

SEP POLICY COMPLIANCE EVALUATION FORM

PROJECT NAME: _____

COST OF SEP: _____

TOTAL PROJECT COST (if different from SEP): _____

Project Requested by: _____

Date of Request: _____

Point of Contact: _____

	YES	NO
PROJECT PROPONENT		
Is the SEP being performed by the Discharger?		
Is the SEP being performed by a third-party?		
GENERAL PROJECT ATTRIBUTES		
Does the SEP go above and beyond the otherwise applicable obligations of the discharger?		
Does the SEP directly benefit groundwater quality or quantity?		
Does the SEP directly benefit surface water quality or quantity?		
NEXUS		
Is there a location nexus?		
Is there a violation nexus?		
WHAT IS THE WATER QUALITY BENEFIT?		
Monitoring program		
Study or Investigation		
Water or soil treatment		
Habitat restoration or enhancement		
Pollution prevention or reduction		
Wetland, stream or other waterbody protection, restoration or creation		
Conservation easement		
Stream augmentation		
Reclamation		
Watershed assessment		
Watershed management facilitation services		
Compliance training, education and development of educational materials		
Enforcement project, training for environmental compliance and enforcement personnel		
Non-point source program implementation		
Other acceptable project		
WATER BOARD INVOLVEMENT		
Does the SEP benefit, in a fiscal manner, Water Board's members, staff or family?		
ADDITIONAL SEP QUALIFICATION CRITERIA		
Does the SEP request more than 50% of the proposed ACL? If so, has Office of Enforcement approval been granted?		
Does the SEP have support from other public agencies, public groups or affected persons?		
Does the SEP directly benefit the area where the harm occurred or provide region-wide or statewide use or benefit?		

	YES	NO
ADDITIONAL SEP QUALIFICATION CRITERIA (continued)		
Does the SEP need to comply with CEQA?		
Is there additional funding available?		
Does the project proponent have the stability and capacity to complete the SEP?		
Does the SEP have success criteria and requirements for monitoring to track the long-term success of the project?		
Does the SEP contain a detailed scope of work?		
Does the SEP include performance standards or indicators of performance?		
Does the SEP include a time schedule with milestones, including a final completion date?		
Does the SEP include a detailed budget for milestone activities?		
Does the SEP specify frequency of status report submittal?		
Does the SEP contain a statement that the discharger accepts ultimate responsibility for meeting milestones, standards and indicators and that failure to comply will result in the suspended penalty becoming immediately due and payable to the CAA ?		
Does the SEP acknowledge that any publicity relating to the SEP will prominently state that the project is being undertaken as part of the settlement of a Regional Board action?		
Does the SEP require Regional Board oversight? If so, does the discharger agree to pay oversight costs over and above the amount of liability being suspended for the SEP?		
Does the SEP require a third-party audit? If so, does the SEP identify an independent third-party auditor?		
Does the SEP contain a requirement for submittal a final completion report by a specified milestone date, submitted under penalty of perjury?		
Does the SEP contain a requirement for a final accounting of expenditures performed by an independent third-party?		
FINAL DETERMINATION		
Does the SEP comply with the Enforcement Policy?		