

California
Water Boards
Protecting California's Water



Collection System Inspections and Enforcement

March 2012 Update

Jim Fischer, P.E.
Acting Chief, Special Investigations Unit
State Water Board, Office of Enforcement
1001 I Street, Sacramento, CA 95814
jfischer@waterboards.ca.gov

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- 1.3 Inspections conducted to date
- 1.4 Common violations/areas of concern + examples
- 1.5 Systems likely to be inspected
- 1.6 2012 inspection commitments



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- 2.2 Post-inspection follow-up
- 2.3 Tips on Being Prepared
- 2.4 Current Enforcement Response
- 2.5 Sample Enforcement Actions
- 2.6 SSMP Self Audit Information



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PART 1 Background



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1.1 Who is inspecting?

- Regional Water Boards
- State Water Board, Office of Enforcement
 - ✓ 5 Investigators dedicated for SSO enforcement
 - ✓ Often accompanied by regional board staff
- US EPA, Region IX, Clean Water Act Compliance
 - ✓ Partnering with State/Regional Boards
 - ✓ SSSWDRs provides tool for program evaluation (CIWQS data and metrics, SSMP, MRP compliance, data audits to verify SSO reporting accuracy, etc.)
- US EPA IX Contractors: 20 inspections (CY2012)

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1.2 Why are we inspecting?

- Assist Enrollees in reducing SSOs and their impacts on public health and the environment
- Evaluate adequacy of discharger SSO preparedness and field response activities if event(s) occur
- ID violations and/or areas of concern
- Fast, firm, fair enforcement where needed
- Establish “compliance baseline” since most systems have never been inspected

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1.2 Why are we inspecting? (cont'd)

- Promote program compliance and conformity
- Check "accuracy" of SSO reporting including interviews with collections staff to assess discharger's reported data and assess SSMP implementation
- Evaluate discharger's inspection and maintenance procedures, including record keeping practices, methodologies, and calculations for estimating SSO volume discharged



1.2 Why are we inspecting? (cont'd)

- Identify and document positive SSO response, mitigation, and prevention strategies
- ID SSSWDR enforceability issues to support permit review process
- Increase staff knowledge about Best Management Practices (BMPs) to document, reduce and/or eliminate SSOs



1.3 Inspections conducted to date

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- ~ 30 sites
- Most conducted “unannounced” to evaluate sites as close to “normal operations” as possible
- Statewide coverage; small, medium and large systems
- Some informal and formal enforcement actions pending

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1.4 Common Violations/Areas of Concern

SUBJECT: Notice of Violation of Order No. 2006-0003-DWQ, *Statewide General Waste Discharge Requirements for Sanitary Sewer Systems* (Sanitary Sewer Order), Order No. 2008-0002-EXEC, *State Water Board Order Adopting Amended Monitoring and Reporting*

Applicable Order Requirements

The City owns and operates a collection system subject to the Sanitary Sewer Order¹ and the Amended MRP². The City signed a Notice of Intent to comply with the terms of the Sanitary Sewer Order and any subsequent amendments on September 16, 2006. The Sanitary Sewer Order prohibits any SSO that results in a discharge of untreated or partially treated wastewater to waters of the United States or creates a nuisance as defined in California Water Code (CWC) section 13050(m). (See Prohibitions C.1 and C.2, respectively, of the Sanitary Sewer Order.) Permittees under the Sanitary Sewer Order are required to report SSOs to the State's California Integrated Water Quality System (CIWQS). The Amended MRP establishes monitoring, record keeping,

¹ Sanitary Sewer Order is available at http://www.waterboards.ca.gov/board_decisions/adopted_orders/water_quality/2006/wqs/wqp2006_0003.pdf

² Amended MRP is available at http://www.waterboards.ca.gov/board_decisions/adopted_orders/water_quality/2008/was/was2008_0002_exec.pdf

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1.4 Common Violations

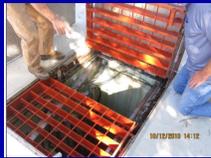
- **Amended MRP:** Failure to identify and report all SSOs (including sewer backups into structures caused by SSOs)
- **Amended MRP:** Failure to maintain adequate records to support data certified in CIWQS (volume estimations, start/end times, etc.)
- **Provision D.8:** Failure to adequately maintain sewer assets (pump stations, force mains, sewer lines, etc.) to “properly manage, operate, and maintain all parts of the sanitary sewer system”
- **Provision D.13:** Failure to adequately address SSMP elements, including data collection, measurements and performance info needed for SSMP audit (2-year)

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1.4 Common Areas of Concern (cont'd)

- Inadequate external communication with upstream/downstream collection system(s)
- Inadequate internal coordination between O&M and engineering (review and approval of sewer capital projects, maintenance, rehab, repairs, etc.)
- Failure of enrollee to review SSO data submitted and utilize information (CCTV data, field reports, etc.) to demonstrate program effectiveness

