifiers that link payments to the appropriate program, fund and invoice; and, deposit fee payments in the bank. Accounting staff record fee payments in the "AFRS" system.

**STEP 8. ACCOUNTING OFFICE STAFF MAIL LATE NOTICES.** The AFRS system automatically produces two Late Notices—one 60 days and another 90 days after the date of the original invoice.

**STEP 9. ACCOUNTING OFFICE AND THE FEE UNIT SUMMARIZE PROGRESS.** The Accounting Office works with ISB to place two Annual WDR Fee reports in Central Files accessible through the OA system. One report summarizes the total number and dollar value of invoices, invoice payments and outstanding invoices for each Regional Board. The other report provides a detailed list of individual outstanding invoices by Regional Board for the current and previous fiscal years.

**STEP 10. THE FEE UNIT DEVELOPS NEXT YEAR'S BILLING SCHEDULE.** The Fee Unit monitors progress of fee collections and works with Regional Board and State Board staff to develop a workable billing schedule for the next fiscal year.

## PHASE III. Resolving Problems

**STEP 11. FEE UNIT AND ACCOUNTING OFFICE RECEIVE PHONE CALLS AND CORRESPONDENCE.** The Fee Unit and the Accounting Office receive calls and correspondence from fee-payers about a variety of issues and receive undeliverable invoices from the U.S. Post Office:

**New Addresses and Returned Mail.** Some fee-payers fill out and return address change postcards to the State Board along with their fee payments. When the Post Office cannot deliver an invoice to a discharger, the Fee Unit also receives "returned mail." Because Regional Boards maintain the "source records" in WDS PC that create the invoices, the Fee Unit forwards address change postcards and returned mail to the appropriate Regional Boards for action.

**Ceased Discharge/Fee Rating.** Frequently, dischargers indicate that they received an Annual WDR Fee invoice even though the discharge ceased. Others question the accuracy of the TTWQ/CPLX rating, a key factor used to determine the fee amount. When fee-payers ask these questions, the Fee Unit and Accounting Office provide fee-payers with the name and phone number of the appropriate Regional Board staff contacts, e.g., the WDS Coordinator or the Fee Coordinator. After Regional Boards resolve the regulatory issues the State Board can resolve the billing issues.

**Status of Fee Payments.** Frequently, fee-payers call the State Board to verify that we received a fee payment. Regional Boards have limited access to current fee payment information (see Step 12). Fee Unit and Accounting Office staff have on-line access to some invoice records through AFRS—other invoice records are available in hard-copy only in the Accounting Office or stored at State Archives. The following table indicates the location of Annual WDR Fee invoice records.

	<u>PAID INVOICES</u>	<u>OUTSTANDING INVOICES</u>
Current Year, FY 1996-97	On-line in AFRS	On-line in AFRS
FY 1995-96	Hard-copy in Accounting	On-line in AFRS
FY 1994-95	Hard-copy in Accounting	On-line in AFRS
FY 1993-94	Storage at State Archives	On-line in AFRS
FY 1992-93	Storage at State Archives	Storage at State Archives
FY 1991-92	Storage at State Archives	Storage at State Archives
FY 1990-91	Storage at State Archives	Storage at State Archives

**STEP 12. REGIONAL BOARDS RECEIVE PHONE CALLS AND CORRESPONDENCE FROM FEE-PAYERS.** As described in Step 11, fee-payers frequently call Regional Boards if they receive an Annual WDR Fee invoice after the discharge ceased. Other fee-payers question the amount of the fee, which relates to the TTWQ/CPLX rating, amount of dredge and fill material and/or program assignment reflected in the Regional Board's WDS PC database. Regional Boards must make the regulatory decisions that lead to resolving these invoice questions.

Frequently, Regional Boards receive phone calls or correspondence from dischargers asking them to provide information about the status of fee-payments. Since the Fee Unit staff have access to the most current payment information, Regional Boards can refer these questions to the Fee Unit (see Table in Step 11). The following table summarizes individual fee-payer invoice information available to Regional Boards in Central Files:

	<u>PAID INVOICES</u>	<u>OUTSTANDING INVOICES</u>
Current Year, FY 1996-97	Not available	Report of Delinquencies
FY 1995-96	Not available	Report of Delinquencies
FY 1994-95	Not available	Report of Delinquencies
FY 1993-94	Not available	Report of Delinquencies
FY 1992-93	Not available	Not available
FY 1991-92	Not available	Not available
FY 1990-91	Not available	Not available

**STEP 13. REGIONAL BOARDS MAINTAIN CURRENT ADDRESSES, RESOLVE REGULATORY QUESTIONS, UPDATE WDS PC AND DIRECT FEE UNIT TO MODIFY INVOICES.** After Regional Boards identify a new address or resolve regulatory questions, they update WDS PC to reflect the new address and decisions, then send a "Request for Modification of Fee Invoice" Form X to the Fee Unit.

**Refund—Application Fee.** If a discharger pays an application fee, but Regional Board staff decide not to prepare waste discharge requirements, Regional Boards can deduct \$50 per hour for time spent processing the application from the application fee. Regional Boards can direct the State Board to refund the balance of the fee to the applicant.

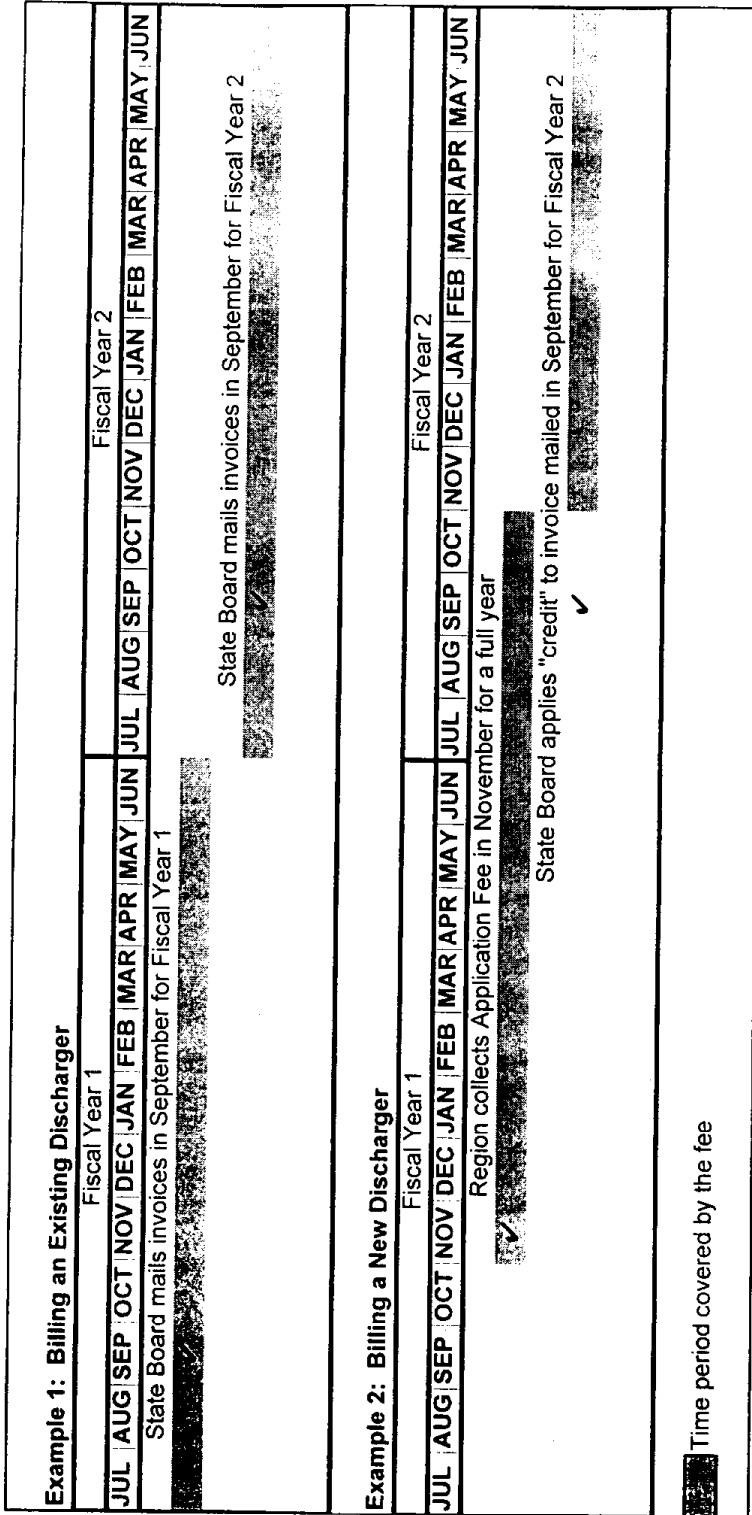
**Refund—Annual Fee.** Dischargers sometimes request a refund of all or part of an Annual WDR Fee payment if they cease discharging during the middle of a fiscal year. Statutes describe the authority extended to dischargers through the waste discharge requirement (WDR) orders issued by Regional Boards as a "privilege." Compare our fee to paying a fee for a driver's license—the Department of Motor Vehicles would not issue a refund if a driver decided to stop driving before the license expired. Viewed from this perspective, individuals who hold WDRs owe the Annual WDR Fee whether or not they exercise the privilege. Fee Unit staff will work with Regional Board staff to calculate Annual WDR Fee refunds.

**STEP 14. FEE UNIT REVIEWS FORM X INVOICE MODIFICATIONS, UPDATES AFRS DATABASE AND EXPLAINS CHANGES TO FEE-PAYERS; ACCOUNTING OFFICE ISSUES REVISED INVOICES AND UPDATES AFRS DATABASE.** Based on direction from Regional Boards, the Fee Unit and Accounting Office prepare revised invoices, cancel invoices, prepare refunds and update financial records. Fee Unit staff make sure they understand the modification, prepare letters of explanation to fee-payers if necessary, add any missing information to the Form X, update specific fields in the AFRS database, then forward the Form X to the Accounting Office. Accounting Office staff cancel invoices, prepare revised invoices, issue refund checks, update specific fields in the AFRS database, as well as mail invoices and refunds to fee-payers.

**STEP 15. FEE UNIT AND ACCOUNTING OFFICE PREPARE, ANALYZE AND DISTRIBUTE PROGRESS REPORTS, PROJECT REVENUE AND IDENTIFY CASH FLOW ISSUES.** The Fee Unit maintains a "Returned Mail/Correspondence" report that lists invoices returned by the Post Office and unresolved issues raised by fee-payers—the Fee Unit periodically distributes copies of the report to WDS Coordinators. The Fee Unit uses the report and data from the AFRS database to prepare monthly status reports that compare billed amounts to collected amounts statewide and by Regional Board—the Fee Unit also prepares estimates projecting the actual amount of Annual WDR Fee revenue that we will collect for past, current and future fiscal years. The Accounting Office reviews similar financial data. Accounting Office reports focus on identifying cash flow trends for each fund. State Board Executive and Financial managers consider the impact of these financial trends on the State and Regional Boards' present and future spending plans. State Board and Regional Board managers identify options, determine a course of action and submit annual budget proposals to the Department of Finance, Cal/EPA, the Governor and the Legislature.

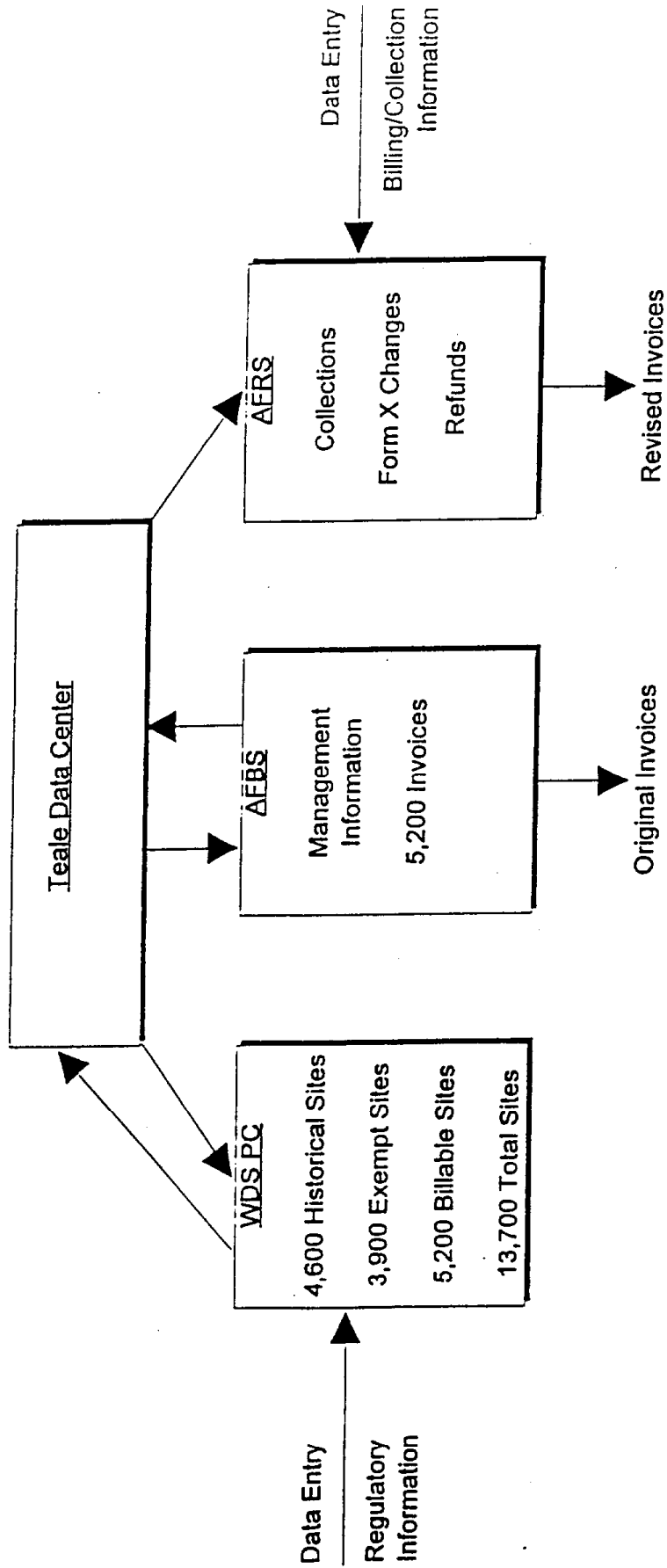
# TIMELINE: ANNUAL WDR FEES

Figure 2



# Annual WDR Fee Regulatory and Billing Databases

Figure 3



## PHASE I. Preparing Invoices

Regional Boards maintain direct relationships with owners and operators of regulated facilities within their geographic boundaries. Regulatory data files maintained by Regional Boards provide the basic information necessary to prepare Annual WDR Fee invoices. If regulatory data files include an inaccurate billing address and we are unable to deliver the invoice to the firm responsible for paying the facility's bills or the invoice includes an inaccurate description of the facility, it may seriously jeopardize our ability to collect the fee.

**THE REGULATORY DATABASE.** The State and Regional Boards work cooperatively to maintain the Waste Discharger System, the regulatory database typically referenced as "WDS." WDS includes critical regulatory information about specific sites. Regional Board, State Board, and Cal/EPA staff rely heavily on information stored in WDS to monitor progress, to manage workload and to make decisions. The State Board also uses a sub-set of the data stored in WDS to generate Annual WDR Fee invoices. Regional Boards use personal computers (PCs) to compile regulatory information. Regional Board technical staff gather information and prepare permits for discharges within a given program or geographic area. They also provide critical site-specific information to WDS Coordinators who enter site-specific information into the WDS PC data files. WDS Coordinators rely on the technical staff for timely, complete information to provide quality information to users of the database. Most Regional Boards use WDS Data Entry forms to gather regulatory information—each Regional Board adapts the format to coincide with their own unique internal information-gathering procedures (see Appendix A. Forms).

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### FORM

#### 1. WDS Data Entry Form

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To prepare accurate Annual WDR Fee invoices, Regional Board technical staff and WDS Coordinators need to make sure that WDS PC includes the following critical pieces of information:

- Regulatory Program.** Regional Boards designate an appropriate regulatory program for each order. The first step in determining the fee is to link each site to a regulatory program.
- Exemption Category.** Regional Boards determine if sites meet the criteria for exemption from annual WDR fees. If the exemption category is not recorded in WDS, dischargers will receive an annual WDR fee invoice.
- Fee Basis/Rating.** For facilities with orders subject to Annual WDR Fees, enter the appropriate fee-rating information that coincides with the regulatory program in the database. For example, the threat to water quality (TTWQ) and complexity (CPLX) "fee basis" coincides with NPDES, Non-Chapter 15 and Chapter 15 "regulatory programs." To generate the fee amount reflected on each Annual WDR Fee invoice the billing and collection databases link the "fee basis" field to the "regulatory program" field.
- Accurate Addresses.** WDS includes data entry fields for three addresses: a Billing Address, a Facility Address, and an Owner/Agency Address. Frequently, facility owners/operators assign responsibility for paying Annual WDR Fee invoices to a headquarters office, to a management firm or to an accountant. If we send the invoice to the facility address or to the owner/agency address, it may take longer or make it more difficult to collect the fee.



**Platform, Programs and Access.** At the Regional Boards, WDS programs and data reside on personal computers. For purposes of distinguishing between this and the larger WDS system, we refer to the Regional Board system as "WDS PC." WDS PC uses dBase III and Clipper programming language. For sample WDS PC screens, see Appendix B. Individual Permits and Appendix C. General Permits. The Information Systems Branch in DAS administers the database programs and distributes updated versions to Regional Boards.

**DISCHARGERS APPLY FOR A PERMIT.** Regional Board technical staff work cooperatively with members of the regulated community to prepare complete permit application packages, to develop an understanding of the potential water quality impacts at sites, as well as an understanding of the environmental technologies and methods that the applicant proposes to use to deal with potential impacts. During this process, Regional Board technical staff also gather the information necessary to prepare Annual WDR Fee invoices.

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#### FORMS

2. Application for Facility Permit/Waste Discharge. Form 200
  3. Federal NPDES Application.
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**Billing Address.** Regional Boards use the Application for Facility Permit/Waste Discharge Form 200 and the Federal NPDES Application form to collect a variety of information, including an address/location of the regulated site and an address for the owner of the site (see Appendix A. Forms). In addition to these two addresses, technical staff need to make sure that dischargers provide a "billing address" if the discharger assigns responsibility for paying Annual WDR Fee invoices to a headquarters office, to a management firm or to an accountant at a separate address.

The Statewide Fee Team recommended that Regional Boards obtain a billing address at the beginning of the application process. Please be sure to gather this critical piece of information when dischargers file their applications. Past experience shows that most outstanding invoices never reached the party responsible for paying the fee because data files did not include a correct billing address. Programmers revised the WDS PC Edit Screen for Facility Data to include a billing address field for each regulated site. To further simplify the process, staff plan to revise the Form 200 to provide space for a "billing address."

**REGIONAL BOARDS DETERMINE THE REGULATORY PROGRAMS AND FEES.** After the discharger completes the application, staff assign the site to an appropriate regulatory program and determine whether or not the site is subject to or exempt from Annual WDR Fees.

**Is the order subject to Annual WDR Fees?** Many orders issued for sites are exempt from Annual WDR Fees. The WDR Order Entry Screen in WDS PC allows Regional Board staff to indicate whether or not to bill the site owner/operator by asking the question "Bill? Yes/No."

**Exempt from Annual WDR Fees. The answer is "No."** The order types listed below are exempt from Annual WDR Fees. If the site falls into one of the exemption categories described in Table 1 below, answer "No" at the WDR Order Entry Screen prompt for Individual Permits (see Appendix B) or the General Order ADD/EDIT Screen for General Permits (see Appendix C). WDS PC will insert two screens that list "Reasons for Not Billing"—choose the entry that corresponds with the exemption category for the site.

**Table 1. Reasons for Not Billing**

EXEMPTION CATEGORIES	State Board WDS Code
<b>Confined Animal Feeding Facility.</b> When a Regional Board issues orders to dischargers who own or operate confined animal feedlots, including dairies, they collect a one-time filing fee of \$2,000. Discharges that fall in this category are exempt from Annual WDR Fees.	10
<b>Geothermal Well.</b> The State Board and the Department of Conservation entered into a Memorandum of Understanding (MOU) on May 19, 1988. Based on the MOU, injection wells regulated by the Department of Conservation's Division of Oil and Gas are exempt from Annual WDR Fees.	11
<b>Active Landfill Paying Tipping Fees.</b> We can avoid sending an Annual WDR Fee invoice to exempt facilities if Regional Board staff can obtain proof that an applicant paid tipping fees, e.g., get a copy of the completed self-reporting form that the discharger sent to the Board of Equalization. If dischargers provide proof to the Regional Board, enter this exemption category in WDS PC.	12
<b>CERCLA Exempt.</b> The order regulates a Department of Defense (DoD), Department of Energy (DoE), National Priorities List (NPL), Defense Environmental Restoration Act (DERA) and Resource Conservation Recovery Act (RCRA) site.	13
<b>Court Order.</b> A court order may provide a separate source of funding for regulatory work at a site or prohibit the State Board from invoicing the owners/operators of the facility for Annual WDR Fees. Use this category for dischargers involved in bankruptcy court proceedings.	14
<b>WDRs Pending Recision.</b> If a decision has been made to rescind an order, but the formal recision is pending, staff can use this field. Owners/operators of these sites will not receive an Annual WDR Fee invoice. Staff will periodically review the status of sites in this category.	15
<b>Tribal Governments.</b> Some waste discharge sites are located on tribal government lands. There is some question about whether these sites are subject to Annual WDR Fees. Before designating a site as exempt from Annual WDR Fees under this category, contact the Office of Chief Counsel for a legal opinion.	16
<b>Sibling Site.</b> If a wastewater treatment plant receives and treats waste from other treatment facilities (sibling sites) under a joint powers agreement, the Regional Board may negotiate a regulatory agreement with the wastewater treatment plans. The Regional Boards and wastewater treatment plants can agree that a primary treatment facility will pay the Annual WDR Fee, rather than each sibling site.	17

*Subject to Annual WDR Fees. The answer is "Yes."* If the site does not fall within any of the exemption categories, but it fits within the framework of the core regulatory programs, then it is subject to Annual WDR Fees. Enter "Yes" at the WDR Order Entry Screen prompt for Individual Permits (see Appendix B) or the General Order ADD/EDIT Screen for General Permits (see Appendix C). The system will insert a screen that lists "fee basis" choices, e.g., Areawide Urban Stormwater, Dredge and Fill, TTWQ and CPLX. Select the fee basis that coincides with the appropriate core regulatory program listed in Tables 2. Table 2 also includes the fee amounts for Areawide Urban Stormwater permits, as well as Dredge and Fill permits. See Table 3 for TTWQ/CPLX fee amounts.

