

Permitting Practical Practices



UTAH DEPARTMENT *of*
ENVIRONMENTAL QUALITY
**WATER
QUALITY**

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Ward**

Duel

How to Play

- Players begin each duel with 5 chips.
 - A multiple choice question is asked.
- Players use their chips to cover one or more of the choices depending on how confident he/she is in his/her answer.
- At any point in the game, if a player does not cover the correct answer OR loses all his/her chips, the duel is over.
- After a player wins a duel, that player chooses the next contestant to play.
- After winning a duel, players can bank their winnings and

Let's DUEL

The Approval Authority refers to what agency?

- a. Local pretreatment program**
- b. State or EPA**
- c. Delegated Program**
- d. National intelligence**

The Control Authority refers to what agency?

- a. Local pretreatment program
- b. State or EPA
- c. National Program
- d. National intelligence

The SIU refers to

- a. Silicon Industrial User
- b. Significant Industrial User
- c. Silly Industrial User
- d. Significant Icecream User

The CIU refers to

- a. Castellano Industrial User
- b. Caller Industrial User
- c. Categorical Industrial User
- d. Categorical Independent User

The POTW refers to what agency?

- a. Castellano Industrial User
- b. Caller Industrial User
- c. Categorical Industrial User
- d. Categorical Independent User

Terms to Remember

Approval Authority (AA)

Control Authority (CA)

SIU (Significant Industrial User)

CIU (Categorical Industrial User)

IU (Industrial User)

Legal Authority (LA)

Industrial Waste Survey (IWS)

POTW (Publicly Owned Treatment Works)



How to identify Industrial User?

- a. Industrial Waste Survey
- b. Run by
- c. Look at the permit
- d. Look on Amazon

What Reg requires a Pretreatment Program to maintain a list of industrial users

- a. 40 CFR 403.8(f)(6)
- b. 40 CFR 403.8(f)(12)
- c. 40 CFR 403.8(f)(1)
- d. 40 CFR 403.8(f)(8)

How to identify Industrial User?

- a. Run by
- b. Look at the permit
- c. Look on Amazon
- d. Business license records

What Reg requires a POTW to establish and implement procedures for identifying Industrial Users as part of its program responsibilities

- a. 40 CFR 403.8(f)(5)
- b. 40 CFR 403.8(f)(12)
- c. 40 CFR 403.8(f)(2)
- d. 40 CFR 403.8(f)(9)

How to identify Industrial User?

- a. Run by
- b. Look at the permit
- c. Building permits
- d. Look on Amazon

How to identify Industrial User?

Industrial Waste Survey
Business license records
Building permits
Preliminary Inspections
Etc.....

One of the first decisions to be made when establishing a permit program is

- a. Who laughs our your jokes
- b. Who gives the best discounts
- c. Who needs a permit
- d. Who has the best food

The Control Authority's definition of SIU must be at least as stringent as the federal definition as listed at

- a. 40 CFR 403.3(r)
- b. 40 CFR 403.3(v)
- c. 40 CFR 403.3(x)
- d. 40 CFR 403.3(i)

Who needs a permit?

- a. 5% or more of POTW capacity
- b. Anyone who fights with you
- c. 20,000 gpd discharge
- d. Potential to not discharge

Who needs a permit?

- a. Anyone who fights with you
- b. 20,000 gpd discharge
- c. Categorical User
- d. Potential to not discharge

Who needs a permit?

- a. Anyone who fights with you
- b. 25,000 gpd discharge
- c. Categorical User
- d. Potential to not discharge

Who needs a permit?

- a. Anyone who fights with you
- b. 15,000 gpd discharge
- c. Categorical User
- d. Potential to do harm

Who needs a permit?

