

METROPOLITAN  
SEWER DISTRICT  
of greater  
CINCINNATI



# **ENFORCEMENT RESPONSE PLAN**

**BOCC APPROVED 4/13/2011**

## Pretreatment Program Enforcement Response Plan

### Introduction

The Clean Water Act of 1977 has set forth basic requirements to regulate the nature and quantity of industrial wastes discharged to publicly owned treatment works; such legislation is found in 40 CFR part 403. The United States Environmental Protection Agency has revised part 403 pursuant to sections 307(b) and 402(b)(8) of the Act. The most recent revision to part 403 resulted in the promulgation of a final rule on July 24, 1990. Contained within part 403.8(f)(5) are a list of minimum requirements for the development of an Enforcement Response Plan (ERP).

The actions required of the Metropolitan Sewer District of Greater Cincinnati, as outlined in this document, are intended to satisfy the Ohio EPA requirement for the development of an ERP.

The principles of the Plan identified below describe a process to identify, document and respond to pretreatment violations in a timely and equitable manner consistent with relevant State and Federal law and with the legal authority contained in the Rules and Regulations.<sup>1</sup> The principles establish a framework for the management of enforcement matters and emphasize flexibility in controlling the overall operation.

The key principles of the Plan include:

- a) Establishment of responsibilities, procedures and time-frames that provide information to all levels of the organization;
- b) Maintenance of an accurate and complete industrial user inventory;
- c) A systematic plan devised to inspect and sample industrial users;
- d) Development of an enforcement response guide and compliance screening mechanism;
- e) Performance of an enforcement evaluation where necessary;
- f) Institution of an enforcement action and follow-up where deemed appropriate.

Many of these principles have heretofore been incorporated into the District's existing approved pretreatment program. The goal of this Plan is to describe the manner in which the District enforces its pretreatment program in light of Federal legislation. The existing general pretreatment requirements are contained within the Rules and Regulations.

### Industrial User Inventory

The District maintains a current inventory of its industrial users. The inventory consists of the industrial waste survey, baseline monitoring reports, periodic compliance reports, records of facility inspections, enforcement documentation and miscellaneous correspondence. The responsibility for maintenance of industrial user inventories has been assigned to specific pretreatment staff. The flow of information is organized to ensure that all relevant data is directed to the proper individual.

The control mechanism utilized by the District to monitor industrial user (IU) discharges is an individual or general Wastewater Discharge Permit, as provided for in Article XV of the Rules and Regulations. These Permits contain specific requirements for each industrial user concerning discharge limitations and reporting frequency.

In addition to industrial user self-monitoring, industrial users are monitored by the District. Significant Industrial Users (SIU) are inspected and monitored by the District at least one day per annum. Discretion will be exercised in determining whether sampling is necessary by District personnel for all other Users not in the significant industrial user category. Monitoring by the District is classified as scheduled, demand, unscheduled, additional or surcharge depending on the following criteria.

- |                               |   |
|-------------------------------|---|
| <b>Scheduled Monitoring</b>   | Undertaken to demonstrate continued compliance.   |
| <b>Demand Monitoring</b>      | Intended to establish whether a violation(s) has been corrected once it has been detected. This may consist of one or more consecutive sampling days. |
| <b>Unscheduled Monitoring</b> | Undertaken as a further check on industrial user compliance status.   |
| <b>Additional Monitoring</b>  | Undertaken to aid in the assessment of Significant Industrial User (SIU) status. Normally consists of grab samples taken on a given day.              |
| <b>Surcharge Monitoring</b>   | Undertaken to develop surcharge billing costs.  |

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<sup>1</sup> Where mentioned, "Rules and Regulations" shall refer to the Rules and Regulations Governing The Design, Construction, Maintenance, Operation And Use Of Sanitary and Combined Sewers In The Metropolitan Sewer District Of Greater Cincinnati, Hamilton County, Ohio and Issued by the Board of County Commissioners of Hamilton County, Ohio.

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**Industrial User Self-monitoring** Undertaken by the industrial user in fulfillment of federal, state and local pretreatment requirements.

The District then receives, evaluates and retains the data to ensure their availability when needed to make decisions on compliance activities, and, if necessary, as evidence in enforcement proceedings.

The District endeavors to inform the industrial users of changes in pretreatment requirements, results of inspections and other relevant information. The industrial users shall also be apprised of the enforcement principles outlined herein and the generalized responses to non-compliant episodes.