**Table 2. Fee Basis by Program**

FEE BASIS	CORE REGULATORY PROGRAM	State Board WDS Code
<b>Threat to Water Quality (TTWQ) and Complexity (CPLX).</b> See Table 3 for fees. Facilities with approved pretreatment programs are subject to a \$3,800 Pretreatment Surcharge—see Pretreatment Flag in the WDS PC "Edit Screen for Facility Data."	NPDES Individual Permits NPDES General Permits NPDES Pretreatment Surcharges Non-Chapter 15 WDRs Non-Chapter 15 General Permits Chapter 15 WDRs Chapter 15 General Permits	51
<b>AW1.</b> Population under 100,000, fee equals \$5,000	Areawide Urban Stormwater	52
<b>AW2.</b> Population over 100,000, fee equals \$10,000	Areawide Urban Stormwater	53
<b>Dredge.</b> <ul style="list-style-type: none"> <li>• Less than 10,000 cubic yards, flat fee of \$500.</li> <li>• 10,000 to 20,000 cubic yards, flat fee of \$2,000.</li> <li>• More than 20,000 cubic yards, \$2,000 plus \$250 for each additional 5,000 cubic yards or part thereof, not to exceed the statutory maximum of \$10,000.</li> </ul> <b>Fill.</b> <ul style="list-style-type: none"> <li>• One acre or less, flat fee of \$1,000.</li> <li>• More than one acre, \$1,000 per acre or part thereof, not to exceed statutory maximum of \$10,000.</li> </ul> <p>Staff must calculate the fee and enter the actual amount in WDS PC. The data system automatically calculates the fee amount for TTWQ/CPLX, AW1 and AW2.</p>	Dredge and Fill	54
<b>Fixed Amount.</b> This is an inactive field reserved for future use. Invalid—do not use.	Inactive Field	55

**Table 3. Core Regulatory Programs Annual WDR Fee Schedule**

Threat to Water Quality	Complexity	Regulatory Programs		
		NPDES Permit	Non-Chapter 15 Permit	Chapter 15 Permit
I	a	\$10,000	\$10,000	\$10,000
I	b	\$7,000	\$5,500	\$7,500
I	c	\$5,500	\$3,000	\$6,000
II	a	\$4,000	\$2,000	\$5,000
II	b	\$2,000	\$1,200	\$4,000
II	c	\$1,200	\$900	\$3,000
III	a	\$1,000	\$750	\$2,000
III	b	\$750	\$400	\$1,500
III	c	\$400	\$200	\$750

**References.** Refer to the federal Clean Water Act and California Water Code statutes to determine the appropriate core regulatory program. California Water Code section 13260 describes Annual WDR Fees and the majority of fee exemption categories—Section 13260(f)(1) directs the State Water Board to adopt a schedule of Annual WDR Fees (see Appendix D for applicable excerpts from the Water Code). The fee schedule can be found in Title 23, California Code of Regulations, Section 2200 (see Appendix E).

**REGIONAL BOARDS COLLECT AND DEPOSIT APPLICATION FEES.** When Regional Boards receive new permit applications, staff collect an application fee equal to one year's Annual WDR Fee—it serves as the first Annual WDR Fee. Staff deposit application fees in the Regional Board's account at the local Bank of America branch. To notify the State Board Accounting Office of the deposit, Regional Boards prepare and submit a "Report of Collections" form—Accounting staff use the Report of Collections to reconcile our internal accounting records with the bank's accounting records (see Appendix A. Forms). Please insert the words "New WDRs" and the program type (NPDES, Non-Chapter 15, Chapter 15) under the heading "Type of Fee/Remarks" on the Report of Collections form to help Accounting staff reconcile accounting records.

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FORM

- 4. Report of Collections
  - 5. Application Entry Form
-

**Don't forget to record Application Fees in WDS.** In addition to informing the State Water Board through the Report of Collections, Regional Boards must also reflect receipt of application fees in WDS PC. WDS Coordinators are usually responsible for making sure WDS PC files reflect receipt of the application fee. Depending on how the application date coincides with the State of California's July 1 to June 30 fiscal year, the application fee may cover a large percentage of the discharger's next Annual WDR Fee. Before the Annual WDR Fee billing system generates an invoice, it will search data files to determine if the application fee will serve as a "credit" against the next Annual WDR Fee. If Regional Board WDS PC data files fail to reflect collection of an application fee, the billing system will over-charge the fee-payer (see a sample "Application Entry" form in Appendix A. Forms).

**THE BILLING AND COLLECTION DATA BASES.** To complete the fee information system, the State Board maintains two additional data bases: the Annual Fees Billing System (AFBS) and the Annual Fees Remittance System (AFRS). AFBS uses data extracted from WDS PC to prepare the Annual WDR Fee invoices. Programmers transfer billing data in the AFBS data base to the AFRS data base. When the Accounting Office receives an Annual WDR Fee, they use an invoice number to identify the appropriate invoice record and reflect the amount received in AFRS data files.

**Regional Boards upload WDS PC data to the State Board through the "OA System."** Once each month, Regional Board staff transmit core regulatory WDS PC files to the State Board by "uploading" data through the Office Automation (OA) System. The upload usually occurs on or near the 8th day of the month. The upload includes more than fee-related data—Regional Boards provide the State Board with other site-specific regulatory information. ISB staff upload a sub-set of the WDS PC data to WDS and AFBS files stored at Teale Data Center and AFRS files stored on the State Board's mini-computer. To produce statewide WDS regulatory reports, ISB must access data stored at Teale Data Center. The State Board stores WDS files at Teale Data Center because of limited storage space on the State Board mini-computer.

**COORDINATING A "TEST RUN."** Before the actual Annual WDR Fee billing, Regional Boards, the Fee Unit and ISB coordinate a test run—AFBS matches records in fee-related data files to produce an Invoice Inventory Report for each Regional Board. The inventory lists the responsible party, the billing address, the regulatory program, the fee basis (rating), the fee amount and the facility identification number for each potential invoice. Regional Board staff review the Invoice Inventory reports, then correct any WDS PC data problems.

**Data Validation Reports.** The AFBS data system needs some essential information from Regional Board WDS PC data files. If any of that information is missing or if information in one essential data field conflicts with information in another essential data field, the data system cannot generate an invoice. ISB programmed the data systems to "validate" the WDS PC data when they receive it from Regional Boards. If there are data problems, the data systems in Sacramento will produce a series of Data Validation Reports, which are distributed to Regional Boards. Regional Board staff review the Data Validation reports, then correct any WDS PC data problems before uploading the final data that the State Board will use to produce the actual invoices.

In the past, ISB generated only the annual set of Data Validation reports, just before printing and mailing the Annual WDR Fee invoices to fee-payers. The pain-staking, annual chore of correcting WDS PC records created a significant "workload peak" for Regional Boards. Rather than continuing the annual practice, Statewide Fee Team members recommended that we shift to a monthly data correction process to distribute the workload more evenly throughout the year. To facilitate the effort, new procedures call for ISB to generate and for the Fee Unit to distribute Data Validation reports generated by the data systems each month throughout the year. Regional Boards use the monthly reports to correct fee-related data entry problems throughout the fiscal year.

**Reports.**

**Invoice Inventory Reports.** One month before the actual Annual WDR Fee billing, ISB uses WDS data to generate a list of potential invoices for each Regional Board (refer to Appendix G.1 for sample format).

**Data Validation Reports.** The monthly reports identify missing fee-related information and coding errors in WDS PC records.

**Core Regulatory Reports.** On request, ISB will generate statewide and region-specific WDS summary reports for core regulatory programs. To generate the reports, ISB accesses information stored at the Teale Data Center.

**Platform, Programs and Access.** The OA system resides in the Unisys mini-computers at the State Board—programs are written in Q-menu and Unix. A limited number of staff at each location have access to the OA system. Regional Boards use the OA system to upload WDS PC to the State Board. To create the AFBS and WDS core regulatory files, staff convert the data to Cobol and Natural programming language and upload to Teale Data Center for storage purposes. To create the AFRS files, staff convert a sub-set of AFBS data to Informix 1.2 programming language and upload to the State Board Unisys mini-computers.

**PREPARING AND MAILING INVOICES.** During the first quarter of each fiscal year, following the test run, the State Board uses validated WDS PC data to prepare the Annual WDR Fee invoices. ISB sends WDS PC data to AFBS data files stored at Teale Data Center—Teale Data Center prints the invoices. Instructions on the invoice direct fee-payers to contact local Regional Board offices for answers to regulatory questions—each invoice lists the telephone number for the local Regional Board.

The State Board's mailroom staff send each fee-payer an invoice, a cover letter from the Executive Director, a payment envelope, an address change postcard, and a brochure with answers to frequently asked questions. The payment envelopes and address change postcards are color-coded to distinguish Annual WDR Fee paperwork from other fee paperwork. The State Board sends pre-printed envelopes and postcards with the following return address:

SWRCB Accounting Office  
Attn: AFRS  
P. O. Box 100  
Sacramento, CA 95812-0100

## PHASE II. Collecting Fees

**FEE-PAYER QUESTIONS.** If data files in WDS and AFBS databases include accurate billing addresses, fee-payers or their designated representatives will receive the Annual WDR Fee invoices. The current invoice format includes an abbreviated description of the regulated site. Since fee-payers receive the invoice only once a year, they frequently call for more information about regulatory activities before paying the fee. They sometimes ask questions about the status of prior year fee payments.

**Regional Board staff have the regulatory answers.** Most fee-payer questions are about whether or not the facility should be regulated by the Regional Board, e.g., an oil well that no longer produces oil, a cancelled project, a landfill operation that pays Integrated Waste Management Board tipping fees. Fee-payers frequently ask about criteria for rating the facility, e.g., where their site falls within TTWQ/CPLX compared to other discharges. The Statewide Fee Team concluded that local Regional Boards have the best understanding of conditions at regulated sites in their area, therefore fee-payers should contact Regional Boards for answers to regulatory questions. Regional Boards can minimize the number of questions from fee-payers by making sure that WDS PC data files reflect timely, accurate site-specific regulatory information.

**State Board staff have the financial answers.** During the collection phase of the process, most questions asked by fee-payers deal with regulatory concerns, as described above. However, they may also ask for information about the status of payments made for the current year, as well as historical payment information.

The State Board Fee Unit and Accounting Office have easy access to some Annual WDR Fee information—on-line reports provide data on both paid and unpaid current fiscal year Annual WDR Fee invoices, as well as information about unpaid invoices for several prior fiscal years. State Board staff do not have on-line access to historical data for payments made by fee-payers in prior fiscal years—staff must gain access to archived reports and data files to respond to these questions. This kind of research can be difficult and time-consuming.

Regional Boards have less access to payment information than the State Board—staff who have access to the OA system can print two Central Files Accounting Reports. Central Files generates (1) a detailed report for each Regional Board that lists all outstanding invoices for the current fiscal year and several prior fiscal years and (2) a report summarizes each Regional Board's collection efforts for the current fiscal year.

**Central Files Accounting Reports.**

*Report of Delinquencies.* Individually lists all outstanding Annual WDR Fee invoices for each Region by fiscal year. Provides other basic information, e.g., regulatory program, dates late notices were mailed, if the mail was returned by the post office due to an address problem, or if there is an unresolved regulatory issue (refer to Appendix G.2 for sample format).

*Invoice Status Report (AFRS\_R09).* A one-page Annual WDR Fee statewide and regional summary that describes billing and collection status for the fiscal year's billing cycle. The summary includes a count and dollar value of the mailed invoices, a count and dollar value of collections to date, a count and dollar value of invoices returned by the U.S. Post Office, a count and dollar value of blocked invoices with pending regulatory issues, as well as a count and dollar value for the remaining outstanding invoices (refer to Appendix G.3 for sample format).

**Platform, Program and Access.** Each week, staff extract data from AFRS to create Central Files reports available on the OA system. To access the Accounting reports, go to the main OA system screen. Under "Services," select "Access," then "Central Files," then "Accounting." From there, select a "Regional Board" to see the Report of Delinquencies or "General" to access the Invoice Status Report.

**Avoiding the "fee-payer shuffle."** The Statewide Fee Team agreed that we need to put more effort into improving the quality of the Annual WDR Fee process from the fee-payers' perspective—out of nine priority problem areas, fee-payer problems ranked third. Too frequently, fee-payers must contact a series of people at the State and Regional Boards before they are able to get the information they need. The Team agreed that the best way to end the fee-payer shuffle would be to develop a user-friendly data system that would provide State and Regional Board staff with easy, on-line access to both facility and payment information. In the meantime, the Team suggests the best advice is to be sensitive to the problem and to avoid sending fee-payers on a frustrating, independent search for information.

**Regulatory questions.** Obviously, it would be inappropriate for the State Board to interfere in the relationship between the fee-payer and the Regional Boards when questions concern site-specific regulatory issues. When fee-payers ask these questions, State Board staff's ability to help is limited to relaying the facility information reflected in the AFBS and AFRS data bases and to providing the name and phone number of a knowledgeable person at the local Regional Board—State Board staff are not in a position to make independent judgements or to offer opinions about site-specific regulatory questions. Typically, State Board staff direct fee-payers to Regional Board Fee Coordinators or WDS Coordinators. State Board staff can avoid the "shuffle" by suggesting that fee-payers call back for help if they have problems reaching the right Regional Board person.

**Payment questions.** Each Regional Board has the opportunity to decide the best organizational approach for responding to fee-payers when they call with regulatory and payment questions. Some Regional Board staff avoid the "shuffle" by contacting the State Board for answers to payment questions and relaying the information to the fee-payer. Other Regional Boards direct fee-payers to a knowledgeable State Board person, suggesting that the fee-payer call back if they experience problems. Regional Board staff typically refer payment questions to the State Board Fee Unit or to the Accounting Office.



**RECORDING ANNUAL FEE PAYMENTS.** Accounting Office staff locate fee-payer invoice records, record the dates and amounts received, and prepare bank deposits. One of the most difficult tasks Accounting staff face is identifying which invoice record payments apply to when the payment arrives without a recognizable reference number, e.g., invoice number. If staff cannot identify which invoice a fee-payer intended to pay, the fee-payer will not receive credit for the payment and will receive a late notice. If Accounting staff cannot link a payment to an Annual WDR Fee invoice, they deposit the fee in an "Uncleared Collections" account. Rather than going to the Waste Discharge Permit Fund (WDPF) administered by the State and Regional Boards, unidentified fee dollars in the Uncleared Collections account transfer to the General Fund at the end of each fiscal year.

**If Regional Boards receive an Annual WDR Fee payment.** Sometimes fee-payers inadvertently send Annual WDR Fee payments to Regional Boards. Please do not deposit these fees in the local bank—forward payments to the State Board Accounting Office. When Regional Boards forward Annual WDR Fee payments to the State Board, please be sure to provide Accounting staff with reference numbers that will allow them to record the payment against the appropriate invoice record, e.g., an invoice number and/or facility identification number.

**Form of payment.** Legislation authorized state agencies to accept credit cards as valid forms of payment. However, our procedures are not yet in place. For now, fee-payers should send checks or money orders to the Accounting Office.

**Partial payment.** The full amount of the Annual WDR Fee is due and payable 30 days from the date of the invoice. Our policy is not to accept partial payment.

**LATE NOTICES.** After the initial Annual WDR Fee billing, the AFRS system automatically generates and Accounting Office staff mail two late notices to fee-payers with an outstanding balance—a notice 60 days after and a certified notice 90 days after the original invoice date.

**BILLING SCHEDULE.** The Fee Unit works with other participants involved in the Annual WDR Fee process to develop a billing schedule each fiscal year. When they develop the schedule, staff consider cash flow needs, as well as any pending regulatory or workload issues that may impact the billing cycle. Typically, the Annual WDR Fee billing occurs during the first quarter of the fiscal year (between July and September).

### PHASE III. Identifying and Resolving Problems

**IDENTIFYING PROBLEMS.** The Statewide Fee Team identified, considered and assigned priorities to a series of problems within nine broad categories. The Fee Unit will continue efforts to develop solutions to the problem areas according to the priorities expressed by the Statewide Fee Team. The Team agreed to act as an advisory body to the Fee Unit in the future when problems require consensus solutions.

Team members developed solutions to some of the more common problems experienced by staff and fee-payers involved in the Annual WDR Fees process. The section that follows describes several of those common problems and the Team's recommendations for resolving them.

**PROBLEM 1: Improving the collection rate.** Analysis of Annual WDR Fees records between fiscal years 1990-91 and 1994-95 revealed a trend—we received fees for only 82 percent of the invoices that we mailed. Fee Team members shared their perspectives and hypotheses about the problem—some thought the low rate was the result of poor enforcement on our part, some thought the trend was a symptom of tax-payer rebellion, others suggested that it reflects dischargers' concerns about the quality of service that we provide. After taking a closer look, the Statewide Fee Team realized that the big problem was simple and straight-forward—outdated, inaccurate billing addresses. Many of the people responsible for paying our fees never received our invoices. Instead, the Post Office brought undeliverable invoices back to Sacramento as "returned mail."

**Resolution.** To increase the collection rate, Regional Boards took responsibility for maintaining current address records beginning with the FY 1995-96 billing. As a data system security measure, ISB explained that we must limit the ability to authorize address changes to one organization. Since Regional Boards maintain a close business relationship with fee-payers, the Fee Team agreed that Regional Boards are in the best position to authorize changes and maintain current address records.

To make this possible, ISB programmers revised several data files in WDS PC and in the Annual WDR Fee databases—they added a "third" address field to WDS PC to allow fee-payers to provide a unique billing address, as well as an owner/agency address and a facility address. Regional Board staff know that they need to update addresses in WDS PC when they receive the address change postcards from fee-payers and returned mail from the Post Office.

Typically, the postcards and returned mail come to Sacramento first. When the Post Office returns an invoice to the State Board in Sacramento, the State Board Accounting Office enters a "return mail block" in the Annual WDR Fee databases—the block prevents the system from mailing a late notice to an old address. Fee Unit staff forward the address changes and returned mail to the appropriate Regional Board office. Regional Board staff do the research necessary to find an accurate billing address, then enter the new address in WDS PC. Because of data system limitations, Regional Board staff must also prepare a Request for Modification of Fee Invoice Form X directing the State Board to issue a revised invoice to the fee-payer at the new address.

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#### FORM

#### 6. Request for Modification of Fee Invoice. Form X.

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The Fee Team considered a variety of ways to improve our ability to maintain current address records. Once again, the consensus was that an interactive, transaction-based user-friendly data system would solve the problem. Until we have a new data system, we must identify solutions that are doable within the limits of our existing data systems.

**PROBLEM 2: Ownership of the facility changed.** Facilities frequently change hands. When fee-payers receive Annual WDR Fee invoices, they sometimes call or send correspondence to notify the State Board or the Regional Board that they no longer own the facility.

*Resolution.* When fee-payers contact the Fee Unit, staff place a "block" in the AFRS invoice file to stop late notices, add the invoice to a report that lists pending issues and forward correspondence to the Regional Board WDS or Fee Coordinators for action. WDS and Fee Coordinators work with technical staff to identify the legal owner of the regulated facility.

Regional Board staff update WDS PC records after they resolve ownership questions. Based on the effective date of the transfer of ownership, Regional Board staff determine the party responsible for paying outstanding invoices for the current and prior fiscal years. To change the responsible party reflected on the invoice, Regional Board staff send a Form X to the State Board Fee Unit. Fee Unit and Accounting Office staff update AFRS and issue a revised invoice to the new owner. If Regional Board staff determine that the owner listed on the existing invoice is accurate, they notify the Fee Unit. The Fee Unit releases the "block" on the invoice.

**PROBLEM 3: Changing the fee amount, fee-rating or program assignment.** When fee-payers receive an Annual WDR Fee invoice, they frequently raise questions about the fee reflected on the invoice.

*Resolution.* The AFRS system uses the fee-rating (TTWQ/CPLX, Amount of dredge and fill material) and program assignment (NPDES, Chapter 15, Non-Chapter 15) to calculate the fee amount. Regional Boards review the regulatory issues and resolve fee-rating and program assignment questions.

When fee-payers contact the Fee Unit, staff place a "block" in the AFRS invoice file to stop late notices, add the invoice to a report that lists pending issues and forward correspondence to the Regional Board WDS or Fee Coordinators for action. WDS and Fee Coordinators work with technical staff to resolve the regulatory questions and update WDS. To modify the invoice, Regional Board staff send a Form X to the State Board Fee Unit. Fee Unit and Accounting staff update AFRS and issue a revised invoice to the responsible party. If Regional Board staff determine that the existing invoice is accurate, they notify the Fee Unit. The Fee Unit releases the "block" on the invoice.

**PROBLEM 4: The discharge ceased or the fee-payer cancelled the project.** Fee-payers frequently raise concerns when they receive an Annual WDR Fee invoice for discharging waste at a facility and they are no longer discharging waste or when plans for projects have been cancelled or delayed.

*Resolution.* Regional boards resolve these regulatory questions. When fee-payers contact the State Board Fee Unit, staff place a "block" on the invoice record, add the invoice to a report that lists pending issues and refer the matter to the Regional Board. As described above, Regional Board staff determine an appropriate response, send a Form X to the State Board Fee Unit directing us to cancel the invoice, or inform the Fee Unit that the invoice is accurate. Fee Unit and Accounting staff update AFRS and release the "block" on the invoice.

**PROBLEM 5: The discharger received an Annual WDR Fee Invoice for a rescinded order.** The State Board uses WDS data to generate Annual WDR Fee invoices. If data files in WDS system do not reflect the rescission, the State Board will generate an Annual WDR Fee invoice.

**Resolution.** The amount due from the discharger depends on the effective date of the rescission. Regional Board staff make sure that WDS PC records are accurate, then prepare a Form X for each fiscal year to cancel invoices and to request refunds based on the effective date of the rescission. The State Board uses the information on the Form X to update AFRS, to cancel invoices and to prepare refunds.