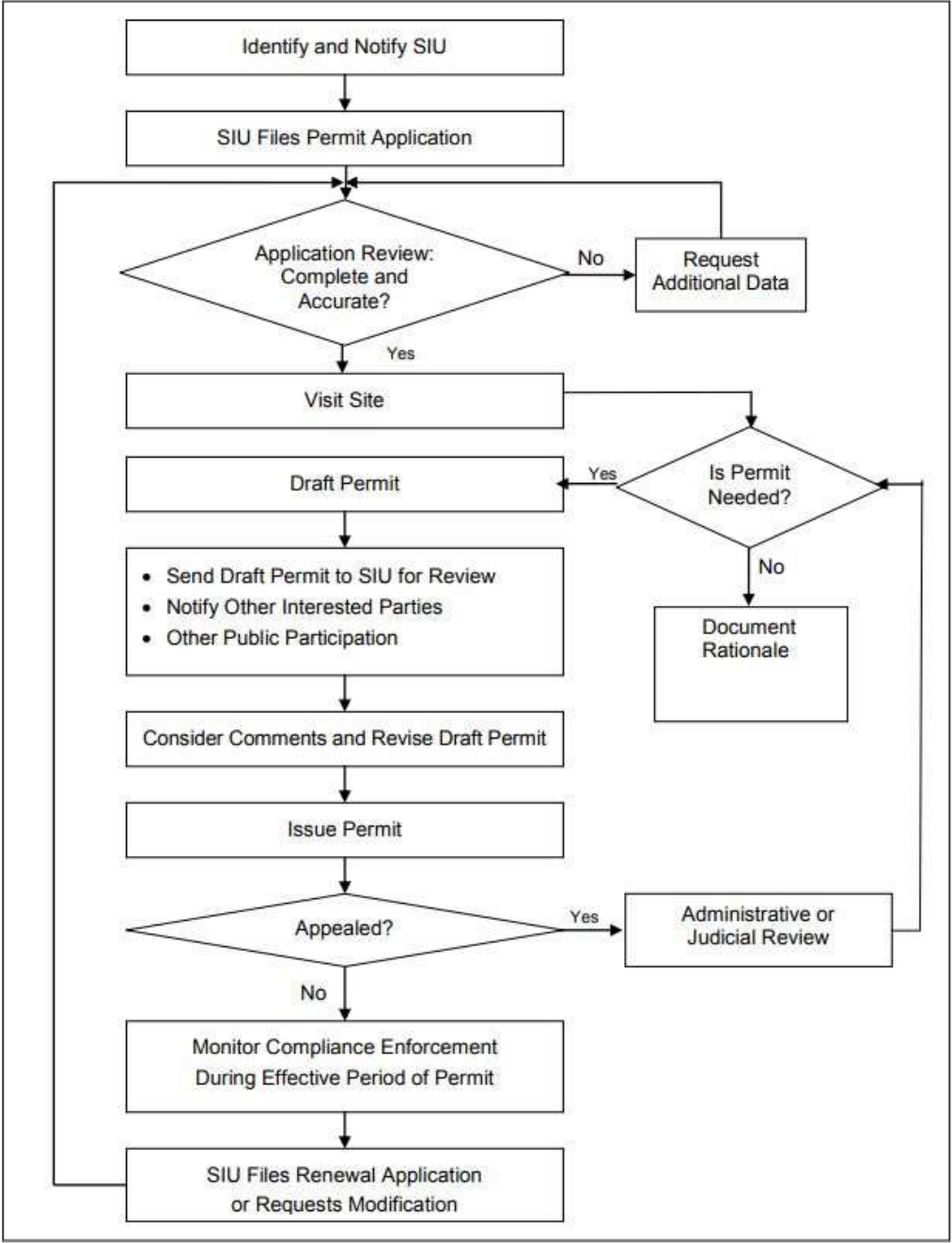
Categorical process

Potential to do harm to the POTW

5% or more of POTW capacity

Potential to discharge a regulated
wastewater





What types of permits to use?

- a. Printed on white paper**
- b. Individual SIU**
- c. Individual SUI**
- d. Individual CUI**

What types of permits to use?

- a. Printed on white paper**
- b. Individual SUU**
- c. Individual SUI**
- d. Individual CIU**

What types of permits to use?