### **Pretreatment Staff**

The Division of Industrial Waste comprises a staff to sample, analyze, and assure compliance of industrial waste discharges. Sampling is carried out for the division exclusive of industrial user self-monitoring. Its pretreatment responsibility lies chiefly in conducting the necessary sampling and field inspections.

The Division's Laboratory performs in-house analysis of the effluent samples. EPA-approved QC/QA procedures are employed.

Evaluation of compliance with an individual or general Wastewater Discharge Permit includes screening the analytical data to match applicable permit limits. Evidence of a violation is compiled at the investigator level. These individuals are then responsible for completing the initial notice of noncompliance covering the specific violation. The supervisor performs a cursory quality control check and then allows issuance. Level 1 notices of noncompliance, without proposed fines or penalties, are issued under the signature of the Superintendent of Industrial Waste; Enforcement actions with proposed fines or penalties require the Director's signature.

### **Compliance Review Process**

The compliance review process includes review of all relevant data to screen out non-compliant industrial users for appropriate enforcement action.

The initial review confirms whether the discharge reports are submitted on time, encompasses the proper time period, are complete and properly signed. The secondary review assesses compliance with appropriate pretreatment standards (i.e. local or categorical) and any other information supplied by the industrial user in accordance with its individual or general Wastewater Discharge Permit.

For minor errors in practice the District will notify the user via verbal notification at inspections that are recorded in the inspection report, email, fax or other documented form of communication. For minor errors in reporting the District will issue a form letter notification. These notifications issued for minor errors form the paper trail that is used to establish patterns of recurring noncompliance that may lead to escalating enforcement.

### **Enforcement Evaluation**

In general terms, the format used to enforce the Metropolitan Sewer District Rules and Regulations as they relate to pretreatment consists of the following:

- a) All violations disclosed by the District or industrial user are reviewed by appropriate staff;
- b) The industrial user is notified by a notice of violation (NOV) when an enforcement official becomes aware of a violation;
- c) In the case of effluent violations, the industrial user is scheduled for demand monitoring. Generally, a facility inspection is also conducted;
- d) Every notice of violation requires the industrial user to take immediate action to prevent recurrence;
- e) When necessary the notice of violation requires the industrial user to submit an explanation and/or plan to prevent recurrence;
- f) The District will increase communications with the industrial user in response to violations. Additional inspections, meetings, and monitoring may be conducted;
- g) If the violations persist or the explanation/plan submitted is inadequate, the District responds with escalating enforcement such as requiring commitments in the form of additional pretreatment equipment with a construction plan/schedule;
- h) The District will issue fines in accordance with the Rules and Regulations using a series of fine schedules and EPA guidance documents.

In more specific terms, the District uses a tiered response approach geared to a twelve month time cycle to enforce its pretreatment program. A first occurrence of a violation triggers the cycle and sets it in motion. Multiple occurrences

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within a twelve month period (not necessarily related to the same violation) carry an escalating form of enforcement and extend the cycle. After twelve months have elapsed from the most recent violation, the cycle concludes. Subsequent violations begin a new cycle. However, the District will consider the user's previous history dating back to five or more years in setting the initial response level at the beginning of each new cycle. A user's compliance history will be considered to determine whether any pattern or trend in violations exists. This information is to be used not only to aid in diagnosing the cause of the violation but also to assist in selecting enforcement options and in imposing fines and penalties.

It is recognized that some egregious or flagrant violations may warrant a response beyond Level 1 despite a first occurrence in twelve months. Depending on such factors as the number and severity of violations disclosed and impacts on human health and safety, the general enforcement levels are applied in accordance with the enforcement action tier.

Generally, the District will review industrial user reports within five days of receipt and for minor errors may issue the form letter notification within an additional seven days. Formal notices of violation will generally be issued within 30 days of receipt of the report.

Follow-up compliance activities such as inspections and monitoring generally begin within 30 to 45 days after the initial enforcement response is taken. Should these activities disclose continued noncompliance the District will escalate enforcement within 60 to 90 days.

The District is expected to diligently discharge these duties. Failure to serve any required notice in accordance with the time periods set forth herein shall not invalidate any proceeding or action of the District. However, any delay in issuing notices which causes an industrial user prejudice shall be considered in mitigation of any fine or other enforcement action of the District.

