STATE WATER RESOURCES CONTROL BOARD
1001 I Street, Sacramento, California 95814
INFORMAL STAFF DRAFT – FEBRUARY 2021
ORDER WQ 202X-XXXX-DWQ

STATEWIDE WASTE DISCHARGE REQUIREMENTS

GENERAL ORDER FOR SANITARY SEWER SYSTEMS

All ***italicized*** terms in this General Order are defined in Attachment A of this Order.

Table 1. Key Definitions for the Purpose of this Order

Sanitary Sewer System	A *sanitary sewer system* is a system that is designed to convey sewage, including but not limited to, pipes, manholes, pump stations, syphons, wet wells, diversion structures and/or other pertinent supporting infrastructure, upstream of a wastewater treatment plant headworks, including: • *Laterals* owned by *the Enrollee;* • *Satellite sewer systems;* and/or • Temporary conveyance and storage facilities, including but not limited to temporary piping, vaults, construction trenches, wet wells, impoundments, tanks and diversion structures.
Enrollee	An *Enrollee* is a public or private entity that has submitted a complete application and has obtained approval for regulatory coverage under this General Order, including: A federal or state agency, municipality, special district, or other public entity that owns and/or operates a *sanitary sewer system* with pipelines totaling more than one (1) mile in length; or A private company that owns and/or operates a *sanitary sewer system* of any size where the State Water Resources Control Board or a Regional Water Quality Control Board identifies the need to be regulated, and that is not regulated under separate waste discharge requirements issued by a Regional Water Quality Control Board.
Waste Discharge Identification Number (WDID)	A waste discharge identification number (WDID) identifies each individual sanitary sewer system enrolled under this General Order. A WDID number is assigned to each enrolled system upon an ***Enrollee's*** approved regulatory coverage.

Spill	A *spill* is a release, or any other type of emission, of *sewage* from any portion of a *sanitary sewer system* due to system overflow, flow stoppage, system leaks, operational failure and/or infrastructure failure. A *spill* includes underground exfiltration[1] of *sewage* from a *sanitary sewer system* through cracks in pipes, misaligned joints, seepage through porous materials, or other means, to groundwater, the ground surface, or a surface water of the State.
Discharge	A *discharge* is a *spill*, or any other type of emission or release of sewage from a *sanitary sewer system* whether or not it reaches a *water of the State.*
Sewage	*Sewage* is untreated or partially treated domestic, municipal, commercial and/or industrial *waste* (including sewage sludge) conveyed in a *sanitary sewer system*.

[1] This General Order does not regulate underground exfiltration of sewage from a sanitary sewer system to underground soil that does not reach groundwater, the ground surface, or a surface *water of the State. Such exfiltrated sewage is not considered t*o be a *spill* and is not subject to regulation under this Order.

This General Order does not convey any property rights of any sort or any exclusive privileges. The requirements prescribed herein do not authorize the commission of any act causing injury to persons or property, nor protect the *Enrollee* from liability under federal, state, or local laws, nor create a vested right for the *Enrollee* to continue the *discharge* of *waste*.

Table 2. Administrative Information

This Order was adopted by the State Water Resources Control Board on XXXX XX, 202X.
This Order shall become effective on XXXX XX, 202X.

CERTIFICATION

I, Jeanine Townsend, Clerk to the Board, do hereby certify that this Order with all attachments is a full, true, and correct copy of the Order adopted by the State Water Board on XXXX XX, 202X.

AYE:
NAY:
ABSENT
ABSTAIN:

Jeanine Townsend
Clerk to the Board

Table of Contents

Table of Attachments

1. INTRODUCTION

A *sanitary sewer system* is a combination of pipelines, valves, pump stations, manholes, and other auxiliary infrastructure designed, operated, and maintained to convey *sewage* from system users to a downstream wastewater treatment plant or facility. *Sewage* contains high levels of suspended solids, non-digested organic waste, pathogenic bacteria, viruses, toxic pollutants, nutrients, oxygen-demanding organic compounds, oils, grease, pharmaceuticals, and other harmful pollutants. *Sewage* spilled from a *sanitary sewer system* threatens public health, *beneficial uses* of waters of the State, and the environment.

This General Order serves as statewide waste discharge requirements. All sections, attachments and appendices of this General Order are enforceable by the State Water Resources Control Board (State Water Board) and Regional Water Quality Control Boards (Regional Water Boards). Through this General Order, the State Water Board requires *Enrollees* to:

- Comply with specifications, provisions, and notification, monitoring and reporting requirements that implement the federal Clean Water Act, the California Water Code (Water Code), water quality control plans (including Regional Water Quality Control Board *Basin Plans*), and statewide water quality control policies;
- Comply with federal and state prohibitions of *discharge* of *sewage* to waters of the United States and other waters of the State;
- Prevent any spill from the sanitary sewer system in violation of this General Order.
- Proactively operate and maintain sewer systems to ensure system resiliency and prevention of *spills*;
- Eliminate *discharges* of *sewage* to waters of the State through effective implementation of a Sewer System Management Plan;
- Monitor, analyze, and track *spills* for ongoing system performance evaluation; and
- Immediately report any noncompliance with this General Order.

This General Order supersedes previous State Water Board Order 2006-0003-DWQ and amendments thereafter.

2. REGULATORY COVERAGE AND APPLICATION REQUIREMENTS

2.1. Requirements for *Continuation of Existing Regulatory Coverage*

To maintain continuation of regulatory coverage from previous Order 2006-003-DWQ to coverage under this General Order, **60-days-prior-to the effective Date of this General Order**, XXXX XX, 202X, the *Legally Responsible Official* of an *Enrollee* with regulatory coverage under previous General Order 2006-0003-DWQ shall electronically certify *Continuation of Existing Regulatory Coverage* in the *California Integrated Water Quality System (CIWQS)*. The *Legally Responsible Official* will receive an automated CIWQS-issued Notice of Applicability email, dated per the date of the *Enrollee*'s electronic certification, that the *Enrollee* maintains continuation of regulatory coverage

under this General Order, commencing on the Effective Date of this Order. All regulatory coverage under previous Order 2006-003-DWQ will cease on the Effective Date of this Order. An *Enrollee* with coverage under previous Order 2006-0003-DWQ that fails to electronically certify continuation of coverage under this General Order as specified above, will not have regulatory coverage for its sanitary sewer system as of the Effective Date of this Order.

2.2. Effective Date of This Order

Upon the Effective Date of this General Order, all requirements within this Order, including the Attachments to this Order, become effective; the *Enrollees* shall comply with requirements of this General Order upon the Effective Date.

2.3. Application Package Requirements for New Applicants

2.3.1. Application Package for System Enrollment

Within 60 days prior to commencing and/or assuming operation and maintenance responsibilities of a *sanitary sewer system* required to be enrolled under this General Order, a legally authorized representative of the public or private entity that maintains legal authority over the *sanitary sewer system* shall submit a complete Application for Enrollment package as provided in Attachment B of this General Order.

A previous *Enrollee* of Order 2006-0003-DWQ that fails to complete the *Continuation of Existing Regulatory Coverage,* as specified in section 2.1 above, is a New Applicant and does not have coverage under this General Order until the date of approval of its complete application package for system enrollment, as specified in section 2.3.2 below.

2.3.2. Approval of Complete Application Package for System Enrollment

The Deputy Director of the State Water Board Division of Water Quality (Deputy Director) will consider approval of each complete Application for Enrollment package. The Deputy Director will issue a Notice of Applicability letter which serves as approved regulatory coverage for the new *Enrollee*.

If the submitted application package is not complete in accordance with application package requirements of this General Order, the Deputy Director will send a response letter to the applicant outlining the application deficiencies. The *Legally Responsible Official* will have 60 days from the date of the response letter to correct the application deficiencies and submit the identified items necessary to complete the Application for Enrollment Package to the State Water Board.

2.3.3. Required Application for Enrollment Package Items

The Application for Enrollment package for new applicants must include the following items:

- **Application for Enrollment Form**. A completed Application for Enrollment form (Attachment B), signed and certified by a *Legally Responsible Official*, in accordance with section 5.3 (*Designation of Legally Responsible Official*). If an electronic

Application for Enrollment form is available at the time of application, a new applicant shall submit its application form electronically; and

- **Application Fee**. A fee payable to the "State Water Resources Control Board" in accordance with the Fee Schedule required in the California Code of Regulations, Title 23, section 2200 or subsequent fee regulations updates.

  The application fee for this General Order is based on the sanitary sewer system's threat to water quality and complexity designations of 2C or 3C based on the population served by the *sanitary sewer system*. The current fee schedule for *sanitary sewer system*s is listed under Category C2 at the following website: Fee Schedule (https://www.waterboards.ca.gov/resources/fees/water_quality/)

2.4. Regulatory Coverage Transfer

Regulatory coverage under this General Order is not transferable to any person or party except after an existing *Enrollee* submits a written notice serving as a Regulatory Coverage Transfer request to the Deputy Director at least 60 days in advance of any proposed system ownership transfer. The written request must include a written agreement between the existing *Enrollee* and new *Enrollee* containing:

- Acknowledgement that the transfer of ownership is solely of an existing system with an existing waste discharge identification (WDID) number;
- The specific ownership transfer date in which the responsibility and regulatory coverage between the existing *Enrollee* and the new *Enrollee* becomes effective; and
- Acknowledgement that the existing *Enrollee* is liable for violations occurring up to the transfer date and that the new *Enrollee* is liable for violations occurring on and after the transfer date.

The Deputy Director will consider approval of the written request. If approved, the Deputy Director will issue a Notice of Applicability letter which serves as approved regulatory coverage for the new *Enrollee*.

3. FINDINGS

3.1. Legal Authorities

3.1.1. Federal and State Regulatory Authority

The objective of the Clean Water Act is to restore and maintain the chemical, physical, and biological integrity of the waters of the United States. (33 U.S.C. 1251.) The Water Code authorizes the State Water Board to implement the Clean Water Act in the State and to protect the quality of all waters of the State (Water Code sections 13000 and 13160).

3.1.2. Discharge of Sewage

A *discharge* of raw or partially treated *sewage* is a discharge of *waste* as defined in Water Code section 13050(d) that could affect the quality of waters of the State and is subject to regulation by waste discharge requirements issued pursuant to Water Code

section 13263 and Chapter 9, Division 3, Title 23 of the California Code of Regulations . A discharge of *sewage* may pollute and alter the quality of the waters of the State to a degree that unreasonably affects the *beneficial uses* of the *receiving water* body or facilities that serve those *beneficial uses*. (Water Code section 13050(l)(1)).

3.1.3 Water Boards Authority for Reporting

Water Code sections 13267 and 13383 authorize the Regional Water Boards and State Water Board to establish monitoring, inspection, entry, reporting, and recordkeeping requirements. Water Code section 13267(b), authorizes the regional water boards to "require any person who has discharged, discharges, or is suspected of having discharged or discharging, or who proposes to discharge waste within its region… or is suspected of having discharged or discharging, or who proposes to discharge, waste outside of its region that could affect the quality of water within its region shall furnish, under penalty of perjury, technical or monitoring reports which the regional board requires… In requiring those reports, the regional board shall provide the person with a written explanation with regard to the need for the reports and shall identify the evidence that supports requiring that person to provide the reports." Water Code section 13267(f) authorizes the State Water Board to require this information if it consults with the Regional Water Boards and determines that it will not duplicate the efforts of the Regional Water Boards. The State Water Board has consulted with the Regional Water Boards and made this determination.

Water Code section 13383(a) authorizes the Water Boards to "establish monitoring, inspection, entry, reporting, and recordkeeping requirements… for any person who discharges, or proposes to discharge, to navigable waters, any person who introduces pollutants into a publicly owned treatment works, any person who owns or operates, or proposes to own or operate, a publicly owned treatment works or other treatment works treating domestic sewage, or any person who uses or disposes, or proposes to use or dispose, of sewage sludge." Section 13383(b) continues, "the state board or the regional boards may require any person subject to this section to establish and maintain monitoring equipment or methods, including, where appropriate, biological monitoring methods, sample effluent as prescribed, and provide other information as may be reasonably required."

Failure to comply with the notification, monitoring and reporting requirements of a Water Board order may subject the *Enrollee* to civil liabilities of up to $10,000 a day per violation pursuant to Water Code section 13385; up to $1,000 a day per violation pursuant to Water Code section 13268; or referral to the Attorney General for judicial civil enforcement.

3.1.4. Water Board Authority to Prescribe General Waste Discharge Requirements

Water Code section 13263(i) provides that the State Water Board may prescribe general waste discharge requirements for a category of discharges if the Board finds or determines that:

- The discharges are produced by the same or similar operations;
- The discharges involve the same or similar types of *waste*;
- The discharges require the same or similar treatment standards; and

- The discharges are more appropriately regulated under general waste discharge requirements than individual waste discharge requirements.

California has over 1100 publicly owned *sanitary sewer systems* regulated by a State Water Board statewide order since 2006. (See finding below.) California also has a large unknown number of unregulated privately-owned *sanitary sewer systems*. All waste conveyed in publicly owned and privately-owned *sanitary sewer systems* (as defined in this General Order) is comprised of untreated or partially treated domestic waste and/or industrial waste. Generally, *sanitary sewer systems* are designed and operated to convey waste by gravity or under pressure; system-specific design elements and system-specific operations do not change the common nature of the waste, the common threat to public health, or the common impacts on water quality. All *spills* (releases or emissions) of waste from a *sanitary sewer system* prior to reaching the ultimate downstream treatment facility are unauthorized and enforceable by the State Water Board and/or a Regional Water Board. Therefore, *spills* from *sanitary sewer system*s are more appropriately regulated under general waste discharge requirements.

As specified in Water Code sections 13263(a) and 13241, the implementation of requirements set forth in this Order will ensure the reasonable protection of past, present, and probable future beneficial uses of water and the prevention of nuisance. The requirements implement the water quality control plans (Basin Plans) for each region and take into account the environmental characteristics of hydrographic units within the state. Additionally, the State Water Board has considered water quality conditions that could reasonably be achieved through the coordinated control of all factors that affect water quality in the area, costs associated with compliance with these requirements, the need for developing housing within California, and the need to develop and use recycled water.

3.1.5. Previous Statewide General Waste Discharge Requirements

On May 2, 2006, the State Water Board adopted Order 2006-0003-DWQ serving as Waste Discharge Requirements pursuant to Article 4, Chapter 4, Division 7 of the Water Code (commencing with section 13260) for inadvertent *discharges* to waters of the State. Order 2006-003-DWQ prohibited discharges of untreated or partially treated *sewage*, Order 2006-0003-DWQ also required systems-specific management, operation, and maintenance of sewer systems greater than one mile in length.

On July 30, 2013, the State Water Board amended General Order 2006-0003-DWQ with Order WQ 2013-0058-EXEC, Amending Monitoring and Reporting Program for Statewide General Waste Discharge Requirements for *Sanitary Sewer Systems*.

3.2. General

3.2.1. Waters of the State

Waters of the State include any surface water or groundwater, including saline waters, within the boundaries of the state as defined in Water Code section 13050(e), and are inclusive of waters of the United States.