- a. General Permit
- b. Individual SUU
- c. Individual SUI
- d. Individual CCU

What types of permits to use?

Individual

SIU

CIU

General

Permit Contains

- a. Permittees contact phone number
- b. Requirements
- c. Effluent Limits
- d. Additional comments

Permit Contains

- a. Permittees contact phone number
- b. Binding
- c. Additional comments
- d. Monitoring Requirements

Permit Contains

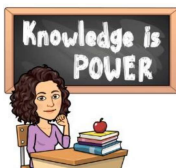
- a. Standard conditions
- b. Standard writing
- c. Additional comments
- d. Monitoring Requirements

Permit Contains

- a. Standard filling
- b. Standard writing
- c. Additional comments
- d. Reporting Requirements

Permit Layout

- [Cover page](#)
- Effluent limits
- Monitoring requirements
- Reporting requirements
- Standard conditions
- Additional conditions



What does the Cover Page contain?

- a. Employee name
- b. Reapplication requirements
- c. Duty to Know
- d. Citation to legal thought

What does the Cover Page contain?

- a. Employee name
- b. Employee phone number
- c. Duty to Comply
- d. Citation to legal thought

What does the Cover Page contain?

- a. Employee name
- b. Employee phone number
- c. Duty to Complain
- d. Citation to legal authority

What does the Cover Page contain?

- a. Signature of Control Authority
- b. Employee name
- c. Duty to Complain
- d. Citation to legal apple

Cover Page

- Citation to legal authority
- Duty to comply
- Reapplication requirements
- Effective period – Maximum of 5 years
- Signature of Control Authority

**The permit should clearly
designate the sampling point(s)
where the limits**

a. Apply

b. Grade

c. Unicorn

d. Rationale

To identify pollutants to be regulated, the permit writer must first determine whether

- a. The IU is subject to fines
- b. The IU is subject to penalties
- c. The IU is subject to categorical signs
- d. The IU is subject to categorical Pretreatment Standards

Next, the permit writer should determine what pollutants are

- a. Taste good
- b. Present or suspected
- c. Suspected to evaporate
- d. Disappear

Which Pollutants Require Regulation?

- a. Categorical Program Standards
- b. Present or suspected
- c. Categorical Pretreatment Standards
- d. Effluent limits have daily minimums

The determination of which limits apply, local or categorical, is accomplished by simply choosing the limit that is

- a. Numerically less stringent
- b. Numerically more stringent
- c. Looks the best
- d. Harms the POTW

Effluent Limits



- Categorical Pretreatment Standards
- National prohibited discharges
- Local limits
- Other site-specific limits

Who signs self-monitoring report?

- a. The POTW
- b. The Control Authority
- c. The Approval Authority
- d. The SIU Signatory Authority

What analysis method should be used?

- a. 40 CFR Part 132
- b. 40 CFR Part 138
- c. 40 CFR Part 136
- d. 40 CFR Part 133

What is the minimum monitoring requirement 40 CFR 403.12(e)(I)

- a. Monthly
- b. Yearly
- c. Twice per year
- d. Twice per month

Sampling locations should ...

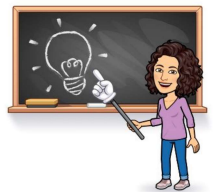
- a. Be unsafe
- b. Be representative
- c. Include half the flow
- d. Be under lock and key

Pollutants to be monitored

- a. Limited**
- b. Pollutants of concern**
- c. Only NPDES parameters**
- d. Shall include only domestic flow**

Monitoring & Reporting Requirements

- Sampling location
- Pollutants to be monitored
- Sample collection method
- Monitoring frequencies
- Analytical methods
- Reporting and certification requirements





EXAMPLE OF SPECIFYING SAMPLING LOCATION BY NARRATIVE DESCRIPTION

Pipe 01A is defined as the sampling site from the industry's process wastewater discharge downstream from the existing treatment clarifier. Note that after the upgraded treatment system becomes operational, the sampling site will be the first manhole downstream from the sand filters.