When Regional Boards rescind an order, it may impact both outstanding and paid Annual WDR Fee invoices for past and current fiscal years. Since Regional Boards have limited access to current and historical fee payment records, staff cannot determine the refund amount. The Fee Unit and the Accounting Office will gather payment history records and determine the refund amount due to the discharger based on the effective dates reflected on the Form X.

**PROBLEM 6: Issuing refunds.** Lack of on-line access to historical payment records makes it impossible for Regional Board staff and difficult for State Board staff to gather the information necessary to calculate Annual WDR Fee refunds that involve fees paid for prior fiscal years. Requests to refund fees paid in prior fiscal years present a time-consuming paperwork challenge.

**Resolution.** Regional Boards submit refund requests to State Board on behalf of the fee-payers. Include a brief statement explaining the Regional Board's reasons for refunding along with the refund request. If we resolve regulatory issues in a timely manner and reflect those decisions in WDS PC, we can significantly reduce the number of inaccurate invoices, reduce the number of refund requests and reduce the workload associated with processing refunds.

Because Regional Boards do not have access to fee payment records, they must rely on the Fee Unit and the Accounting Office to research and to calculate the actual refund amount due to the fee-payer. When the Fee Unit and the Accounting Office send a refund to a fee-payer, staff send fee-payers a cover letter that includes information necessary to help them understand the reason for the refund and to locate their financial records.

Please send enough information about the regulatory issues involved for the cover letter to the discharger that will accompany the refund. Regional Board regulatory files should contain the detailed information necessary for audit purposes—it is not necessary for the State Board to duplicate the Regional Boards' regulatory files. Therefore, it is not necessary to submit extensive background documents to the State Board.

**Annual WDR Fee Refunds.** To refund Annual WDR Fees paid in response to our invoices, Regional Boards prepare a Form X for each fiscal year and send it to the Fee Unit.

**Application Fees Refunds.** To refund application fees collected and deposited by Regional Boards, Regional Boards prepare a "General Cash Check Request-Request for Refund" form and send it to the Accounting Office. To locate the necessary State Board financial records, the Accounting Office needs a copy of the original deposit record—the Report of Collections form prepared by the Regional Board.

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FORM

7. General Cash Check Request-Request for Refund

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**PROBLEM 7: Out-of-date regulatory information in WDS Database.** Inaccurate WDS PC records cause the financial databases to generate inaccurate Annual WDR Fee invoices. Regulatory data files contained in WDS PC are the "source" files for the data systems that generate invoices (AFBS/AFRS).

*Resolution.* If Regional Boards maintain timely, accurate WDS PC records, we can avoid the workload, aggravation, and frustration associated with modifying Annual WDR Fee invoices. Regional Board WDS Coordinators, Fee Coordinators, Technical Staff must establish a workable method for maintaining accurate facility records in WDS data files.

**PROBLEM 8: Out-of-date information in the Annual Fee Databases.** Regional Boards send a Form X to modify an invoice in the current fiscal year. The next fiscal year, the invoice issued for the facility contains the same error.

*Resolution.* Accurate WDS PC records are the solution to this problem. Regional Boards send a complete set of WDS PC data files to Sacramento each month. The State Boards and Regional Boards select one month during the first quarter of each fiscal year (July, August, September) and use that month's WDS PC data to generate a set of invoices for the fiscal year. The State Board uses a completely new set of data from the Regional Boards' WDS PC data files to generate invoices the following fiscal year. If Regional Boards submit a Form X to modify an invoice to the State Board but fail to update WDS, the State Board will issue an inaccurate invoice the following fiscal year. The regulatory, billing and collection data systems are not interactive databases—data changes entered into WDS PC do not automatically update Annual Fee databases.

**PROBLEM 9: Collecting delinquent fees.** Some dischargers fail to pay Annual WDR Fees, which reduces the revenue needed to pay State and Regional Board operating costs.

*Resolution.* As described in previous sections, fee-payers receive three notices, the initial invoice, a late notice after 60 days and a certified late notice after 90 days. Annually, the Fee Unit prepares a series of reports that list delinquent fee-payers who failed to pay their Annual WDR Fees.

Delinquent fees are a much smaller problem than we originally thought. After the Statewide Fee Team put interim solutions in place to improve the accuracy of billing addresses, fee-payers increased our collection rate dramatically. In fiscal year 1995-96, we collected 94% of the amount invoiced—a 12% jump over the average collection rates for prior fiscal years. We may be able to decrease the remaining 6% of the invoices that show unpaid balances by improving data systems. Members of the Statewide Fee Team reviewed existing methods for pursuing delinquent fees and agreed that we need to identify better methods. The Statewide Fee Team will meet during the coming year to develop more workable methods. In the meantime, Regional Boards can use the following methods to resolve delinquent fee problems:

**Enforcement Action.** Water Code Section 13261 authorizes Regional Boards to take enforcement action when dischargers fail to pay required fees (see Appendix D). Regional Boards have a some informal and formal enforcement tools to encourage dischargers to pay their fees—the "Water Quality Enforcement Policy" State Board describes when and how to use those tools (see Appendix F).

**Liabilities and Assessments.** When Regional Boards use the Administrative Civil Liability enforcement tool to collect delinquent fees payable to the Waste Discharge Permit Fund and levy liabilities and assessments against delinquent fee-payers, staff should fill out and submit a Cleanup and Abatement Account Statement to the Accounting Office (see Appendix A). The law requires deposit of liability and assessment dollars to the Cleanup and Abatement Account. In

the explanation section of the form, provide enough detail for the Accounting Office to distinguish the amount of the annual WDR fee from the amount of liabilities/assessments. Accounting will make sure that financial records correctly reflect deposit of the fee into the Waste Discharge Permit Fund and the liabilities/assessments into the Cleanup and Abatement Account. For more detailed information about enforcement reporting, refer to Administrative Procedures Update 96-001 dated February 1, 1996 (see Appendix F).

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FORM

8. Cleanup and Abatement Account Statement. CAA-1

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**PROBLEM 10: State and Regional Board staff need information to monitor resolution of pending invoice issues.** The level of detail and the workload involved in maintaining accurate facility records in regulatory and financial databases is daunting. Existing data system reports do not provide staff with a user-friendly method for tracking resolution of pending invoice issues.

**Resolution.** The Fee Unit prepares and distributes two management information reports for their own use and to help Regional Board staff identify invoices with unresolved address and regulatory questions.

**Returned Mail/Discharger Correspondence Report.** The Fee Unit maintains a status report of pending invoice issues, e.g., invoices without valid billing addresses (returned mail) or "blocked" invoices on hold pending resolution of fee-related regulatory concerns (discharger correspondence). The Fee Unit distributes copies of the status report to Regional Board WDS Coordinators at the end of each quarter (see Appendix G.4 for sample format).

**Annual Status Report.** Each fiscal year, after fee-payers have an opportunity to pay Annual WDR Fees in response to the 90-day late notices, the Fee Unit reviews the status of delinquent fee payments for the current and prior fiscal years. The Fee Unit prints and forwards copies of the Central Files Invoice Status Report and Report of Delinquencies to each Regional Board for further administrative and/or legal action (see Appendix G.2 and G.3 for sample formats). As described in the previous section, Regional Board staff familiar with the Office Automation system and Central Files can gain access to and print these accounting reports throughout the year (for instructions on how to access the reports, see Page 14).

**PROBLEM 11: The handbook does not address my problem and no one seems to know what to do.**

*Resolution.* The process will improve if staff in each organization involved listen to each other and share good ideas. An informal but effective way to share information is to work with the Fee Unit staff. If broad issues come up that involve several perspectives and organizations, use the following forums to raise concerns:

**Monthly Management Coordinating Committee Meetings.** The Office of Statewide Consistency organizes a monthly forum for State Board Executives and Regional Board Executive Officers. They discuss and attempt to resolve both program and administrative issues.

**Assistant Executive Officer Meetings.** Every six weeks, Regional Board Assistant Executive Officers (AEOs) meet to consider a variety of program and administrative issues. They frequently deal with the more detailed aspects of administrative and financial issues that require statewide coordination. AEOs rotate responsibility for preparing the monthly meeting agenda.

**WDS Coordinators Team Meetings.** WDS Coordinators from each Regional Board typically meet regularly to deal with issues of mutual concern. This is the best forum for discussing process improvements and for suggesting changes to future versions of the handbook.

**Quarterly Management Briefings.** The Office of Statewide Consistency organizes quarterly briefings for the Executive Director and Deputy Director—Division Chiefs provide them with progress reports on program and fiscal issues affecting the State and Regional Boards. State Board program managers frequently attend the briefings and Regional Board Assistant Executive Officers attend the Mid-year and Year-end briefings.

**Monthly Fiscal Meetings.** The State Board Deputy Director meets with the Chief of DAS, Budget Office, Accounting Office, and Fee Unit managers each month to review budget, spending and revenue issues and trends.





## **APPENDIX A. Forms**

1. WDS Data Entry Form
2. Application for Facility Permit/Waste Discharge. Form 200
3. NPDES Application
4. Report of Collections
5. Application Entry Form
6. Request for Modification of Fee Invoice. Form X
7. General Cash Check Request - Request for Refund
8. Cleanup and Abatement Account Statement. Form CAA-1



WDS ENTRY FORM

ORDER INFORMATION:

WDID NO: \_\_\_\_\_ Order Action: \_\_\_\_\_
Type of action may include new WDR, new NPDES, and General Permit Enrollee. This form does not apply to revisions, updates, renewals, waivers, or 401 WQC. An update/review checklist will be routed to staff for any changes on revisions, or renewals.

AGENCY INFORMATION:

Agency Name: \_\_\_\_\_
Address: \_\_\_\_\_ City: \_\_\_\_\_
State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone No: \_\_\_\_\_
Contact Person: \_\_\_\_\_ Agency Type: (FD/ST/CO/CI/GV/SD/PR)

BILLING INFORMATION: (do not complete if info is same as Agency info above)

Billing Name: \_\_\_\_\_ Contact Person: \_\_\_\_\_
Billing Street (Mailing) Address: \_\_\_\_\_
Billing City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone No: \_\_\_\_\_

FACILITY INFORMATION:

Facility Name: \_\_\_\_\_ Contact Person: \_\_\_\_\_
Address: \_\_\_\_\_ City: \_\_\_\_\_
State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone No: \_\_\_\_\_

Facility Type: (MUN / IND / AGR / SW1 / SW2 / SW3 / OTH)

- If MUN or IND - Baseline Flow (MGD): \_\_\_\_\_ Design Flow (MGD): \_\_\_\_\_

SIC Codes: 1. \_\_\_\_\_ 2. \_\_\_\_\_ Waste Types: 1. \_\_\_\_\_ 2. \_\_\_\_\_ RCRA Facility: (Y/N)

Report Freq.: (A/S/Q/M/I) TTWQ: (1 2 3) CPLX: (A B C) Reclaim Flag: (1/2/3/N) Staff Initials: \_\_\_\_\_

Pretreatment Flag: (Y/N/P/X) Inspection Type: (A1, B1, 02, 03) Inspection Schedule: \_\_\_\_\_

RELATED PROGRAMS: (Check as many as apply)

NPDES: \_\_\_\_\_ PRETREATMENT: \_\_\_\_\_ NON CHAP 15: \_\_\_\_\_
CHAP 15: \_\_\_\_\_ TANKS: \_\_\_\_\_ RCRA: \_\_\_\_\_

RECEIVING WATER INFORMATION:

(Potential) Active: \_\_\_\_\_ Seasonal Discharger: (Y/N) Hydrologic Unit: \_\_\_\_\_
Receiving Water Type: \_\_\_\_\_ (Lake, Stream, River, Storm Drain, Canal, Groundwater)
Surface Water Name: \_\_\_\_\_

ANNUAL FEE BILLING INFORMATION

Bill Discharger? (Y/N) If yes, what is the fee criteria based on? ( )
TTWQ & CPLX Areawide Urban SW1 Areawide Urban SW2 Dredge & Fill
(If Dredge, amount of cubic yards? ) (If Fill, how many acres? )

If no, reason for not billing? ( )
CERCLA exempt LF paying tipping fees Court Order Confined animal feeding facility
Geothermal well Tribal government Rescission pending Sibling site



APPLICATION FOR  
FACILITY PERMIT/WASTE DISCHARGE

This form is to be used for filing a/an: (check all appropriate)

1.  **REPORT OF WASTE DISCHARGE**  
(pursuant to Division 7 of the State Water Code)
2.  **APPLICATION FOR A HAZARDOUS WASTE FACILITY PERMIT**  
(pursuant to Health and Safety Code Section 25200)
3.  **APPLICATION FOR A SOLID WASTE FACILITIES PERMIT**  
(pursuant to Government Code Section 66796.30)
4.  **APPLICATION FOR A RUBBISH DUMP PERMIT**  
(pursuant to Public Resources Code Sections 4371-4375 and 4438)

## FOR OFFICE USE ONLY

Form 200 Rec'd \_\_\_\_\_  
 Fee (RWOCB) \_\_\_\_\_ (SWMB) \_\_\_\_\_  
 Letter to Discharger \_\_\_\_\_  
 Report Rec'd \_\_\_\_\_  
 Effective Date \_\_\_\_\_  
 CDF Notified \_\_\_\_\_  
 DOHS No. \_\_\_\_\_  
 SWMB No. \_\_\_\_\_

## I. FACILITY

A. NAME OF FACILITY		TELEPHONE #
ADDRESS		( )
		ZIP CODE
B. NAME OF LEGAL OWNER OF FACILITY		TELEPHONE #
ADDRESS		( )
		ZIP CODE
C. NAME OF BUSINESS OPERATING FACILITY		TELEPHONE #
ADDRESS		( )
		ZIP CODE
D. TYPE OF BUSINESS OPERATING FACILITY		
<input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Government Agency		
E. NAME OF OWNER(S) OF BUSINESS OPERATING FACILITY		TELEPHONE #
ADDRESS WHERE LEGAL NOTICE MAY BE SERVED		( )
		ZIP CODE

## II. REASON FOR FILING

CHECK ALL APPROPRIATE:

- |   |   |   |
|---|---|---|
| A. <input type="checkbox"/> New discharge or facility         | D. <input type="checkbox"/> Change in character of discharge      | G. <input type="checkbox"/> Change in business operating facility |
| B. <input type="checkbox"/> Existing discharge or facility    | E. <input type="checkbox"/> Change in place or method of disposal | H. <input type="checkbox"/> Enlargement of existing facility      |
| C. <input type="checkbox"/> Increase in quantity of discharge | F. <input type="checkbox"/> Change in design or operation         | I. <input type="checkbox"/> Other (explain below)                 |

## III. TYPE OF OPERATION

CHECK ALL APPROPRIATE:

- |   |  |   |
|---|--|---|
| A. <input type="checkbox"/> Transfer station              | D. <input type="checkbox"/> Sewage treatment                     | G. <input type="checkbox"/> Woodwaste site        |
| B. <input type="checkbox"/> Solid waste disposal site     | E. <input type="checkbox"/> Industry (on-site disposal facility) | H. <input type="checkbox"/> Other (explain below) |
| C. <input type="checkbox"/> Hazardous waste disposal site | F. <input type="checkbox"/> Industry (discharge to sewer)        |   |

## IV. TYPE OF WASTE

CHECK ALL APPROPRIATE:

- |  |  |   |
|--|--|---|
| A. <input type="checkbox"/> Sewage, sewage sludge, and/or septic tank pumpings | E. <input type="checkbox"/> Agricultural wastes            | I. <input type="checkbox"/> Inert materials       |
| B. <input type="checkbox"/> Industrial wastes                                  | F. <input type="checkbox"/> Animal wastes                  | J. <input type="checkbox"/> Dead animals          |
| C. <input type="checkbox"/> Municipal solid wastes                             | G. <input type="checkbox"/> Forest product wastes          | K. <input type="checkbox"/> Tires                 |
| D. <input type="checkbox"/> Hazardous wastes                                   | H. <input type="checkbox"/> Construction/demolition wastes | L. <input type="checkbox"/> Other (explain below) |

## V. SITE DESIGN CAPACITY

A. PRESENT POPULATION OR CAPACITY	B. DESIGN POPULATION OR ULTIMATE CAPACITY	C. LIFE EXPECTANCY (YEARS)

VI. QUANTITY OF WASTES				
A. PRESENT OR PROPOSED DAILY FLOW (IN MGD):	MAXIMUM	AVERAGE		B. DESIGN FLOW (IN MGD)
C. SOLID WASTE DISPOSAL SITE (IN TONS OR CUBIC YARDS):	DAILY QUANTITY	TOTAL IN PLACE QUANTITY	D. AREA IN WHICH SOIL WILL BE DISTURBED (IN ACRES)	TOTAL SITE AREA

VII. LOCATION OF POINT OF DISPOSAL OR OPERATION  
 (DESIGN AND ATTACH MAP, SKETCH, OR LOCATION ON U.S.G.S. QUADRANGLE MAP, 7.5 OR 15 MINUTE SERIES.)  
 LIST DISTANCES OR BEARING AND DISTANCE FROM SECTION CORNER OR QUARTER CORNER, SECTION, TOWNSHIP, RANGE, BASE AND MERIDIAN:

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VIII. SOURCE OF WATER SUPPLY (CHECK ALL APPROPRIATE)

A. <input type="checkbox"/> MUNICIPAL OR UTILITY SERVICE: NAME OF WATER PURVEYOR  ADDRESS OF PURVEYOR	B. <input type="checkbox"/> INDIVIDUAL (Wells)
	C. <input type="checkbox"/> SURFACE SUPPLY: NAME OF STREAM, LAKE, SPRING, ETC. (IF NAMED)
	TYPE OF WATER RIGHTS <input type="checkbox"/> Riparian <input type="checkbox"/> Appropriation
WATER RIGHTS PERMIT OR LICENSE #	

IX. ENVIRONMENTAL IMPACT REPORT (EIR)

Has an EIR been prepared for this project?  Yes  No  
 If "Yes", please enclose a copy.

If "No", will an EIR be prepared?  Yes  No

Will a negative declaration be prepared?  Yes  No  
 If "Yes", please answer the following:

WHO WILL PREPARE THE NEGATIVE DECLARATION?	APPROX. DATE OF COMPLETION

CERTIFICATION

*I hereby certify under penalty of perjury that the information provided in this application and in any attachments is true and accurate to the best of my knowledge.*

SIGNATURE OF OWNER OF FACILITY	SIGNATURE OF OPERATOR OF FACILITY
PRINTED OR TYPED NAME	PRINTED OR TYPED NAME
TITLE	TITLE
DATE	DATE

LIST TITLES OF ANY ATTACHMENTS:

You will be notified of the correctness of filing fee and submittal of any additional information deemed necessary to complete your Report of Waste Discharge pursuant to Division 7, Section 13250 of the State Water Code, or to complete your permit application pursuant to Government Code Section 66796.30 and Health and Safety Code Section 25200.

REGIONAL WATER QUALITY CONTROL BOARD  
DEPARTMENT OF HEALTH SERVICES  
SOLID WASTE MANAGEMENT BOARD  
DEPARTMENT OF FORESTRY

**INSTRUCTIONS FOR COMPLETING APPLICATION  
FOR FACILITY PERMIT/WASTE DISCHARGE**

This application form is for a permit (and/or waste discharge requirements) to discharge, receive, or dispose of liquid or solid wastes regulated by the California Regional Water Quality Control Boards (RWQCB), the Department of Health Services (DOHS), the State Solid Waste Management Board (SWMB), or the California Department of Forestry (CDF). This form and the filing fee<sup>1</sup> should be sent to the appropriate agency(s) as indicated below:

FORM USE	APPROPRIATE AGENCY			
	RWQCB	DOHS	SWMB <sup>2</sup>	CDF <sup>3</sup>
Report of Waste Discharge . . . . .	X			
Application for a Hazardous Waste Facility Permit . . . . .		X		
Application for a Solid Waste Facilities Permit . . . . .			X	
Application for a Rubbish Dump Permit . . . . .				X

If you have any questions on the completion of this form, please contact the appropriate agency for assistance.

For a direct discharge (point source discharge) to surface waters, a different application form is required in place of this Form 200. Please contact the appropriate Regional Water Quality Control Board for a National Pollutant Discharge Elimination System (NPDES) application form to apply for a permit for this type of discharge.

This application for waste disposal provides initial notice of a waste discharge. In most instances, additional information will be required, and should be submitted on 8½" x 11" paper. Complete the enclosed form and return it with any required report<sup>4,5</sup> and the filing fee to each appropriate agency(s). The agency(s) will advise you of any additional information that may be required to complete this application and waste disposal report.

The effective date of the application is the date when all required information and the correct fee are received by the agency(s). You will be notified of this effective date by each agency.

#### **1 AMOUNT OF FILING FEES**

##### **RWQCB**

Use flow or units reported in Item VI (Form WRCB 200) and the appropriate class schedule A, B, B1, B2, B3, or C (attached Filing Fee Schedule).

Make check payable to: STATE WATER RESOURCES CONTROL BOARD and mail, together with report of waste discharge, to the appropriate Regional Board. No report can be accepted without the fee.

##### **SWMB**

Local solid waste enforcement agencies shall determine the exact fee. The maximum application fee that can be required is five hundred dollars (\$500).

##### **DOHS and CDF**

No fee is required.

<sup>2</sup> Check with local or county enforcement agency for specific permit requirements and/or exemptions.

<sup>3</sup> If the site is within an incorporated city or on federal land, a copy need *not* be sent to CDF.

<sup>4</sup> **REQUIRED REPORT FOR DOHS:** An Operation Plan.

<sup>5</sup> **REQUIRED REPORT FOR SWMB:**

A "Report of Disposal Site Information" is required to obtain a permit to operate a disposal site.

A "Report of Station Information" is required to obtain a permit to operate a large volume transfer station (greater than 100 cubic yards per operating day)

A "Plan of Operation" is required to obtain a permit to operate a small volume transfer station (less than 100 cubic yards per operating day).

Where there is a significant change in design, operation, operator, or size of facility, details of the changes must be submitted to amend previous report.

See attachments for information to be contained in reports.