3.2.2. Sanitary Sewer System Spill Threats to Public Health and Beneficial Uses

Sanitary sewer spills may:

- Adversely affect or threaten water quality when reaching *receiving waters*.
- Contain pollutants, including nutrients, toxics from industrial, commercial and residential sources, wastewater solids and debris, and other untreated waste;
- Threaten public health through direct public exposure to bacteria, viruses, intestinal parasites, and other microorganisms that can cause serious illness such as gastroenteritis, hepatitis, cryptosporidiosis, and giardiasis;
- Negatively impact ecological receptors and biota within surface waters; and
- Cause *nuisance* including odors, closure of beaches and recreational areas, and property damage.

Sanitary sewer system spills may pollute *receiving waters* and threaten *beneficial uses* of surface water and groundwater. Potentially threatened beneficial uses include, but are not limited to the following *beneficial uses* (with associated acronym representations as included in statewide water quality control plans and Regional Water Quality Control Board *basin plans*):

- Municipal and domestic supply (MUN);
- Water contact recreation (REC-1) and non-contact water recreation (REC-2);
- Cold freshwater habitat (COLD);
- Warm freshwater habitat (WARM);
- Native American Culture (CUL);
- Wildlife habitat (WILD);
- Rare, threatened, or endangered species (RARE);
- Spawning, reproduction, and/or early development (SPWN);
- Wetland habitat (WET);
- Agricultural supply (AGR);
- Estuarine habitat (EST);
- Commercial and sport fishing (COMM);
- Aquaculture (AQUA);
- Marine Habitat (MAR);
- Preservation of biological habitats of special significance (BIOL);
- Migration of aquatic organisms (MIGR);
- Shellfish harvesting (SHELL);
- Industrial Process Supply (PROC);
- Fresh water replenishment (FRSH);
- Groundwater recharge (GWR); and
- Inland saline water habitat (SAL).

3.2.3. Proactive Sanitary Sewer System Management to Eliminate Spill Causes

Many *spills* are preventable through proactive *sanitary sewer system* management using *best industry practices and available technologies* to address major causes of *spills* including but not limited to:

- Blockages from sources including but not limited to:
  - Grease, oils and fats;
  - Tree roots;
  - Rags, flushable wipes and other paper, cloth and plastic products; and
  - Sediment and debris.
- Sewer system damage from identified system-specific environmental, climate, and climate-change impacts, including but not limited to:
  - Sea level rise and sea level rise impacts including flooding, coastal erosion, seawater intrusion, tidal inundation and submerged lands;
  - Increased surface water flows due to higher intensity rain events;
  - Flooding;
  - Wildfires and wildfire induced impacts;
  - Earthquake induced damage;
  - Wildfires and surrounding burn areas;
  - Landslides; and
  - Subsidence.
- Infrastructure deficiencies and failures, including but not limited to:
  - Pump station mechanical failures;
  - System age;
  - Construction material failures;
  - Manhole cover failures;
  - Structural failures; and
  - Lack of proper operation and maintenance.
- Insufficient system capacity (temporary or sustained), due to factors including but not limited to:
  - Excessive storm or ground water inflow/infiltration;
  - Population increase and/or new connections from industrial, commercial and other system users; and
  - Stormwater capture projects utilizing a *sanitary sewer system* to convey stormwater to treatment facilities for reuse.
- Community impacts, including but not limited to:
  - Power outages;
  - Vandalism; and
  - Contractor-caused or other third party-caused damages.

3.2.4. Underground Sanitary Sewer System Leakage

Not all, yet many *sanitary sewer system*s leak, causing underground exfiltration (exiting) of *sewage* from the system. Underground exfiltration of *sewage*, in and of itself, does not threaten *beneficial uses*. Exfiltrated sewage that remains in the underground infrastructure trench and/or the soil matrix, and that does not *discharge* into a *water of the State* (surface water or groundwater) may not threaten *beneficial uses* and is not subject to regulation under this Order.

Underground exfiltrated *sewage* may threaten *beneficial uses* if that waste *discharges* to a *water of the State*. Exfiltrated *sewage* that *discharges* to groundwater may threaten and impact *beneficial uses* of groundwater and pollute groundwater. Additionally, exfiltrated *sewage* to the ground surface or into a compromised underground *drainage conveyance system* that *discharges* into a *water of the United States*, or into groundwater that is *hydraulically connected* to (feeds into) a *water of the United States*, may: (1) be a Clean Water Act violation, (2) threaten and impact *beneficial uses* of surface waters, and (3) pollute surface water.

3.2.5. Proactive Sanitary Sewer System Management to Reduce Inflow and Infiltration

Excessive inflow and infiltration to *sanitary sewage systems* is preventable through proactive sewer system management using *best industry practices and available technologies*. The efficiency of treatment at a downstream wastewater treatment plant depends strongly on the performance of the *sanitary sewer system*. When the structural integrity of a *sanitary sewer system* deteriorates, high volumes of inflow and infiltration (including rainfall-induced infiltration) can enter the sewer system. High levels of inflow and infiltration increase the hydraulic load on the downstream treatment plant, which can reduce treatment efficiency, lead to bypassing a portion of the treatment process, or in extreme situations make biological treatment facilities inoperable (e.g., wash out the biological organisms that treat the waste).

3.3. Water Quality Control Plans, Policies and Resolutions

3.3.1. Regional Water Board Basin Plans

The nine Regional Water Boards have adopted region-specific water quality control plans (commonly referred to as *Basin Plans*) that designate *beneficial uses*, establish *water quality objectives,* and contain implementation programs and policies to achieve those objectives. The State Water Board has adopted statewide water quality control plans, policies and resolutions establishing statewide *water quality objectives*, implementation programs and initiatives.

3.3.2. State Water Board Antidegradation Policy

On October 28, 1968, the State Water Board adopted Resolution 68-16, titled Statement of Policy with Respect to Maintaining High Quality of Waters in California, which incorporates the federal antidegradation policy. Resolution 68-16 requires that existing water quality be maintained unless degradation is justified based on specific findings.

The continued prohibition of *sewage* discharges from *sanitary sewer system*s into waters of the State aligns with Resolution 68-16. A *sewage* discharge from sanitary

sewers to a *water of the State* is prohibited by this Order. Therefore, this Order does not allow degradation of waters of the State. In addition, this Order: (1) further clarifies the existing prohibitions of sewage discharges to all waters of the State, as provided in previous Order 2006-0003-DWQ, (2) adds regulation of sewage spills due to exfiltration, and (3) enhances the ability for Water Board enforcement of violations of the established prohibitions.

3.3.3. State Water Board Sources of Drinking Water Policy

On May 19,1988, the State Water Board adopted Resolution 88-63 (amended on February 1, 2006), titled Sources of Drinking Water, establishing state policy that designates all waters of the State, with certain exceptions, as suitable or potentially suitable for municipal or domestic supply.

3.3.4. State Water Board Cost of Compliance Resolution

On September 24, 2013, the State Water Board adopted Resolution 2013-0029, titled Directing Actions in Response to Efforts by Stakeholders on Reducing Costs of Compliance While Maintaining Water Quality Protection. Through this resolution, the State Water Board committed to continued stakeholder engagement in identifying and implementing measures to reduce costs of compliance with regulatory orders while maintaining water quality protection and improving regulatory program outcomes.

3.3.5. State Water Board Human Right to Water Resolution

On February 16, 2016, the State Water Board adopted Resolution 2016-0010, titled Adopting the Human Right to Water as a Core Value and Directing its Implementation in Water Board Programs and Activities, addressing the human right to water as a core value and directing Water Board programs to implement requirements to support safe drinking water for all Californians.

3.3.6. State Water Board Open Data Resolution

On July 10, 2018, the State Water Board adopted Resolution 2018-0032, titled Adopting Principles of Open Data as a Core Value and Directing Programs and Activities to Implement Strategic Actions to Improve Data Accessibility and Associated Innovation, directing regulatory programs to assure all monitoring and reporting requirements support the State Water Boards' Open Data Initiative.

3.3.7. State Water Board Response to Climate Change

On March 7, 2017, the State Water Board adopted Resolution 2017-0012, titled Comprehensive Response to Climate Change, requiring a proactive response to climate change in all California Water Board actions, with the intent to embed climate change consideration into all programs and activities.

3.4. California Environmental Quality Act

The adoption of this Order is an action to reissue general waste discharge requirements that is exempt from the California Environmental Quality Act (Public Resources Code section 21000 et seq.) because it is an action taken by a regulatory agency to assure the protection of the environment and the regulatory process involves procedures for protection of the environment. (Cal. Code Regs., Title. 14, section 15308). In addition, the action to adopt this Order is exempt from CEQA pursuant to Cal. Code Regs., Title

14, section 15301 to the extent that it applies to existing sanitary sewer collection systems that constitute “existing facilities” as that term is used in sections 15301 and 15302, to the extent that it results in the repair or replacement of existing systems involving negligible or no expansion of capacity.

3.5. State Water Board Funding Assistance for Compliance with Water Board Water Quality Orders

In accordance with State Water Board, Division of Financial Assistance funding program policies and guidelines, local public agencies may apply for Clean Water State Revolving Fund low-interest loan funding assistance for costs associated with complying with this General Order.

Section 13477.6 of the Water Code authorizes the Small Community Grant Fund. The Small Community Grant Fund allows the State Water Board to provide grant funding assistance to small disadvantaged communities and small severely disadvantaged communities that may not otherwise be able to afford a loan or similar financing for projects to comply with requirements of this General Order.

3.6. Notification to Interested Parties

On XXXX XX, 202X, the State Water Board notified interested parties and persons of its intent to reissue Sanitary Sewer Systems General Order 2006-0003-DWQ by issuing a draft General Order for a XX-day public comment period. State Water Board staff conducted extensive stakeholder outreach and encouraged public participation in the adoption process for this General Order. On XXXX XX, 202X, the State Water Board held a public meeting to hear and consider oral public comments. The State Water Board considered all public comments prior to adopting this General Order.

THEREFORE, IT IS HEREBY ORDERED, that pursuant to Water Code sections 13263, 13267, and 13383 this General Order supersedes Order 2006-0003-DWQ, Order WQ 2013-0058-EXEC, and any amendments made to these Orders thereafter, except for enforcement purposes and to meet the provisions contained in Division 7 of the Water Code (commencing with section 13000) and regulations adopted thereunder, and the provisions of the Clean Water Act and regulations and guidelines adopted thereunder, the *Enrollee* shall comply with the requirements in this Order.

4. PROHIBITIONS

4.1. Discharge of Sewage from a Sanitary Sewer System

Any *spill* of sewage from a *sanitary sewer system* is prohibited.

4.2. Discharge of Sewage to Waters of the State

Any discharge of untreated or partially treated sewage to waters of the State is prohibited.

4.3. Discharge of Sewage Creating a Nuisance

Any discharge of untreated or partially treated *sewage* that creates a *nuisance* as defined in Water Code section 13050(m) is prohibited.

5. SPECIFICATIONS

5.1. Sewer System Management Plan Development and Implementation

The *Enrollee* shall develop, maintain, and fully implement an updated comprehensive *Sewer System Management Plan*, of this General Order (Definitions) to proactively prevent *spills* from its system(s). The *Sewer System Management Plan* must address, at minimum, all required Plan elements in Attachment D of this General Order (Sewer System Management Plan – Required Elements). The Sewer System Management Plan must address the implementation of current standard industry practices through available equipment, technologies, and strategies for operating and maintaining sewer systems and managing local sanitary sewer programs.

5.2. Five-Year Sewer System Management Plan Update

At a minimum, the *Enrollee* shall update its Sewer System Management Plan every five (5) years after the original date of its first Plan adoption by the local governing board. The updated Sewer System Management Plan must include all changes to sewer system management-related plans and programs. The *Enrollee's* local governing board is required to approve the updated Plan and the *Legally Responsible Official* must certify and submit the updated Sewer System Management Plan into CIWQS in accordance with the requirements of this General Order.

During the time period in between its local board approval of Sewer System Management Plan updates, the *Enrollee* must continuously document changes and updates to its Sewer System Management Plan in a change log attached to the Plan.

5.3. Proactive System Resiliency – Risk Assessment and Remediation Prioritization

The *Enrollee* shall develop and implement ongoing system resiliency efforts, as specified in Attachment D of this General Order (Sewer System Management Plan – Required Elements) to address high-risk and high-priority sewer/program areas that are contributing, or potentially contributing to system *spills*. The *Enrollee* shall include updated risk assessment and remediation prioritization elements in each 5-year *Sewer System Management Plan* update. The *Enrollee* shall implement (and update as necessary) the system resiliency elements in its *Sewer System Management Plan* to ensure the prevention of future *spills*.

If an *Enrollee's* next *Sewer System Management Plan* update is within two (2) years of the effective date of this General Order, the system resiliency requirements must be included in the subsequent Plan update.

5.3.1. Proactive System Resiliency Requirement for Disadvantaged Communities

In recognition of lack of local resources available for *disadvantaged communities*, the Risk Assessment and Remediation Prioritization requirements specified in this section

and in Attachment D of this General Order are reduced to a one-time requirement for *disadvantaged communities*. *Disadvantaged communities* are required to conduct and implement a one-time Risk Analysis, Remediation Prioritization, and corresponding Corrective Actions, as detailed in Attachment D of this General Order, and must include the updated Corrective Actions in its next update of its Sewer System Management Plan.

If a *disadvantaged community*'s next Sewer System Management Plan update is within four (4) years of the effective date of this General Order, the one-time system risk analysis and remediation prioritization requirements must be included in the subsequent Plan update.

5.4. Local Resources for Full Implementation of Sewer System Management Plan

The *Enrollee's* governing board shall approve the *Sewer System Management Plan* in its entirety (including change logs and other attachments and references made therein) and provide necessary staffing, contractor, and budget resources for full implementation of the approved Plan and full compliance with this General Order. The *Enrollee's* governing board shall allocate necessary resources for the planning, operation, maintenance, and repair of its *sanitary sewer system.*

5.5. Designation of a Legally Responsible Official

The *Enrollee* shall designate a duly authorized representative that has the appropriate knowledge, authority and expertise to serve as a *Legally Responsible Official* to certify the Sewer System Management Plan and spills. The *Legally Responsible Official* shall complete the Legally Responsible Official form in CIWQS for each of its enrolled systems. (A *Legally Responsible Official* that represents multiple enrolled systems shall complete a Legally Responsible Official form for each system.)

The *Legally Responsible Official* must:

- Have responsibility over operation or management of the *Enrollee's* entire *sanitary sewer system* (Example include a sewer systems superintendent or manager, an operations manager, a public utilities manager or director, or a district engineer);

  and

- Hold current registration or certification as a:
  - Professional Engineer registered in the State of California,

    or
  - *Grade III Certified collection system operator* certified by the California Water Environment Association or the Sacramento State University Office of Water Programs.

The *Legally Responsible Official* shall certify that the Sewer System Management Plan and subparts thereof: (1) comply with the requirements of this General Order, and (2) comply with the *Enrollee's* required prevention of *spills* through increased system resiliency.