EXAMPLE OF MULTIPLE SAMPLING LOCATIONS SPECIFIED BY NUMBER DESIGNATION

IV. SELF-MONITORING REQUIREMENTS

A. Sample Locations

1. Discharge from the Chemistry-Fine Arts Building must be sampled at the Manhole No. 50
2. Discharge from the Duane Physics Building must be sampled at the Manhole No. 22
3. Discharge from the Research Lab No. 1 must be sampled at the Manhole A.

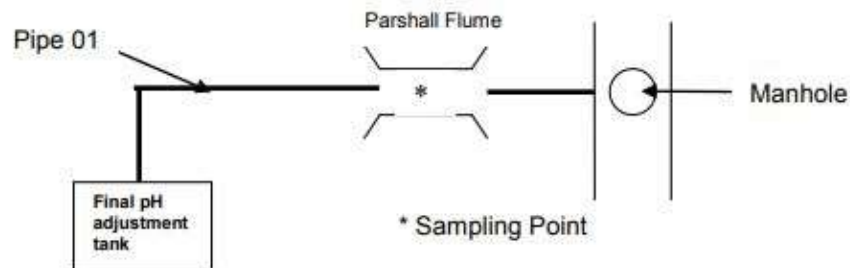
EXAMPLE OF SAMPLING LOCATION SPECIFIED BY DIAGRAM

Part I Permit No. 001

Part 1. Effluent Limitations and Monitoring Requirements

A. Description of Discharges

Pipe	Description
01	Discharge Pipe—Discharge of wastewater generated by all regulated metal-finishing processes at the facility. Samples must be collected at the point indicated on the attached diagram.



**TABLE 8-3
RECOMMENDED INDUSTRIAL SELF-MONITORING FREQUENCIES DURING THE INITIAL COMPLIANCE PERIOD**

Industrial flow (gpd)	Conventional pollutants, inorganic pollutants, cyanide, and phenol	GC or GC/MS organics
0–10,000	1/month	2/year
10,001–50,000	2/month	4/year
50,001–100,000	1/week	1/month
100,001–240,000	2/week	2/month
> 240,000	3/week	4/month

Note: Industrial Users subject to TTO standards in the Electrical and Electronic Components, Electroplating, and Metal Finishing categories may elect to implement a Toxic Organics Management Plan and submit periodic certification statements in lieu of performing TTO analyses. Industrial Users subject to TTO standards in the Aluminum Forming, Copper Forming, Coil Coating (Canmaking), and Metal Molding and Casting categories may monitor for oil and grease as an alternative to TTO monitoring.

Excerpt from: EPA's Pretreatment Compliance Monitoring and Enforcement Guidance

**TABLE 8-4
INDUSTRIAL USER REPORTING REQUIREMENTS**

Required report and citation	Report due date	Purpose of report	Information required
Baseline Monitoring Report (BMR) [40 CFR 403.12(b)(1-7)]	Within 180 days of effective date of the regulation or an administrative decision on category determination	<ul style="list-style-type: none"> To provide baseline information on industrial facility to Control Authority To determine wastewater discharge sampling points To determine compliance status with categorical Pretreatment Standards 	<ul style="list-style-type: none"> Identifying information about the facility (name, address, and so on) List of all environmental control permits issued to the facility Description of operations Flow measurements of wastewater discharged to the POTW Nature and concentration of pollutants discharged to the POTW Certification of compliance status with categorical Pretreatment Standards Compliance schedule to attain compliance Certification of validity of information provided
Compliance Schedule Progress Reports [40 CFR 403.12(c)(1-3)]	Within 14 days of each milestone date on the compliance schedule; at least every 9 months	<ul style="list-style-type: none"> To track progress of the industrial facility through the duration of a compliance schedule 	<ul style="list-style-type: none"> Compliance with appropriate increment of compliance schedule Reasons for any noncompliance Actions taken to return to the approved schedule
90-Day Compliance Report [40 CFR 403.12(d)]	Within 90 days of the date for final compliance with applicable categorical Pretreatment Standard; for new sources, the compliance report is due within 90 days following commencement of wastewater discharge to the POTW	<ul style="list-style-type: none"> To notify Control Authority as to whether compliance with the applicable categorical Pretreatment Standards has been achieved If facility is noncompliant, to specify how compliance will be achieved 	<ul style="list-style-type: none"> Nature and concentration of all pollutants regulated by categorical Pretreatment Standards Average and maximum daily flow for regulated manufacturing processes Compliance status (if noncompliant, additional measures needed) Certification of validity of information provided