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1.5 Systems Most Likely to be Inspected



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- Systems failing to enroll, comply with reporting requirements, and certify/implement an adequate SSMP
- Systems with suspect reporting, including those reporting few spills or none
- Follow-up investigation based on records audits

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1.5 Systems Most Likely to be Inspected (cont'd)

- Systems reporting high volume and/or chronic SSOs
- At Regional Board request
- In response to complaints
- Other factors

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1.5 Systems Most Likely to be Inspected (cont'd)

Collection System Inspection Ranking Model

- Developed by Water Boards permitting/enforcement staff to prioritize statewide inspection & enforcement
- Considers:
 - ✓ Agency SSO risks & threats (system size, population, pipe lengths, etc.)
 - ✓ Agency SSMP compliance history
 - ✓ Agency SSO reporting history
 - ✓ Agency Questionnaire compliance
 - ✓ Agency SSOs & "No Spill Certification" metrics
 - Data "normalized" to capture outliers (high/low)

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1.6 2012 Inspection Commitments

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1.6 2012 Inspection Commitments

- ~30 site inspections (mostly unannounced)
- ~50 "records audits" (onsite or remote to verify accuracy of SSO records, SSMP and/or CIWQS data)
- Statewide coverage
- Small, medium and large systems

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Question Break

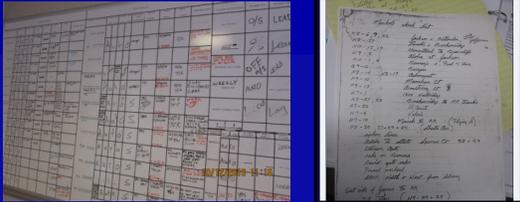
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PART 2 - DETAILS

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2.1 Areas Likely to be Checked (Records)

- **Records** to verify accuracy of data certified by LRO(s)
 - Hard copies, electronic records (including CMMS system data if used)
 - Historic customer call-ins and call-outs
 - Crew logs and field documentation



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2.1 Areas Likely to be Checked (Records)

- Sewer System Management Plan (SSMP) implementation.
- Examples include:
 - ✓ Procedures to ensure staff/contractors follow OERP: D.13(vi)(d)
 - ✓ Process to maintain up-to-date map of the sewer system: D.13(iv)(a)
 - ✓ Process to evaluate service area for FOG control program: D.13(vii)
 - ✓ Section of sewers causing SSOs due to insufficient capacity: D.13(viii)

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2.1 Areas Likely to be Checked (Records) (cont'd)

- Work Service Orders, maintenance and related records
- Records to justify SSO volumetric estimates certified in CIWQS
- Staff training records
- Agency financial information
- Logbooks (incoming complaints, maintenance activities, etc.)
- Other records

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2.1 Areas Likely to be Checked (Procedures)

- Standard Operating Procedures (SOPs) for asset inspections and maintenance activities (pump station checks, force main air valve inspections/O&M, backup generator exercising, pump station high level alarm testing, etc.)
- Agency SSO Emergency Operating Procedures (EOPs) and Overflow Emergency Response Plan and usage during SSOs
- Other procedures to eliminate/reduce SSOs and their impacts
- Procedures to ensure only authorized representatives certify data in CIWQS

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2.1 Areas Likely to be Checked (Assets)

- Assets identified posing highest risks/threats for SSOs
 - Lift/pumping facilities
 - Force main systems
 - Other assets
- Assets located at problem sites and/or former SSO locations (pump stations, mainlines, manholes, laterals, etc.)



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2.1 Samples of Assets Checked

Lift station located adjacent to storm drain inlet and a major waterway (State Water Project Canal)



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2.1 Samples of Assets Checked



Inspection of lift station in previous slide; wet well had evidence of substantial corrosion and accumulation of solids.

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2.1 Samples of Assets Checked

Lift station located in major residential home subdivision



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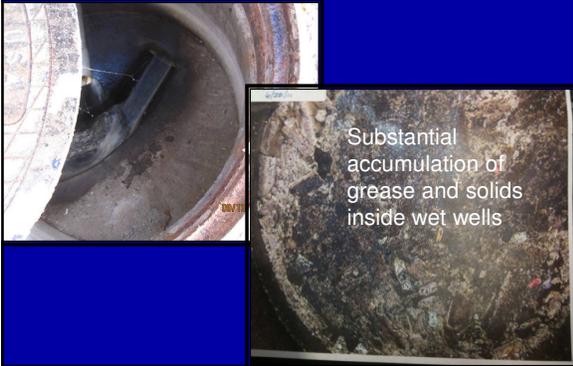
2.1 Samples of Assets Checked