The *Enrollee* shall submit any change to its *Legally Responsible Official*, and/or change in contact information, to the State Water Board within 30 calendar days of the change by emailing help@ciwqs.waterboards.ca.gov and copying the appropriate Regional Water Board as provided in Attachment F of this General Order.

5.6. Designation of Data Submitters

The *Legally Responsible Official* may designate one or more individuals as a *Data Submitter* for reporting purposes. The *Legally Responsible Official* shall authorize the designation of one or more *Data Submitter*s through CIWQS prior to the individuals entering *spill* data into CIWQS.

The *Legally Responsible Official* shall submit any change to its *Data Submitter*, and/or change in contact information, to the State Water Board within 30 calendar days of the change by emailing help@ciwqs.waterboards.ca.gov and copying the appropriate Regional Water Board as provided in Attachment F of this General Order.

5.7. Certification of Sewer System Management Plan

The *Legally Responsible Official* shall upload its Sewer System Management Plan and all updates to the Plan (as required in section 5.1 of this General Order), and electronically certify the Sewer System Management Plan, and subsequent Plan updates within the California Integrated Water Quality System (CIWQS) Sewer System Management Plan module in accordance with spill database procedures provided in CIWQS. Alternately, the *Enrollee* shall maintain its *Sewer System Management Plan* on its publicly accessible internet site and shall provide the web link to the Plan on a document uploaded to CIWQS.

5.8. Reporting Certification

The *Legally Responsible Official* shall electronically certify and sign, on the *Enrollee's* behalf, all applications, reports, Sewer System Management Plan(s) and corresponding updates, and other information submitted electronically to the State Water Board and/or a Regional Water Quality Control Board, as accommodated by CIWQS, and as follows:

"I certify under penalty of perjury under the laws of the State of California that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to ensure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations. Additionally, I certify that: (1) all reports and notifications of all sanitary sewer spills and/or discharges, (2) development and implementation of a Sewer System Management Plan, and (3) all required reports, comply with the requirements of the Statewide Sanitary Sewer Systems General Order."

All electronic reporting, electronic signatures and accompanying certifications must be in compliance with the spill database procedures provided in *CIWQS*.

All hardcopy submittals to the State Water Board and/or a Regional Water Board must be accompanied by the above certification statement.

5.9. System Capacity

The *Enrollee* shall maintain the system capacity necessary to convey base flows and design peak wet weather flows to prevent: (1) system capacity-related *spills*, and (2) adverse impacts to the treatment efficiency of downstream wastewater treatment facilities. System capacity must meet or exceed the design criteria as defined in the System Evaluation and Capacity Assurance Plan in the *Enrollee*'s *Sewer System Management Plan*.

5.10. System Performance Analysis

The *Enrollee* shall perform a running 10-year system performance analysis and include the analysis in its *Annual Report*. The System Performance Analysis shall analyze and present in graph format the following information:

(1) Identification of the current calendar year – the calendar year covered in the *Annual Report (*X axis of graph*)*;

(2) Identification of the running 10-year period which includes the current calendar year and the nine previous calendar years resulting in the current running 10-year period (X axis of graph);

(3) The total annual spill volume, per year, for the running 10-year period identified in Item (2) above (Y axis of graph);

(4) The total number of *spills*, per each year, for the running 10-year period identified in Item (2) above (Y axis of graph);

(5) The total length of system, in miles;

(6) The number of *spills* per 100 miles per each year, for the running 10-year period identified in Item (2) above (Y axis of graph);

The graph must be labeled as follows:

- An X-axis, in the units of "year", labeled with each calendar year within the running 10-year period identified in Item (2) above, on the X axis;
- A Left Y-axis, in the unit of "gallons", labeled "total annual spill volume";
- A Right Y-axis, in the unit of "number of *spills*", labeled "number of *spills* per 100 miles per year";
- Plotted and labeled graph content illustrating the annual spill volume (in units of gallons) for each calendar year within the running 10-year period identified in Item (2) above, (per left Y axis); and
- Plotted and labeled graph content illustrating the number of *spills* per 100 miles, for each calendar year within the running 10-year period identified in Item (2) above, (per right Y axis).

5.11. Internal Program Audits

The *Enrollee* shall conduct an internal program audit, at a minimum of every two years, to evaluate the effectiveness of its sewer system management program, identify deficiencies, and recommend corrective actions. The internal program audit addressing a two (2) calendar-year period subsequent to the *Enrollee's* last audit due date and, at minimum, address the following tasks:

- Evaluate the implementation and effectiveness of its *Sewer System Management Plan* in preventing *spills*;
- Evaluate the *Enrollee*'s compliance with this General Order;
- Evaluate the *sanitary sewer system*'s long-term and short-term performance, including system-specific performance trends and patterns during periods of environmental, climate and climate change-induced impacts (including but not limited to wildfires, floods, and high intensity storms.);
- Identify deficiencies in the *Sewer System Management Plan* that are not addressing the prevention of *spills* and the elimination of discharges to waters of the State;
- Identify steps to incorporate into the *Enrollee's* System Resiliency planning process to correct deficiencies; and
- Identify modifications to the *Sewer System Management Plan* to correct deficiencies.

The *Enrollee* shall submit a complete audit report, including audit findings and recommended corrective actions, in *CIWQS* **by March 1 of the calendar year after the end of the audit period**. The complete audit report must include a proposed schedule for the Enrollee to address the recommended corrective actions. The *Enrollee* shall immediately incorporate procedures that address the audit findings into its forthcoming Sewer System Management Plan Update.

New *Enrollees* of this General Order that did not have a *sanitary sewer system* enrolled in the previous State Water Board Order 2006-0003-DWQ shall:

- Conduct its first internal program audit for the time period between the date of its Notice of Applicability (NOA) and the second subsequent December 31st date, and
- Submit the audit report in CIWQS by March 1 of the following calendar year.

New *Enrollees* shall conduct subsequent internal program audits every two calendar years thereafter.

Enrollees with *sanitary sewer system*s enrolled in previous Order 2006-0003-DWQ shall maintain existing internal program audit cycles and audit periods, with minor adjustment for the audit period to end December 31st, if necessary.

Enrollees with existing audit periods that end within two months of the March 1st Audit Report Due Date are granted three (3) additional months to submit its audit report; in this circumstance, the audit report is due on June 1st. See following table for clarification.

	Audit Period	Audit Due Date
New Enrollees	NOA Date through Second Dec 1st Date	March 1st Date after Second December 1st Date
Example	*NOA Date of August 2, 2022 Audit Period of August 2, 2022 through December 21, 2023*	*March 1, 2024*
Enrollees previously regulated by previous Order 2006-003-DWQ	Maintain existing two-year audit cycle	March 1st Date following Audit Period
Example	*Existing two-year audit ends October 2022*	*March 1, 2023*
	Existing two-year audit period ends January 15, 2023	*June 1, 2023*

5.12. Spill Response and Remedial Actions

When a *sanitary sewer system spill* occurs, the *Enrollee* shall take all steps and remedial actions to:

- Immediately stop the *spill* and prevent/minimize a *discharge to a water of the State*;
- Minimize the volume of *sewage* spilled and discharged into a *water of the State* during its spill response and clean-up efforts;
- Recover and properly dispose of as much of the spilled *sewage* as possible, including all *wash down water*;

The *Enrollee*'s remedial actions to all *spills* must be immediate and consistent with the Emergency Response Plan in its Sewer System Management Plan. At minimum, remedial actions must include the following:

- Intercepting and rerouting of *sewage* flows around the system failure;
- Vacuum truck or other means of recovery of *spills* and *wash down water, if feasible*;
- Cleanup of sewage and debris at the spill site;
- System modifications to prevent recurring *spills:*
  - At the same or similar system locations;
  - Due to the same cause;
- Required notification, monitoring, reporting, and recordkeeping, as required in this General Order; and
- Public notification and signage as required by State and local public health agencies. (Local Health Services/Offices (https://www.cdph.ca.gov/Pages/LocalHealthServicesAndOffices.aspx)

5.13. Notification, Monitoring, Reporting and Recordkeeping Specifications

5.13.1. General

The *Enrollee* shall comply with all notification, monitoring, reporting, and record keeping requirements in Attachment E of this General Order (Notifications, Monitoring, Reporting and Recordkeeping Requirements), per the following spill categories:

- **Category 1 Spill**

  A Category 1 spill is a *spill* of any volume of *sewage* from or caused by a *sanitary sewer system* regulated under this General Order, that results in a *discharge* to:

  - A w*ater of the United States*, or a *drainage conveyance system* tributary to a *water of the United States*; or
  - A municipal separate storm sewer system that discharges to a *water of the United States* when the *sewage* is not fully captured and returned to the *sanitary sewer system* or disposed of properly.

  A Category 1 spill includes underground exfiltrated *sewage* from a *sanitary sewer system* that *discharges* into:

  - An underground *drainage conveyance system* that flows to a *water of the United States*, or
  - Groundwater that is *hydraulically connected* to a *water of the United States*.

  Note: For purposes of this General Order, any volume of *sewage* not recovered from a municipal separate storm sewer system or other *drainage conveyance system* that *discharges* to a *water of the United States*, is considered a *discharge* to a w*ater of the United States*.

- **Category 2 Spill**

  A Category 2 spill is:

  - An above ground *spill* of 1000 gallons or greater, from or caused by a *sanitary sewer system* regulated under this General Order that **is not a Category 1 Spill**.
  - Underground exfiltrated *sewage* of 1000 gallons or greater, from a *sanitary sewer system* regulated under this General Order, that *discharges* to a *water of the State* or the ground surface, and that **is not a Category 1 Spill**.

- **Category 3 Spill**

  A Category 3 spill is:

  - An above ground *spill*, of greater than or equal to 50 gallons and less than 1000 gallons, from or caused by a *sanitary sewer system* regulated under this General Order that **is not a Category 1 Spill**.
  - Underground exfiltrated *sewage*, greater than or equal to 50 gallons and less than 1000 gallons, from a *sanitary sewer system* regulated under this General

Order, that *discharges* to a *water of the State* or the ground surface, and that **is not a Category 1 Spill**.

- **Category 4 Spill**

  A Category 4 spill is:

  - An above ground *spill* of less than 50 gallons, from or caused by a *sanitary sewer system* regulated under this General Order **that is not a Category 1 Spill**.
  - Underground exfiltrated *sewage* of less than 50 gallons, from a *sanitary sewer system* regulated under this General Order, that *discharges* to a *water of the State* or the ground surface, and that **is not a Category 1 Spill**.

5.14. Electronic Sanitary Sewer System Service Boundary Map

Within 12 months of the Effective Date of this General Order, or within six (6) months of approval of an Application for Enrollment, an *Enrollee* must maintain and submit into the *CIWQS* database an updated sanitary sewer system service boundary map as follows:

1. An electronic spatial map of the *Enrollee's* sewer system service area boundaries, digitized at a minimum scale of 1:24,000, and including the following elements:
   - A scale;
   - A north arrow;
   - Major streets, city and county boundaries, and other landmarks necessary to appropriately identify location of service area boundaries;
   - Location of wastewater treatment facility(ies) that treats system waste if in same or adjacent sewer service boundary;
   - The corresponding WDID number (or numbers for *Enrollees* with multiple systems); and
   - Date map produced/updated.

   The electronic map must use one of the following three formats:

   - ESRI Shapefile per the following specification: https://support.esri.com/en/white-paper/279
   - Keyhole Markup Language / Compressed Keyhole Markup Language (KML/KMZ) format per the following specifications: https://www.ogc.org/standards/kml/
   - Geospatial Javascript Object Notation (GeoJSON) format per the following specification: https://tools.ietf.org/html/rfc7946

   OR

   - Other updated formats specified by the State Water Board.

2. The public water system identification number(s) (PWSID) of the drinking water system(s) that serves customers within the sewer service area. (The PWSID is the regulatory identification number of the public drinking water system permit issued by the State Water Board, Division of Drinking Water.)
3. The waste discharge identification number(s) (WDID) of the wastewater treatment facility(ies) that receives *sewage* from the *Enrollee's* sewer system(s). (The WDID is the regulatory identification number of the waste discharge requirements for the treatment facility issued by a Regional Water Quality Control Board.)

5.15. Required Notification of Spills from Privately-Owned Sewer Laterals and/or Sanitary Sewer Systems to Regional Water Board

Within 2 hours of becoming aware of a *spill* from a private sewer lateral or private *sanitary sewer system* that is not owned by the *Enrollee,* and/or the *Enrollee* is not responsible for its operation and maintenance, the *Enrollee* shall notify the State Water Board and applicable Regional Water Quality Control Board of any of the following observations through the CIWQS spill notification portal and the contact information provided in Attachment F of this General Order:

- A *spill* that results, or potentially results, in a spill volume equal or greater than 1000 gallons to a *water of the State*, or to a *drainage conveyance system* that discharges to a *water of the State*, **or**
- Any volume of sewage discharged to a *water of the State*

In the CIWQS Online Database, the *Enrollee* shall identify the spill as occurring from, and caused by, a private *sanitary sewer system* (or portion thereof) and identify a responsible party (other than the *Enrollee*), if known. The *Enrollee* is not required to certify the private spill report.

5.16. Voluntary Notification of Spills from Privately-Owned Laterals and/or Systems to the California Office of Emergency Services

Upon observing or acquiring knowledge of a *spill* from a privately-owned lateral or privately-owned *sanitary sewer system*, that is estimated to be greater than or equal to 1,000 *gallons that discharges, or has the potential to discharge into a water of the State or drainage conveyance discharging to a water of the State*, the *Enrollee* is encouraged to notify the California Office of Emergency Services (as provided by Health and Safety Code section 5410 et. seq. and Water Code section 13271) or notify the responsible party that notification and reporting of a *spill* by the system owner or operator, to the Office of Emergency Services, is required by State law for any person that causes or permits a *sewage* discharge to waters of the State.

5.17. Annual Report

The *Enrollee* shall submit an *Annual Report* (previously termed as questionnaire in Order 2006-0003-DWQ) as specified in Attachment E1, section 3.5. of this General Order, into *CIWQS* **by February 1 of each year**.

5.18. Electronic Reporting Account for New Enrollee

Within 30 days of the date of Approval of its Application for Enrollment , a new *Enrollee* shall contact State Water Board staff by email at CIWQS@waterboards.ca.gov for assistance in obtaining a database account and corresponding "Username" and "Password" for formal registration into *CIWQS*. The online account will provide the *Enrollee* secure access to the *CIWQS* database.

Within 30 days of obtaining a CIWQS account, a new *Enrollee* shall submit its initial *Annual Report*, as specified in Attachment E of this General Order, into *CIWQS*, and submit subsequent *Annual Reports* by February 1 of each year, as specified in section 5.2.2 above.

5.19. Unintended Failure to Report

If an *Enrollee* becomes aware that they unintentionally failed to submit any relevant facts in any report required in this General Order, the *Enrollee* shall promptly notify State Water Board staff by email at SanitarySewer@Waterboards.ca.gov for assistance in formally amending the corresponding report(s) in the *CIWQS* database.