- I. **FACILITY:** Self-explanatory.
- II. **REASON FOR FILING:**
- A. New discharge or facility: A discharge or facility that is proposed but does not now exist.
  - B. Existing discharge or facility: Discharge or facility is currently in operation but does not have waste discharge requirements or a permit.
  - C. Increase in quantity of discharge: Discharge quantity increased or is proposed to increase above 25% of the quantity set forth in the existing requirements; or less if such an increase, in your opinion, might have a significant impact on the quality of the receiving waters or disposal area. Final determination of whether the reported increase would have a significant effect will be made by the appropriate agency.
  - D. Change in character of discharge: A material change in characteristics of the waste from existing discharge requirements is defined as follows:
    - a. The addition of a major industrial waste discharge to a discharge of essentially domestic sewage, or the addition of a new product by an industrial facility resulting in a change in the character of the waste.
    - b. A change in the type of waste accepted at a disposal facility.
  - E. Change in place or method of disposal: Change from a land disposal to a direct disposal to water; change in the method of treatment which would significantly alter the waste discharge characteristics; moving the discharge to another drainage area, to a different water body, or to a disposal area significantly removed from the original area, causing different water quality or nuisance effects.
  - F. Change in design or operation: A significant change in design or operation from that existing when discharge requirements or other permits were last issued.
  - G., H., and I.: Self-explanatory.
- III. **TYPE OF OPERATION:** Self-explanatory.
- IV. **TYPE OF WASTE:**
- A. Sewage, sewage sludge, and/or septic tank pumpings: Human or animal origin (not industrial).
  - B. Industrial wastes: Liquid, solid, gaseous or radioactive waste from any producing, manufacturing, or processing operation.
  - C. Municipal solid wastes: Residential and commercial refuse, garbage and/or rubbish.
  - D. Hazardous wastes: Waste or a combination of wastes which because of its quantity, concentration, or physical, chemical, or infectious characteristics may either: (1) Cause, or significantly contribute to an increase in mortality or an increase in serious irreversible, or incapacitating reversible, illness. (2) Pose a substantial present or potential hazard to human health or environment when improperly treated, stored, transported, or disposed of, or otherwise managed.
  - E. Agricultural wastes: Wastes resulting from the production and processing of farm or agricultural products.
  - F. Animal wastes: Wastes from confined holding or feeding areas.
  - G. Forest product wastes: Shavings, sawdust, chips, bark, slabs, edgings, wood and other flammable waste material incidental to the processing of wood products.
  - H. Construction/demolition wastes: Waste building materials, packaging and rubble resulting from construction, remodeling, repair, and demolition operations on pavements, houses, commercial buildings, and other structures.
  - I. Inert materials: Brick, rock, concrete, soil, silt, clay, glass, asphalt, plastics, plasterboard, rubber, and any other inert materials (Does not include wood.)
  - J., K., and L.: Self-explanatory.
- V. **SITE DESIGN CAPACITY:** Self-explanatory.
- VI. **QUANTITY OF WASTES:**
- A., C., and D.: Self-explanatory.
  - B. Design flow: Treatment design flow (not maximum hydraulic capacity) when for sewage treatment.
- VII. **EXACT LOCATION OF POINT OF DISPOSAL:** Map or sketch should be to a scale adequate to show location precisely. Use of a portion of a U.S.G.S. Quadrangle map is recommended. Map must show proximity of disposal location to populated areas and must indicate all wells and drainage courses within 1,000 feet of any disposal point(s)
- VIII. **SOURCE OF WATER SUPPLY** (This is the water that contributes to or transports the waste.):
- A. Municipal or utility service: Give name and address of the water purveyor.
  - B. Individual wells: Those not part of a municipal or utility service.
  - C. Surface supply:
    - (1) Name of stream, lake, spring, etc., if named.
    - (2) Type of water rights: Check appropriate item.
    - (3) If a state permit or license has been granted, give identification number.
- IX. **ENVIRONMENTAL IMPACT REPORT:** Self-explanatory.



FORM <b>1</b> GENERAL	U.S. ENVIRONMENTAL PROTECTION AGENCY <b>GENERAL INFORMATION</b> Consolidated Permits Program (Read the "General Instructions" before starting.)	<b>I. EPA I.D. NUMBER</b> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:10%;"></td> <td style="width:10%;"></td> <td style="width:10%;"></td> <td style="width:10%;"></td> <td style="width:10%;"></td> <td style="width:10%;"></td> <td style="width:10%;"></td> <td style="width:10%;"></td> <td style="width:10%;"></td> <td style="width:10%;"></td> </tr> <tr> <td style="text-align: center;">A</td> <td style="text-align: center;">B</td> <td style="text-align: center;">C</td> <td style="text-align: center;">D</td> <td style="text-align: center;">E</td> <td style="text-align: center;">F</td> <td style="text-align: center;">G</td> <td style="text-align: center;">H</td> <td style="text-align: center;">I</td> <td style="text-align: center;">J</td> </tr> </table>											A	B	C	D	E	F	G	H	I	J
A	B	C	D	E	F	G	H	I	J													
<b>LABEL ITEMS</b> I. EPA I.D. NUMBER III. FACILITY NAME V. FACILITY MAILING ADDRESS VI. FACILITY LOCATION		<b>GENERAL INSTRUCTIONS</b> If a preprinted label has been provided, affix it in the designated space. Review the information carefully; if any of it is incorrect, cross through it and enter the correct data in the appropriate fill-in area below. Also, if any of the preprinted data is absent (the area to the left of the label space lists the information that should appear), please provide it in the proper fill-in area(s) below. If the label is complete and correct, you need not complete items I, III, V, and VI (except VI-B which must be completed regardless). Complete all items if no label has been provided. Refer to the instructions for detailed item descriptions and for the legal authorizations under which this data is collected.																				
PLEASE PLACE LABEL IN THIS SPACE																						

II. POLLUTANT CHARACTERISTICS									
INSTRUCTIONS: Complete A through J to determine whether you need to submit any permit application forms to the EPA. If you answer "yes" to any questions, you must submit this form and the supplemental form listed in the parenthesis following the question. Mark "X" in the box in the third column if the supplemental form is attached. If you answer "no" to each question, you need not submit any of these forms. You may answer "no" if your activity is excluded from permit requirements; see Section C of the instructions. See also, Section D of the instructions for definitions of bold-faced terms.									
SPECIFIC QUESTIONS	MARK 'X'			SPECIFIC QUESTIONS	MARK 'X'				
	YES	NO	FORM ATTACHED		YES	NO	FORM ATTACHED		
A. Is this facility a publicly owned treatment works which results in a discharge to waters of the U.S.? (FORM 2A)	16	17	18	B. Does or will this facility (either existing or proposed) include a concentrated animal feeding operation or aquatic animal production facility which results in a discharge to waters of the U.S.? (FORM 2B)	19	20	21		
C. Is this a facility which currently results in discharges to waters of the U.S. other than those described in A or B above? (FORM 2C)	22	23	24	D. Is this a proposed facility (other than those described in A or B above) which will result in a discharge to waters of the U.S.? (FORM 2D)	25	26	27		
E. Does or will this facility treat, store, or dispose of hazardous wastes? (FORM 3)	28	29	30	F. Do you or will you inject at this facility industrial or municipal effluent below the lowermost stratum containing, within one quarter mile of the well bore, underground sources of drinking water? (FORM 4)	31	32	33		
G. Do you or will you inject at this facility any produced water or other fluids which are brought to the surface in connection with conventional oil or natural gas production, inject fluids used for enhanced recovery of oil or natural gas, or inject fluids for storage of liquid hydrocarbons? (FORM 4)	34	35	36	H. Do you or will you inject at this facility fluids for special processes such as mining of sulfur by the Frasch process, solution mining of minerals, in situ combustion of fossil fuel, or recovery of geothermal energy? (FORM 4)	37	38	39		
I. Is this facility a proposed stationary source which is one of the 28 industrial categories listed in the instructions and which will potentially emit 100 tons per year of any air pollutant regulated under the Clean Air Act and may affect or be located in an attainment area? (FORM 5)	40	41	42	J. Is this facility a proposed stationary source which is NOT one of the 28 industrial categories listed in the instructions and which will potentially emit 250 tons per year of any air pollutant regulated under the Clean Air Act and may affect or be located in an attainment area? (FORM 5)	43	44	45		

III. NAME OF FACILITY									
1. NAME OF FACILITY									
IV. FACILITY CONTACT									
A. NAME & TITLE (last, first, & title)					B. PHONE (area code & no.)				
2. NAME & TITLE					3. PHONE				
V. FACILITY MAILING ADDRESS									
A. STREET OR P.O. BOX									
3. STREET OR P.O. BOX									
B. CITY OR TOWN					C. STATE		D. ZIP CODE		
4. CITY OR TOWN					5. STATE		6. ZIP CODE		
VI. FACILITY LOCATION									
A. STREET, ROUTE NO. OR OTHER SPECIFIC IDENTIFIER									
7. STREET, ROUTE NO. OR OTHER SPECIFIC IDENTIFIER									
B. COUNTY NAME									
8. COUNTY NAME									
C. CITY OR TOWN					D. STATE		E. ZIP CODE		F. COUNTY CODE (if known)
9. CITY OR TOWN					10. STATE		11. ZIP CODE		12. COUNTY CODE

CONTINUED FROM THE FRONT

VII. SIC CODES (4-digit, in order of priority)

A. FIRST				B. SECOND			
C	7	(specify)		C	7	(specify)	
13	14	15	16	13	14	15	16
C. THIRD				D. FOURTH			
C	7	(specify)		C	7	(specify)	
13	14	15	16	13	14	15	16

VIII. OPERATOR INFORMATION

A. NAME										B. Is the name listed in Item VIII-A also the owner?		
C											<input type="checkbox"/> YES <input type="checkbox"/> NO 65 66	
8												
13												
C. STATUS OF OPERATOR (Enter the appropriate letter into the answer box; if "Other", specify.)										D. PHONE (area code & no.)		
F = FEDERAL      M = PUBLIC (other than federal or state) S = STATE        O = OTHER (specify) P = PRIVATE										C A 19		
E. STREET OR P.O. BOX												
F. CITY OR TOWN										G. STATE	H. ZIP CODE	

IX. INDIAN LAND

is the facility located on Indian lands?

YES  NO

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X. EXISTING ENVIRONMENTAL PERMITS

A. NPDES (Discharges to Surface Water)						D. PSD (Air Emissions from Proposed Sources)					
C	9	N				C	9	P			
13	14	17	18	30	13	14	17	18	30		
B. UIC (Underground Injection of Fluids)						E. OTHER (specify)					
C	9	U				C	9				(specify)
13	14	17	18	30	13	14	17	18	30		
C. RCRA (Hazardous Wastes)						E. OTHER (specify)					
C	9	R				C	9				(specify)
13	14	17	18	30	13	14	17	18	30		

XI. MAP

Attach to this application a topographic map of the area extending to at least one mile beyond property boundaries. The map must show the outline of the facility, the location of each of its existing and proposed intake and discharge structures, each of its hazardous waste treatment, storage, or disposal facilities, and each well where it injects fluids underground. Include all springs, rivers and other surface water bodies in the map area. See instructions for precise requirements.

XII. NATURE OF BUSINESS (provide a brief description)

[Empty space for business description]

XIII. CERTIFICATION (see instructions)

I certify under penalty of law that I have personally examined and am familiar with the information submitted in this application and all attachments and that, based on my inquiry of those persons immediately responsible for obtaining the information contained in the application, I believe that the information is true, accurate and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.

A. NAME & OFFICIAL TITLE (type or print)	B. SIGNATURE	C. DATE SIGNED

COMMENTS FOR OFFICIAL USE ONLY

C										
13										

STATE OF CALIFORNIA  
STATE WATER RESOURCES CONTROL BOARD

REPORT OF COLLECTIONS  
CALIFORNIA REGIONAL WATER QUALITY CONTROL BOARD NO. One

REPORT OF COLLECTIONS NO. 110-239 REPORT OF DEPOSIT NO. 122338

PREPARED BY Lori M. Foster DATED 2/14/96

DATE OF REMITTANCE	CID NO. (CURRENT DOCUMENT)	NAME OF REMITTER	TYPE OF REMITTANCE	DATE OF CHECK	CHECK NUMBER	TYPE OF FEE/REMARKS	AMOUNT OF REMITTANCE
12/21/95		Redwood Oil Company	Check	12/20/95	9112963	New WDRs	1000.00
1/18/96		Kendall-Jackson Winery, LTD.	Check	1/4/96	000104661	New WDRs	1200.00
1/22/96		Mandor B./Kimberly L. Krause	Check	1/22/96	1907	Photocopies	1.00
1/24/96		Jeffrey D./Rachel B Hess	Check	1/22/96	3920	Photocopies	8.20
1/26/96		Levine-Fricke	Check	12/31/95	12081	Photocopies	5.60
2/2/96		Fireman's Fund	Check	1/25/96	35073879	Photocopies	45.00
2/5/96		Fireman's Fund	Check	1/29/96	35086631	Photocopies	85.80
2/7/96		Veale Investments	Check	2/6/96	2031	Tapes/ Photocopies	15.00
2/8/96		Russian River Watershed Protection Committee	Check	2/5/96	1278	Photocopies	101.80
2/13/96		Margaret Perry	Check	2/8/96	1691	Photocopies	5.80
2/13/96		Wallace-Kuhl & Associates, Inc.	Check	2/6/96	15560	Photocopies	5.80
1/29/96		Bill Coset	Cash			Photocopies	2.40
2/7/96		Craig Bensen	Cash			Photocopies	1.60
2/9/96		Gary Johnson	Cash			Photocopies	1.00

STATE BOARD ACCOUNTING USE ONLY:  
 BATCH NO. 159 TYPE 2 FM 08 BATCH DATE \_\_\_\_\_ PREPARED BY LF DATE 2/14/96

# WDR/NPDES/401 WQC APPLICATION ENTRY FORM

(Please complete form and  
return to WDS Coordinator ASAP!)

Route > Supervisor: \_\_\_\_\_

Tech staff: \_\_\_\_\_

*Supervisor, please fill in below:*

Date application received: \_\_\_\_\_ Date assigned to staff: \_\_\_\_\_

-----  
*Tech staff, please fill in below:*

Agency: \_\_\_\_\_ Facility: \_\_\_\_\_

County the project is located in: \_\_\_\_\_

Application type: (✓) \_\_\_\_\_ NEW \_\_\_\_\_ REVISED \_\_\_\_\_ RENEWAL (NPDES)

Program(s): (✓) \_\_\_\_\_ NPDES \_\_\_\_\_ CH.15 \_\_\_\_\_ NON-CH.15 \_\_\_\_\_ 401 WQC \_\_\_\_\_ RECLAM.

Is this application: (✓) \_\_\_\_\_ individual \_\_\_\_\_ new enrollee under existing GP  
\_\_\_\_\_ waiver of WDRs \_\_\_\_\_ proceed under existing WDRs

Amount received for WDR/NPDES \$ \_\_\_\_\_ and/or 401 WQC \$ \_\_\_\_\_

Application complete for WDR/NPDES? (please circle) Y / N → 401 WQC? Y / N

If so, date completed? \_\_\_\_\_

If application is not complete, please circle delay code(s) and program it applies to:

10 = Discharger information not received WDR/NPDES → 401 WQC

15 = Filing fee (all or part) not received WDR/NPDES → 401 WQC

20 = CEQA problem WDR/NPDES → 401 WQC

Other reason: \_\_\_\_\_

Date this form was completed and returned to WDS Coordinator: \_\_\_\_\_

-----  
*For WDS Coordinator use only*

WDID # \_\_\_\_\_ NPDES # (if applicable) \_\_\_\_\_

Date entered in WDS: \_\_\_\_\_ Initials: \_\_\_\_\_

**REQUEST FOR MODIFICATION OF FEE INVOICE  
FORM X**

A. **INVOICE NUMBER:** (Seven digit number; first two digits are billing year): \_\_\_\_\_

B. **FEE TYPE:** Clearly mark the correct box below:

- Water Code §13260 Waste Discharge Requirements Annual Fee (including stormwater fees)
- Water Code §13396.5 Bay Protection Annual Fee

C. **DISCHARGER INFORMATION:** Write in all of the following descriptive data

Discharger Name: \_\_\_\_\_  
 Facility Name: \_\_\_\_\_  
 WDID Number: \_\_\_\_\_ WDR order number: \_\_\_\_\_

D. **ACTION REQUESTED:** Mark applicable box below. Print clearly new data, if applicable.

- Reissue an invoice for the revised monetary amount reported below (see item F).
- Reissue invoice to new billing address, given below.
- Cancel invoice       Refund/Amount \$ \_\_\_\_\_       Other: \_\_\_\_\_

Discharger Billing Address		Discharger Mailing Address	
Billing/Company Name		Discharger Name	
Street Address		Street Address	
City, State, Zip		City, State, Zip	
Contact Name/Phone Number		Contact Name/Phone Number	

E. **FURTHER EXPLANATION/DESCRIPTION OF MODIFICATION:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

F. **INVOICE FEE INFORMATION:** Indicate clearly all applicable data:

Fiscal Year:     93-94     94-95     95-96     96-97     97-98     98-99     99-00

FEE CRITERIA	ORIGINAL	REVISED
Threat to Water Quality (1, 2 or 3)		
Complexity (A, B or C)		
Related Program Type <small>(NPDES, NON15, CHP15, Areawide Stormwater, Dredge or Fill)</small>		
Amount from Fee Schedule for above Criteria	\$	\$
Pretreatment Surcharge	\$	\$
Credits for previously paid Fees	\$	\$
Other adjustments	\$	\$
<b>Total Fee Amount</b>	<b>\$</b>	<b>\$</b>

G. **APPROVALS:** Signature and date (Must have all signatures).

\_\_\_\_\_  
**Originator**                                      **Fee Coordinator**                                      **Exec Officer/Div. Chief or designee**

H. **WDS UPDATE:** WDS updated with revised data above on: \_\_\_/\_\_\_/\_\_\_ by \_\_\_\_\_

I. **DAS:** \_\_\_\_\_  
    **Fee Unit Staff**                                      **Accounting Office Staff**                                       Unflag Invoice



GENERAL CASH CHECK REQUEST - REQUEST FOR REFUND

RC NO: \_\_\_\_\_ DATE OF DEPOSIT: \_\_\_\_\_  
 NOI NO: \_\_\_\_\_  
 SEQUENCE NO: \_\_\_\_\_  
 CID NO: \_\_\_\_\_

AMOUNT RECEIVED: \_\_\_\_\_ AMOUNT DUE S.W.R.C.B.: \_\_\_\_\_ AMOUNT OF REFUND: \_\_\_\_\_

MAKE CHECK

PAYABLE TO: \_\_\_\_\_  
 (NAME)  
 \_\_\_\_\_  
 (ADDRESS)  
 \_\_\_\_\_  
 (ADDRESS)  
 \_\_\_\_\_  
 (CITY, STATE)  
 \_\_\_\_\_  
 (ZIP CODE, COUNTRY)  
 \_\_\_\_\_  
 (ATTENTION)  
 \_\_\_\_\_

REASON FOR REFUND: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

REQUIRED INFORMATION FROM REQUESTOR:

FY: \_\_\_\_\_ INDEX: \_\_\_\_\_ PCA: \_\_\_\_\_

REQUESTED BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
 APPROVED BY: \_\_\_\_\_ DATE: \_\_\_\_\_

DO NOT WRITE BELOW THIS LINE.

FOR ACCOUNTING USE ONLY:

REQUESTED BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
 APPROVED BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
 BATCH NO: \_\_\_\_\_  
 DATE: \_\_\_\_\_

T.C.	FFY	REF. DOC.	SUF	VENDOR NO.			SUF	INVOICE NO. / AUTO CHCK INFO. BOX		
								0		
DATE		CURR. DOC.	SUF	INDEX	OBJECT	PCA	AMOUNT			
		RC								
SOURCE		AG	CHECK NO.			S	FUND	DATE		
VENDOR NAME										
See Above										





**CLEANUP AND ABATEMENT ACCOUNT STATEMENT**  
 Notice of New Liability Account or Adjustment to Existing Account  
 (FORM CAA-1; see below for instructions)

IS THIS A CHANGE TO AN EXISTING LIABILITY: (check one)  Yes  No

<b>ACCOUNT NUMBER</b>	<b>DATE OF THIS STATEMENT</b>
CAA -  __  -  __ __  -  __ __ __	____/____/____
<small>Region      Calendar Year      RWQCB Order Number</small>	

<b>DISCHARGER NAME(S):</b> <small>(Name of owner/operator and facility name)</small>
<b>Taxpayer Identification Number (SSN):</b>

1. **TOTAL PENALTY/LIABILITY** (AMOUNT IN ORIGINAL COMPLAINT OR ORDER):
2. **ADJUSTMENTS -REDUCTIONS INCLUDING STAYS, OFFSETS, MITIGATION, ETC; AND INCREASES** (IN ORIGINAL OR AMENDED ENFORCEMENT ORDER, EXPLAIN AMOUNTS BELOW):
3. **SUB-TOTAL: PENALTY AMOUNT ASSESSED**
4. **LESS CUMULATIVE AMOUNT PAID TO DATE**
5. **NET: TOTAL PENALTY AMOUNT STILL OUTSTANDING**

ORIGINAL AMOUNTS	NEW ADJUSTED AMOUNTS
\$	\$
\$	\$
\$	\$
<\$      >	<\$      >
\$	\$

AMOUNT PAID: \$ \_\_\_\_\_ (Line 6)      DATE PAID: \_\_\_\_/\_\_\_\_/\_\_\_\_  
 DATE DEPOSITED: \_\_\_\_/\_\_\_\_/\_\_\_\_      Report of Collections Number: \_\_\_\_\_

**TYPE OF LIABILITY:** (check one)       Administrative Civil Liability  
 Judicial Liability (court judgement)       Other enforcement order with recovery of cost (specify below)

**EXPLANATION of ANY ADJUSTMENTS or CHANGES:** (to any line or amount above or any other change)  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**OTHER INFORMATION or COMMENTS:**  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**REPORT SUBMITTED BY:** \_\_\_\_\_ **APPROVED BY:** \_\_\_\_\_

**INSTRUCTIONS:** On every occasion when a discharger is required to make any payment to the Cleanup and Abatement Account (including administrative civil liabilities, court-directed civil or criminal liabilities, costs recovered pursuant to any enforcement activity, etc.), the Regional Water Quality Control Board office shall complete and submit this form to the SWRCB Accounting Office within five (5) days of the date the enforcement action was taken or a payment received. The Regional Board is required to prepare and submit this form **FOR EACH AND EVERY ADMINISTRATIVE CIVIL LIABILITY NO LATER THAN THE FIFTH DAY OF EVERY MONTH.**



**APPENDIX B. Sample WDS Screens - Individual Permits**



## INDIVIDUAL PERMIT FEE DATA ENTRY

This example will show you how to enter billing data for a **new Facility** under an **Individual permit**. It is not meant to tell you *what* data to enter but how to enter the data you have.