### **Enforcement Action Tier**

Frequency of <u>Violation</u>	<u>Nature</u>	Enforcement <u>Action</u>
First occurrence within twelve months	Moderate	Level 1
	Severe	Level 2
Multiple occurrences within twelve months	Moderate	Level 2
	Severe	Level 3
Chronic occurrence	Moderate	Level 3
	Severe	Level 4

### **Enforcement Action Characterization**

**Level 0** Industrial User has had no violations in more than twelve months.

**Level 1** DIW issues a Notice of Violation (NOV) identifying the violation and its date of occurrence. This Notice of Violation requires a written response from the industrial user within 30 days of notification describing the cause of the violation and the corrective actions taken to prevent recurrence. In order to monitor compliance, demand monitoring may be required. A follow-up investigation is conducted as necessary.

**Level 2** A Compliance Attainment Meeting (CAM) is scheduled within which a Consent Order (CO) or Remedial Action Plan (RAP) is developed within 30 days of the meeting. Such documents shall include specific action to be taken by the User to correct the noncompliance within a time period specified by the document.

In order to monitor compliance, a follow-up investigation and monitoring event are conducted by DIW after a review of the adequacy of the RAP or Consent Order is made.

**Level 3** Compliance Orders or Administrative Orders requiring the User come into compliance within a specified period of time and may require the User to install and properly operate adequate treatment facilities, devices, or other related appurtenances. Compliance orders also may contain other requirements to address the noncompliance, including additional self-monitoring and management practices designed to minimize the amount of pollutants discharged to the sewer.

In order to monitor compliance, a follow-up investigation and monitoring event are conducted by DIW after a

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review of the adequacy of the treatment facilities or management practices is made.

**Level 4** Issuance of orders to cease and desist, revoke permit to discharge or terminate service, or refer to City Solicitor and other agencies.

### **Enforcement Response Guide**

One of the minimum criteria set forth in 40 CFR 403.8 (f)(5) is a description of all anticipated types of industrial user violations, the prescribed form of enforcement to be taken and the time-frame within which the industrial user is required to respond. A predetermination of all types of violations is clearly not possible; however, a range of responses have been developed for the more common occurrences. Violations that occur but which are not contained in the Guide will be responded to on a case-by-case basis.

For the determination of the level of response necessary for a given violation or an occurrence outside permit limitations the District will carefully consider the number of occurrences in the current cycle and the Industrial User's history dating back five or more years, the number and severity of violations per occurrence and impacts on human health and physical structures, the presence of pretreatment technology and its adequacy for compliance, and the level of cooperation exhibited by the industrial user. The District's goal is ongoing compliance with all Rules and Regulations. To achieve this goal it is necessary to be flexible, yet even-handed in the implementation of the Guide, in a manner consistent with the Rules and Regulations, such that the resolution of any form of noncompliance is expedient and decisive.

Table 1 presents the Enforcement Response Guide for the Metropolitan Sewer District of Greater Cincinnati. The Guide incorporates the tiered approach to enforcement and all provisions set forth in the Rules and Regulations.

As noted in the Enforcement Response Guide, there are four (4) basic levels of response. In general, Level 1 means that the discharger has no prior violations during the preceding year; Level 2 means that prior violations have occurred but that the discharger is working cooperatively with the District in complying with regulations; Level 3 implies a lack of good faith efforts by the discharger and escalating enforcement by the District; Level 4 means a failure to address the issues in the informal administrative process.

Escalation from Level 1 to Level 2 is automatic when a second violation occurs within twelve months of a previous violation, except for minor errors of reporting. The step from Level 2 to Level 3 is made when the remedial actions taken or proposed by the industrial user are deemed by the District to be inadequate or inappropriate and the industrial user appears unwilling to fully resolve the issue. The District will consider factors such as threat to human health, potential damage to environment by interference or pass-through, damage to the sewer system, the duration, type and severity of noncompliance, deterrence, and additional costs to the District in determining the adequacy or appropriateness of the enforcement actions. Level 3 actions by the District will generally be taken unilaterally. For example, the District may issue a temporary cease and desist order to the industrial user pending implementation of interim operating procedures or until installation of pretreatment technology. Level 4 actions may be taken upon consultation with the City Solicitor or other agencies.

Where pretreatment equipment is to be installed, the District will coordinate with other agencies in order to track and discourage cross media shift; for example, an air permit with The Hamilton County Department of Environmental Services or a Permit-to-Install with the Ohio EPA.