5.20. System-specific Reduced Reporting

Enrollees that certify the following criteria to the State Water Board may comply with system-specific reduced reporting requirements for Category 4 *spills*, (as specified in Attachment E of this General Order), by maintaining onsite recordkeeping, in place of public reporting into *CIWQS,* for Category 4 *spill*s:

- The *Enrollee* maintains the following system-specific performance for at least five (5) consecutive years:
    - No more than two *spill*s per 100 miles of system, per year;
    - Total volume of individual *spill*s not to exceed 1,000 gallons; and
    - *Spill*s do not discharge to a *water of the United States*.
- At least 50 percent (50%) of the *Enrollee's* system-specific operation and maintenance workforce are *certified collection system operators* through the California Water Environment Association or the California Sacramento State University, Office of Water Programs; and
- If the *Legally Responsible Official* is not a Grade III (or higher) *certified collection system operator,* a Grade III (or higher) *certified collection system operator* provides additional certification that all Sewer System Management Plan updates are compatible with, and supportive of, actual system operations.

To qualify for the reduced reporting of Category 4 *spills*, an *Enrollee* must provide a System-Specific Reduced Reporting Request Package to the State Water Board, at SanitarySewer@waterboards.ca.gov, containing the following information:

1. A request letter signed by the *Enrollee's Legally Responsible Official* to the Deputy Director to consider approval of reduced reporting for Category 4 *spills*;

2. Organizational Staffing Chart as required in section 2.3 of Attachment D of this General Order.
3. Number of total system operation and maintenance staff/positions that are required to perform field operations and maintenance tasks per documented responsibilities of corresponding position duty statements.
4. Number of total certified system operation and maintenance staff that perform field system operations and maintenance tasks per documented responsibilities of their position duty statements.
5. List of position title and operator certification classifications held by workforce identified in item 2 above.
6. Modified Sewer System Management Plan update procedures that include a *certified collection system operator* co-signature designating review of the Plan update by operations staff.
7. Certification that the *Enrollee* has reported all *spills* from its system into *CIWQS* in the last five (5) years.

The Deputy Director will consider approval of each Reduced Reporting Request Package on a system-specific basis. If approved, per instructions and conditions in a Deputy Director System-specific Reduced Reporting Approval Letter, the *Enrollee* may substitute all reporting of Category 4 *spill*s for that system, with the full onsite recordkeeping of such *spill* events, as specified in Attachment E of this General Order, accessible and immediately available to the public and Water Board staff available upon request.

5.21. Duty to Provide Information to State Water Board and Applicable Regional Board

In accordance with Water Code section 13267 and/or section 13383, upon request by the State Water Board Executive Director (or designee) or a Regional Water Board Executive Officer (or designee), the *Enrollee* shall provide to the State Water Board and/or the applicable Regional Water Board within the specified due date, any requested information which the State or Regional Water Board deems necessary to determine compliance with this General Order. Upon request by State or Regional Water Board staff, the *Enrollee* shall provide copies of records required to be kept by the General Order to the State Water Board and/or applicable Regional Water Board.

6. PROVISIONS

6.1. Enforcement Provisions

6.1.1. Enforceability of Water Code Violations

Noncompliance with requirements of this General Order or discharging *sewage* without enrolling in this General Order constitutes a violation of the Water Code and a potential violation of the Clean Water Act and is grounds for an enforcement action by the State Water Board or the applicable Regional Water Board. Failure to comply with the notification, monitoring, inspection, entry, reporting, and recordkeeping requirements may subject the *Enrollee* to administrative civil liabilities of up to $10,000 a day per

violation pursuant to Water Code section 13385; up to $1,000 a day per violation pursuant to Water Code section 13268; or referral to the Attorney General for judicial civil enforcement. Discharging waste not in compliance with the requirements of this General Order or the Clean Water Act may subject the *Enrollee* to administrative civil liabilities up to $10,000 a day per violation and additional liability up to $10 per gallon of discharge not cleaned up after the first 1,000 gallons of discharge; up to $5,000 a day per violation pursuant to Water Code section 13350 or up to $20 per gallon of waste discharged; or referral to the Attorney General for judicial civil enforcement.

6.1.2. Monetary Penalties

The Water Code provides the State and Regional Water Boards the authority to pursue formal enforcement actions, including imposing administrative liability and civil monetary penalties, for non-compliance with the requirements of this General Order and violations of the Clean Water Act.

6.1.3. Falsifying or Failure to Report

The Water Code provides that any person failing or refusing to furnish technical or monitoring program reports, as required under this General Order, or falsifying any information provided in the technical or monitoring reports is subject to administrative liability and civil monetary penalties. Any person who knowingly fails or refuses to furnish technical or monitoring program reports or falsifies any information provided in reports required by this General Order is subject to criminal penalties.

6.1.4. Severability of General Order

The provisions of this General Order are severable; if any provision of this Order, or the application of any provision of this Order to any circumstance, is held invalid, the application of such provision to other circumstances and the remainder of this Order shall not be affected thereby.

6.1.5. Indirect Discharges

In the event that a *spill* enters into a *drainage conveyance system*, the *Enrollee* shall take all feasible steps to prevent *sewage* from entering into *drainage conveyance systems* (including *flood control channels* or structures) or waters of the State by blocking the *drainage conveyance system*, removing the *sewage* from the *drainage conveyance system*, and sanitizing the system in a manner that does not inadvertently impact *beneficial uses* in the downstream *receiving water* body.

6.1.6. Water Boards' Considerations for Discretionary Enforcement

Consistent with the State Water Board Enforcement Policy, the State Water Board or a Regional Water Board may consider the Enrollee's efforts to contain, control, and mitigate *spills* when considering Water Code section 13327 factors. In assessing the factors, the State Water Board or the applicable Regional Water Board will consider:

- The *Enrollee's* compliance with this General Order with a focus on compliance with reporting requirements;
- The *Enrollee's* compliance with implementing an updated Sewer System Management Plan;

- The overall effectiveness of the *Enrollee*'s Sewer System Management Plan with respect to:
  - System management, operation, and maintenance;
  - Adequate treatment facilities, *sanitary sewer system* facilities, and/or components with an appropriate design capacity, to reasonably prevent *spills* (e.g. adequately enlarging treatment or collection facilities to accommodate growth, infiltration and inflow, etc.);
  - Preventive maintenance (including cleaning, root grinding, and fats, oils, and grease control) and source control measures;
  - Implementation of backup equipment;
  - Inflow and infiltration prevention and control;
  - Appropriate *sanitary sewer system* capacity to prevent *spills;*
  - The *Enrollee's* responsiveness to stop and mitigate the impact of the *discharge*.
- The *Enrollee's* compliance with identifying the cause of the *spill*;
- The *Enrollee's* use of available information and observations to accurately estimate the *spill* volume and identify the affected or potentially affected *receiving waters*;
- The *Enrollee's* use of water quality and biological monitoring and assessment to determine the short-term and long-term impacts to *beneficial uses* and the environment;
- The *Enrollee's* compliance with follow up actions to proactively improve system performance;
- The Enrollee's implementation of feasible alternatives to prevent *spills*, such as:
  - Use of temporary storage or *waste* retention;
  - Reduction of system inflow and infiltration;
  - Collection and hauling of *waste* to a treatment facility;
  - Prevention of and/ or containment of *spill*s due to a design storm event identified in the *Enrollee's* Sewer System Management Plan;
  - Implementation of available equipment, technologies, strategies, and recommended industry practices for maintaining and managing sewer systems to proactively prevent spills, and contain and eliminate discharges to waters of the State; and
- The *spill* duration and factors causing the event.

6.1.7. Enforcement Consideration of Reporting Compliance

Consistent with the State Water Board Enforcement Policy, the State Water Board or a Regional Water Board may consider the *Enrollee's* efforts to comply with *spill* reporting requirements when determining compliance with Water Code section 13267 and section 13383. When assessing Water Code section 13227 factors, the State Water Board or the applicable Regional Water Board will consider:

- The Enrollee's diligence to comply with all reporting requirements in this General Order;
- The use of best available information for the *Enrollee's* reporting of *spill* start date and start time in which the release of *sewage* from the *sanitary sewer system* initiated;
- The *Enrollee's* reporting of *spill* end date, and end time to be the date and time in which the release of *sewage* from the *sanitary sewer system* was stopped;
- The *Enrollee's* diligence to accurately estimate and report *spill* volumes;
- The *Enrollee's* subsequent verification and/or updates to initial Draft Spill Reports in accordance with this General Order; and
- The *Enrollee's* timely certification of all *spill* reports.

6.2. Professional Licensing and Certification

All requirements in this General Order requiring the approval or certification of a registered professional engineer or certified operator must be signed and stamped, as applicable, by a professional that holds a current and valid:

- Professional Engineer License that is in accordance with the California Business and Professions Code sections 6735, 7835, and 7835.1, and must:
  - Bear the licensed professional(s)' signature and stamp; and
  - Demonstrate competency and proficiency in the fields pertinent to the required activities, and must:
- Certified Grade III Collection System Operator issued by the California Water Environment Association or the California State University, Sacramento, Office of Water Programs, and must:
  - Bear the certified operator(s)' signature and certification number; and
  - Demonstrate competency and proficiency in the fields pertinent to the required activities.

6.3. Other Regional Water Quality Control Board Orders

It is the intent of the State Water Board that *sanitary sewer systems* be regulated in a manner consistent with federal and state regulations. This Order will not be interpreted or applied:

- In a manner inconsistent with the Federal Clean Water Act, or supersede a more specific or more stringent state or federal requirement in an existing permit, regulation, or administrative/judicial order or Consent Decree;
- To authorize a *spill* or *discharge* that is illegal under either the Clean Water Act, the Water Code, and/or an applicable *Basin Plan* prohibition or water quality standard;
- To prohibit a Regional Water Board from issuing an individual National Pollutant Discharge Elimination System (NPDES) permit or individual waste discharge requirements superseding an *Enrollee's* regulatory coverage under this General Order for a *sanitary sewer system* authorized under the Clean Water Act or Water Code; or

- To supersede any more specific or more stringent waste discharge requirements or enforcement orders issued by a Regional Water Board.

Certain Regional Water Boards have issued waste discharge requirements to *sanitary sewer system* owners/operators within their jurisdictions. This General Order establishes minimum requirements to prevent *spills.* Although it is the State Water Board's intent that this Order be the primary regulatory mechanism for *sanitary sewer systems* statewide, a Regional Water Board may issue more stringent or more prescriptive waste discharge and reporting requirements for *sanitary sewer systems* in its region.

6.4. Sewer System Management Plan Availability Provisions

The *Enrollee's* certified Sewer System Management Plan must be maintained at appropriate locations (*Enrollee's* offices, facilities, and/or Internet homepage) and must be available in a format accessible to the public, Water Board staff, and system engineering, operating and maintenance personnel, at all times.

6.5. Entry and Inspection Provisions

6.5.1. Entry and Availability of Information

The *Enrollee* shall allow State and Regional Water Board staff, upon presentation of credentials and other documents as may be required by law, to:

- Enter upon the *Enrollee's* premises where a regulated facility or activity is located or conducted, or where records are kept under the requirements of this General Order;
- Have access to and reproduce any records required to be maintained by this General Order;
- Inspect any facility and/or equipment (including monitoring and control equipment), practices, or operations required in this General Order; and
- Sample or monitor, for the purposes of assuring compliance with this General Order or as otherwise authorized by the Water Code, any substances or parameters at any location.

6.5.2. Pre-Inspection Questionnaire

The *Enrollee* shall provide pre-inspection information to State and Regional Water Board staff through the completion of a Pre-Inspection Questionnaire, as provided by the Water Board staff if requested.

ATTACHMENT A - DEFINITIONS

Annual Report

An Annual Report is an annual mandatory report (previously termed as Annual Questionnaire in Order 2006-0003-DWQ) in which the *Enrollee* provides an annual update to its efforts taken to prevent *spills* and eliminate *discharges* during a specific calendar year, as required by this General Order.

Basin Plan

A Basin Plan is a water quality control plan that is specific to a Regional Water Quality Control Board (Regional Water Board), and serves as regulations that: (1) define and designate *beneficial uses* of surface and ground waters, (2) establish *water quality objectives* to protect the *beneficial uses*, and (3) provide implementation measures.

Beneficial Uses

The term “Beneficial Uses” is a Water Code term used to identify the uses of specific waters of the State to be protected from water quality degradation. Examples of beneficial uses include but are not limited to, municipal, domestic, agricultural and industrial supply; power generation; recreation; aesthetic enjoyment; navigation; and preservation and enhancement of fish, wildlife, and other aquatic resources or preserves.

Best Industry Practices and Available Technologies

Best Industry Practices and Available Technologies are management practices, methods, equipment, and strategies acknowledged in the professional field of *sanitary sewer system* management, that contribute to effective system management and the prevention of *spill*s.

Certified Collection System Operator

A certified collection system operator, for purposes of this General Order, is an individual that holds a valid collection system operations and maintenance certification by the California Water Environment Association or the Sacramento State University, Office of Water Programs, and has completed the corresponding education, testing, and experience requirements to maintain active certification.

Certified Report

A certified report is a report that is electronically submitted into the *California Integrated Water Quality System* (*CIWQS*) Spill Database and is “certified” by an *Enrollee’s Legally Responsible Official*.

California Integrated Water Quality System (CIWQS)

CIWQS is the State Water Board, statewide electronic reporting database that provides for electronic reporting of mandatory reports that are requirements of State and Regional Water Board-issued waste discharge requirements.

Continuation of Existing Regulatory Coverage

Continuation of Existing Regulatory Coverage is the automatic continuation of regulatory coverage for *Enrollee*s with regulatory coverage under previous Order 2006-0003-DWQ, from the previous Order to this General Order, conditioned on each *Enrollee's* electronic certification for continued coverage in *CIWQS*.

Data Submitter

A Data Submitter is an individual designated and authorized by the *Enrollee*'s *Legally Responsible Official* to enter *spill* data into *CIWQS*. A Data Submitter does not have the authority of a *Legally Responsible Official* to certify reporting entered into *CIWQS*.

Disadvantaged Community

A disadvantaged community is a community with a median household income of less than eighty percent (80%) of the statewide median household income.

For the purpose of this General Order, there is no differentiation between a small and large disadvantaged community.

Discharge (*associated verb* Discharged)

A *discharge* is a *spill*, or any other type of emission or release of *sewage* from a *sanitary sewer system* regardless of whether the sewage reaches a *water of the State.*

Drainage Conveyance System

A drainage conveyance system is a municipal separate storm sewer system or other manmade (municipal or non-municipal) drainage canal, channel, pipeline or conveyance system constructed to provide drainage through transport of stormwater and non-stormwater flows.

Enrollee

An Enrollee is one of the following entities enrolled and subject to the requirements of this General Order:

- A federal or state agency, municipality, special district or other public entity that owns and/or operates a *sanitary sewer system* with pipelines totaling more than one (1) mile in length, or
- A private company that owns and/or operates a *private sanitary sewer system* or *private sewer lateral* that is not regulated under separate waste discharge requirements issued by a Regional Water Quality Control Board.