TABLE 8-4 (Continued)

Required report and citation	Report due date	Purpose of report	Information required
Periodic Compliance Reports for CIUs (not including NSCIUs) [40 CFR 403.12(e)(1)]	Every June and December after the final compliance date (or after commencement of a discharge for new sources) unless the Control Authority increased frequency	<ul style="list-style-type: none"> To provide the Control Authority with current information on the discharge of pollutants to the POTW from categorical industries 	<ul style="list-style-type: none"> Nature and concentration of all regulated pollutants Average and maximum daily flows discharged to the POTW for the reporting period Where mass-based units are used, a measure of the mass of pollutants discharged For industries subject to the production-based standards, an actual average production rate for the reporting period For industries subject to equivalent mass or concentration limits pursuant to 403.6(c), a reasonable measure of the long-term production rate Certification of the validity of the information provided Additional information as required by the Control Authority For industries subject to BMPs, documentation required to determine compliance with the BMP
Periodic Compliance Reports for CIUs with Pollutant Not Present or Expected to be Present [40 CFR 403.12(e)(2)]	Every June and December after the final compliance date (or after commencement of a discharge for new sources) unless the Control Authority increased frequency	<ul style="list-style-type: none"> To certify that a pollutant is not present or expected to be present at a facility 	<ul style="list-style-type: none"> For facilities that have been granted a waiver of monitoring for a pollutant that has been determined not to be present, a certification statement indicating that there has been no increase in the pollutant in the wastestream because of activities of the user (403.12(e)(2)(v))

TABLE 8-4 (Continued)

Required report and citation	Report due date	Purpose of report	Information required
Periodic Compliance Reports for CIUs with Reduced Monitoring Requirements [40 CFR 403.12(e)(3)]	Once every year, unless required more frequently in the categorical Pretreatment Standard or by the Control Authority	<ul style="list-style-type: none"> To provide the Control Authority with current information on the discharge of pollutants to the POTW from categorical industries 	<ul style="list-style-type: none"> Nature and concentration of all regulated pollutants Average and maximum daily flows discharged to the POTW for the reporting period Where mass-based units are used, a measure of the mass of pollutants discharged For industries subject to the production-based standards, an actual average production rate for the reporting period For industries subject to equivalent mass or concentration limits pursuant to 403.6(c), a reasonable measure of the long-term production rate Certification of the validity of the information provided Additional information as required by the Control Authority For industries subject to BMPs, documentation required to determine compliance with the BMP
Notice of Potential Problems, including Slug Loading [40 CFR 403.12(f)]	Notification of POTW immediately after occurrence of slug load or any other discharge that could cause problems to the POTW	<ul style="list-style-type: none"> To alert the POTW of the potential hazards of the discharge 	<ul style="list-style-type: none"> None specified in General Pretreatment Regulations; other federal, state, and local regulations might address reporting requirements
Noncompliance Notification [40 CFR 403.12(g)(2)]	Notification of POTW within 24 hours of becoming aware of violation	<ul style="list-style-type: none"> To alert the POTW of a known violation and potential problem that could occur 	<ul style="list-style-type: none"> Nature and magnitude of the violation; other information as determined by the POTW

TABLE 8-4 (Continued)