### **Pollution Prevention**

The District has developed a pollution prevention program. Reducing pollution at its source is the preferable method of obtaining compliance with effluent limitations. The District will assist the industrial user with technology transfer and other available means to reduce, at the source, pollutants in the user's process operations.

A strong preference will be given to remedial alternatives which achieve compliance through pollution prevention by means of source reduction. However, the shifting of emissions from one environmental medium to a different environmental medium in order to achieve compliance may be considered as an acceptable alternative only after all other processes have been investigated. A user will not be allowed to achieve wastewater compliance by causing a violation of any other environmental law.

Best Management Practices (BMPs) may be required as a local limit. BMPs as local limits will be specifically described and written in a user's permit. Users with applicable standards that require compliance with a BMP or a pollution prevention alternative shall submit documentation to determine compliance with the standard when submitting baseline or periodic compliance reports.

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### Environmental Enhancement Action Policy

The Enforcement Response Plan (ERP) establishes the procedure to determine fines and penalties MSD will assess for violations of conditions of the Pretreatment Program. The ERP also allows for the use of innovation and creative solutions to environmental problems. In conjunction with the ERP, MSD developed the Environmental Enhancement Action (EEA) policy.

The MSD EEA policy uses, as its foundation, the U.S. EPA Supplemental Environmental Projects (SEP) policy. This policy allows for environmentally beneficial projects or activities that improve, protect, or reduce risks to public health to be considered in settlement of enforcement actions. The U.S. EPA SEP policy was originally published in February 1991 and revised in May 1998. The MSD policy was created after the 1998 revision.

As administered by MSD, once a Company reaches the ERP level that requires a proposed penalty, the Company may be required to attend a Compliance Attainment Meeting (CAM). The purpose of this meeting is to discuss the violation and begin to take steps to address and eliminate the root cause. Once these remedial actions have been identified, an Order may be issued that specifies the portion of the total fine that is to be paid immediately, a compliance schedule, and any other EEA projects that must be completed. The remaining portion of the fine is held in abeyance until the project is completed. Fines and penalties may be added if during this time additional violations occur. The user is required to implement measures that will minimize these occurrences while developing a strategy for long term compliance.

The user may be required to bear the cost of installing pretreatment equipment, additional monitoring, development and implementation of a Best Management Plan (BMP), and/or funding an environmental project. Additionally, a user must demonstrate compliance after implementation of the solution. Once the action is complete, documentation of the costs incurred by the user will be reviewed by MSD. In determining the final amount to be paid, the costs incurred, as well as the length of time it took the user to become compliant, are taken into consideration.

The following table describes the timeline and ERP Level that affects penalty offsets when allowing an EEA.

MSD Action	NOV	NOV	NOV	NOV	NOV
Fines Assessed	25%	25%	50%	75%	100%
Fines Held	75%	75%	50%	25%	0%
Enforcement Time	0 Months or Level 1-2	6 Months or Level 2	12 Months or Level 2	18 Months or Level 2	24 Months or Level 3
Once items of the Orders are complete, a decision on what to assess will be made based on total remaining fines and expenses incurred for compliance projects (assess 25% and evaluate 75%).					

- a) If the length of the AO exceeds 12 months, heavier penalties may be sought.
- b) If like violations occur that should be resolved by the AO, then these would require no separate enforcement document, but would proceed as a part of the current order, fines being assessed with that document timeline. However, if violations not related or resolved by current actions occur, then a separate Order would need to be agreed on and attached to the existing Order.
- c) MSD must be able to justify actions taken to offset fines. Inspections, files that identify costs of compliance items, and cost summaries from the user as documentation of the actions implemented, which may include but are not limited to, purchase orders and invoices will be required prior to termination of the Order.
- d) An EEA offsets a maximum of 75% of the proposed fines. MSD may term these projects EEAs- Environmental Enforcement Actions. Examples of EEAs are pollution prevention, waste minimization, audits (TechSolve, consultant services, and internal staff), training, monitoring, and construction or modification of a sample location.
- e) At ERP Level 3, MSD may examine the benefit of non-compliance.

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- f) The timeline for enforcement actions shall be explained in the CAM. Conditions pertaining to escalated enforcement actions are included in the Administrative Order.