WDS Main Menu

To begin entering billing data choose 'Add Application' .

```
WDR/App Menu  Misc Menu  Enter Other  Edit Other  Reports  Maintenance  Quit
Add Application
Edit Application
Adopt New Order
Amend Order/Letter
Revise Order/Letter
Rescind Order/Letter
Waive Order/Letter
Quit
```

Choose 'New Facility'

```
WDR/App Menu  Misc Menu  Enter Other  Edit Other  Reports  Maintenance  Quit
Add Application
  New Facility
  Existing Facility
  Quit
Waive Order/Letter
Quit
```

Enter the new ID #

```
Please Enter Facility ID : 1111111111
```

Add application information ----

APPLICATION TRACKING: New Facility	
Facility ID:	4444444444
Agency Name:	SAMPLE SITE
Facility Name:	SAMPLE FACILITY
SubRegion Code:	01
Supervisor Code:	GSL
Application Type:	NEW (NEW,REV,REN)
Application Program Category:	C15 (NPD,C15,N15,CER,REC)
Date Application Received:	05/05/95
Individual/General:	I (I,G)
Fee Amount Received:	10.00
Date Fee Received:	05/05/95
Staff Code:	GSL
Disposition Code:	P (P,A,V,W,C,D)
F5 - Milestone Tracking	F10 - Save
ESC - Return	F11 - Comments
F9 - Facility Entry	

Add Milestone Dates  
(Milestones 110 through 140 must be completed before order information can be entered). ----

Milestone Viewing Screen					
Application Number:	143	Disposition:	P		
Facility ID:	4444444444	Agency Name:	SAMPLE SITE		
Facility Name:	SAMPLE FACILITY	Application Received:	05/05/95		
Program Category:	C15	NPDES Number:			
Code	Description	Expected	Actual	Delay	Delayed
110	Assigned to Staff	05/12/95	05/05/95		0
120	Application Complete	06/04/95	06/01/95		254
130	Draft for Public Review	07/04/95	06/15/95		
140	Scheduled Board Date	08/18/95	07/01/95		
150	Disposition Date				
F6 - Add Milestone					ESC - Return
Enter - Edit Milestone					

Enter Facility Information ----

```

                                EDIT SCREEN FOR FACILITY DATA

WDS FACILITY I.D.#444444444 STATUS :P: NPDES I.D. # :CA1234567: SUBREGION 01
AGENCY NAME :SAMPLE SITE
AGENCY STREET (MAIL) ADDRESS : 901 P Street
AGENCY CITY & STATE :Sacramento ,CA:ZIP :99999-1111:PHONE :9163224759:
AGENCY CONTACT PERSON : John Smith
AGENCY TYPE (FD/ST/CO/CI/GV/SC/PR) :ST:
-----
FACILITY NAME :SAMPLE FACILITY
FACILITY STREET (LOCATION) ADDRESS : 1020 County Drive
FACILITY CITY & STATE : San Somewhere ,CA:ZIP :99988-0001:PHONE :9165432100:
FACILITY CONTACT PERSON : Joe Smith : FACILITY COUNTY :09:
FACILITY TYPE (MUN/IND/AGR/SW1/SW2/SW3/OTH) :agr:
-----
BILLING NAME : Big Corporation : PHONE :2124411234:
BILLING STREET (LOCATION) ADDRESS : 1234 Madison Avenue :
BILLING CITY & STATE : New York ,NY: ZIP :00988-1234:
BILLING CONTACT PERSON : Josephine Smith :
-----
SIC CODES: 1 : :2 : : WASTE TYPES: 1 : :2 : ;
BASELINE FLOW (MGD) : 0.0000:DESIGN FLOW (MGD) : 0.0000: REPORT FREQ. : :
RCRA FACILITY (Y/N) : : THREAT TO WQ (1/2/3) :1: COMPLEXITY (A,B,C) :A:
RECLAIM. FLAG (1/2/3/N) : : PRETREATMENT FLAG (Y/N/P/X) : : PROJECT OFFICER :GSL:

```

Return to WDS Main Menu

Choose 'Adopt New Order'

```

WDR/App Menu  Misc Menu  Enter Other  Edit Other  Reports  Maintenance  Quit
Add Application
Edit Application
Adopt New Order
Amend Order/Letter
Revise Order/Letter
Rescind Order/Letter
Waive Order/Letter
Quit

```

Choose 'Individual Order'

WDR/App Menu	Misc Menu	Enter Other	Edit Other	Reports	Maintenance	Quit
Add Application						
General Order						
Individual Order						
Quit						
Waive Order/Letter						
Quit						

Enter the facility I.D. ----

What is the FACILITY I.D.# of the record you wish to enter? 3333333333
--

Choose the Pending Application to link to the order ----

Pending Application Select Screen					
Facility ID:	3333333333				
Agency Name:	TEST SITE				
Facility Name:	TEST				
Number	Receipt	Type	Program	Staff	
233	05/05/95	NEW	C15	GSL	
Enter - Link Order			ESC - Return		
F3 - Order Entry					



Enter Order Type and Number----

WDR Order Validation

What was used to issue these requirements?

B.....Regional Board Order--Includes Orders issued by EO (##-###XX)

S.....State Board Order--Includes Orders issued by EO (##-###XX)

E.....Letter issued by EO (LT + YYMMDD)

Please indicate your choice:   **B**

What is the ORDER # you wish to enter?(99-999XX)   **96-333**

Enter Order Information. If this order is to be billed enter "Y"  
at 'Bill? Y/N'-----

WDR Order Entry Screen

Agency Name SAMPLE AGENCY	Facility Name SAMPLE SITE
------------------------------	------------------------------

Facility ID: 3333333333                      NPDES #                      Facility Status: P

---

Order Type(WDR/REC/NPD) :NPD:                      Order Number : 96-333:

Order Action: NEW                      Bill? Y/N :Y:

---

Date Adopted/Issued(YYMMDD) **960202**                      Expiration Review/Date(YYMMDD)**010202**  
Order Status(Active/Historical) **A**                      Issued by(Board/EO/State) **S**  
Issued to Comply with Update Policy(Y/N)? **N**

WDR = Waste Discharge Requirements  
REC = Reclamation Requirements  
NPD = NPDES Permits

If you entered "Y" at 'Bill? Y/N' on the previous screen choose a basis for billing ----

WDR Order Entry Screen		
Agency Name SAMPLE AGENCY	Facility Name SAMPLE SITE	
Facility ID: 1111111111	NPDES # CA1234567	Facility Status: P
Order Type (WDR/REC/NPD) :NPD:		Order Number : 96-123:
Order Action: NEW	Bill? Y/N :Y:	
-----		
Fee Basis		
Date Adopted	AW1 - Areawide Urban Stormwater	
Order Status	AW2 - Areawide Urban Stormwater	
Issued to	Dredge and Fill	
	Fixed Amount	
	TTWQ and CPLX	

If you choose 'Dredge and Fill' you are required to fill in the appropriate fee.

WDID: 1111111111	
Dredge/Fill Fee Amount: \$	0
Billing Fee Amount is required for Dredge/Fill --	
Enter Fee: \$	:10000:
(Do not use commas.)	

Enter Order Information. If this order is **not** to be billed enter "N" at 'Bill? Y/N'----

```

                                WDR Order Entry Screen

      Agency Name                Facility Name
SAMPLE AGENCY                   SAMPLE SITE

Facility ID: 3333333333        NPDES #                Facility Status: P
-----
Order Type(WDR/REC/NPD) :NPD:                Order Number : 96-333:
Order Action: NEW                                Bill? Y/N :N:
-----

Date Adopted/Issued(Yymmdd) 960202        Expiration Review/Date(Yymmdd)010202
Order Status(Active/Historical) A        Issued by(Board/EO/State) S
Issued to Comply with Update Policy(Y/N)? N

      WDR = Waste Discharge Requirements
      REC = Reclamation Requirements
      NPD = NPDES Permits
  
```

If you entered "N" at 'Bill? Y/N' on the previous screen choose a reason for not billing ----

```

                                WDR Order Entry Screen

      Agency Name                Facility Name
SAMPLE AGENCY                   SAMPLE SITE

Facility ID: 1111111111        NPDES # CA1234567        Facility Status: P
-----
Order Type(WDR/REC/NPD) :NPD:                Order Number : 96-123:
Order Action: NEW                                Bill? Y/N :N:
-----
Reason For Not Billing
-----
Date Adop    Confined Animal Feeding Facility
Order Sta    Geothermal Well
Issued to    Active Landfill Paying Tipping Fees
              CERCLA Exempt
              Court Order
  
```

You may have to scroll down in the screen to find your choice.

WDR Order Entry Screen		
Agency Name SAMPLE AGENCY	Facility Name SAMPLE SITE	
Facility ID: 1111111111	NPDES # CA1234567	Facility Status: P
-----		
Order Type (WDR/REC/NPD) :NPD:	Order Number : 96-123:	
Order Action: NEW	Bill? Y/N :N:	
-----		
	Reason For Not Billing	
Date Adop	WDRs Pending Recision	
Order Sta	Tribal Government	
Issued to	Sibling Site	

After verifying that the information is correct, exit these screens and you have completed the required fee information.

**APPENDIX C. Sample WDS Screens - General Permits**



## GENERAL PERMIT FEE DATA ENTRY

This example will show you how to enter billing data for a **new Facility** under a **General permit**. It is not meant to tell you *what* data to enter but how to enter the data you have.

WDS Main Menu

To begin entering billing data choose 'Add Application' .

```
WDR/App Menu  Misc Menu  Enter Other  Edit Other  Reports  Maintenance  Quit
Add Application
Edit Application
Adopt New Order
Amend Order/Letter
Revise Order/Letter
Rescind Order/Letter
Waive Order/Letter
Quit
```

Choose 'New Facility'

```
WDR/App Menu  Misc Menu  Enter Other  Edit Other  Reports  Maintenance  Quit
Add Application
  New Facility
  Existing Facility
  Quit
Waive Order/Letter
Quit
```

Enter the new ID #

```
Please Enter Facility ID : 1111111111
```

Add application information ----

APPLICATION TRACKING:	New Facility							
Facility ID:	4444444444							
Agency Name:	SAMPLE SITE							
Facility Name:	SAMPLE FACILITY							
SubRegion Code:	01							
Supervisor Code:	GSL							
Application Type:	NEW (NEW, REV, REN)							
Application Program Category:	C15 (NPD, C15, N15, CER, REC)							
Date Application Received:	05/05/95							
Individual/General:	G (I, G)							
Fee Amount Received:	10.00							
Date Fee Received:	05/05/95							
Staff Code:	GSL							
Disposition Code:	P (P, A, V, W, C, D)							
<table border="0"> <tr> <td>F5 - Milestone Tracking</td> <td>F10 - Save</td> </tr> <tr> <td>ESC - Return</td> <td>F11 - Comments</td> </tr> <tr> <td>F9 - Facility Entry</td> <td></td> </tr> </table>			F5 - Milestone Tracking	F10 - Save	ESC - Return	F11 - Comments	F9 - Facility Entry	
F5 - Milestone Tracking	F10 - Save							
ESC - Return	F11 - Comments							
F9 - Facility Entry								

Add Milestone Dates

(Application must be complete to link to an order). ----

Milestone Viewing Screen										
Application Number:	143	Disposition:	P							
Facility ID:	4444444444									
Agency Name:	SAMPLE SITE									
Facility Name:	SAMPLE FACILITY									
Application Received:	05/05/95									
Program Category:	C15	NPDES Number:								
Code	Description	Expected	Actual	Delay	Delayed					
110	Assigned to Staff	05/12/95	05/05/95		0					
120	Application Complete	06/04/95	06/01/95		254					
150	Disposition Date									
<table border="0"> <tr> <td>F6 - Add Milestone</td> <td>ESC - Return</td> </tr> <tr> <td>Enter - Edit Milestone</td> <td></td> </tr> </table>							F6 - Add Milestone	ESC - Return	Enter - Edit Milestone	
F6 - Add Milestone	ESC - Return									
Enter - Edit Milestone										



Enter Facility Information ----

```

                                EDIT SCREEN FOR FACILITY DATA

WDS FACILITY I.D.#4444444444 STATUS :P: NPDES I.D. # :CA1234567: SUBREGION 01
AGENCY NAME :SAMPLE SITE
AGENCY STREET (MAIL) ADDRESS : 901 P Street
AGENCY CITY & STATE :Sacramento ,CA:ZIP :99999-1111:PHONE :9163224759:
AGENCY CONTACT PERSON : John Smith
AGENCY TYPE (FD/ST/CO/CI/GV/SC/PR) :ST:
-----
FACILITY NAME :SAMPLE FACILITY
FACILITY STREET (LOCATION) ADDRESS : 1020 County Drive
FACILITY CITY & STATE : San Somewhere ,CA:ZIP :99988-0001:PHONE :9165432100:
FACILITY CONTACT PERSON : Joe Smith : FACILITY COUNTY :09:
FACILITY TYPE (MUN/IND/AGR/SW1/SW2/SW3/OTH) :agr:
-----
BILLING NAME : Big Corporation : PHONE :2124411234:
BILLING STREET (LOCATION) ADDRESS : 1234 Madison Avenue :
BILLING CITY & STATE : New York ,NY: ZIP :00988-1234:
BILLING CONTACT PERSON : Josephine Smith :
-----
SIC CODES: 1 : :2 : : WASTE TYPES: 1 : :2 : ;
BASELINE FLOW (MGD) : 0.0000:DESIGN FLOW (MGD) : 0.0000: REPORT FREQ. : :
RCRA FACILITY (Y/N) : : THREAT TO WQ (1/2/3) :1: COMPLEXITY (A,B,C) :A:
RECLAIM. FLAG (1/2/3/N): : PRETREATMENT FLAG (Y/N/P/X): : PROJECT OFFICER :GSL:

```

Return to WDS Main Menu

Choose 'Adopt New Order'

```

WDR/App Menu  Misc Menu  Enter Other  Edit Other  Reports  Maintenance  Quit
Add Application
Edit Application
Adopt New Order
Amend Order/Letter
Revise Order/Letter
Rescind Order/Letter
Waive Order/Letter
Quit

```

Choose 'General Order'

WDR/App Menu	Misc Menu	Enter Other	Edit Other	Reports	Maintenance	Quit
Add Application						
<b>General Order</b> Individual Order Quit						
Waive Order/Letter Quit						

Choose 'Mother Permit'

WDR/App Menu	Misc Menu	Enter Other	Edit Other	Reports	Maintenance	Quit
Add Application						
General Order						
<b>Mother Permit</b> Enrollee Quit						

Enter the Mother Permit Information ----

General Order ADD/EDIT Screen (Mother)	
Order Number: 96-001	Order Action: NEW
Order Status: A	
Order Type (NPD/WDR):	NPD
Issuing Authority (B/S):	B
Threat to Water Quality (1/2/3):	1
Complexity (A/B/C):	A
Date Adopted/Enrolled (YYMMDD):	96/01/02
Expiration/Review Date (YYMMDD):	00/12/30
Date Update Review Completed (YYMMDD):	96/01/05
Comply with Update Policy (Y/N):	N
Review Findings (NAR/REV/RSC):	
NPDES Number (CAxxxxxxx):	CA1234567
Previous Order Number:	
Bill ? Y/N:	
ESC - Return	F10 - Save

Note: Bill ? Y/N is not accessible on Mother Permit. Only enrollees are billed.

Return to Main Menu and choose 'Enrollee'

Enter the facility I.D. ----

What is the FACILITY I.D.# of the record you wish to enter? 1111111111

Choose the Pending Application to link to the order ----

Pending Application Select Screen					
Facility ID:	1111111111				
Agency Name:	TEST SITE				
Facility Name:	TEST				
Number	Receipt	Type	Program	Staff	
102	05/05/95	NEW	C15	GSL	
Enter - Link Order			ESC - Return		
F3 - Order Entry					

Enter the order # ---

Please enter Order #: 96-123

Enter date Adopted. If this order is to be billed answer "Y" to 'Bill ? Y/N'. ----

General Order ADD/EDIT Screen (Enrollee)	
Order Number: 96-001	Order Action: NEW
Order Status: A	
Order Type (NPD/WDR):	NPD
Issuing Authority (B/S):	B
Threat to Water Quality (1/2/3):	1
Complexity (A/B/C):	A
Date Adopted/Enrolled (YYMMDD):	96/02/02
Expiration/Review Date (YYMMDD):	00/12/30
Date Update Review Completed (YYMMDD):	96/02/05
Comply with Update Policy (Y/N):	N
Review Findings (NAR/REV/RSC):	
NPDES Number (CAxxxxxxx):	CA1234567
Previous Order Number:	
Bill ? Y/N:	Y
ESC - Return	F10 - Save

If you entered 'Y' to 'Bill ? Y/N' on the previous screen:  
Choose a basis for billing ----

General Order ADD/EDIT Screen (Enrollee)	
Order Number: 96-001	Order Action: NEW
Order Status: A	
Order Type (NPD/WDR):	NPD
Issuing Authority (B/S):	B
Threat to Water Quality (1/2/3):	1
Fee Basis	
AW1 - Areawide Urban Stormwater	
AW2 - Areawide Urban Stormwater	
Dredge and Fill	
Fixed Amount	
TTWQ and CPLX	
ESC - Return	F10 - Save

Enter date Adopted. If this order is **not** to be billed enter "N" to 'Bill ? Y/N'.

General Order ADD/EDIT Screen (Enrollee)	
Order Number: 96-001	Order Action: NEW
Order Status: A	
Order Type (NPD/WDR):	NPD
Issuing Authority (B/S):	B
Threat to Water Quality (1/2/3):	1
Complexity (A/B/C):	A
Date Adopted/Enrolled (YYMMDD):	96/02/02
Expiration/Review Date (YYMMDD):	00/12/30
Date Update Review Completed (YYMMDD):	96/02/05
Comply with Update Policy (Y/N):	N
Review Findings (NAR/REV/RSC):	
NPDES Number (CAxxxxxxx):	CA1234567
Previous Order Number:	
Bill ? Y/N:	N
ESC - Return	F10 - Save

If you entered 'N' to 'Bill ? Y/N' on the previous screen:  
Choose a reason for not billing ----

General Order ADD/EDIT Screen (Enrollee)	
Order Number: 96-001	Order Action: NEW
Order Status: A	
Order Type (NPD/WDR):	NPD
Issuing Authority (B/S):	B
Threat to Water Quality (1/2/3):	1
Reason for Not Billing	
Confined Animal Feeding Facility	
Geothermal Well	
Active Landfill Paying Tipping Fees	
CERCLA Exempt	
Court Order	
ESC - Return	F10 - Save

You may have to scroll down in the screen to find your reason --

General Order ADD/EDIT Screen (Enrollee)	
Order Number: 96-001	Order Action: NEW
Order Status: A	
Order Type (NPD/WDR):	NPD
Issuing Authority (B/S):	B
Threat to Water Quality (1/2/3):	1
Reason for Not Billing	
WDRS Pending Recision	
Tribal Government	
Sibling Site	
ESC - Return	F10 - Save

After verifying that the information is correct, exit these screens and you have completed the required fee information.

**APPENDIX D. Applicable California Water Code Sections**





California  
Water Code  
Division 7. Water Quality  
Chapter 4. Regional Water Quality Control  
Article 4. Waste Discharge Requirements

Effective January 1, 1996

13260. (a) All of the following persons shall file with the appropriate regional board a report of the discharge, containing the information which may be required by the regional board:

(1) Any person discharging waste, or proposing to discharge waste, within any region that could affect the quality of the waters of the state, other than into a community sewer system.

(2) Any person who is a citizen, domiciliary, or political agency or entity of this state discharging waste, or proposing to discharge waste, outside the boundaries of the state in a manner that could affect the quality of the waters of the state within any region.

(3) Any person operating, or proposing to construct, an injection well.

(b) No report of waste discharge need be filed pursuant to subdivision (a) if the requirement is waived pursuant to Section 13269.

(c) Every person subject to subdivision (a) shall file with the appropriate regional board a report of waste discharge relative to any material change or proposed change in the character, location, or volume of the discharge.

(d) (1) Each person for whom waste discharge requirements have been prescribed pursuant to Section 13263 shall submit an annual fee not to exceed ten thousand dollars (\$10,000) according to a reasonable fee schedule established by the state board. Fees shall be calculated on the basis of total flow, volume, number of animals, or area involved.

(2) Any fees collected pursuant to this section shall be deposited in the Waste Discharge Permit Fund which is hereby created. The money in the fund is available for expenditure by the state board, upon appropriation by the Legislature, for the purposes of carrying out this division.

(3) Any person who would be required to pay the annual fee prescribed by paragraph (1) for waste discharge requirements applicable to discharges of solid waste, as defined in Section 40191 of the Public Resources Code, at a waste management unit that is also regulated under Division 30 (commencing with Section 40000) of the Public Resources Code, and who is or will be subject to the fee imposed pursuant to Section 46801 of the Public Resources Code in the same fiscal year, shall be entitled to a waiver of the annual fee for the discharge of solid waste at the waste management unit imposed by paragraph (1) upon verification by the state board of payment of the fee imposed by Section 48000 of the Public Resources Code, and provided that the fee established pursuant to Section 48000 of the Public Resources Code generates revenues sufficient to fund the programs specified in Section 48004 of the Public Resources Code and the amount appropriated by the Legislature for those purposes is not reduced.

(e) Each report of waste discharge for a new discharge submitted under this section shall be accompanied by a fee equal in amount to

the annual fee for the discharge. If waste discharge requirements are issued, the fee shall serve as the first annual fee. If waste discharge requirements are waived pursuant to Section 13269, all or part of the fee shall be refunded.