Environmentally Sensitive Area

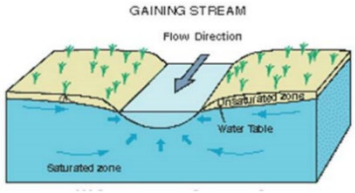
An environmentally sensitive area is a designated agricultural and/or wildlife area identified to need special natural landscape protection due to its wildlife or historical value.

Flood Control Channel

A flood control channel is a man-made channel constructed to convey stormwater and non-stormwater flows through and from areas for flood management purposes.

Hydraulically Connected

Two waterbodies are hydraulically connected when one waterbody flows, or has the potential to flow, into the other waterbody. For the purpose of this General Order, groundwater is hydraulically connected to a surface water when the groundwater feeds into the surface water (The surface water in this example is termed a gaining stream as it gains flow from surrounding groundwater.)



Lateral (Service Lateral)

A lateral is an underground segment of pipe that conveys the *sewage* of a *sanitary sewer system* user (residential, commercial, or industrial user) through an infrastructure connection into a *sanitary sewer system*.

Typically, the length of lateral closer to the serviced building or property, to the cleanout closest to the main sewer system, is referred to as the upper lateral. The length of pipe from the cleanout closest to the main sewer system, to the main sewer system, is referred to as the lower lateral.

Legally Responsible Official

A Legally Responsible Official is an *Enrollee*'s official representative, designated by the *Enrollee* with authority to sign and certify all reports required by this General Order. (For purposes of electronic reporting requirements in this General Order, a Legally Responsible Official's report certification is through an electronic signature and accompanying electronic certification, which is a component of the *CIWQS* database procedures.)

Nuisance

For the purpose of this General Order, a nuisance, as defined in Water Code section 13050(m), is anything that meets all of the following requirements:

- Is injurious to health, or is indecent or offensive to the senses, or an obstruction to the free use of property, so as to interfere with the comfortable enjoyment of life or property.
- Affects at the same time an entire community or neighborhood, or any considerable number of persons, although the extent of the annoyance or damage inflicted upon individuals may be unequal.
- Occurs during, or as a result of, the treatment or disposal of wastes.

Private Sewer Lateral

A private sewer *lateral* is the privately-owned portion of the sewer network that conveys *sewage* from private property(ies) into a public sewer system.

Private Sanitary Sewer System

A private sanitary sewer *system* is a sanitary sewer system of any size that is owned and/or operated by a private individual or company. A private sanitary sewer system may or may not connect into a publicly owned *sanitary sewer system*.

Receiving Water

A receiving water is a *water of the State* that receives a *discharge* of *waste*.

Sanitary Sewer System

A sanitary sewer system is a system of pipes, pump stations, siphons, diversion structures, wet wells, manhole structure, tanks and other storage facilities, and/or other conveyances or components of conveyances, upstream of a wastewater treatment plant headworks, used to collect and convey *sewage*. Temporary storage and conveyance facilities (including but not limited to vaults, siphons, temporary piping, construction trenches, wet wells, impoundments, tanks, etc.) are part of the sanitary sewer system. For purposes of this General Order, the downstream wastewater treatment plant is not part of the sanitary sewer system.

Satellite Sewer System

A satellite sewer system is a portion of a *sanitary sewer system* owned or operated by a different owner than the owner of the downstream wastewater treatment facility ultimately treating the *sewage*.

Sewage

Sewage is untreated or partially treated domestic, municipal, commercial, and/or industrial *waste* (including sewage sludge) conveyed in a *sanitary sewer system*.

Sewer System Management Plan

A sewer system management plan is a living document a sanitary sewer system owner develops and implements to effectively manage sewage collection and conveyance through its system in accordance with this General Order.

Spill

A *spill* is a release or any other type of emission, of *sewage* from a *sanitary sewer system*, or portion thereof, including but not limited to *laterals*, due to system backup, system overflow, flow stoppage, system leaks, operational failure and/or infrastructure failure. A *spill* includes underground exfiltration of sewage from a *sanitary sewer system* through cracks in pipes, misaligned joints, seepage through porous materials, or other means, to surrounding soil and any of the following: groundwater, the ground surface, or a surface *water of the State*. Exfiltration of sewage that is limited to underground soil, and does not reach groundwater, the ground surface, or a surface *water of the State* is not considered to be a *spill* under this General Order, and is not subject to regulation under this Order.

Training

Training is continued, on-the-job and formal educational training (providing trainee with educational units) for all collection system administrative, maintenance, engineering, and operations staff and managers, including contractors.

Wash Down Water

Wash down water is water used to clean a *spill* area.

Waste

Waste, as defined in Water Code section 13050(d), includes *sewage* and any and all other waste substances, liquid, solid, gaseous, or radioactive, associated with human habitation, or of human or animal origin, or from any producing, manufacturing, or processing operation, including waste placed within containers of whatever nature prior to, and for purposes of, disposal.

Water of the State

A water of the State is any surface water or groundwater, including saline waters, within *boundaries* of the state, as defined in Water Code section 13050(e), in which the State and Regional Water Boards have authority to protect *beneficial uses*. Waters of the State include, but are not limited to, groundwater aquifers, surface waters, natural washes and pools, wetlands, sloughs, and estuaries, including in dry conditions, regardless if flow or water exists. Waters of the State include waters of the United States.

Water of the United States

A Water of the United States is a surface water or waterbody identified as *a water of the United States* that is subject to federal jurisdiction in accordance with the Clean Water Act and Navigable Waters Protection Rule (effective June 22, 2020 per the information included in the following federal register weblink: https://www.federalregister.gov/documents/2020/04/21/2020-02500/the-navigable-waters-protection-rule-definition-of-waters-of-the-united-states).

Water Quality Objective

A water quality objective is the limit or maximum amount of pollutant, waste constituent or characteristic, or parameter level established in statewide water quality control plans and Regional Water Boards' *basin plans*, for the reasonable protection of *beneficial uses* of surface waters and groundwater and the prevention of *nuisance*.

ATTACHMENT B – APPLICATION FOR ENROLLMENT

1. Enrollment Status: (Mark only one item)

☐ New Enrollee
☐ Enrollee Under Order 2006-0003-DWQ
Existing WDID Number:
☐ Change of Information
Existing WDID Number:

2. Applicant Information:

Legally Responsible Official Name (First, Last):
Title:
Professional Engineer License Number or Operator Certification Number:
Phone:
Email Address:
Agency/Company Name:
Mailing Address:
City(ies), State, ZIP:
County:
Sanitary Sewer System Name(s) or Unique Identifier:
Regional Water Quality Control Board(s):
Signature and Date:

3. Applicant Type (Check one):

☐ City	☐ County	☐ State	☐ Federal	☐ Special District	☐ Joint Government	☐ Private

4. Wastewater Treatment Plant Ultimately Treating System Waste:

Discharger Name on Wastewater Treatment Plant Discharge Permit:	WDID No.:

5. Population of Community Served (Check one):

☐ Less than 50,000	☐ Greater than or equal to 50,000

6. Billing Information:

Billing Address:
City, State ZIP:

Billing Contact Person and Title:
Phone and Email Address:

6. **Application Fee:**
The application fee, as required by Water Code section 13260, is based on the daily population served by the *sanitary sewer system*. (See updated fee schedule) Check one of the following and enter fee amount:

☐ Population Served < 50,000 – Total Fee submitted is $_____
☐ Population Served ≥ 50,000 – Total Fee submitted is $_____

The applicant must make the appropriate fee payment payable to the State Water Resources Control Board and mail the complete application package to:

State Water Resources Control Board, Accounting Office
P O Box 1888
Attention: Statewide Sanitary Sewer System Program
Sacramento, CA 95812-1888

7. **Electronic Signature Submittal Certification**

I, _____ (print name), certify that I am the legally responsible official for _____(agency/company). My signature on this form certifies that, I agree, my California Integrated Water Quality System (CIWQS) user Identification and password constitute my electronic signature and any information I indicate I am electronically certifying contains my signature. I understand that I am legally bound, obligated, and responsible by use of my electronic signature as much as by a hand-written signature.

I agree that I will protect my electronic signature from unauthorized use, and that I will contact the State Water Resources Control Board, within 24-hours of discovery, if I suspect that my electronic signature has been lost, stolen, or otherwise compromised. I certify that my electronic signature is for my own use, that I will keep it confidential, and that I will not delegate or share it with any other person.

8. **Application Submittal Certification**

I certify under penalty of perjury under the laws of the State of California that this document and all attachments including verification of mileage of sewer lines were prepared under my direction and supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, to the best of my knowledge and belief, the information submitted is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment. Additionally, I certify that the provisions of the Statewide General Waste Discharge Requirements for Sanitary Sewer Systems, including electronic reporting of all sanitary sewer spills and development and implementation of a sewer system management plan, will be complied with.

Printed Name: _____

Title: _____

Signature: _____Date: _____

ATTACHMENT C - NOTICE OF TERMINATION

1. Enrollee Information

Enrollee Name:
Legally Responsible Official Name (First, Last):
Title:
Phone:
Email:
Mailing Address:
Address (Line 2):
City, State, ZIP:
County:
Sanitary Sewer System(s):
Waste Discharge Identification Number(s) (WDID):
Regional Water Quality Control Board(s):
Signature and Date:

2. Basis of Termination

Explanation of termination, including subsequent regulatory coverage and subsequent owner/operator of enrolled sanitary sewer system, as applicable:

3. Certification

I certify under penalty of law that 1) the sanitary sewer system I officially represent is not required to be regulated under the Statewide Waste Discharge Requirements for Sanitary Sewer System Order 202X-XXXX-DWQ, and 2) this document and all attachments including verification of mileage of sewer lines were prepared under my direction and supervision in accordance with a system designed to ensure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine or imprisonment. Additionally, I understand that the submittal of this Notice of Termination does not release sanitary sewer system agencies from liability for any violations of the Clean Water Act.

Printed Name: _____

Title: _____

Signature: _____Date: _____

For State Water Board Use Only

☐ Approved for termination	☐ Denied and returned to Enrollee

Deputy Director of Water Quality Signature: _____

Date: _____Notice of Termination Effective Date: _____

ATTACHMENT D – SEWER SYSTEM MANAGEMENT PLAN – REQUIRED ELEMENTS

Table of Contents

ATTACHMENT D – SEWER SYSTEM MANAGEMENT PLAN – REQUIRED ELEMENTS

A Sewer System Management Plan (Plan) is a living planning document that documents ongoing local sewer management program elements, procedures, and decision-making to assure short-term and long-term sewer system resiliency. The *Enrollee* must implement a Sewer System Management Plan that ensures system resiliency through:

- Proactive planning and decision making;
- Strategic routine operations and maintenance;
- Adaptable focus on high-risk system *spill* areas;
- Effective capital improvement projects;
- Necessary staff resources and equipment;
- Necessary local program resources from sewer rates and other local resources to support necessary staffing, contractors, equipment, and *training;* and
- Update to date *training* of staff and contractors.

The Enrollee's development, update and implementation of a Sewer System Management Plan addressing the requirements of this Attachment is an enforceable component of this General Order. As specified in Provision 6.1. of this Order, consistent with the Water Code and the State Water Board Enforcement Policy, the State Water Board or a Regional Water Quality Control Board may consider the *Enrollee's* efforts in implementing an effective Sewer System Management Plan to prevent, contain, control, and mitigate *spills* when considering Water Code section 13327 factors to determine necessary enforcement of this General Order.

This Attachment includes all elements that an *Enrollee* shall include and address in its Sewer System Management Plan and subsequent updates. The *Enrollee* shall identify any required elements required in this Attachment that are not applicable to the Enrollee's system and shall provide justification in its Plan explaining why the element is not applicable.

The Sewer System Management Plan, and its subsequent updates, must be submitted to the State Water Board in accordance with section 5.1 of this General Order.

1. SEWER SYSTEM MANAGEMENT PLAN INTRODUCTION

The Sewer System Management Plan must include a narrative Introduction section that discusses the following items:

1.1. Regulatory Context

The Sewer System Management Plan Introduction must provide a general description of the local sewer system management program, discussion regarding the Enrollee's Plan implementation, and necessary updates incorporated into the Plan, leading to the *Enrollee* sustained regulatory compliance with this General Order.

1.2. Sewer System Management Plan Update Schedule

The Sewer System Management Plan Introduction must include a detailed schedule for the *Enrollee* to update the Plan. The detailed schedule must include milestones for incorporation of new program information addressing proactive prevention of sewer *spills.*

1.3. Sewer System Asset Overview

The Sewer System Management Plan Introduction must provide a full description of the *Enrollee*-owned assets and service area, including but not limited to:

- Location, including county(ies);
- System size, including total length in miles, length of gravity mainlines, length of pressurized (force) mains, and number of pump stations and siphons;
- Structures diverting stormwater to the sewer system;
- Software and data management systems;
- Sewer system ownership boundary at sewer *laterals*;
- Population and community served;
- Number of residential, commercial, and industrial service connections; and
- Unique service boundary conditions and challenge(s).

2. SEWER RATES AND ALLOCATED SEWER SYSTEMS RESOURCES

The Sewer System Management Plan must include a detailed narrative explanation of local funding sources, including sewer rate schedule and structure, necessary to fund staff, contractors, consultant, equipment and *training* needed for full compliance with this General Order, including, at minimum, the following:

2.1. Minimum Sewer System Management Program Resources

The Sewer System Management Plan must include a general overview of the minimum necessary planning, operation, maintenance, engineering, and administrative resources for the *Enrollee's* sewer system and other pertinent utilities for the prevention of all *spills* and elimination of *discharges* to waters of the State.

2.2. Current Sewer Rate Schedule(s) and Local Funding Resources

The Sewer System Management Plan must include:

- Current local board-approved sewer rate structure and schedule(s);
- Forecasted period the local board will update the current rates; and
- Other local funding resources.

2.3. Organizational Staffing Plan and Organizational Chart

The Sewer System Management Plan must include an Organizational Staffing Plan identifying all staff resources necessary for compliance with this General Order. The Organizational Staffing Plan must include a sewer system departmental Organizational Chart with names, job classifications, telephone numbers, and email addresses of all sewer system staff, supervisors, director/general managers, and governing board, by division/department. The Organizational Chart must identify the *Legally Responsible Official* and staff that directly manage operations, maintenance, and engineering.

The Organizational Staffing Plan must include job classifications for each staff type, including applicable certification or licensing required for each position.

2.4. Chain of Communication for Reporting Spills

The Sewer System Management Plan must include a detailed description and corresponding information of the required chain of communication from initial receipt of spill information to the final reporting and certification of a *spill* in the *California Integrated Water Quality System* (*CIWQS*). The chain of communication must include all administrative, technical, managerial, and public outreach staff of the sewer department, and of other utilities involved in an emergency spill response.

2.5. Sewer System Department and Local Resources Program Budgets

The Sewer System Management Plan must include detailed information regarding short-term and long-term cumulative budget(s) for the *Enrollee's* compliance with this General Order. Detailed information regarding short-term cumulative budget(s) must include current short-term plans to address deficiencies in budget needed to address, at minimum, the following divisions:

- Collection system operation, maintenance, and engineering divisions;
- Capital improvement program;
- Personnel *training*; and
- Chain of command for budget decision making.