### **Compliance Schedule Policy**

In certain cases the District may negotiate with an Industrial User regarding occurrences outside of permitted limitations when the following circumstances apply:

- a) The Industrial User has agreed to construct a pretreatment facility, place it in operation and achieve compliance with all of the following: the industrial user's wastewater discharge permit; the Metropolitan Sewer District Rules and Regulations; Chapter 6111 of the Ohio Revised Code; Ohio Administrative Code 3745-3-12; and the General Pretreatment Regulations 40 CFR 403 and Subchapter N as may be amended; and such other laws, rules and regulations that may apply; and
- b) Where the Industrial User has demonstrated that the occurrences outside limitations do not pose a threat of pollution to the environment and/or jeopardize health, safety, welfare, and property; and
- c) Where the Industrial User has demonstrated that the occurrences outside limitations, do not pose a threat of interference and pass through or damage to the POTW; and
- d) Where no Alternative Interim Measures are available to reduce the discharges below permit limits. In such event, the agreement negotiated will include Alternative Interim Measures which minimize the amount by which the discharges exceed permit limits.

The agreement negotiated shall include the Industrial User's adoption of Alternative Interim Measures to prevent or minimize the exceeding of limitations during the interim period. The District and the Industrial User may agree upon a fine schedule for the interim occurrences outside limitations. The agreement shall include a time frame for the following: completion of a treatability study of the Industrial User's wastewater; selection of pretreatment technology; completion of pretreatment specifications; submission of a complete application for a permit to install including detailed plans and specifications for the installation of pretreatment facilities to the Ohio EPA; submission of purchase orders for the approved pretreatment equipment; beginning date for construction; date for completion of construction; and date for demonstration of compliance to the District.

Prior to entering into a compliance schedule which allows the discharge of contaminants beyond permit limits, the District will consider Alternative Interim Measures. These Alternative Interim Measures are temporary measures which reduce discharges into the sewer system below permits limits pending the implementation of the final remedy, such as the construction of a pretreatment facility.

Such Alternative Interim Measures may include temporary process or operational changes, or temporary volume reduction (i.e. reduction in production output). Such measures may also include off-site disposal or on-site holding or a temporary alternative pretreatment operation. Measures that involve media shifting will be discouraged and a preference will be given to measures which involve pollution prevention.

### **Cost Recovery**

The user will be held liable for cleanup costs and/or damages resulting from discharges in violation of District limitations. These costs will be derived separate and distinct from imposed fines and are generally the actual cost of cleanup and/or repair/replacement.

In addition, a non-compliant user may be assessed the cost for increased inspection and monitoring events required by the District to evaluate the users' return to compliance.

Economic benefit of noncompliance may be assessed separate and distinct from imposed fines. The District will refer to State and Federal guidelines such as EPA's Guidance Manual for POTWs to Calculate the Economic Benefit of Noncompliance.

### **Significant Noncompliance**

The "significant noncompliance (SNC)" concept shall also be utilized to set priorities for enforcement response. Article XV, Section 1509 contains a provision to publish the names of industrial users found in significant noncompliance with the Rules and Regulations during the previous twelve (12) months. The term "significant noncompliance" applies to an industrial user meeting at least one of the following criteria:

Chronic violations of an individual or general Wastewater Discharge Permit as described in the Rules and Regulations; Technical Review Criteria (TRC) violations as described in the Rules and Regulations; Any other violation that the District believes has caused interference or pass-through phenomena; or has caused eminent endangerment to human

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health/welfare; d) Violations of construction and/or implementation schedule milestones contained in administrative orders; Failure to provide reports in the allotted time; Failure to accurately report noncompliance. Any other violation(s), which may include a violation of Best Management Practices, which MSD determines will adversely affect the operation or implementation of the local pretreatment program.

More severe enforcement actions will be taken against industrial users that frequently exceed pretreatment requirements as opposed to those that report isolated violations. In any case, if compliance is not achieved, escalated forms of enforcement will be taken to attain compliance in a timely fashion.

### **Fine Schedule**

Monetary penalties will also be used as part of the enforcement program. USEPA guidance offers four criteria that will be reviewed before penalties are assessed:

- a) Recover the cost to the District of the noncompliance.
- b) Size penalty to deter future incidence of noncompliance.
- c) Maintain a program of fairness, equity and consistency.
- d) Provide a logical and systematic basis for penalty calculation.

To implement the recommended criteria in setting penalties the District has developed a series of fine schedules to use as a guide for establishing proposed penalties. These schedules are presented in the following tables.

**Occurrences Outside Permit Concentration Limits - TABLE 2** This fine schedule is used to determine fines for violation of effluent limits. The fines increase as the percentage over the limit increases and as the facility wastewater flow increases. The schedule includes an adjustment for history of violations which directly relates to the enforcement level determined by the District. (Flow values used in this table are long term average total facility flows certified by the user and generally obtained through the wastewater discharge permit process.)