Required report and citation	Report due date	Purpose of report	Information required
Periodic Compliance Reports for Noncategorical Users [40 CFR 403.12(h)]	To be determined by the POTW, but at least once every 6 months	<ul style="list-style-type: none"> To provide the POTW with current information on the discharge of pollutants to the POTW from Industrial Users not regulated by categorical standards 	<ul style="list-style-type: none"> Description of the nature, concentration, and flow of the pollutants required to be reported by the Control Authority For industries subject to BMPs, documentation required to determine compliance with the BMP
Notification of Changed Discharge [40 CFR 403.12(j)]	Before any substantial changes in the volume or character of pollutants in the discharge	<ul style="list-style-type: none"> To notify the POTW of anticipated changes in wastewater characteristics and flow that could affect the POTW 	<ul style="list-style-type: none"> All anticipated changes that could affect the character or volume of the discharge
Notification of Hazardous Waste Discharge [40 CFR 403.12(p)]	No later than 180 days after the discharge of the listed or characteristic hazardous waste	<ul style="list-style-type: none"> To notify the POTW of the name of the hazardous waste and type of discharge (batch or continuous) 	<ul style="list-style-type: none"> The name of the hazardous waste, the EPA hazardous waste number, and the type of discharge If the user discharges more than 100 kilograms of hazardous waste per calendar month, the user must also submit (to the extent such information is known) an identification of the hazardous constituents contained in the wastes and an estimation of the mass of constituents in the wastestream expected to be discharged during the following 12 months
Notification of Changes Affecting Slug Discharge Potential [40 CFR 403.8(f)(2)(vi)]	Notification of POTW immediately of any changes at the facility that affects its potential for a slug discharge	<ul style="list-style-type: none"> To notify the POTW of changes that might require the facility to implement procedures to control slug discharges 	<ul style="list-style-type: none"> All changes that could affect the potential of a slug discharge

TABLE 8-4 (Continued)

Required report and citation	Report due date	Purpose of report	Information required
Annual Certification by NCSIUs [40 CFR 403.12(q)]	At least once a year	<ul style="list-style-type: none"> To provide to the POTW a statement that the facility is in compliance with the definition of NCSIU 	<ul style="list-style-type: none"> The certification statement at 40 CFR 403.12(q) must be signed in accordance with the signatory requirements in 40 CFR 403.12(l)
Notification of Bypass [40 CFR 403.17]	<p>If possible, at least 10 days before the date of the anticipated bypass.</p> <p>OR</p> <p>In the event of an unanticipated bypass, a verbal notification of a bypass that exceeds applicable Pretreatment Standards to the POTW within 24 hours from the time the Industrial User becomes aware of the bypass.</p>	<ul style="list-style-type: none"> To provide to the POTW a notice of a facility's intentional diversion or an unanticipated bypass of wastestreams from any portion of the facility's treatment facility 	<ul style="list-style-type: none"> A written submission must be provided within 5 days of the time the Industrial User becomes aware of the bypass. The written submission must contain a description of the bypass and its cause, the duration of the bypass (including exact dates and times), and if the bypass has not been corrected, the anticipated time it is expected to continue, and steps taken or planned to reduce, eliminate, and prevent reoccurrence of the bypass.



What are the standard conditions?

- a. Proper signage
- b. Proper Disposal of Hazardous Dump
- c. Signatory suggestions
- d. Right of Entry

What are the standard conditions?

- a. Duty to Write
- b. Non-transferability
- c. Duty to Provide Intelligence
- d. Duty to Mind

What are the standard conditions?

- a. Permit Modification
- b. Duty to Complete
- c. Duty to Return
- d. Proper Disposal of Pretreatment Paperwork

What are the standard conditions?

- a. Duty to Provide Information
- b. Duty to Conditions
- c. Permit Return
- d. Prohibits Disagreements

Standard Conditions

- Permit modification or revision
- Duty to Comply
- Duty to Provide Information
- Duty to Mitigate
- Non-transferability
- Prohibits Dilution
- Proper Disposal of Pretreatment Sludges
- Proper Disposal of Hazardous Wastes
- Signatory requirements
- Right of Entry

Additional/Special Conditions

- a. Compliance dating
- b. Compliance Schedules
- c. Additional Monkey Requirements,
- d. Special People for Zero Dischargers

Additional/Special Conditions

- Compliance Schedules
- Additional Monitoring Requirements
- Special Conditions for Zero Dischargers

Why Document Permit Decisions?