Detailed information regarding the *Enrollee*'s long-term cumulative budget(s) for the local resources dedicated to the *sanitary sewer system* and the local sewer system program must include, at minimum, the identification of budget sources for the following elements:

- A budget that accounts for, at minimum, a 20-year timeframe;
- Forecasted costs adequate for the operation, maintenance, repair and rehabilitation of its *sanitary sewer system*, and sewer system management program.
- Comparison of forecasted/projected costs with available funding sources;
- Identification of financial strategy for sustained funding of system management and improvement to sustain service and performance;

- Local rate structure;
- Accounting mechanisms and procedures that are generally accepted accounting practice;
- Auditing procedures to ensure an adequate measure of revenues and expenditures; and
- Financial and accounting program procedures compliant with applicable laws and regulations.

3. LEGAL AUTHORITY

The Sewer System Management Plan must include copies or an electronic link to updated sewer system use ordinances, service agreements and/or other legally binding procedures, that the *Enrollee* possesses the necessary legal authority to:

- Prevent illicit *discharges* into its sewer system from inflow and infiltration; unauthorized stormwater; chemical dumping; unauthorized debris; roots; fats, oils, and grease; and trash including rags, wipes, and other non-flushable paper products.
- Collaborate with *storm sewer* agency to maintain coordinated emergency spill responses and prevent unintentional cross connections of sanitary sewer infrastructure to *storm sewer* infrastructure;
- Require that sewer system components and connections be properly designed and constructed;
- Access *storm sewer* systems owned and operated by a different entity during *spill* events;
- Ensure authority and access for maintenance, inspection, and/or repairs for portions of the service *lateral* owned or maintained by the *Enrollee*;
- Limit the *discharge* of fats, oils, and grease and other debris that may cause blockages;
- Enforce any violation of its sewer ordinances, service agreements, or other legally binding procedures;
- Define ownership and maintenance responsibilities between the *Enrollee* and private entities for sewer *laterals*, including main line connections and any other upstream assets;
- Review and update customer sewer rate adequacy, as often as necessary, to ensure proactive and proper operation, maintenance, and management of all parts of the sewer system, to prevent *spills* to the maximum extent feasible; and
- Obtain easement accessibility agreements for locations requiring operations and maintenance.

4. SEWER SYSTEM SERVICE AREA INFORMATION

The Sewer System Management Plan must delineate updated sewer system service area boundaries, and contain general information and description of, at minimum, the following items:

4.1. Description of Service Area Utilities

The Sewer System Management Plan must include a narrative description of the owners/operators of public utilities within and immediately adjacent to the sewer system service boundary, including:

- *Enrollee's sanitary sewer system*, including:
  - Range of size and approximate length of gravity line segments;
  - Range of size and approximate length of force mains;
  - Number of pumping facilities;
  - Number of privately owned *lateral*s served by the system; and
  - Other sanitary sewer system components that are critical to system operations and management.
- Number of connections to adjacent publicly owned or privately-owned sewer systems;
- Municipal separate *storm sewer* systems and/or *drainage conveyance system*;
- Stormwater drainage areas and corresponding *receiving water*s;
- Drinking water intake facilities and supply wells; and
- Drinking water and irrigation water supply aquifers:
  - Approximate average depth to groundwater aquifer.
  - Highest anticipated groundwater elevation, if known.

4.2. Sewer Service Area Inter-Agency Coordination and Collaboration

The Sewer System Management Plan must provide clear protocol for established coordination and collaboration with stormwater and drinking water agencies/department in the Enrollee's sewer service boundary, including but not limited to:

- Routine coordination for daily *sanitary sewer system* operation and maintenance;
- Inter-agency coordination and collaboration during and after a *spill* event;
- Ongoing established coordination for proposed modifications to sanitary sewer system operations and maintenance, as necessary;
- Ongoing established coordination for proposed capital improvement projects; and

- Updated contact information of local stormwater and drinking water agencies/departments staff for emergency *spill* response purposes, routine *sanitary sewer system* operation and maintenance, and applicable planning purposes.

5. SEWER SYSTEM PLANNING, OPERATIONS AND MAINTENANCE INFORMATION / DATA SYSTEMS

The Sewer System Management Plan must include a detailed description of the Enrollee's information and data systems used for system resiliency planning of existing and future assets, system operations and maintenance, and remediation and capital improvement projects.

6. INCORPORATION OF LOCAL PROGRAM AUDIT FINDINGS INTO SEWER SYSTEM MANAGEMENT PLAN UPDATES

The *Enrollee* must incorporate the findings of its local program audits as required in section 5.9 of this General Order. At a minimum, the Sewer System Management Plan updates must provide the necessary procedures for implementation of corrective actions necessary to address identified system/program deficiencies.

7. SEWER SYSTEM RESILENCY

The *Enrollee* shall manage its *sanitary sewer system*, through implementation of its Sewer System Management Plan, to assess risk and prioritize actions that assure its system is resilient to system-specific impacts due to, but not limited to, the following:

- Local / regional climate change;
- Environmental impacts;
- Capacity to accommodate waste flows from increasing populations and changes in system users;
- Pandemics and local area health concerns;
- Customer use of household and commercial products; and
- Other current and forecasted system-specific impacts that threaten the system, the local sewer system program, and/or staff resources;

The *Enrollee* shall implement proactive system planning, operations, maintenance, repair, rehabilitation, and capital improvements to significantly prevent all *spill*s and eliminate *discharges* to waters of the State.

The Sewer System Management Plan must provide for system resiliency through the identification, prioritization, and remediation of:

- Short-term system problems to be addressed through a modified operation and maintenance program; and

- High-priority long-term infrastructure problem areas to be addressed through its updated capital improvement program.

Sewer system resiliency must be addressed in the Sewer System Management Plan through the implementation of, at minimum, the following elements:

7.1. Condition Assessment

The Sewer System Management Plan must provide procedures for routine inspection, data collection, and assessment of the existing system condition through infrastructure inspection and documentation, to assure compliance with this General Order. The Enrollee shall identify the amount (percentage) of its system to be assessed each year through its own internal review of its system. The Sewer System Management Plan shall document the internal review procedures and provide the justification for the resulting amount (percentage) of the system to be assessed annually.

The Sewer System Management Plan must include condition assessment procedures that:

- Assess the condition of all *sanitary sewer system* assets utilizing *best industrial practices and available technologies*;
- Assess the system each year, with high-risk system areas as a priority, through regular visual and video surveillance or through the use of other comparable system inspection methods;
- Prioritize assessment of infrastructure located in or within the vicinity of surface waters, steep terrain, high ground water elevations, and *environmentally sensitive areas*;
- Conduct additional assessments of any portion of a *sanitary sewer system* within the vicinity of a *receiving water* with a bacterial-related impairment on the most current Clean Water Act section 303(d) List to determine if sanitary sewer system exfiltration is potentially contributing to the impairment.
- Identify system assets and locations that hold a high level of environmental consequences if vulnerable to collapse, failure, blockage, capacity issues, or other system deficiencies;
- Documents inspections through Condition Assessment Inspection reports that, at minimum, include:
    - The name of the agency/company;
    - The name of the inspector(s);
    - The inspection start and end dates;
    - The inspection start and end times;
    - The reason for the inspection;

- The system asset(s) inspected;
- Location of potential system problems;
- The inspection findings and summary;
- Reference to corresponding videos and data; and
- Recommended response actions.

7.2. Capacity Assessment

The Sewer System Management Plan must include steps to determine the need for short-term (less than two years) operational or program modifications, and long-term capital improvement project(s), to enhance hydraulic capacity in hydraulic deficient system areas.

The Sewer System Management Plan must provide procedures, and methods and/or models for an ongoing system capacity assessment of the existing system in its entirety and per system segments/components priorities. The capacity assessment must evaluate and identify hydraulically-deficient system areas or components that are contributing or have the potential to contribute to *spill*s, based on information that includes, but is not limited to, *spill* history, infrastructure inspections, and operation and maintenance logs.

The Capacity Assessment procedures must address:

- Technical analysis of data from existing system condition assessments, system inspections, system audits, *spill* history, and other available information;
- Capacity evaluation of flood-prone system areas subjected to increased infiltration and inflow, under normal local and regional storm conditions;
- Capacity evaluations of major system elements to accommodate dry weather peak flow conditions, and updated design storm and wet weather event, including:
  - Peak flows associated with conditions that have historically caused, or have the potential to cause, *spill* events (including flows from *spills*);
- Inflow and infiltration reduction programs;
- Necessary redundancy in pumping and storage capacities;
- Non-stormwater sources that contribute to peak flows associated with *spill* events;

The Capacity Assessment Plan must include evaluation standards to assess existing system components including, at minimum:

- Pump stations;
- Private *lateral* connections;
- Gravity pipelines and manholes; and

- Pressure (force) mains.

The findings of the Capacity Assessment must be further assessed for risk and prioritized corrective actions through the Capital Improvement Plan component of the Sewer System Management Plan, as specified in section 7.3 through section 7.5 of this Attachment.

7.2.1. Updated Design and Construction Standards and Specifications

The Sewer System Management Plan must identify and reference updated design and construction standards and specifications for the installation, repair, and rehabilitation of existing and proposed system infrastructure, including but not limited to pipelines, pump stations, and other system appurtenances.

7.2.2. Procedures, Protocols and Standards

The Sewer System Management Plan must include procedures, protocols, and standards for the inspection and testing of newly constructed, newly installed, repaired, and rehabilitated system pipelines, pumps, and other equipment and appurtenances.

7.2.3. Component-specific Design Criteria

If design criteria and standards for system construction and installation, repair and rehabilitation do not exist, or if existing design criteria and standards are deficient to address necessary capacity determinations, a system condition assessment must include component-specific evaluation to appropriately assess design criteria and/or existing conditions.

The design criteria and standards must be developed and updated to address underground and above ground pipes in areas of potential flooding and erosion due to high intense storm events, raising groundwater and/or high waterbody flow conditions.

7.3. Risk Assessment

The Sewer System Management Plan must provide procedures for assessing risk of identified potential system and programmatic deficiencies that may compromise the integrity of the *sanitary sewer system* and local sewer management program(s). The Risk Assessment procedures must, at minimum:

- Incorporate Condition Assessment and Capacity Assessment information conducted on different components/segments of the current system infrastructure;
- Identify high risk system components and system areas that may potentially cause or contribute to *spills;*
- Measure risk for potential *spill*s due to increased infiltration and inflow, bank erosion (in canyons and along coastal bluffs);
- Measure inundation risk of low-lying pump stations.

- Measure the severity of the consequences of the *spills.*

The Risk Assessment must include a ranking system that categorizes all system components/segment areas, for subsequent prioritization of corrective actions. Risk measures and categorization must be based on the severity of the consequences of system *spills*. High-risk system components/areas must be further categorized as:

- System or program areas to be addressed through short-term modifications to system operations and maintenance; and
- System or program areas to be addressed through long-term operations and engineering mitigation.

7.4. Remediation Prioritization

The Sewer System Management Plan must provide procedures for the prioritization of short-term operation and maintenance modifications, and long-term operations and engineering improvement projects that are the subject of the *Enrollee's* System Resilience Actions per section 7.5 below. Remediation prioritization must be based on the immediacy of remediation of higher risk system areas identified in the *Enrollee's* Risk Assessment.

7.5. System Resiliency Actions

The Sewer System Management Plan must include specific actions, and corresponding schedules to immediately address necessary system resiliency for the identified high-risk portions of the sewer system and local sewer management program deficiencies that contribute to, or have the potential to contribute to *spills*. The System Resiliency Actions must propose implementation of the following elements to address ongoing system resiliency:

- Action schedules including interim milestones and feasible interim milestone completion dates of operation and maintenance program modifications, and capital improvement projects;
- Local budgeting, fee rate structure modifications and local resources to support interim milestones;
- Schedule for pursuing and acquiring external funding for planning, design and construction of projects, as necessary; and
- Action resources, including interim milestones and schedule, for acquiring necessary staff resources (including consulting and contracting services), equipment, data systems and other non-monetary resources.

7.5.1. System Resiliency Actions – Operation and Maintenance

The Sewer System Management Plan must include System Resiliency Actions necessary to address preventative operation and maintenance activities through, at minimum:

- Updated scheduling of regular system maintenance and cleaning;
- Enhanced inspections, video surveillance, and maintenance in high risk system areas;
- Immediate actions to address roots, fats, oils and grease potentially resulting in system blockages and failures;
- Higher frequency system maintenance of high-risk system and more frequent update of operation and maintenance program areas;
- Increased data collection of infrastructure condition of high-risk system updated data collection systems; and
- Joint coordination between operational staff and engineering staff/consultants to optimize engineered capital improvements.

7.5.2. System Resiliency Actions – Capital Improvement Component

The Sewer System Management Plan must include System Resiliency Actions that address capital improvement projects necessary to address high-risk system deficiencies identified in the most updated condition assessment and capacity assessment as follows:

- Identification of high-risk, high-priority capital improvement projects;
- Project action schedules including interim milestones and feasible interim project milestone completion dates;
- Local budgeting, fee rate structure modifications and local resources to support interim milestones;
- Identification of internal and external sources of funding;
- Identification of internal and external sources of funding;
- Schedule for pursing and acquiring external planning, design and construction funding, as necessary; and
- Action resources, including interim milestones and schedule, for acquiring necessary staff resources (including consulting and contracting services), equipment, data systems and other non-monetary resources.

7.5.3. Implementation and Update of System Resiliency Actions

The *Enrollee* shall implement its System Resiliency Actions immediately after System Resiliency Actions are identified and, at minimum:

- Incorporate its System Resiliency Actions into its Sewer System Management Plan during each 5-year Sewer System Management Plan update, and
- Immediately implement the System Resiliency Actions per corresponding schedule.

The System Resiliency Actions incorporated into the Sewer System Management Plan must be reviewed by operation and maintenance personnel prior to the local governing board approval and *Legally Responsible Official* certification of the corresponding Sewer System Management Plan update.

An *Enrollee* that is a *disadvantaged community* shall incorporate and implement its identified System Resiliency Actions in a one-time Sewer System Management Plan update as specified in section 5.3.1 of this General Order.

8. IMPLEMENTATION OF UPDATED OPERATION AND MAINTENANCE PROGRAM

The Sewer System Management Plan must include implementation of, at minimum, the following operation and maintenance activities and protocols for its *sanitary sewer system*:

- Continued implementation of routine system operation and maintenance that is effective in preventing system *spill*s;
- Implementation of updated technologies, equipment, and practices for reducing and preventing *spills*;
- Remediation plans for roots, fats, oils, grease, rags, and flushable paper products causing blockages or other performance problems;
- Modified system operations and maintenance to address high-risk, high-priority system or program problem areas;
- Rehabilitation and replacement of critical infrastructure and system components; and
- Stormwater management to prevent infrastructure failures directly and indirectly caused by storm events.