**Occurrences Outside Continuous pH Periods - TABLE 3** Discharge to the wastewater treatment system of wastewater in violation of Section 1502.1 B(2) of MSD's Rules and Regulations (R&R) shall be subject to penalties for pH ranges and periods of flow as set forth in Table 3. Each occurrence for a range and period listed in Table 3 shall be a separate violation so long as the period for that occurrence contains no element of time in common with the period for any other occurrence charged as a violation in accordance with the standards of Table 3. For permittees with an active District approved pH best management plan in effect the District will consider only occurrences outside the continuous pH periods in Table 3 a violation.

**Occurrences Outside pH Excursion Limits - TABLE 4** Discharge to the wastewater treatment system of wastewater in violation of Section 1502.1 B(2) of MSD's R&R shall be subject to penalties for pH excursion levels and frequencies of excursions greater than the frequencies set forth in Table 4. Excursion shall mean an occurrence outside of the range of 5.0 to 12.5 Standard Units at the designated sampling location wherein a wastewater pH changes in magnitude from a value within or closer to the range of 5.0 to 12.5 standard units to a value outside or further from that range, whether toward a lower pH or a higher pH. The frequency of excursion shall mean the number of excursions in any interval of eight consecutive hours. Violations of the standards for excursion set forth in Table 4, excluding excursions attributed to instrumentation malfunction, shall be cumulative even if containing common elements of time. For permittees with an active District approved pH best management plan in effect the District will consider only occurrences outside the pH excursion limits in Table 4 a violation.

**Late Report Filing - TABLE 5** These enforcement responses are applicable for late or incomplete filing of routine required reports (e.g., monitoring, permit application, permit renewals, etc.). Required enforcement reports that are late or incomplete, will accrue penalties from due date.

**Other Violations - TABLE 6** As a number of other violations may be committed which warrant a fine but which cannot be easily quantified in a fine schedule this table is a guide to the District in setting fine levels based on deviation and seriousness.

### **Individual or General Wastewater Discharge Permits**

Individual or General Wastewater Discharge Permits are issued to a specific User for specific operations, at a specific premise. An individual or general Wastewater Discharge Permit shall not be reassigned or transferred or sold to another owner, another User or different premises without prior approval by the Director. An individual or general Wastewater Discharge Permit shall not be transferred to a new or significantly changed operation.

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TABLE 1  
Enforcement Response Guide

### I. SAMPLING, MONITORING & REPORTING VIOLATIONS

#### 1. Noncompliance Item: Reporting Violation

- a. Circumstance: Routine report improperly signed/certified  
Action: Level 1  
Specific Response: Phone call/documentation to file (IU Response due in 30 days)
- b. Circumstance: Routine report improperly signed/certified after notification by District  
Action: Level 2  
Specific Response: NOV/CAM (IU Response due in 30 days)
- c. Circumstance: Late submittal of routine report (less than or equal to 5 days)  
Action: Level 1  
Specific Response: NON, DIW issues telephone warning (IU Response due immediately)
- d. Circumstance: Late submittal of routine report (greater than 5 days but less than 30 days)  
Action: Level 2  
Specific Response: NOV issued, IU informed of possible fines (IU response due immediately)
- e. Circumstance: Late submittal of routine report (greater than 30 days)  
Action: Level 3  
Specific Response: NOV with fines of \$100/day beginning with day 31 and accumulating until the report is received up to a maximum fine of \$2,000 per late report. (IU response due immediately)
- f. Circumstance: Incomplete submittal of routine report  
Action: Level 1  
Specific Response: Phone call/NOV (IU Response due in 30 days)
- g. Circumstance: Failure to submit any required report  
Action: Level 3/4  
Specific Response: NOV/AO and/or fine subject to hearing (IU Response due in 30 days)
- h. Circumstance: Failure to report spill or permit violation - no impact  
Action: Level 2  
Specific Response: NOV/CAM (IU Response due in 30 days)
- i. Circumstance: Failure to report spill or permit violation - impact present  
Action: Level 2/3  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)
- j. Circumstance: Failure to report changed discharge - no impact  
Action: Level 2  
Specific Response: NOV/CAM (IU Response due in 30 days)
- k. Circumstance: Failure to report changed discharge - impact present  
Action: Level 2/3  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)
- l. Circumstance: Falsification of documentation  
Action: Level 4  
Specific Response: Referral to City Solicitor

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- m. Circumstance: Late submittal of required enforcement report  
Action: Level 3  
Specific Response: NOV with fines of \$100/day beginning with day 1 and continuing until date report received up to a maximum of \$2,000 per late report.
  