- a. Document basis of NPDES permit
- b. Create record of permit development
- c. Explain permit lines
- d. Create record of NPDES development

Documentation of Permit Decisions

- Remind the permit writer of the basis of the previous permit
- Document that permit conditions
- Create record of permit development
- Explain permit conditions
- Ensure permit modifications are documented
- Documents permitting rationale



**TABLE 11-1
COMPONENTS OF A PERMIT FACT SHEET**

1. Brief description of Industrial User, including the following:
 - Name, address, and location of the facility
 - Number of connections that the facility has to the sewer system, specifying the one(s) relevant to the fact sheet
 - Type of operations in which the facility is engaged (e.g., manufacture of battery terminals)
 - Brief description of the plant processes or other sources of generating wastewater
 - Categorical determination (if applicable):
 - List of raw materials used
 - Description of treatment processes (if applicable), including any O&M requirements
 - Description of sampling location
2. Type and quantity of the discharge:
 - Rate or frequency of the discharge; the average and maximum daily flow
 - Daily maximum and monthly average discharge of any pollutants present in significant quantities or subject to limitations or prohibition

TABLE 11-1 (continued)

3. Basis for the permit limits, including the following:
 - Permit application documents
 - Analytical data for pollutants provided in both a complete and summary form so that they can be easily reviewed and verified
 - Copies of or citations to federal, state, and local regulations
 - Copies of literature information where used to develop the permit limits (e.g., pages from the development documents)
 - Plant layouts and process and wastewater flow diagrams.
4. Detailed discussion of any special conditions in the permit and the rationale for pollutant selection and limits development, including the following:
 - Rationale for any monitoring waivers (e.g., pollutant not present), if applicable
 - Rationale for reduced monitoring, if applicable
 - Classification of NSCIU, if applicable
 - Equivalent limits, if established
 - Coverage under a general control mechanism, if applicable
5. Calculations showing the actual numbers used to derive each limit, including the following:
 - Combined wastestream formula or flow-weighted average calculations
 - Equivalent mass or concentration-based limits calculations
 - Local limits allocation basis

What is an Approval Authority Pretreatment Inspection?

- a. State or EPA calling POTW
- b. Stress
- c. Regulation
- d. A fun time

Approval Authority

Permit file review

1. Significant or Categorical
2. Industry description
3. Application date
4. Fact Sheet
5. Justification for limits
6. Permit effective & expiration date
7. Legal Authority
8. Signed by Control Authority

Approval Authority

Permit file reviews *continued*

9. Reply
10. Non-transferability
11. Limitations
12. TTO
13. Local limits
14. More frequent sampling
15. Self-monitoring requirements
16. 24-hr notification

Approval Authority

Permit file reviews *continued*

17. 30-day resampling
18. Sample frequency
19. Sample locations
20. Types of samples
21. Justification for grab or time composite
22. Reporting requirements
23. How often are reports submitted

Approval Authority

Permit file reviews *continued*

24. Right of entry
25. Records retention
26. Civil or Criminal Penalty
27. Revocation of permit
28. Sampling & analysis per 40 CFR Part 136
29. Compliance schedules
30. General prohibitions
31. Specific prohibitions

Approval Authority

Permit file reviews *continued*

- 32. Notification of changed discharge
- 33. Reflects most recent changes
- 34. Slug Control Plan
- 35. Federal category
- 36. Bypass provision
- 37. Upset provision
- 38. Affirmative defense provision
- 39. Hazardous waste notification

Approval Authority

Permit file reviews *continued*

- 40. Properly categorized
- 41. Categorical Standard & Local Limits properly applied
- 42. Production-based standards
- 43. Combined Wastestream Formula
- 44. Flow weighted average formula



Questions?



UTAH DEPARTMENT of
ENVIRONMENTAL QUALITY

**WATER
QUALITY**