(f) (1) On or before January 1, 1990, the state board shall adopt, by emergency regulations, a schedule of fees authorized under subdivisions (d) and (j). The total revenue collected each year through annual and filing fees shall be set at an amount equal to the revenue levels set forth in the Budget Act for this activity. The state board shall automatically adjust the annual and filing fees each fiscal year to conform with the revenue levels set forth in the Budget Act for this activity. If the state board determines that the revenue collected during the preceding year was greater than, or less than, the revenue levels set forth in the Budget Act, the state board may further adjust the annual filing fees to compensate for the over and under collection of revenue.

(2) The emergency regulations adopted pursuant to this subdivision, or subsequent adjustments to the annual fees, shall be adopted by the state board in accordance with Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2 of the Government Code. The adoption of these regulations is an emergency and shall be considered by the Office of Administrative Law as necessary for the immediate preservation of the public peace, health, safety, and general welfare. Notwithstanding Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2 of the Government Code, any emergency regulations adopted by the state board, or adjustments to the annual fees made by the state board pursuant to this section, shall not be subject to review by the Office of Administrative Law and shall remain in effect until revised by the state board.

(g) The state board shall adopt regulations setting forth reasonable time limits within which the regional board shall determine the adequacy of a report of waste discharge submitted under this section.

(h) Each report submitted under this section shall be sworn to, or submitted under penalty of perjury.

(i) The regulations adopted by the state board pursuant to subdivision (f) shall include a provision that annual fees shall not be imposed on those who pay fees under the National Pollutant Discharge Elimination System until the time when those fees are again due, at which time the fees shall become due on an annual basis.

(j) Facilities for confined animal feeding or holding operations, including dairy farms, which have been issued waste discharge requirements or exempted from waste discharge requirements prior to January 1, 1989, are exempt from subdivision (d). If the facility is required to file a report under subdivision (c) after January 1, 1989, the report shall be accompanied by a filing fee, to be established by the state board in accordance with subdivision (f), not to exceed two thousand dollars (\$2,000), and the facility shall be exempt from any annual fee.

(k) Any person operating or proposing to construct an oil, gas, or geothermal injection well subject to paragraph (3) of subdivision (a), shall not be required to pay a fee pursuant to subdivision (d), if the injection well is regulated by the Division of Oil and Gas of the Department of Conservation, in lieu of the appropriate California

regional water quality control board, pursuant to the memorandum of understanding, entered into between the state board and the Department of Conservation on May 19, 1988. This subdivision shall remain operative until the memorandum of understanding is revoked by the state board or the Department of Conservation.

(l) In addition to the report required by subdivision (a), before any person discharges mining waste, the person shall first submit the following to the regional board:

(1) A report on the physical and chemical characteristics of the waste that could affect its potential to cause pollution or contamination. The report shall include the results of all tests required by regulations adopted by the board, any test adopted by the Department of Toxic Substances Control pursuant to Section 25141 of the Health and Safety Code for extractable, persistent, and bioaccumulative toxic substances in a waste or other material, and any other tests that the state board or regional board may require, including, but not limited to, tests needed to determine the acid-generating potential of the mining waste or the extent to which hazardous substances may persist in the waste after disposal.

(2) A report that evaluates the potential of the discharge of the mining waste to produce, over the long term, acid mine drainage, the discharge or leaching of heavy metals, or the release of other hazardous substances.

(m) Except upon the written request of the regional board, a report of waste discharge need not be filed pursuant to subdivision (a) or (c) by a user of recycled water that is being supplied by a supplier or distributor of recycled water for whom a master recycling permit has been issued pursuant to Section 13523.1.

13261. (a) Any person failing to furnish a report or pay a fee under Section 13260 when so requested by a regional board is guilty of a misdemeanor and may be liable civilly in accordance with subdivision (b).

(b) (1) Civil liability may be administratively imposed by a regional board in accordance with Article 2.5 (commencing with Section 13323) of Chapter 5 for a violation of subdivision (a) in an amount which shall not exceed one thousand dollars (\$1,000) for each day in which the violation occurs.

(2) Civil liability may be imposed by the superior court in accordance with Article 5 (commencing with Section 13350) and Article 6 (commencing with Section 13360) of Chapter 5 for a violation of subdivision (a) in an amount which shall not exceed five thousand dollars (\$5,000) for each day in which the violation occurs.

(c) Any person discharging or proposing to discharge hazardous waste, as defined in Section 25117 of the Health and Safety Code, who knowingly furnishes a false report under Section 13260, or who either willfully fails to furnish a report or willfully withholds material information under Section 13260 despite actual knowledge of such requirement, may be liable in accordance with subdivision (d) and is guilty of a misdemeanor.

This subdivision shall not be applicable to any waste discharge which is subject to Chapter 5.5 (commencing with Section 13370).

(d) (1) Civil liability may be administratively imposed by a

regional board in accordance with Article 2.5 (commencing with Section 13323) of Chapter 5 for a violation of subdivision (c) in an amount which shall not exceed five thousand dollars (\$5,000) for each day in which the violation occurs.

(2) Civil liability may be imposed by the superior court in accordance with Article 5 (commencing with Section 13350) and Article 6 (commencing with Section 13360) of Chapter 5 for a violation of subdivision (c) in an amount which shall not exceed twenty-five thousand dollars (\$25,000).

**CALIFORNIA CODE OF REGULATIONS**  
**TITLE 23. Division 3. Chapter 9. Waste Discharge Reports and Requirements**  
**Article 1. Fees**

**§2200. Annual Fee Schedule**

(a)(1) Each person for whom waste discharge requirements have been prescribed pursuant to section 13263 of the Water Code shall submit, to the State Board, an annual fee in accordance with the following schedule, except as provided in subdivisions (b), (c), (d), (e) or (f). The fee shall be submitted for each waste discharge requirements order issued to that person.

**ANNUAL FEE SCHEDULE**

TTWQ and CPLX <sup>1</sup> RATING	PROGRAM TYPE		
	NPDES <sup>2</sup>	NON-CHP 15 WDR <sup>3</sup>	CHP-15 WDR <sup>4</sup>
1-A	\$10,000	\$10,000	\$10,000
1-B	7,000	5,500	7,500
1-C	5,500	3,000	6,000
2-A	4,000	2,000	5,000
2-B	2,000	1,200	4,000
2-C	1,200	900	3,000
3-A	1,000	750	2,000
3-B	750	400	1,500
3-C	400	200	750

<sup>1</sup> TTWQ is the acronym for Threat to Water Quality and CPLX is the acronym for Complexity.

<sup>2</sup> National Pollutant Discharge Elimination System (NPDES) permits are issued to point source discharges of pollutants to surface waters and are issued pursuant to Water Code Chapter 5.5 which implements the federal Clean Water Act. Examples include, but are not limited to, public wastewater treatment facilities, industries, power plants, and ground water cleanups discharging to surface waters.

<sup>3</sup> Non-Chapter 15 Waste Discharge Requirements (Non-Chap 15 WDRs) are those discharges of waste to land which are regulated through waste discharge requirements issued pursuant to Water Code Section 13263 that do not implement the requirements of Chapter 15 of Division 3 of Title 23. Examples include, but are not limited to, wastewater treatment plants, erosion control projects, and septic tank systems.

<sup>4</sup> Chapter 15 Waste Discharge Requirements (Chap 15 WDRs) are those discharges of waste to land which are regulated through waste discharge requirements issued pursuant to Water Code Section 13263 that implement the requirements of Chapter 15 of Division 3 of Title 23. Examples include, but are not limited to, landfills—both active and closed—and mining operations.

(2) The fee rating is based on the discharge's threat to water quality (TTWQ) and complexity (CPLX), defined as follows:

### THREAT TO WATER QUALITY

Category "1"—Those discharges of waste which could cause the long-term loss of a designated beneficial use of the receiving water. Examples of long-term loss of beneficial use would include the loss of a drinking water supply, the closure of an area used for water contact recreation, or the posting of an area used for spawning or growth of aquatic resources, including shellfish and migratory fish.

Category "2"—Those discharges of waste which could impair the designated beneficial uses of the receiving water, cause short-term violations of water quality objectives, cause secondary drinking water standards to be violated, or cause a nuisance.

Category "3"—Those discharges of waste which could degrade water quality without violating water quality objectives, or cause a minor impairment of designated beneficial uses compared with Category 1 and Category 2.

### COMPLEXITY

Category "A"—Any major NPDES discharger; any discharge of toxic wastes; any small volume discharge containing toxic waste or having numerous discharge points or ground water monitoring; any Class I waste management unit.

Category "B"—Any discharger not included above which has physical, chemical, or biological treatment systems (except for septic systems with subsurface disposal), or any Class II or Class III waste management units.

Category "C"—Any person for whom waste discharge requirements have been prescribed pursuant to Section 13263 of the Water Code not included as a Category "A" or Category "B" as described above. Included would be discharges having no waste treatment systems or that must comply with best management practices, discharges having passive treatment and disposal systems, such as septic systems with subsurface disposal systems, or dischargers having waste storage systems with land disposal.

(3) Municipal dischargers with approved pretreatment programs shall be subject to a surcharge of \$3,800.

(b) NPDES permits for areawide urban storm water discharges, as defined by the United States Environmental Protection Agency (USEPA, 40 CFR Part 122), for areas with a population greater than 100,000 persons shall be subject to an annual fee of \$10,000. NPDES permits for areawide urban storm water discharges, as defined by USEPA, for areas with a population less than 100,000 persons shall be subject to an annual fee of \$5,000. A public entity which lies within more than one Region shall be subject to an annual fee based upon its total population without regard to the number of areawide urban storm water permits issued by a Regional Board.

(c)(1) Storm water discharges that are regulated by a general (NPDES) storm water permit and which discharge into a municipal separate storm water sewer system regulated by an areawide urban storm water permit shall pay an annual fee of \$250.00.

(2) All other storm water discharges that are regulated by a general (NPDES) storm water permit shall pay an annual fee of \$500.00.

(3) An amount equal to the fee prescribed in subdivisions (1) and (2) above shall be submitted with the discharger's Notice of Intent (NOI) to be regulated under a general (NPDES) permit and shall serve as the first annual fee. For the purposes of this section, a Notice of Intent (NOI) submitted is considered to be a report of waste discharge.

(4) Facilities required to have a (NPDES) storm water permit and that are regulated by waste discharge requirements adopted pursuant to Water Code Section 13263 shall be exempt from the annual fee for regulation of storm water discharges.

(5) The annual fee for persons who discharge storm water pursuant to an individual NPDES permit prescribed by a Regional Board pursuant to Water Code Section 13263 shall be based on the discharge's TTWQ and CPLX as provided in subdivision (a)(2).

(d) The annual fee for persons whose discharges are regulated by a general NPDES permit or a general waste discharge requirements issued by the State Board or a Regional Board (excluding storm water permits) shall be based on the TTWQ and CPLX of the discharge. All discharges that are subject to a given permit shall pay the same fee.

(e) "Dredge and Fill Operations Fees" Fees for fill or dredge operations shall be assessed as follows:

Fill: One acre or less, flat fee of \$1,000.  
More than one acre, \$1,000 per acre or part thereof (not to exceed statutory maximum).

Dredge: Less than 10,000 cubic yards, flat fee of \$500.  
10,000 to 20,000 cubic yards, flat fee of \$2,000.  
More than 20,000 cubic yards, \$2,000 plus \$250 for each additional 5,000 cubic yards or part thereof (not to exceed the statutory maximum).

(f) Dischargers who own or operate confined animal feedlots, including dairies, shall not be assessed an annual fee for waste discharge requirements regulating those operations. They shall pay a filing fee of \$2,000 which shall be submitted with each report of waste discharge or NOI. If waste discharge requirements are waived pursuant to section 13269 of the Water Code, all or a portion of the filing fee will be refunded in accordance with Section 2200.4.

*NOTE: Authority cited: Sections 185 and 1058, Water Code. Reference: Section 13260, Water Code.*

#### Section 2200.1

The State Board shall notify each discharger annually of the fee to be submitted, the basis upon which the fee was calculated, and the date upon which the fee is due.

*NOTE: Authority cited: Sections 185 and 1058, Water Code. Reference: Section 13260, Water Code.*

#### Section 2200.2

Persons proposing a new discharge shall submit to the Regional Board a report of waste discharge accompanied by a fee equal in amount to the annual fee based on the discharge's TTWQ and CPLX as specified in subsection (a)(2). This fee shall serve as the first annual fee. If the submittal of this first annual fee does not coincide with the current fiscal year billing cycle, then the next, and only the next, fiscal year billing shall be adjusted to account for the payment of a full annual fee that accompanied the discharger's report of waste discharge. Persons proposing a material change in an existing discharge are not required to submit a fee with the report of waste discharge.

*NOTE: Authority cited: Sections 185 and 1058, Water Code. Reference: Section 13260, Water Code.*

Section 2200.3

Failure to pay the annual fee is a misdemeanor and will result in the Regional Board seeking the collection of fees through the enforcement provisions provided pursuant to Water Code section 13261.

*NOTE: Authority cited: Sections 185 and 1058, Water Code. Reference: Section 13260, Water Code.*

Section 2200.4

Any refund made pursuant to section 13260(e) or for any other reason, shall withhold sufficient funds to cover actual staff time spent in reviewing the report of waste discharge which shall be calculated using a rate of \$50.00 per hour.

*NOTE: Authority cited: Sections 185 and 1058, Water Code. Reference: Section 13260, Water Code.*



**APPENDIX E. California Code of Regulations, Title 23, Section 2200**



Memorandum

To : Regional Board Executive Officers  
State Board Division/Office Chiefs  
Administrative Procedures Manual Holders

Date : February 1, 1996

  
Walt Pettit  
Executive Director

From : STATE WATER RESOURCES CONTROL BOARD  
201 P Street, Sacramento CA 95814  
Mail Code G-8

Subject: ADMINISTRATIVE PROCEDURES UPDATE, REVISED PROCEDURES FOR  
ENFORCEMENT REPORTING, APM CHAPTER VI, NONCOMPLIANCE AND  
ENFORCEMENT

Attached is an Administrative Procedures Update (APU Number 96-001) containing procedures for enforcement reporting. I requested these procedures in response to comments from Regional Board Chairs, the External Program Review (EPR), and Regional Board Executive Officers. These revised procedures address: (1) the time frame within which information about enforcement actions is to be reported, (2) the procedures for reporting liability assessments to the Accounting Office, and (3) the nature and frequency of management reports on enforcement activities. The procedures also clarify reporting responsibilities and responsibilities for the accuracy of our data bases.

Drafts of these procedures have been reviewed by our staffs, distributed to Executive Officers, State Board Division/Office Chiefs, and Assistant Executive Officers, and discussed at previous AEO and MCC meetings.

Several modifications of past practices are made by this APU. An important change I want to call to your attention is the specific and rigorous time frames for submittals. The information we receive in management reports is only as good as the systems and data we rely on to provide that information. Staff indicate that our current process suffers significantly from incomplete, inaccurate, and untimely information.

Another important change is that Regional Boards are asked to provide copies of their formal enforcement actions to the Evaluation and Consistency Unit, Office of Statewide Consistency (OSC). The information will enable OSC to provide data needed to begin to monitor and evaluate enforcement consistency.

We are distributing this APU to all Administrative Procedures Manual holders in addition to management staff. Please supplement that distribution within your own organizations to ensure all affected staff receive this information and follow the new procedures. The address block of the APU provides a listing of the staff that should be informed.

Regional Board Executive Officers  
Page Two

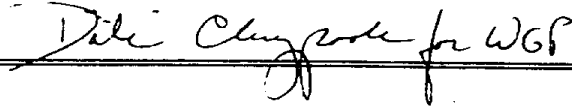
If you have any questions about this APU, or would like to discuss this matter further, please telephone Dr. David Carlson, Chief of the Evaluation and Consistency Unit in the Office of Statewide Consistency at (916) 653-0662 [CALNET 453-0662]

Attachments

cc: Fresno, Redding, and Victorville Offices

STATE WATER RESOURCES CONTROL BOARD  
 CALIFORNIA REGIONAL WATER QUALITY CONTROL BOARDS

ADMINISTRATIVE PROCEDURES UPDATE

<b>TO:</b> All California Regional Water Quality Control Board Management, regulatory personnel and WDS staff; Regional Counsels; regulatory personnel in the Divisions of Water Quality and Clean Water Programs, accounting and information services personnel in the Division of Administrative Services; and Evaluation and Consistency personnel in the Office of Statewide Consistency.	<b>SUBJECT:</b> Enforcement Action Reporting	
	<b>APU NUMBER</b> 96-001	<b>SUPERSEDES APU NUMBER</b> None
<b>APPROVED, EXECUTIVE DIRECTOR</b> 		<b>EFFECTIVE DATE</b> February 1, 1996

I. BACKGROUND

The nine Regional Water Quality Control Boards (Regional Boards) are the front-line for water pollution control in California. Regional Board staff perform key regulatory activities which implement the state *Porter-Cologne Water Quality Control Act*<sup>1</sup> and the federal *Clean Water Act*.<sup>2</sup> Among other things, these regulatory activities include findings of noncompliance, detection of violations, imposition of enforcement measures, and assessment of fines and penalties. Where enforcement involves monetary remedies, state law also requires that the boards maintain and report key financial data about the amounts assessed, collected, expended, etc.

Each of the twelve Regional Board offices maintains official regulatory records in paper files as well as the "Micro Waste Discharger System" (WDS) electronic database. WDS is a shared database system designed to maintain key information about discharges governed by *Porter-Cologne* or the *Clean Water Act*. Though a common misperception, WDS does not exclude data on "unpermitted" discharges. While waste discharge requirement order and NPDES permit data are integral parts of WDS, the enforcement elements of the database are much broader. All enforcement orders, whether or not an order or permit has been prescribed for the discharge, must be recorded in WDS.

Once a month, each WDS Coordinator transmits her or his office's respective data files to the Information Services Branch (ISB) in the Division of Administrative Services (DAS) of the State Water Resources Control Board (State Board). The combined data is then loaded into a statewide database at a consolidated data center in Sacramento. Various statewide management information reports, including enforcement action reports, are produced a few weeks after each "upload" cycle.

On a continuous basis, Regional Board staff are to transmit information about discharger liabilities established through formal enforcement actions to the Accounting Office in DAS. The Accounting Office needs and uses this information to maintain the accounts receivable records for the Cleanup and Abatement Account. A management information report is also prepared using this information.

<sup>1</sup> Division 7 of the California Water Code (commencing with Section 13000), as amended. Although regulatory personnel may also administer other state and federal laws relating to leaking underground storage tanks, military installations, hazardous waste cleanup, etc. Division 7 constitutes the State and Regional Boards primary enforcement authority. For example, Regional Boards must use the enforcement measures provided in *Porter-Cologne* to remedy water pollution from a leaking underground tank; the boards do not have independent authority under the Health and Safety Code.

<sup>2</sup> Federal Water Pollution Control Act (33 U.S.C. 1251 et. seq.), as amended.

## ADMINISTRATIVE PROCEDURES UPDATE: ENFORCEMENT REPORTING

### II. PROBLEM

Current information systems are not providing adequate information about enforcement actions. Key data are missing, untimely, or incomplete in either WDS or the accounting systems. To better respond to the requests for more information by board members, revisions to current enforcement reporting procedures are necessary. This Administrative Procedures Update (APU) makes the initial revisions to internal reporting procedures. Additional revisions will be made through an APU being prepared by the Division of Water Quality.

### III. DEFINITIONS

The terms used in this Administrative Procedures Update are defined as:

- A. **formal enforcement action** – those regulatory measures authorized in Chapter 5 of *Porter-Cologne* (California Water Code Section 13300 et. seq.). As required in Chapter VI of the Administrative Procedures Manual [Water Quality] (APM), the following types of enforcement shall be deemed "formal" actions and are governed by the provisions of this APU:
- Time Schedule Order (TSO, California Water Code Section 13300),
  - Cleanup and Abatement Order [(CAO, California Water Code Section 13304)(for purposes of WDS and accounts receivable reporting for the Cleanup and Abatement Account, this excludes "CAOs" issued by an Executive Officer to recover oversight costs. A separate tracking system is maintained by the Regional Boards and the Division of Clean Water Programs for cleanup oversight cost recovery in the Spills, Leaks, Investigations, and Cleanup (SLIC) Program)],
  - Cease and Desist Order (CDO, California Water Code Section 13301),
  - Administrative Civil Liability Complaint (ACL, California Water Code Sections 13323, 13350, 13385, etc.),
  - Referral to the State Attorney General, and
  - Referral to the County/City District Attorney.
- A "Notice of Violation" ("Action Level B") is not considered *enforcement*; it relates to *investigation* pursuant to California Water Code Section 13267.
- B. **enforcement staff** – the responsible Regional Board regulatory program staff person(s) who directly determines an instance or pattern of noncompliance or violation and who prepares a proposed formal enforcement action.
- C. **date enforcement action was taken** – the date on which the Executive Officer of the Regional Board signs and issues the action or the date on which the Regional Board itself adopts the enforcement order.
- D. **WDS Coordinator** – the designated Regional Board staff individual who maintains the "Micro Waste Discharger System" (WDS) within each office.
- E. **WDS Enforcement Action Input Form (ENF-1)** – the document identifying the necessary data and coding format which the enforcement staff prepares and sends to that office's WDS Coordinator [see Attachment #1].
- F. **Cleanup and Abatement Account Statement Form (CAA-1)** – the document identifying the necessary discharger and fiscal data which the enforcement staff prepares and sends to the Accounting Office [see Attachment #2].

## ADMINISTRATIVE PROCEDURES UPDATE: ENFORCEMENT REPORTING

### IV. REQUIRED PROCEDURES

For formal enforcement actions, the following procedures supplement and become a part of Chapter VI, Noncompliance and Enforcement, of the APM. All other elements of Chapter VI, Noncompliance and Enforcement, remain unchanged.