- n. Circumstance: Failure to provide telephone notice within 24 hour of knowledge of a self monitoring violation.  
Action: Level 2  
Specific Response: NOV/CAM (IU Response due in 30 days)

### 2. Noncompliance Item: Monitoring Violation

- a. Circumstance: Failure to monitor all pollutants required by discharge permit  
Action: Level 2  
Specific Response: NOV/CAM (IU Response due in 30 days)
  
- b. Circumstance: Failure to install monitoring equipment within specified time  
Action: Level 3/4  
Specific Response: NOV/AO and/or fine subject to hearing (IU Response due in 30 days)
  
- c. Circumstance: Failure to maintain monitoring equipment  
Action: Level 2/3  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)
  
- d. Circumstance: Denial of access  
Action: Level 3/4  
Specific Response: NOV/AO and/or fine subject to hearing Obtain search warrant

### 3. Noncompliance Item: Sampling/Analytical Violation

- a. Circumstance: Improper sampling location  
Action: Level 2  
Specific Response: NOV/CAM (IU Response due in 30 days)
  
- b. Circumstance: Improper analytical methods  
Action: Level 2  
Specific Response: NOV/CAM (IU Response due in 30 days)

## II. PERMIT VIOLATIONS

### 1. Noncompliance Item: Exceeding Permit Effluent Limits

- a. Circumstance: First occurrence - no impact  
Action: Level 1  
Specific Response: NOV requiring a return to compliance
  
- b. Circumstance: First occurrence - impact present  
Action: Level 2/3  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)
  
- c. Circumstance: More than one occurrence in twelve month cycle  
Action: Level 2/3/4  
Specific Response: Dependent upon number of occurrences and their impact

### 2. Noncompliance Item: Dilution Of Wastestream As Substitute For Pretreatment

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- a. Circumstance: Willful or otherwise  
Action: Level 3/4  
Specific Response: NOV/fine subject to hearing/AO or referral to Solicitor (IU Response due in 30 days)

### 3. Noncompliance Item: Failure To Operate And Maintain Pretreatment Facilities

- a. Circumstance: Willful or otherwise  
Action: Level 2/3/4  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

### 4. Noncompliance Item: Violation Of Compliance Schedules

- a. Circumstance: Late progress report (greater than 30 days)  
Action: Level 3  
Specific Response: NOV with fines of \$100/day beginning with day 1 and continuing until date report received up to a maximum of \$2,000 per late report.

### 5. Noncompliance Item: Violation of Periodic Reporting Requirements

- a. Circumstance: Report interval exceeds 9 months  
Action: Level 2  
Specific Response: NOV/CAM (IU Response due in 30 days)
- b. Circumstance: Late permit application  
Action: Level 1  
Specific Response: Phone call/documentation to file (IU Response due in 1 week)

### 6. Noncompliance Item: Detection of a Pollutant declared to be absent

- a. Circumstance: Discharge  
Action: Level 1/2/3  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU response in 30 days)

## III. UNAUTHORIZED DISCHARGE:

### 1. Noncompliance Item: Discharge Prohibitions

- a. Circumstance: No impact  
Action: Level 1  
Specific Response: NOV requiring a return to compliance
- b. Circumstance: Impact present  
Action: Level 2/3/4  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

### 2. Noncompliance Item: Expired Permit

- a. Circumstance: Willful or negligent  
Action: Level 1/2  
Specific Response: NOV/Phone call (IU Response due in 30 days)

### 3. Noncompliance Item: Unauthorized bypass

- a. Circumstance: Violates permit limits  
Action: Level 2/3  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

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b. Circumstance: Failure to notify District - no impact  
Action: Level 2/3  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

c. Circumstance: Failure to notify District - impact present  
Action: Level 2/3/4  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

### 4. Noncompliance Item: Slug load or accidental discharge

a. Circumstance: Failure to notify District - no impact  
Action: Level 2/3  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

b. Circumstance: Failure to notify District - impact present  
Action: Level 3/4  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