Large pump station cited adjacent to a major waterway and the SF bay

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2.1 Samples of Assets Checked

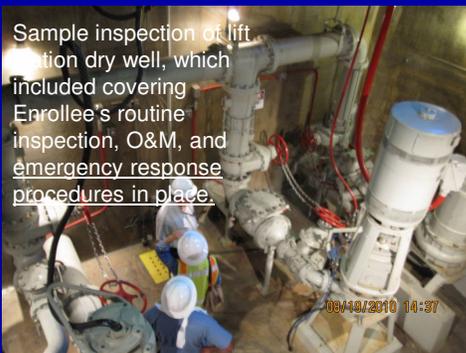


2.1 Samples of Assets Checked



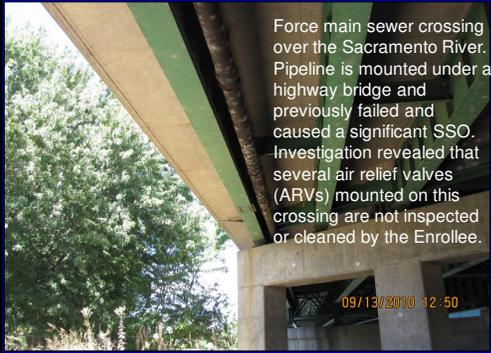
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2.1 Samples of Assets Checked



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2.1 Samples of Assets Checked



2.1 Samples of Assets Checked



2.1 Areas Likely to be Checked (Equipment, etc.)

- Sewer equipment, vehicles, SOPs
- SSO emergency/backup equipment and crew knowledge and experience with using the equipment
- Equipment repair manifests/logs
- Spare part inventories
- Other equipment

2.1 Areas Likely to be Checked (Staff Interviews)

- Adequacy of agency SSMP implementation
- Familiarity with the SSSWDRs, Amended MRP and SSMP (see section E. requirements on page 17 of permit)
- Adequacy of field records and data collection activities to ensure compliance with Amended MRP
- Competency with agency O&M and emergency response activities [see sections D.13(iv)(d) and D.13(vi)(d)]
- Adequacy of activities and actions in responding to SSO event(s) under investigation

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2.2 Post-Inspection Follow-Up

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2.2 Post-Inspection Follow-up

- Post-Inspection Briefing
 - ✓ At time of inspection or later, depending on schedule
- Possible follow-up enforcement action

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Question Break

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2.3 Tips on Being Prepared

1. Quarterly review (at minimum) of SSSWDRs, Amended MRP, and agency's SSMP
2. Quarterly review (at minimum) to check accuracy of all of your agency's SSO data certified by LRO in CIWQS
3. Quarterly review (at minimum) of files, documents and records required to be maintained by agency per Amended MRP requirements (see section B on page 5)

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2.3 Tips on Being Prepared

4. Maintain all related files and information to demonstrate **HOW** agency is implementing SSMP
5. **Call SSO Program Managers or the Office of Enforcement if you have questions!**

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2.4 Current Enforcement Response

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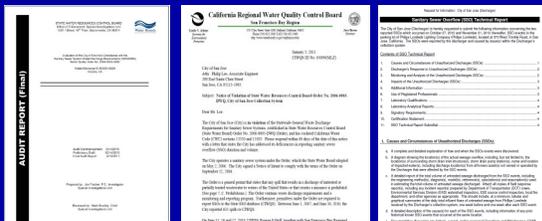
2.4 Current Enforcement Response

1. Pre-Inspection Questionnaires: being sent now
2. Enforcement Case Examples (not inclusive of all cases):
 - a. Enrolled but not participating in program (14 cases)
 - b. False "No Spill" reports (4 cases)
 - c. Failure to report SSOs (4 cases)
 - d. Large SSOs (several cases)
 - e. SSMP violations (several cases)
 - f. Failure to enroll for coverage (several cases)

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2.5 Sample Enforcement Actions (SSO website soon)

- Notices of Violation, Audit Reports, Investigative Orders, etc.
- Examples available via request; all to be posted soon



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2.6 SSMP Self Audit Information

(REMINDER: Self Audits are required every 2 years)

http://bacwa.org/Portals/0/BACWA_SSMP%20Audits_OE_ppt-12-08-11.pdf



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Program Contacts & Info

Russell Norman, P.E.
SSO Program Lead
State Water Resources Control Board
rnorman@waterboards.ca.gov
(916) 323-5598

Victor Lopez
SSO Program Lead
State Water Resources Control Board
vlopez@waterboards.ca.gov
(916) 323-5511

SSO Main Website:

http://www.waterboards.ca.gov/water_issues/programs/sso/index.shtml

List Serve Sign-Up:

http://www.waterboards.ca.gov/resources/email_subscriptions/swrcb_subscribe.shtml

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