#### **A. For every formal enforcement action**

1. **WDS Enforcement Action Input.** Complete and accurate information in the WDS about each formal enforcement action is necessary to provide meaningful reporting to management. The data needed for management reporting, and explanatory notes, are identified on the attached WDS Enforcement Action Input Form (*ENF-1*, see Attachment #1). This form may be used by enforcement staff to provide the necessary data to the WDS Coordinator. Use of form *ENF-1* is not mandatory, input of the specific data is. The necessary data must be submitted to the WDS Coordinator within five (5) working days of the date that the enforcement action was taken. The WDS Coordinator for that Regional Board office shall enter all mandatory information into the Micro Waste Discharger System as soon as practicable and by the end of the month in which the enforcement action was taken. The WDS Coordinator is responsible for complete and accurate information in the WDS and may need to consult with enforcement staff on any questions.
2. **Notify respective State Board offices.** Copies of enforcement orders must be sent to the Evaluation and Consistency Unit (ECU), Office of Statewide Consistency (OSC) and the appropriate Division of Water Quality (DWQ) or Division of Clean Water Programs (DCWP) program manager(s) within five (5) working days of the date that the enforcement action was taken.

#### **B. For formal enforcement actions involving a civil liability assessment<sup>3</sup>**

For any enforcement action involving a civil liability assessment (i.e., an "ACL"), enforcement staff shall:

1. **Provide the monetary data to the WDS Coordinator.** Use of the WDS Enforcement Action Input Form (*ENF-1*, Attachment #1) will conveniently provide sufficient information to identify and track:
  - (a) the discharger required to pay the assessment (*who owes the penalty*);
  - (b) the recommended and assessed monetary amounts (*what was recommended, and what was actually imposed*); and
  - (c) the monetary amounts collected and paid into the Cleanup and Abatement Account (*the cumulative amount collected to date*).

For any "adjustments" that reduce the penalty amount to be collected (such as portions suspended or stayed pending an action by the discharger, offsets for mitigation to be done by the discharger, etc.), the responsible enforcement staff person must clearly record, on the comment lines, the total dollar amount which has been suspended, mitigated, offset, stayed, or otherwise reduced. The responsible enforcement staff person shall also succinctly explain the basis of each reduction in the assessed penalty. Each WDS Coordinator is required to enter all of the data elements in her/his Micro WDS System enforcement file, including the enforcement description information (i.e., data element code "EFSC"). Any and all penalty

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<sup>3</sup> For purposes of this APU only, "civil liability assessment" means: (a) any civil liability imposed by a Regional Board pursuant to Article 2.5 of Porter-Cologne or (b) any civil liability imposed by a superior court pursuant to Articles 5 and/or 6 of Porter-Cologne. This APU does not address cost recoveries.

## ADMINISTRATIVE PROCEDURES UPDATE: ENFORCEMENT REPORTING

reductions shall be entered separately in the narrative enforcement description field as follows:

"Mitigation = \$XXX,XXX; Offset = \$XXX,XXX; Stay = \$XXX,XXX"

Please see the example in Attachment #6.

The WDS Coordinator and Regional Board enforcement staff must also cooperate to update liability information in WDS if the discharger does not perform and a stayed, offset, etc. liability is reinstated.

2. **Provide the monetary data to the Accounting Office.** Past procedure has varied by Regional Board regarding when the Accounting Office is notified of enforcement actions involving a civil liability. To address this, a revised uniform procedure for all Regional Boards begins, through this APU, February 1, 1996. Regional Boards will notify the Accounting Office through a completed *Cleanup and Abatement Account Statement Form (CAA-1*, see Attachment #2) within five (5) working days from the date on which the enforcement action involving a civil liability, or an adjustment thereto, is taken. This form has been revised from the one previously used. An added feature of this form is signoff by the processing staff person and an approval signoff. Approval signatures will be established like signature cards for personal checking accounts. To minimize administrative processing yet provide adequate backup, two or three approving signatures should be established at each Regional Board office, but no more. Approving individuals must be senior level or above. To establish an approving signature, sign blank CAA-1 forms and submit them, with a transmittal explaining they are the approving signatures for CAA-1 forms, to Terri Oliver in the Accounting Office. Establishment of approving signatures and use of the revised CAA-1 forms should begin February 1, 1996. It is each enforcement staff person's responsibility to ensure that the CAA-1 form includes complete and accurate information and that it is submitted to the Accounting Office in a timely manner.

Regional Board enforcement staff shall complete and submit a *Cleanup and Abatement Account Statement Form (CAA-1)* whenever:

- (a) a **new** ACL penalty is established; or
- (b) an **adjustment** is made to an established penalty assessment (increasing or decreasing it); or to any dollar amounts offset, mitigated, etc. (that is, whenever any of the special circumstances that were considered in setting the original penalty amount are later changed).

When a portion of a penalty assessment is stayed pending certain performance measures by the discharger, or reduced because of mitigation measures the discharger will perform, the initial CAA-1 form submitted to the Accounting Office will indicate those stayed or mitigation reduction amounts in the box labeled "Adjustments." The arithmetic in these boxes will then provide the basis for the penalty amount currently owed. A breakdown of the amounts stayed, offset by mitigation, etc. and any associated due dates or completion dates must be provided in the "Explanation of Adjustments or Changes" box. This will enable the Accounting Office to identify the amounts as deferred contingent receivables. Should the discharger fail to perform, and the stayed or mitigation amounts are reinstated, submittal of a follow-up CAA-1 form is necessary to inform the Accounting Office of the reinstated amounts due from the discharger to the Cleanup and Abatement Account. Submittal of a follow-up CAA-1 form is also necessary when a discharger does perform to notify the Accounting Office how to handle the deferred contingent receivable. This follow-up CAA-1 form must identify the Account Number and the previously stayed, offset, etc. amounts that are now completely dismissed because of satisfactory discharger performance.

Please see the examples of completed CAA-1 forms shown in Attachments #7 and #8.



## ADMINISTRATIVE PROCEDURES UPDATE: ENFORCEMENT REPORTING

It will not be necessary to submit a CAA-1 form to the Accounting Office in connection with payments once the initial CAA-1 form has been submitted establishing the CAA Account Number. When an ACE payment is received or cashiered by a Regional Board, the payment, or information about the payment, will be forwarded to the Accounting Office within five (5) working days of receipt or cashiering. The CAA Account Number, or other appropriate indication of what the payment is for, should be written on the check or provided in the forwarded information if the check has been cashiered. In the case of \$25,000 or greater payments received by a Regional Board, the check is to be sent overnight delivery to the Accounting Office for expedited direct deposit. The CAA Account number or other identified purpose should accompany overnight delivered checks.

### V. MANAGEMENT INFORMATION REPORTS ON ENFORCEMENT ACTIVITY

Various management information reports on enforcement activities will be prepared regularly, others periodically:- They will be distributed to Regional Board and State Board members and management, and others, as appropriate or requested.

#### A. Monthly Reports

##### 1. Enforcement Actions Summary and Detail Reports.

Every month, after the scheduled WDS upload cycle, an enforcement actions summary report (see Attachment #3) is forwarded to the WDS coordinators, selected program managers, and the Office of the Chief Counsel (OCC). The report displays the number of new formal enforcement orders, by type and office, issued for the preceding month. A report providing details (see Attachment #4) accompanies the summary report and lists pertinent information about individual enforcement actions, including revisions, amendments, and rescissions of earlier orders, taken during the preceding month.

It is each Regional Board's duty to ensure that:

- ▶ any invalid data or exceptions shown on these reports are corrected before the region's WDS data is next transmitted to the ISB at the State Board, and
- ▶ the information shown on the summary and detail reports is accurate and complete.

##### 2. Administrative Civil Liabilities Receivables Report.

The Accounting Office prepares and distributes to selected staff a monthly detail report of all administrative civil liabilities that have been assessed and are outstanding (see Attachment #5). The monthly administrative civil liabilities receivables report, based on the submitted CAA-1 forms, will provide the following information for each case:

- the total amount or adjusted total amount of the penalty assessment (i.e., the "receivables");
- the amount collected during the reporting period;
- the cumulative-to-date collections for the fiscal year;
- the total amount collected to date without regard to fiscal period;
- the total amount that remains outstanding (*whether or not that amount is actually now due if the enforcement order stipulated a payment schedule*); and
- the total amount of any adjustments to the penalty assessment (including amounts suspended, rescinded, mitigated, offset, stayed, etc).

## ADMINISTRATIVE PROCEDURES UPDATE: ENFORCEMENT REPORTING

### **B. Quarterly Statewide Reports**

#### **1. Statewide Summary and Regional Board Detail Reports.**

ISB will prepare a summary report and a detail report—in the same format as the monthly versions described in V.A.1 above—each quarter. ISB will send these quarterly summary and detail reports to the ECU, OSC.

#### **2. Administrative Civil Liabilities Receivables Report.**

Each quarter, the Accounting Office will prepare—and submit to the ECU, OSC—a quarterly administrative civil liabilities status report. This quarterly receivables report will include the same information and format as noted above in V.A.2 except that it will summarize the status of each case for the preceding quarter.

### **C. Quarterly Consolidated Management Report**

The ECU, OSC will consolidate the statewide summary enforcement action report and the summary statewide enforcement receivables report, on a quarterly basis. ECU will transmit the quarterly consolidated report to State Board members, the Executive Director, Deputy Director, OCC, Division Chiefs, and Regional Board Chairpersons and Executive Officers.

It is the responsibility of each Regional Board Executive Officer and her/his counsel to ensure that all outstanding administrative civil liabilities are enforced and collected in a timely manner (that is, before the applicable statute of limitations runs). Each Regional Board must file any delinquent enforcement order involving an administrative civil liability with the appropriate court in order to enter judgement for the case. The Executive Director, State Board Chairperson, and Regional Board Chairpersons will review enforcement of civil liability assessments on a quarterly basis.

## **VI. FOLLOW-UP INFORMATION AND GUIDANCE**

For further information about this APU, please telephone Dr. David Carlson, Ph.D., Chief, Evaluation and Consistency Unit, at (916) 653-0662.

**WASTE DISCHARGER SYSTEM (WDS)  
ENFORCEMENT ACTION INPUT FORM (ENF-1)**

Attachment #1

<b>Waste Discharger Identification Number:</b> ("WDID" or WDS #, 11 characters) <div style="border-bottom: 1px solid black; height: 15px; width: 100%;"></div>
<b>Discharger/Agency Name:</b> ("ANMS," 30 characters maximum) <div style="border-bottom: 1px solid black; height: 15px; width: 100%;"></div>
<b>Facility Name:</b> ("FNMS," 30 characters maximum) <div style="border-bottom: 1px solid black; height: 15px; width: 100%;"></div>

**ENFORCEMENT ACTION TAKEN**

<b>TYPE OF ENFORCEMENT ACTION</b> <i>(check one)</i>	<b>ORDER ACTIONS</b>
<input type="checkbox"/> Cleanup and Abatement Order (CAO)* <input type="checkbox"/> Cease and Desist Order (CDO)* <input type="checkbox"/> Time Schedule Order (TSO) <input type="checkbox"/> Referral to Attorney General (RAG)* <input type="checkbox"/> Referral to District Attorney (RDA)* <input type="checkbox"/> Administrative Civil Liability (ACL)*	Order issued by: <input type="checkbox"/> Regional Board <input type="checkbox"/> Executive Officer Order number:     -      -      Action*: <input type="checkbox"/> New <input type="checkbox"/> Amendment <input type="checkbox"/> Revision <input type="checkbox"/> Rescission Date adopted/issued: ___/___/___ (YYMM/DD) Effective date: ___/___/___ (YYMM/DD) Final compliance date: ___/___/___ (YYMM/DD, leave blank for RAG, RDA, or ACL) Does this order rescind existing order(s): <input type="checkbox"/> Yes <input type="checkbox"/> No Rescinded order number:     -      -

NOTE: \* These types of enforcement actions must be reported to U.S. EPA Region 9 if discharger violated federal law or rule(s).  
 \* An "amendment" adjusts but leaves existing enforcement order in effect; a "revision" replaces an existing order with a new order.

<b>ACL PENALTY:</b>	Recommended \$ _____ <i>(in staff report/complaint)</i>	Assessed \$ _____ <i>(by the Regional Board)</i>	Collected \$ _____ <i>(cumulative amount to date)</i>
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**ENFORCEMENT ACTION DESCRIPTION / COMMENTS: (REQUIRED, 100 characters maximum)**

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**ROUTING:**

- |                                 |             |
|---------------------------------|-------------|
| 1. Lead Staff Person: _____     | Date: _____ |
| 2. Supervisor/Unit Chief: _____ | Date: _____ |
| 3. WDS Coordinator: _____       | Date: _____ |
| 4. Case File                    |             |

CLEANUP AND ABATEMENT ACCOUNT STATEMENT
Notice of New Liability Account or Adjustment to Existing Account
(FORM CAA-1; see below for instructions)

IS THIS A CHANGE TO AN EXISTING LIABILITY: (check one) [ ] Yes [ ] No

ACCOUNT NUMBER DATE OF ORDER, EO COMPLAINT, COURT JUDGEMENT, OR SETTLEMENT
CAA - [ ] - [ ] - [ ] - [ ] - [ ] - [ ] / /
Region Calendar Year RWQCB Order Number

DISCHARGER NAME(S): (Name of owner/operator and facility name)

- 1. TOTAL PENALTY/LIABILITY (AMOUNT IN ORIGINAL COMPLAINT OR ORDER):
2. ADJUSTMENTS -REDUCTIONS INCLUDING STAYS, OFFSETS, MITIGATION, ETC; AND INCREASES INCLUDING LATE PAYMENT PENALTIES , UNMET STAYS OR MITIGATION, ETC...(IN ORIGINAL OR AMENDED ENFORCEMENT ORDER, EXPLAIN AMOUNTS BELOW):
3. SUB-TOTAL: PENALTY AMOUNT ASSESSED
4. LESS CUMULATIVE AMOUNT PAID TO DATE
5. NET: TOTAL PENALTY AMOUNT STILL OUTSTANDING

Table with 2 columns: ORIGINAL AMOUNTS, NEW ADJUSTED AMOUNTS. Rows correspond to items 1-5 in the list above.

AMOUNT PAID: \$ / DATE PAID: / /
DATE DEPOSITED: / / Report of Collections Number: /

TYPE OF LIABILITY: (check one) [ ] Administrative Civil Liability [ ] Settlement
[ ] Judicial Liability (court judgement) [ ] Other enforcement order with liability recovery (specify below)

EXPLANATION of ADJUSTMENTS or CHANGES: (explain amounts and any associated due dates)

OTHER INFORMATION or COMMENTS:

REPORT SUBMITTED BY: APPROVED BY: Date:

INSTRUCTIONS: On every occasion an enforcement letter or order requires a discharger to make any payment to the Cleanup and Abatement Account (including administrative civil liabilities, court-directed civil or criminal liabilities, etc.), the Regional Water Quality Control Board office shall complete and submit this form to the SWRCB Accounting Office within five (5) days of the date the enforcement action was taken.

SUMMARY OF ENFORCEMENT ACTIONS TAKEN - ALL FACILITIES  
 OCT 01, 1995 THROUGH OCT 31, 1995

REGIONAL BOARD OFFICE	CLEAN-UP AND ABATEMENT	CEASE AND DESIST	NUMBER OF ENFORCEMENT ACTIONS BY TYPE					TOTALS
			TIME SCHEDULE	REFERRAL TO A.G.	REFERRAL TO D.A.	ADMINISTRATIVE CIVIL LIABILITIES	INVALID CODES	
1	1	0	0	0	0	0	0	1
5R	0	4	0	0	0	1	0	4
7	3	0	0	0	0	1	0	4
8	1	1	0	0	0	0	0	2
9	1	0	0	0	0	0	0	1
TOTAL	6	5	0	0	0	2	1	12

12/11/95  
PAGE 3

STATE WATER RESOURCES CONTROL BOARD  
STATE WASTE DISCHARGER SYSTEM  
LIST OF ENFORCEMENT ACTIONS ADOPTED  
FOR ALL FACILITIES

OCT 01, 1995 THROUGH OCT 31, 1995

DPS NO. 9337  
PRODUCED BY ISB

REGIONAL BOARD OFFICE: 7

AGENCY NAME	FACILITY NAME	DATE OF ENFORCE ACTION	FINAL COMPL. REQD. BY	ORDER NUMBER	ORDER ACTION	ORDER STATUS	NPDES NO.
ENFORCEMENT TYPE: ADMINISTRATIVE CIVIL LIABILITIES							
CALIPATRIA, CITY OF	CALIPATRIA - NPDES 94-008	10-23-95		95-115	NEA	A	CAJ108015
TOTAL FOR ADMINISTRATIVE CIVIL LIABILITIES 1							
ENFORCEMENT TYPE: CLEAN-UP AND ABATEMENT ORDERS							
E-Z SERVE MANAGEMENT	E-Z SERVE 100782	10-05-95	01-16-96	95-111	REV	A	
E-Z SERVE MANAGEMENT COMPANY	EZ SERVE #10085	10-05-95	06-30-96	95-110	REV	A	
SAN BERNARDINO CO.-SW MGT.	TWENTYNINE PALMS WMF 93-020	10-25-95	07-01-97	95-114	NEW	A	
TOTAL FOR CLEAN-UP AND ABATEMENT ORDERS 3							

REGION	DISCHARGER	ACCOUNT #	DATE ESTAB	LIABILITY	ORIGINAL LIABILITY AMOUNT DUE	ADJUSTMENTS	ADJUSTED LIABILITY AMOUNT DUE	PAYMENTS THRU 12/31/95	PAYMENTS THRU 03/31/96	BALANCE DUE	SUB-TOTAL	DATE DUE	COMMENTS	
														AMOUNT DUE
REGION 1	Sid Shah	CAA-1-89-021	2/22/86		75,000.00	0.00	75,000.00	0.00	0.00	75,000.00		3/24/96	Board of control claim has been filed	
REGION 2	City of San Francisco	CAA-2-92-013	6/15/92		35,000.00	5,000.00	40,000.00	35,000.00	0.00	5,000.00			RB will collect	
	San Jose-Sia Clara Wt. Pol	CAA-2-93-096	10/20/93		375,000.00		375,000.00	500.00	0.00	374,500.00				
	Mann Municipal Water District	CAA-2-94-068	8/17/94		28,600.00		28,600.00	8,600.00	0.00	20,000.00				
	Mann Men Water Dist	CAA-2-94-154			4,200.00		4,200.00	1,200.00	0.00	3,000.00				
	East Bay Municipal Util Dist	CAA-2-94-172	03/15/95		4,200.00		4,200.00	1,200.00	0.00	3,000.00				
	City of Richmond	CAA-2-94-181	04/18/95		28,000.00		28,000.00	8,000.00	0.00	20,000.00				
	Sustainable Water City Sanitary Dist	CAA-2-95-005	4/19/95		55,900.00		55,900.00	15,900.00	0.00	40,000.00				
	San Joaquin Water	CAA-2-94-125	12/14/95		13,800.00		13,800.00	13,800.00	0.00	21,000.00				
	W. & Hawaiian Sugar Co. Inc	CAA-2-95-106	07/19/95		24,000.00		24,000.00	0.00	7,700.00	16,300.00				
REGION 3	Go Valley Cheese Co. Inc	CAA-3-89-035	03/09/90		75,000.00	0.00	75,000.00	20,791.10	0.00	54,208.90		7/1/93	Board of control claim has been filed	
	AVMA Investment	(N) R-3	6/12/92		16,000.00	0.00	16,000.00	5,000.00	0.00	11,000.00		7/13/93	REFER	
	AS-TE vegtech	CAA-3-92-078	6/12/92		100,000.00	0.00	100,000.00	20,000.00	0.00	80,000.00		12/31/92	REFER	
	AS-MALIA Resources	CAA-3-92-114	1/11/92		42,300.00	0.00	42,300.00	0.00	0.00	42,300.00		12/14/93	Uncollectible	
REGION 4	Geothermal, Inc	CAA-4-87-507	8/24/87		10,000.00	0.00	10,000.00	0.00	0.00	10,000.00		Unknown	Board of control claim has been filed	
	Wachusett Power Service, Inc	CAA-4-89-502	3/6/89		10,000.00	0.00	10,000.00	0.00	0.00	10,000.00		4/5/89	Board of control claim has been filed	
	Iron Mountain, Shasta Co	CAA-4-90-503	3/1/90		100,000.00	150,000.00	250,000.00	250,000.00	0.00	0.00		3/23/90	Board of control claim has been filed	
	P J Dingman, dba Carlisle	CAA-4-90-504	3/6/90		225,672.00	0.00	225,672.00	0.00	0.00	225,672.00		4/23/90	Judgment/Consolid	
	Ruba Si Clair Mine	CAA-4-90-512	8/30/90		25,000.00	-5,000.00	20,000.00	0.00	0.00	20,000.00		8/10/90	Board of control claim has been filed	
	Morss Van Horn	CAA-4-91-504	4/23/91		127,000.00	-47,000.00	80,000.00	0.00	0.00	80,000.00		5/15/91	Board of control claim has been filed	
	BlueKey Mezzard dba Mes D	CAA-4-92-501	1/14/92		10,000.00	0.00	10,000.00	0.00	0.00	10,000.00		1/15/92	In Litigation	
	So Pac Trans-10000032	BILLING #1	7/15-30/91		451,151.14	-245,972.00	205,179.14	92,381.36	0.00	112,797.78		3/0/92	In Litigation	
	So Pac Trans-10000032	BILLING #3	9/30-12/31		36,814.01	0.00	36,814.01	18,407.01	0.00	18,407.00		3/0/92	In Litigation	
	Wynham's Motel	CAA-4-94-508	2/17/94		8,900.00	-2,900.00	6,000.00	0.00	0.00	6,000.00		3/0/94	Account Past Due	
	Cam Road Landfill	CAA-4-94-501	2/22/94		145,000.00	0.00	145,000.00	6,750.00	0.00	138,250.00		3/0/94	Account Past Due	
	Prayer Farms, Inc	CAA-4-94-505	3/6/94		10,000.00	-9,000.00	1,000.00	500.00	0.00	9,500.00		3/24/94	Account Past Due	
	Bowman Farms, Inc	CAA-4-94-506	3/8/94		10,000.00	-9,000.00	1,000.00	500.00	0.00	9,500.00		3/24/94	Account Past Due	
	Mirra & Sons Farms	CAA-4-94-508	3/8/94		10,000.00	-9,000.00	1,000.00	500.00	0.00	9,500.00		3/24/94	Account Past Due	
	Steve W. Martin Farms, Inc	CAA-4-94-508	3/8/94		4,000.00	-3,000.00	1,000.00	500.00	0.00	9,500.00		3/24/94	Account Past Due	
	El Corporation	CAA-4-94-510	3/8/94		4,000.00	-3,000.00	1,000.00	500.00	0.00	9,500.00		3/24/94	Account Past Due	
	Rainbow Ranches, Inc	CAA-4-94-510	3/8/94		25,000.00	-24,000.00	1,000.00	500.00	0.00	9,500.00		3/24/94	Account Past Due	
	Carre Lake Disposal District	CAA-4-94-515	5/5/94		7,500.00	-7,500.00	0.00	0.00	0.00	0.00		8/10/94	Account Past Due	
	Global Resources, Inc	CAA-4-94-516	5/5/94		3,000.00	-3,000.00	0.00	0.00	0.00	0.00		8/10/94	Account Past Due	
	Donald & Anthony Zandata	CAA-4-94-521	8/10/94		25,000.00	-24,000.00	1,000.00	500.00	0.00	9,500.00		3/24/94	Account Past Due	
	Thomas J. Fabry	CAA-4-95-501	2/8/95		17,000.00	-16,000.00	1,000.00	500.00	0.00	9,500.00		3/24/94	Account Past Due	
	David E. Dieben	CAA-4-95-503	2/16/95		10,000.00	-9,000.00	1,000.00	500.00	0.00	9,500.00		3/24/94	Account Past Due	
	Wendell Ingelsall	CAA-4-95-500	2/2/95		3,000,000.00	-1,420,000.00	1,580,000.00	0.00	0.00	1,580,000.00		2/17/95	Account Past Due	
	Kim Oil & Refining Co	CAA-4-95-508	8/4/95		500.00	0.00	500.00	0.00	0.00	500.00				
	Earl Oats Trucking/Wrecking	CAA-4-95-508	8/4/95		500.00	0.00	500.00	0.00	0.00	500.00				
	Serra Road, El Dorado Co	CAA-4-95-510	8/4/95		500.00	-250.00	250.00	0.00	0.00	250.00				
	Rancho Mini Truck Distributor	CAA-4-95-505	8/14/95		60,000.00	-43,000.00	17,000.00	0.00	0.00	17,000.00				
	James B. Macklin dba Macklin Packing	CAA-4-95-505	8/14/95		10,000.00	0.00	10,000.00	0.00	0.00	10,000.00				
	California Concentrate Co	CAA-4-95-511	8/17/95		10,000.00	0.00	10,000.00	0.00	0.00	10,000.00				
REGION 5	Sussexville Consolidated Sanitary	CAA-5-94-080	7/15/94		15,000.00	0.00	15,000.00	0.00	0.00	15,000.00		8/15/94	Account Past Due	
	Myer, Philip L. & Mary N	CAA-5-94-088	8/9/94		107,000.00	-47,000.00	60,000.00	0.00	0.00	60,000.00		10/24/94	Account Past Due	
	Atlas Bulk Camera	CAA-5-95-093	7/13/95		10,000.00	0.00	10,000.00	7,500.00	0.00	2,500.00				
REGION 9	Capin Valley Canning	CAA-9-86-020	10/27/86		15,000.00	0.00	15,000.00	0.00	0.00	15,000.00		12/18/86	Board of control claim has been filed	
	American First Beef	CAA-9-86-084	10/23/89		15,000.00	0.00	15,000.00	0.00	0.00	15,000.00		11/22/89	Board of control claim has been filed	
	Whelan Dairy	CAA-9-90-570	9/24/90		12,000.00	0.00	12,000.00	0.00	0.00	12,000.00		10/24/90	Board of control claim has been filed	
	Whelan Dairy	CAA-9-90-600	1/15/90		50,000.00	103,000.00	153,000.00	16,000.00	0.00	137,000.00		12/5/90	Board of control claim has been filed	
	City of San Diego	CAA-9-91-068	1/11/91		50,000.00	0.00	50,000.00	25,000.00	0.00	25,000.00		12/29/91	Board of control claim has been filed	
<b>TOTALS</b>											<b>3,710,675.68</b>			