### 5. Noncompliance Item: Operating Upset

a. Circumstance: Failure to notify District - no impact  
Action: Level 2/3  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

b. Circumstance: Failure to notify District - impact present  
Action: Level 2/3/4  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

## IV. VIOLATIONS DETECTED DURING SITE VISITATION:

### 1. Noncompliance Item: Illegal Discharge

a. Circumstance: Failure to notify District - no impact  
Action: Level 2/3  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

b. Circumstance: Failure to notify District - impact present  
Action: Level 2/3/4  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

### 2. Noncompliance Item: Access to Records

a. Circumstance: IU refusal  
Action: Level 2/3/4  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due 30 days)

### 3. Noncompliance Item: Accidental Discharge

a. Circumstance: Failure to notify District - no impact  
Action: Level 2/3  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

b. Circumstance: Failure to notify District - impact present  
Action: Level 2/3/4  
Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

c. Circumstance: Causes interference/pass-through

## Pretreatment Program Enforcement Response Plan

Action: Level 2/3/4  
 Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU Response due in 30 days)

4. Noncompliance Item: Failure to perform a BMP required by Permit

- a. Circumstance: Failure to perform permit-required BMP  
 Action: Level 1/2  
 Specific Response: NOV/CAM/AO and/or fine subject to hearing (IU response in 30 days)

Note: In certain non-compliant episodes where a POTW response may come from a choice of Action Levels (i.e. Level 2/3/4), the industrial user Response time given pertains to the highest Action Level taken. The District reserves the right to require industrial users to respond more quickly in the event of an emergency or during other such times as the District deems necessary. The District Rules and Regulations confer on the industrial user certain rights which authorize specific response times.

TABLE 2 Fine Schedule Occurrences Exceeding Permit Concentration Limits	
Evaluation Criteria	Fine Amount
<b>A. Magnitude of Occurrence</b> 0% to 20% over limit 21% to 50% over limit 51% to 100% over limit 101% to 200% over limit 201% to 300% over limit 301% to 400% over limit 401% or more over limit	\$0 to 100 <sup>a</sup> 100 200 400 600 800 1,000
<b>B. Volume of Discharge (gpd)</b> 10,000 of less 10,001 to 50,000 50,001 to 250,000 250,001 to 500,000 500,001 to 1,000,000 Over 1,000,000	\$200 500 1,000 2,000 3,000 4,000
<b>Subtotal - Base Fine</b>	
<b>C. Adjustment for History of Violations</b> Level 0, 1, 2 <sup>b</sup> Level 3 <sup>b</sup> Level 4 <sup>b</sup>	Base fine multiplier  0 1 2
<b>Total Fine</b>	
<sup>a</sup> Use zero for single grab or daily composite sample; use \$100 if occurrence is computed from average of two or more samples. <sup>b</sup> Refers to Enforcement Action Tier in the District's Enforcement Response Plan.	

TABLE 3 Fine Schedule: Occurrences Exceeding Continuous pH Periods Outside the Allowable Range of 5.0-12.5 Standard Units		
pH Range Standard Units	Continuous Period of Flow Minutes	Penalty Dollars
Less than 5.0	120	250
Less than 4.0	45	500
Less than 3.0	15	1000
Less than 2.0	5	2000
More than 12.5	30	500
More than 13.0	10	2000

TABLE 4 Fine Schedule: Occurrences Exceeding pH Excursion Limits Outside the Allowable Range of 5.0-12.5 Standard Units		
pH Excursion Level Standard Units	Allowable Frequency of Excursion Events in 8 Hours	Penalty Dollars
Less than 5.0	16	250
Less than 4.0	8	500
Less than 3.0	4	1000
Less than 2.0	2	2000
More than 12.5	4	500
More than 13.0	2	2000

TABLE 5 Fine Schedule: Late Report Filing	
Nature of Violation	Action
Level 1. Routine Report late 1-5 days	Notice of noncompliance or verbal/email warning issued
Level 2. Routine Report late 6-30 days	Notice of Violation issued
Level 3. Routine Report late 31+ days	Notice of Violation with fines of \$100/day beginning with day 31 and continuing until date report received up to a maximum of \$2,000 per late report.
Required enforcement reports that are late or incomplete will accrue penalties from the due date.	

TABLE 6 Fine Schedule: Other Violations			
Potential For Harm	Extent of Deviation		
	Major	Significant	Minor
Major	\$10,000	\$7,000	\$4,000
Significant	6,000	3,500	1,500
Minor	2,000	1,200	300