8.1. Routine Operation and Maintenance

The Operation and Maintenance Program must include and address the following:

- Ongoing implementation of routine preventative operations, maintenance and cleaning activities that are effective in preventing system *spill*s;
- Corresponding schedules and frequencies;
- Use of best *available technologies*, equipment, practices, and techniques; and
- Budget needs (current discrepancies) to implement necessary routine operation and maintenance.

8.2. Modified Operation and Maintenance

The Operation and Maintenance Program must be modified to address the higher risk assets. The Program modifications must address modified frequencies, as necessary, to address problem system areas through:

- Modified inspection program;

- Modified routine preventative operations, maintenance, and cleaning activities;
- Acquisition of additional best-*available technologies*, equipment, practices, and techniques;
- Staffing, contractor, and *training* needs to implement Operation and Maintenance Program modifications; and
- Necessary budget to implement Operation and Maintenance Program modifications.

8.3. Operations and Maintenance Priorities

The Operation and Maintenance Program must prioritize:

- Enhanced operation and maintenance for high risk system areas;
- Immediate mitigation of system blockage due to rags, wipes (and other non-flushable paper products), roots, fats, oils, and grease mitigation plan; and
- Adaptive updates to proactively prevent system blockages and failures due to roots, fats, oils, and grease.

8.4. Rehabilitation and Replacement

The Operation and Maintenance Program must address necessary rehabilitation and/or replacement of system components through routine maintenance and/or prioritized operations and maintenance, as identified in the *Enrollee*'s System Resiliency Actions. The Operation and Maintenance Program must, at minimum, include:

- A documented schedule for the rehabilitation and replacement of routine-maintenance and high-priority system components; and
- Identification of necessary additional funding needed to implement necessary rehabilitation and replacement of system components per documented schedule.

8.5 Stormwater Management and Erosion Control Plan

The Operation and Maintenance Plan must include stormwater management and erosion control measures to implement necessary routine maintenance that manages stormwater around sewer system assets, and minimizes soil erosion, flooding, and landslides that may potentially result in pipeline and other infrastructure failure.

9. IMPLEMENTATION OF CAPITAL IMPROVEMENT PROGRAM

The Sewer System Management Plan must include detailed procedures and corresponding implementation schedules for proposed capital improvement projects that will provide system resiliency and necessary dry and wet weather peak flow capacity to address:

- Region-specific and system-specific climate change;
- Service area population change;

- Capacity assessment results; and
- Existing or potential failure of existing system infrastructure.

The Sewer System Management Plan must include a detailed implementation plan describing how existing and proposed resources will be utilized to implement capital improvement projects of the identified System Resiliency Actions.

9.1. Capital Improvement Program Implementation Resources

The Sewer System Management Plan must include detailed implementation procedures describing how existing and proposed staff and budget resources will be utilized to implement the Enrollee's Capital Improvement Program, and specific high-risk, high-priority capital improvement projects identified in the *Enrollee's* System Resiliency Assessment. The procedures must, at minimum, addresses:

- Specific local budget accounts that will provide the necessary local resources;
- Proposed local council/board budget approvals necessary to support address budget deficiencies;
- Identification of existing staff, contractor and budget resources;
- How existing resources are allocated to various elements and projects of the Capital Improvement Program;
- Additional staff, contractor and budget resources needed for full implementation of the Capital Improvement Program;
- How the identified additional resources will be acquired, allocated and utilized for the various elements and projects of the Capital Improvement Program;
- Identification of viable funding programs to pursue necessary project planning, design and construction funding.

9.2. Capital Improvement Project Schedules

The Sewer System Management Plan must include detailed implementation schedules for each high-priority capital improvement project identified in the Enrollee's system Resiliency Actions, including, at minimum, the following proposed interim milestones:

- Development and submittal of application package for funding assistance;
- Development of project planning, design, and construction documents for each project; and
- Construction and initiation of operations.

10. Record Keeping

The Sewer System Management Plan must provide protocol for a detailed record keeping system for the *Enrollee* to maintain records documenting, at minimum:

- Identified high-risk, high-priority capital improvement projects;
- Capital improvement program work-order history per location;
- Operations and maintenance work-order history per location;
- Data system records;
- Inspections;
- Spill response records for all *spills*;
- Spill response records for *spill*s not caused by the Enrollee's *sanitary sewer system*; and
- *Training* of staff and contractors.

11. LOCAL SEWER SYSTEM PROGRAM BUDGET AND RESOURCES

The Sewer System Management Plan must include a detailed description of the local resources dedicated to the *sanitary sewer system* and the local sewer system program. The description of the local budget and resources must, at minimum, provide identification of budget sources for the following elements:

- Local resource allocations adequate for the operation, maintenance, repair and rehabilitation of its sanitary sewer system, and sewer system management program;
- Local rate structure;
- Accounting mechanisms and procedures that are generally accepted accounting practice;
- Auditing procedures to ensure an adequate measure of revenues and expenditures; and
- Financial and accounting program procedures compliant with applicable laws and regulations.

12. SPILL EMERGENCY RESPONSE PLAN

The Sewer System Management Plan must include a developed Spill Emergency Response Plan addressing all *spills* to *waters of the State* (including sewer system overflows and system exfiltration). The *Enrollee* shall implement an Emergency Response Plan that identifies standard operating procedures for responding to spills in a manner that reduces *spill* volumes and collects information for prevention of future spills. The Spill Emergency Response Plan must include, at minimum:

- Procedures to ensure compliance with notification, monitoring and reporting requirements of this General Order, the Water Code, other State law and regulations;
- Procedures to immediately notify necessary local officials;

- Procedures to assure primary responders and regulatory agencies are notified of all *spills* in a timely manner;
- A strategy for effective *training* of *sanitary sewer system* operations and maintenance staff, local program support staff, and contractors;
- A strategy to evaluate competency annually for collection systems staff and contractors (if applicable) covering all the requirements in this Order;
- Updated procedures to assure immediate detection and response to *spills*;
- Procedures to address emergency operations, such as traffic and crowd control and other necessary response activities;
- Procedures to assure all reasonable steps are taken, and all available and feasible technologies, practices, and equipment, including mutual aid agreements established with other agencies or contractors, are used to: (1) ensure expedited containment, recovery, and *discharge* prevention to waters of the State, and (2) minimize or correct any adverse impact on the environment resulting from the *spills*, including accelerated water quality monitoring as may be necessary to determine the nature of short-term and long-term impacts of the *discharge.*
- Procedures for inter-Agency coordination and collaboration among the Enrollee's staff and staff of other utility agencies/departments in accordance with pre-planned coordination with *storm drain* agencies prior, during, and after a *spill* event;
- Procedures to prevent or minimize *spill* reaching any *drainage conveyance* system, and prevent a *discharge* to a *water of the State*;
- A list of equipment used during an emergency response;
- Procedures for post-spill assessment of response activities;
- Procedures for documentation and reporting for all *spill* events;
- Protocol for annual practice drills of the Emergency Response Plan including *spill* and *discharge* scenarios and staff competency assessments.
- Procedures for annual review and assessment of the Emergency Response Plan and corresponding procedures in the Sewer System Management Plan.

13. SEWER PIPE BLOCKAGE CONTROL PROGRAM

The Sewer System Management Plan must evaluate its service area to determine a system-specific pipe blockage control program to address roots, fats, oils, grease, rags and flushable paper products. The *Enrollee* shall prepare and implement a source control program to reduce the amount of the pipe-blocking substances entering the *sanitary sewer system*. The Sewer System Management Plan must include, at minimum:

- An implementation plan and schedule for a public education outreach program that promotes proper disposal of pipe-blocking substances;

- A plan and schedule for the disposal of pipe-blocking substances generated within the *sanitary sewer system* service area. This may include a list of acceptable disposal facilities and/or additional facilities needed to adequately dispose of substances generated within a *sanitary sewer system* service area;
- The legal authority to prohibit *discharges* to the system and identify measures to prevent *spills* and blockages;
- Requirements to install grease removal devices (such as traps or interceptors), design standards for the removal devices, maintenance requirements, best management practices requirements, record keeping and reporting requirements;
- Authority to inspect grease producing facilities, enforcement authorities, and whether the *Enrollee* has sufficient staff to inspect and enforce the fats, oils, and grease ordinance;
- An identification of *sanitary sewer system* sections subject to fats, oils, and grease blockages and establishment of a cleaning maintenance schedule for each section;
- Development and implementation of source control measures for all sources of fats, oils, and grease reaching the *sanitary sewer system* for each section identified above; and
- Development and implementation program staffing and *training*.

14. REQUIRED TRAINING

The Sewer System Management Plan must include a detailed description of the *training* resources (in-class, *training* materials, mentor shadowing, etc.) provided to technical, administrative staff, managerial staff, and contractors that have any role in the Enrollee's compliance with this General Order. The training program must provide, at minimum, an assessment of program staff competency and modified *training* resources for staff and contractors to have the following required skills:

- Thorough understanding of the requirements of this General Order;
- Competency to fulfill all the requirements of this General Order corresponding with staff position;
- Thorough understanding of Spill Emergency Response Procedures;
- Skilled estimation of *spill* volume;
- Electronic CIWQS reporting skills; and
- Maintenance of existing levels of professional certifications, as applicable for compliance with this General Order.

15. LOCAL COMMUNITY AND INTERAGENCY COMMUNICATION

The Sewer System Management Plan must include communication procedures for the *Enrollee* to maintain routine communicate with its local governing board, the public,

utility agencies/companies within and adjacent to service area, and satellite agencies on the development, implementation, and performance of its Sewer System Management Plan. The communication procedures must include public communication and outreach procedures for:

- The public to provide input to the *Enrollee* as program modifications are developed and implemented;
- The public to have timely information regarding past *spill*s;
- The public to have information on recent *spills* and *discharges* that resulted in closures to beaches or recreational areas, or that entered a drinking water reservoir; and a description of corrective actions that were taken in response to such *spills* or *discharges*.
- The public to have access to the Sewer System Management Plan;
- The public to view local program audits;
- Privately-owners of *lateral*s and adjacent *sanitary sewer systems* to be informed of local ordinances and private infrastructure maintenance responsibilities; and
- Owners of *satellite sewer systems* to collaborate in joint source-control outreach efforts and sewer system improvement projects.

16. SEWER SYSTEM MANAGEMENT PLAN ADAPTIVE MANAGEMENT

The Sewer System Management Plan must include an Adaptive Management section to address the system(s) program modifications discovered from internal, state, and Regional Water Board audit findings, and detail all system and program modifications that are planned and have been incorporated within the Sewer System Management Plan. The Adaptive Management section must provide a detailed narrative of what the *Enrollee* has learned through conducting planning, system modifications, program modifications, and the corrective actions needed to prevent *spills.*

ATTACHMENT E1 – NOTIFICATION, MONITORING, REPORTING AND RECORDKEEPING REQUIREMENTS

Table of Contents

ATTACHMENT E1– NOTIFICATION, MONITORING, REPORTING AND RECORD-KEEPING REQUIREMENTS

The notification, monitoring, reporting and recordkeeping requirements in this Attachment are pursuant to Water Code section 13267 and section 13383, and are an enforceable component of this General Order. Failure to comply with the notification, monitoring, reporting and recordkeeping requirements may subject the *Enrollee* to civil liabilities of up to $10,000 a day per violation pursuant to Water Code section 13385; up to $1,000 a day per violation pursuant to Water Code section 13268; or referral to the Attorney General for judicial civil enforcement.

Water Code section 13193 et seq. requires the Regional Water Quality Control Boards (Regional Water Boards) and the State Water Board to collect sanitary sewer *spill* information for each *spill* event and make this information available to the public. Sanitary sewer *spill* information for each *spill* event includes but is not limited to: *Enrollee* contact information for each *spill* event, *spill* cause, estimated *spill* volume and factors used for estimation, location, date, time, duration, amount *discharged* to a *water of the State*, response and corrective action(s) taken.

1. NOTIFICATION REQUIREMENTS

1.1. Water Board Notification

Within two (2) hours of the Enrollee's knowledge of any *spill*, the Enrollee must notify the State Water Board through the CIWQS Spill Notification Portal.

1.2. California Office of Emergency Services Notification

1.2.1 Notification of Spills of 1000 Gallons or Greater

For a *spill* with a ***discharge* of 1000 gallons or greater** to a *water of the State* (Water Code section 13271), the *Enrollee* shall notify the California Office of Emergency Services and obtain a California Office of Emergency Services Control Number as soon as possible **but no later than two (2) hours** after:

- The *Enrollee* has knowledge of the *spill*; and
- Notification can be provided without substantially impeding cleanup or other emergency measures.

1.2.2. Spill Notification Information

The *Enrollee* shall provide the following *spill* information to the California Office of Emergency Services before receiving a Control Number:

- Name and phone number of the person notifying California Office of Emergency Services;
- Estimated *spill* volume (gallons);
- Estimated *spill* rate from the system (gallons per minute);

- Estimated *discharge* rate (gallons per minute) directly into a *water of the United States* or indirectly into a *drainage conveyance* system;
- *Spill* incident description:
  - Brief narrative of the *spill* event; and
  - *Spill* incident location (address, city, and zip code) and closest cross streets and/or landmarks.
- Name and phone number of contact person on-scene;
- Date and time *Enrollee* was informed of the *spill* event;
- Name of responsible agency or private system/*lateral* owner causing the *spill*;
- *Spill* cause or suspected cause (if known);
- Amount of *spill* contained;
- Name of receiving water body receiving or potentially receiving discharge;
- Description of water body impact and/ or potential impact to *beneficial uses*.

1.2.3. Notification of Spill Report Updates

Following the initial notification to the California Office of Emergency Services and until such time that an *Enrollee* certifies the *spill* report in the *CIWQS* Online Spill Database, the *Enrollee* shall provide updates to the California Office of Emergency Services regarding substantial changes to:

- Estimated *spill* volume (increase or decrease in gallons initially estimated);
- Estimated *discharge* volume discharged (increase or decrease in gallons initially estimated); and
- Additional impact(s) to the receiving water(s) and *beneficial uses*.

2. SPILL-SPECIFIC MONITORING REQUIREMENTS

For Category 1 Spills, the *Enrollee* shall develop and implement monitoring, water quality sampling, and impact analysis requirements as specified in sections 2 in its entirety, and section 3 of this Attachment, for assessment and reporting of all impacts of the *spill* and impacts on *waters of the United States*.

For Category 2 through 4 Spills, the *Enrollee* shall develop and implement monitoring, analysis requirements as specified in sections 2.2. through 2.5, and section 3 of this Attachment, for assessment and reporting of all *spill* impacts, and, as applicable, impacts on the *receiving water* and beneficial uses.

2.1. Water Quality Monitoring Representation

All samples and measurements collected for monitoring must be representative of the monitored activity (40 Code of Federal Regulations section 122.41(j)(1)).

2.1.2 Sufficiently Sensitive Methods

Sampling analysis must be conducted according to sufficiently sensitive test methods approved under 40 Code of Federal Regulations Part 136 for the sample analysis of pollutants. For the purposes of this General Order, a method is sufficiently sensitive when the lowest method minimum level of the analytical methods approved under 40 Code of Federal Regulations Part 136 is at or below the *receiving water* pollutant criteria.