Note: OSC, OCC, and Accounting staff will be revising this report in the near future to separate out the "uncollectibles" as well as make other formatting changes.





**WASTE DISCHARGER SYSTEM (WDS)  
ENFORCEMENT ACTION INPUT FORM (ENF-1)**

Attachment #6  
(WDS ACL Example)

Waste Discharger Identification Number: (“WDiD” or WDS #, 11 characters)	0 2 3 4 5 6 7 8 R N
Discharger/Agency Name: (“ANMS,” 30 characters maximum)	Polluters, Inc.
Facility Name: (“FNMS,” 30 characters maximum)	Clean, Water Factory Your Town, CA.

**ENFORCEMENT ACTION TAKEN**

TYPE OF ENFORCEMENT ACTION <i>(check one)</i>	ORDER ACTIONS
<input type="checkbox"/> Cleanup and Abatement Order (CAO)*	Order issued by: <input checked="" type="checkbox"/> Regional Board <input type="checkbox"/> Executive Officer
<input type="checkbox"/> Cease and Desist Order (CDO)*	Order number: 1 9 1 6 1 - 1 0 1 0 1 1 - 1 1 1
<input type="checkbox"/> Time Schedule Order (TSO)	Action*: <input checked="" type="checkbox"/> New <input type="checkbox"/> Amendment <input type="checkbox"/> Revision <input type="checkbox"/> Rescission
<input type="checkbox"/> Referral to Attorney General (RAG)*	Date adopted/issued: <u>96 10 1 10</u> (YYMMIDD)
<input type="checkbox"/> Referral to District Attorney (RDA)*	Effective date: <u>96 10 1 10</u> (YYMMIDD)
<input checked="" type="checkbox"/> Administrative Civil Liability (ACL)*	Final compliance date: <u>12 31 96</u> (YYMMIDD, leave blank for RAG, RDA, or ACL)
	Does this order rescind existing order(s): <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	Rescinded order number:       -       -

NOTE: \* These types of enforcement actions must be reported to U.S. EPA Region 9 if discharger violated federal law or rule(s).  
\* An "amendment" adjusts but leaves existing enforcement order in effect, a "revision" replaces an existing order with a new order

<b>ACL PENALTY:</b>	Recommended \$ <u>100,000.00</u> <small>(in staff report/complaint)</small>	Assessed \$ <u>50,000.00</u> <small>(by the Regional Board)</small>	Collected \$ <u>0</u> <small>(cumulative amount to date)</small>
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**ENFORCEMENT ACTION DESCRIPTION / COMMENTS: (REQUIRED, 100 characters maximum)**

*Order includes stay of \$25,000 contingent on wetlands project by 12/31/96.  
Stay = \$25,000*

**ROUTING:**

- |   |                      |
|---|----------------------|
| 1. Lead Staff Person: <u>Bob Smith</u>      | Date: <u>1/11/96</u> |
| 2. Supervisor/Unit Chief: <u>Jane Jones</u> | Date: <u>1/11/96</u> |
| 3. WDS Coordinator: <u>Lee Johnson</u>      | Date: <u>1/12/96</u> |
| 4. Case File                                |                      |

**CLEANUP AND ABATEMENT ACCOUNT STATEMENT**  
 Notice of New Liability Account or Adjustment to Existing Account  
 (FORM CAA-1, see below for instructions)

Attachment #7  
 (establish original A/C)

IS THIS A CHANGE TO AN EXISTING LIABILITY: (check one)  Yes  No

<b>ACCOUNT NUMBER</b>	<b>DATE OF ORDER, EO COMPLAINT, COURT JUDGEMENT, OR SETTLEMENT</b>
CAA - <u>0</u> - <u>96</u> - <u>001</u>	<u>1/10/96</u>
Region      Calendar Year      RWQCB Order Number	

**DISCHARGER NAME(S):** (Name of owner/operator and facility name)

Polluters, Inc.

Clean Water Facility

Your Town, CA

1. TOTAL PENALTY/LIABILITY (AMOUNT IN ORIGINAL COMPLAINT OR ORDER):
2. ADJUSTMENTS -REDUCTIONS INCLUDING STAYS, OFFSETS, MITIGATION, ETC; AND INCREASES INCLUDING LATE PAYMENT PENALTIES , UNMET STAYS OR MITIGATION, ETC...(IN ORIGINAL OR AMENDED ENFORCEMENT ORDER, EXPLAIN AMOUNTS BELOW):
3. SUB-TOTAL: PENALTY AMOUNT ASSESSED
4. LESS CUMULATIVE AMOUNT PAID TO DATE
5. NET: TOTAL PENALTY AMOUNT STILL OUTSTANDING

ORIGINAL AMOUNTS	NEW ADJUSTED AMOUNTS
\$ 15,000.	<del>\$</del>
\$ (25,000.)	<del>\$</del>
\$ 50,000.	<del>\$</del>
<\$ 0 >	<del>&lt;\$ &gt;</del>
\$ 50,000.	<del>\$</del>

AMOUNT PAID: \$ 0      DATE PAID:      /      /     

DATE DEPOSITED:      /      /           Report of Collections Number:     

TYPE OF LIABILITY: (check one)  Administrative Civil Liability  Settlement  
 Judicial Liability (court judgement)  Other enforcement order with liability recovery (specify below)

EXPLANATION of ADJUSTMENTS or CHANGES: (explain amounts and any associated due dates)

Board stayed \$25,000 contingent on wetlands project by 12/31/96

OTHER INFORMATION or COMMENTS:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

REPORT SUBMITTED BY: Bob Smith      APPROVED BY: Bob Farr, AEO      Date: 1/11/96

INSTRUCTIONS: On every occasion an enforcement letter or order requires a discharger to make any payment to the Cleanup and Abatement Account (including administrative civil liabilities, court-directed civil or criminal liabilities, etc.), the Regional Water Quality Control Board office shall complete and submit this form to the SWRCB Accounting Office within five (5) days of the date the enforcement action was taken.

**CLEANUP AND ABATEMENT ACCOUNT STATEMENT**  
 Notice of New Liability Account or Adjustment to Existing Account  
 (FORM CAA-1; see below for instructions)

Attachment #8  
 (stay removed and  
 payment recognized)

IS THIS A CHANGE TO AN EXISTING LIABILITY: (check one)  Yes  No

<b>ACCOUNT NUMBER</b>	<b>DATE OF ORDER, EO COMPLAINT, COURT JUDGEMENT, OR SETTLEMENT</b>
CAA - <u>0</u> - <u>96</u> - <u>001</u>	<u>1</u> / <u>10</u> / <u>96</u>
Region      Calendar Year      RWQCB Order Number	

**DISCHARGER NAME(S):** (Name of owner/operator and facility name)

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1. **TOTAL PENALTY/LIABILITY** (AMOUNT IN ORIGINAL COMPLAINT OR ORDER):
2. **ADJUSTMENTS** -REDUCTIONS INCLUDING STAYS, OFFSETS, MITIGATION, ETC; AND INCREASES INCLUDING LATE PAYMENT PENALTIES , UNMET STAYS OR MITIGATION, ETC...(IN ORIGINAL OR AMENDED ENFORCEMENT ORDER, EXPLAIN AMOUNTS BELOW):
3. **SUB-TOTAL: PENALTY AMOUNT ASSESSED**
4. **LESS CUMULATIVE AMOUNT PAID TO DATE**
5. **NET: TOTAL PENALTY AMOUNT STILL OUTSTANDING**

ORIGINAL AMOUNTS	NEW ADJUSTED AMOUNTS
<del>\$</del>	\$ 50,000
<del>\$</del>	\$ 25,000
<del>\$</del>	\$ 75,000
<del>&lt;\$ &gt;</del>	<\$ 50,000 >
<del>\$</del>	\$ 25,000

AMOUNT PAID: \$ 50,000      DATE PAID: 2 / 10 / 96  
 DATE DEPOSITED: 2 / 9 / 96      Report of Collections Number: XXXX

TYPE OF LIABILITY: (check one)  Administrative Civil Liability  Settlement  
 Judicial Liability (court judgement)  Other enforcement order with liability recovery (specify below)

EXPLANATION of ADJUSTMENTS or CHANGES: (explain amounts and any associated due dates)

*Discharger did not do wetlands project, on which \$25,000 stay in original order was contingent, by 12/31/96. Stay removed by Board 1/15/97 reinstating \$25,000 liability.*

OTHER INFORMATION or COMMENTS:

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REPORT SUBMITTED BY: Bob Smith      APPROVED BY: Bob Farr, AED      Date: 1/19/97

INSTRUCTIONS: On every occasion an enforcement letter or order requires a discharger to make any payment to the Cleanup and Abatement Account (including administrative civil liabilities, court-directed civil or criminal liabilities, etc.), the Regional Water Quality Control Board office shall complete and submit this form to the SWRCB Accounting Office within five (5) days of the date the enforcement action was taken.



## **APPENDIX G. Reports**

1. Invoice Inventory Report
2. Central Files Report of Delinquencies
3. Central Files Invoice Status Report
4. Fee Unit Returned Mail/Discharger Correspondence Report



DETAIL

STATE WATER RESOURCES CONTROL BOARD  
 ANNUAL FEE BILLING SYSTEM  
 INVOICE REPORT FOR ANNUAL FEES INVOICES  
 INVOICE DATED 09/18/96  
 PRODUCTION RUN SORT BY REGION WDIID

09/19/96  
 PAGE: 1

REGION: 1

INVOICE # / ORDER #	CLASS	MINING \$	ANNUAL	TOTAL
FACILITY NAME	TYPE	PRE-TRMT \$	FEE	AMOUNT
FACILITY ID	THREAT	ANNUAL \$	CREDIT	\$ BILLED \$
BILLING ADDRESS	COMPLEXITY			
00001 / 86-164	NON15	0.00		200.00
ORLEANS R.S. STP	3	0.00		
1A731180HUM	C	200.00	0.00	
ATTN: JANE STUESSY				
USDA SIX RIVERS NATIONAL FOR.				
1330 BAYSHORE WAY				
EUREKA CA 95501				
00002 / 88-021	NON15	0.00		1200.00
HAPPY CAMP STP	2	0.00		
1A752110SIS	B	1200.00	0.00	
ATTN: DAVE GREENBERG				
HAPPY CAMP SANITARY DISTRICT				
P.O.BOX 378				
HAPPY CAMP CA 96039				
00003 / 85-069	NON15	0.00		1200.00
ALDER CAMP, DEL NORTE COUNTY	2	0.00		
1A752660DN	B	1200.00	0.00	
ATTN: LOU SCHULZ				
STATE OF CA DEPT OF FORESTRY				
P O BOX 670				
SANTA ROSA CA 95402				
00004 / 85-084	NON15	0.00		1200.00
MONTAGUE STP	2	0.00		
1A760810SIS	B	1200.00	0.00	
ATTN: CHRIS TYHURST				
MONTAGUE, CITY OF				
P.O.BOX 428				
MONTAGUE CA 96064				
00005 / 87-12101	NON15	0.00		400.00
GRENADA SD STP	3	0.00		
1A761620SIS	B	400.00	0.00	
ATTN: BILL KENT				
GRENADA SANITARY DISTRICT				
P.D. BOX 371				
GRENADA CA 96038				

Run Date  
01/05/97

Annual Fee Remittance System  
Report Of Delinquencies for Office: 1  
Annual Fees for FFY 93

Page: 01

AFBS Code

Invoice Number	Agency Type	Invoice Date	**INVOICED** Mining Pre-Trmt Annual Fee	**PAID** Mining Pre-Trmt Annual Fee	**DELINQUENT** Total Due	** N O T I C E S ** FIRST SECOND THIRD	HOLD STATUS
03743							
1A770420TR19401		08/29/95					
86-183	PR		0.00	0.00			
LEWISTON VALLEY WATER CO INC.	NON15		0.00	0.00			
LEWISTON VALLEY WATER CO STP	B 2		1,200.00	0.00	1,200.00	10/31/95 11/30/95	
03759							
1A811700DN 9401		02/07/94					
81-170	PR		0.00	0.00			
LES MOEN	NON15		0.00	0.00			
PINE GROVE RVP	C 3		200.00	0.00	200.00	04/22/94 05/24/94	
03781							
1A850040SIS9401		02/07/94					
85-004	PR		0.00	0.00			
TIMBER PRODUCTS COMPANY	NON15		0.00	0.00			
TIMBER PRODUCTS-YREKA DIVISION	C 2		900.00	500.00	400.00		FACILITY BLOCK
03812							
1B761150MEN9401		02/07/94					
86-051	FD		42.00	0.00			
USACOE-S.F. DISTRICT, CONST. D	NON15		0.00	0.00			
USACOE NOYO HARBOR DREDGING	C 3		10,000.00	0.00	10,042.00	04/22/94 05/24/94	
03815							
1B762000SON9401		02/07/94					
86-129	PR		0.00	0.00			
DAVIS BYNUM WINERY, INC.	NON15		0.00	0.00			
DAVIS BYNUM WINERY, INC.	B 2		1,200.00	0.00	1,200.00	04/22/94 05/24/94	



Annual Fee Remittance System  
 Report of Delinquencies for Office: 1  
 Annual Fees for FFY 93

Run Date  
 01/ 5/97

AFBS Code	Invoice Number	Agency Type	Invoice Date	**INVOICED** Mining Pre-Trmt Annual Fee	**PAID** Mining Pre-Trmt Annual Fee	**DELINQUENT** Total	** N O T I C E S ** DUE	FIRST	SECOND	THIRD	HOLD STATUS
03833	18781850SON9401	PR	02/07/94	0.00	0.00	0.00					
88-148	NEW EDUCATION DEV. SYST., INC.	NON15		0.00	0.00	0.00					
	CAMP MAACAMA	C 3		200.00	0.00	200.00	04/22/94	05/24/94			
03848	18791920SON9401	PR	02/07/94	0.00	0.00	0.00					
79-192	LUNDERBURG MARYLAND SCHOOL	SUB15		0.00	0.00	0.00					
	LUNDEBURG MARYLAND SCHOOL-SHDS	C 3		750.00	0.00	750.00					RETURNED MAIL
03926	18830780SON9401	PR	02/07/94	42.00	0.00	0.00					
83-078	GUALALA AGGREGATES, INC.	NON15		0.00	0.00	0.00					FACILITY BLOCK
	GUALALA AGGREGATES, INC.	C 3		200.00	0.00	242.00	04/22/94				
03927	18830810HUM9401	PR	02/07/94	0.00	0.00	0.00					
87-068	ORRAN LUMBER COMPANY	NON15		0.00	0.00	0.00					
	CARLOTTA LUMBER COMPANY	C 2		900.00	0.00	900.00	04/22/94	05/24/94			
04019	1891019RSON9401	CO	02/07/94	0.00	0.00	0.00					
91-116	SONOMA COUNTY	NON15		0.00	0.00	0.00					FACILITY BLOCK
	SCWA, ORDINANCE ROAD	B 2		1,200.00	0.00	1,200.00					

Invoice Status Report By Region/Office For The 96/97 FFY As Of 01/04/97  
 Annual Fee

Region/ Office	Adjusted Invoice Totals No.	Adjusted Invoice Totals Amount	Collections-To-Date No.	Collections-To-Date Amount	Returned Mail No.	Returned Mail Amount	Facility Block No.	Facility Block Amount	Outstanding Balance Due No.	Outstanding Balance Due Amount
1	286	540,283.00	262	498,000.00	3	4,900.00	1	200.00	20	37,183.00
2	372	964,300.00	353	913,050.00	3	7,000.00	2	4,900.00	14	39,350.00
3	393	480,917.00	372	394,217.00	1	200.00	2	1,400.00	18	85,100.00
4	813	1,206,533.00	673	1,031,349.00	10	4,400.00	17	17,967.00	113	152,817.00
5F	770	1,064,375.00	650	923,970.50	13	7,450.00	6	8,887.50	101	124,067.00
5R	290	549,155.00	277	535,667.00	0	0.00	1	200.00	12	13,288.00
5S	665	1,139,213.00	594	1,029,863.00	7	3,400.00	6	14,600.00	58	91,350.00
6A	282	139,929.00	234	126,245.00	4	867.00	1	200.00	43	12,617.00
6B	193	478,306.00	169	442,289.00	2	9,367.00	4	2,050.00	18	24,600.00
7	311	555,483.00	276	535,733.00	3	1,800.00	0	0.00	32	17,950.00
8	459	717,732.00	367	592,243.54	9	5,900.00	5	17,167.00	78	102,421.46
9	302	617,815.00	258	532,414.00	8	7,967.00	2	5,900.00	34	71,534.00
<b>Totals</b>	<b>5,136</b>	<b>8,454,041.00</b>	<b>4,485</b>	<b>7,555,041.04</b>	<b>63</b>	<b>53,251.00</b>	<b>47</b>	<b>73,471.50</b>	<b>541</b>	<b>772,277.46</b>

Facility ID	Grantee Number	DISCHARGER (Agency/Facility Name)	Invoice Number	Recorded Fee Amount	Returned Mail	Discharger Correspondence	Date Invoice Blocked	Date Resolved
REGION 1								
1	1A95022RDN	Nautical Inn RV Park	9600049	\$800	Yes		26-Sep-96	1-Nov-96
2	1B761150MEN	USACOE-SF & Noyo Harbor District	9600066	\$2,500	Yes		26-Sep-96	13-Jan-97
3	1B831200HUM	Gaberville POTW	9600182	\$1,200	Yes		1-Oct-96	1-Nov-96
4	1B94015NSON	Bank of America	9600276	\$2,000	Yes		26-Sep-96	13-Nov-96
5	1B800200HUM	Simpson Timber company	9600102	\$2,000	Yes		10-Oct-96	13-Nov-96
6	1B33180SON	Lundeberg Maryland Schools	9600163	\$1,200	Yes	Yes	18-Oct-96	13-Nov-96
7	1B35227RDN	Nautical Inn RV Park	9600049	\$800	Yes	Yes	27-Jan-97	
8	1B781850SON	New Education Dev. Syst. Inc.	9600087	\$200	Yes		27-Jan-97	
9	1B320800SON	Balverne Cellars, Inc.	9600150	\$1,200	Yes		9-Dec-96	
10	1B830090MEN	Covelo POTW	9600160	\$1,200	Yes	Yes	7-Jan-97	
11	1B830210SON	Syar Industries Inc.	9600164	\$200		Yes	8-Oct-96	
12	1B840710SON	Russian River Saw Mills Inc	9600201	\$1,200	Yes		10-Oct-96	
13	1B85031RSON	Lake Sonoma Resort	9600221	\$900		Yes	22-Jan-97	