2.1.3. Environmental Laboratory Accreditation Program-certified Laboratories

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2.2. Monitoring Equipment Calibration

Monitoring and sampling instruments and devices used to implement the requirements of this General Order must be properly maintained and calibrated. The *Enrollee* must maintain records documenting the maintenance and calibration of instruments and devices to ensure continued accuracy.

2.3. Spill Volume Estimation

The *Enrollee* shall estimate *spill* volumes using updated volume estimation observatory factors, calculations, and documentation for electronic reporting. The *Enrollee* shall employ updated visual standards and field calculations to assess the approximate spill magnitude. The *Enrollee* shall update its notification and reporting of estimated *spill* volume (which includes *spill* volume recovered) as further information is gathered during and after a *spill* event.

2.4. Spill Location and Spread

The *Enrollee* shall monitor the spread of the *spill* by gathering:

- Global positioning system (GPS) coordinates of:
  - The system location where *spill* originated;
  - At minimum, three (3) locations at edge of *spill* that depict furthest geographic spread of *spill*; and
  - The location(s) of *discharge* into a *water of the State*, as applicable;
- Photographic evidence documenting critical *spill* locations, including origination point, *drainage conveyance system* entry locations, largest volumes, *discharge* to *receiving waters*, and boundaries of *spill* spread, throughout the entire duration of the *spill* until completion of clean up.

2.5. Spill Travel Time to Receiving Water

In addition to estimating *spill* volume, the *Enrollee* shall estimate *spill* travel time to the *water of the State*. For Category 1 spills into a *drainage conveyance system*, the *Enrollee* must estimate the *spill* travel time from the point of entry into the *drainage conveyance system* to the point of *discharge* into the *water of the United States*.

2.5.1. Receiving Water Sampling Location(s)

The *Enrollee* shall collect a minimum of three (3) *receiving water* samples and one *sewage* sample, per day at the following discharge and *receiving water* locations to capture the impact of sewage discharge to a receiving surface water. For multiple-day *spills*, the Enrollee shall collect the set of samples each day, for the duration of the *spill*.

Sampling Location	Sampling Location Name	Sampling Location Description
DCS: *Sewage* prior to directly entering receiving surface water, or prior to entering a *drainage conveyance system* that drains to a receiving surface water RSW: Receiving surface water n: Number indicating more than one receiving surface water U: Upstream D: Downstream		
DCS*: *Drainage conveyance system**		
*Upstream Drainage *Conveyance System* Monitoring Location*	DCS-001U through DCS-00nU	A point upstream of the point of *discharge*, to capture *drainage conveyance system* flow absent of *sewage discharge* impacts.
Sewage* prior to entering *drainage conveyance system	DCS-001 (and DCS-00n thereafter)	A point where a representative sample of the *sewage* is accessible to be sampled prior to entering into a drainage system.
Receiving water location(s) receiving *sewage discharge*	RSW-001 (and RSW-00*n* thereafter)	A point where a representative sample of the *receiving water* is collected at the initial point where the *sewage discharges* into the receiving surface *water*.

Sampling Location	Sampling Location Name	Sampling Location Description
Sewage prior to entering *receiving water*	DIS-001 (and DIS-00n thereafter)	A point where a representative sample of the *sewage* is accessible to be sampled at the initial point of *discharge* into the receiving surface water, prior to entering the *receiving water*. If sewage is *discharged* into a receiving *water* via a *drainage conveyance system*, a point where a representative sample of the *drainage conveyance system discharge* is accessible to be sampled at the initial point of *discharge*.
Upstream *Receiving Water* Monitoring Location[1]	RSW-001U through RSW-00nU	A point upstream of the point of *sewage discharge* (including point of *drainage conveyance system discharge* (as applicable)), to capture ambient conditions absent of *sewage discharge* impacts.
Downstream *Receiving Water* Monitoring Location[1]	RSW-001D through RSW-00nD	A point downstream of the point of *sewage discharge* (including point of *drainage conveyance system* discharge (as applicable)), where the *spill* material is fully mixed with the *receiving water*, and upstream of additional *discharges*/inputs into the *receiving water* from other sources of pollutants.

[1] The *Enrollee* must use its best professional judgment to determine the upstream and downstream distances based on *receiving water* flow, accessibility to upstream/downstream water body banks, and size of visible *sewage* plume.

2.5.2. Water Quality Sampling

For all spills that discharge into a water of the State, the *Enrollee* shall conduct

- Spill volume estimation using updated estimating standards and field calculations to estimate approximate spill volume discharged into the receiving water.
- Visual observations for:
  - Waterbody bank erosion,

- Sediment loading,
- Floating particulates,
- Grease and oil;
- Discoloration of the receiving water;

- Field sampling of:
  - pH;
  - Turbidity,
  - Temperature;
  - Total chlorine residual, and
  - Dissolved oxygen.
- Additional sampling required by the applicable Regional Water Quality Control Board Executive Officer.

For all spills with a field-estimated volume of 50,000 gallons or more discharged or potentially discharged to waters of the United States, The *Enrollee* shall conduct water quality sampling of the *receiving water*(s) for the following constituents, as soon as possible, but no later than **12 hours** of the *Enrollee's* knowledge of potential *discharge* to a *water of the United States*:

- Sampling and laboratory analysis of:
  - Ammonia;
  - 5-day biochemical oxygen demand @ 20 degrees Celsius (BOD_5), and
  - Bacterial indicator(s), including total coliform bacteria, fecal coliform bacteria (or E-coli), and/or enterococcus as specified in, and sufficient to determine compliance with the applicable *Basin Plan water quality objectives.*

    *D*ependent on the *receiving water(s)*, sampling of bacterial indicators shall be sufficient to determine post-spill (after the spill) compliance with the water quality objectives and bacterial standards of the California Ocean Plan or the California Inland Surface Water Enclosed Bays, and Estuaries Plan, including the frequency and/or number of post-spill receiving water samples as may be specified in the applicable plans.

2.6. Safety and Access Exceptions

If the *Enrollee* encounters access restrictions or unsafe conditions that prevents its compliance with spill response requirements or monitoring requirements in this General Order, the Enrollee shall provide documentation of access restrictions and/or safety hazards in the corresponding required report.

3. REPORTING REQUIREMENTS

All reporting required in this General Order is electronic reporting to the State Water Board, California Integrated Water Quality System (CIWQS) unless specified otherwise in this General Order.

3.1. Individual Spill Reporting Provisions

3.1.1. Report for Individual Spill Events

The *Enrollee* shall electronically submit one spill report for each individual *spill* in the *CIWQS* Online Spill Database. If one *spill* event results in multiple appearance locations in a sanitary sewer system, the *Enrollee* shall complete one *spill* report containing information for the multiple appearance locations:

For each *spill* event, the *Enrollee* shall report:

- Detailed description of cause of *spill*;
- All applicable monitoring required in section 2 of this Attachment;
- All assumptions and calculations used to estimate *spill* volumes; and
- Location of all *spill* appearance points closest to the failure point, blockage, or location of the flow condition that caused the *spill*.

3.1.2. Homeland Security Act

The *Enrollee* shall report any information that is protected by the Homeland Security Act, by email to SanitarySewer@waterboards.ca.gov, with a brief explanation of the protection provided by the Act for the subject report to be protected from unauthorized disclosure and/or public access, and for official Water Board regulatory purposes only.

3.2. Report Certification Requirements

3.2.1 Certified Reporting

All information required to be electronically reported into CIWQS Online Spill Database must be certified by the *Legally Responsible Official* previously established to certify reports, as required in section 5.5 of this General Order.

Upon *spill* report certification, the *CIWQS* Online Spill Database will issue a final *spill* identification (ID) number to the *Enrollee*.

3.2.2 Draft Data Entry

Electronic entry of draft *spill* information into the *CIWQS* Online Spill Database may solely be conducted by a *Data Submitter(s)* previously designated by the *Legal Responsible Official*, as required in section 5.6 of this General Order.

3.3. Individual Spill Reporting

3.3.1. Draft Category 1 and Draft Category 2 Spill Report

Within three (3) business days of the *Enrollee's* knowledge of a Category 1 and Category 2 *spill*, the *Enrollee* shall submit a Draft Spill Report to the State Water Board. The draft Spill Report must, at minimum, include the following items:

- Contact information: Name and telephone number of *Enrollee* contact person to respond to *spill*-specific questions;
- *Spill* location description and GPS coordinates of known geographical *spill* boundaries;
- Whether the *spill* developed into a direct or indirect (via a *drainage conveyance system*) *discharge* into:
  - A *water of the United States for a Category 1 spill;* or
  - A *water of the State* that is not a water of the United States, *for a Category 2 spill.*
- Description of municipal separate *storm sewer* system or other *drainage conveyance system* transporting the *spill*, as applicable;
- Description of immediate *spill* containment and cleanup efforts;
- Estimate of the *spill* volume;
- Description and GPS coordinates of all *discharge* point(s), as applicable;
- Estimate of the *spill* volume that *discharged* to a *water of the*, or volume that was not recovered from a *drainage conveyance system;*
- Estimate of the *spill* volume recovered;
- *Spill* appearance point(s):
  - Number of appearance points;
  - Asset(s) in which *spill* appeared;
  - GPS coordinates of each *spill* appearance point or attach a sketch to illustrate the geographic location(s) of each *spill* appearance point; and
  - Description and location of *spill* appearance location(s). If a single *sanitary sewer system* failure results in multiple *spill* appearance locations, each appearance point must be described.
- Estimate of the *spill* start date and time;
- Date and time the *Enrollee* was notified of, or self-discovered, the *spill* event;
- Estimate of the operator arrival time; and
- For *spills* greater than or equal to 1000 gallons, include at minimum:
  - The date and time the California Office of Emergency Services was called; and
  - The California Office of Emergency Services control number.

3.3.2. Certified Category 1 Spill Report

Within **15 calendar days** of the *spill* end date, the *Enrollee* shall report a Certified Category 1 Spill Report addressing all reporting requirements in sections 3.1 through 3.3.1 above, and the following items:

- All information provided in Draft Category 1 Spill Report, with verification, or necessary modification based on subsequently acquired information after submittal of draft report;
- Description of the *spill* event destination(s) and GPS coordinates of the furthest reaches of the *spill*;
- Estimate of the *spill* end date and time;
- *Spill* cause(s) (for example, root intrusion, grease deposition, etc.);
- System failure location (for example, main, *lateral*, pump station, etc.);
- The association of the *spill* with a storm event, if applicable;
- Description of how the volume estimations were calculated, including, at minimum:
    - The methodology and type of data relied upon, including supervisory control and data acquisition (SCADA) records, flow monitoring or other telemetry information used to estimate the volume of the *spill discharged*, and the volume of the *spill* recovered (if any volume of the *spill* was recovered); and
    - The methodology and type of data relied upon to estimate the *spill* start time, on-going *spill* rate at time of arrival (if applicable), and the *spill* end time.
- Description of *spill* corrective actions, including at minimum:
    - Local regulatory enforcement action taken against an illicit *discharge* in response to this *spill,* as applicable; and
    - Identifiable system modifications, and operation and maintenance program modifications needed to prevent repeated *spill* occurrences at the same *spill* event location, including:
        - Adjusted schedule/method of preventive maintenance;
        - Planned rehabilitation or replacement of sanitary sewer asset;
        - Inspected, repaired asset(s), or replaced defective asset(s);
        - Capital improvements;
        - Documentation verifying immediately implemented system modifications and operating/maintenance modifications;
        - Description of *spill* response activities
        - *Spill* response completion date; and

    - Ongoing investigation efforts, and expected completion date of investigation, to determine the full cause of *spill*.
- Detailed narrative of investigation and investigation findings of cause of *spill*;
- Name and type of water body(s) impacted;
- Public closure, restricted public access, temporary restricted use, and/or posted health warnings due to *spill*:
    - Responsible entity for closing/restricting use of water body; and
    - Number of days closed/restricted as a result of the spill.
- Visual inspection of water body, narrative description, and photographs of impacted water body(s); and
- Water quality sample analysis results.

3.3.3. Technical Report

For any *spill* with a net volume of 50,000 gallons or greater *discharged* into a *water of the State*, within **45 calendar days** of the *spill* end date, the *Enrollee* shall submit a Spill Technical Report as an attachment to the *CIWQS* Certified Spill Report. The Technical Report, at minimum, must include the following information:

- *Spill* Causes and Circumstances, including at minimum:
    - Complete and detailed explanation of how and when the *spill* was discovered;
    - Photographic evidence must document the extent of the *spill*, including but not limited to spill origin, spill flow path, drainage conveyance system entrance and exit, receiving water, field crew response operations, and reveal site conditions after field crew *spill* response operations have been completed;
    - Diagram showing the *spill* failure point, appearance point(s), and ultimate destinations;
    - Detailed description of the methodology and available data used to calculate the *discharge* volume and, if applicable, the recovered *spill* volume;
    - Detailed description of the *spill* cause(s);
    - Copy of original field crew records used to document the *spill*; and
    - Historical maintenance records for the failure location.
- *Enrollee's* response to *spill*:
    - Chronological narrative description of all actions taken by the *Enrollee* to terminate the *spill*;

- Explanation of how the Sewer System Management Plan Overflow Emergency Response Plan was implemented to respond to and mitigate the *spill*; and
- Final corrective action(s) completed and/or planned to be completed including a schedule for actions not yet completed.

- Water Quality Monitoring, including at minimum:
  - List of pollutant and parameters monitored, sampled and analyzed; as required in section 2.5.2 of this Attachment;
  - Regulatory agencies receiving sample results (if applicable). If no samples were collected, select either "no water quality samples collected" or "not applicable to this *spill*", and provide a detailed narrative for the reason;
  - Description of all water quality sampling activities conducted including analytical results and evaluation of the results; and
  - Detailed location map illustrating all water quality sampling points and photographs documenting the water quality sampling points.
- Impact(s) of the *spill* including at minimum:
  - Name and contact information of the responsible person(s) conducting impact assessment; and
  - Description of impact assessment to evaluate short- and long-term impact(s) to *beneficial uses* of the surface water.
- Financial Information, including at minimum:
  - Comprehensive Annual Financial Report information:
    - Current assets and liabilities; and
    - Operating revenue and expenses.

3.3.4. Amended Spill Reports

The *Enrollee* shall update or add additional information to a certified Spill Report within **90 calendar days** of the *spill* end date by amending the report or by adding an attachment to the Spill Report in the *CIWQS* Spill Database. The *Enrollee* shall certify the amended report.

After **90 days**, the *Enrollee* shall contact the State Water Board at SanitarySewer@waterboards.ca.gov to request to amend a Spill Report. The *Legally Responsible Official* shall submit justification for why the additional information was not reported within the Amended Spill Report due date.

3.4. Monthly Reporting

3.4.1. Category 2, Category 3, and Category 4 Certified Spill Report

Within the first day of the second month from the *spill* end date, the *Enrollee* shall report a Certified Spill Report for all Category 2, Category 3 and Category 4 spills addressing all reporting requirements in sections 3.1 through 3.3.1 above, and the following items:

- All information provided in Draft Category 1 Spill Report, with verification, or necessary modification based on subsequently acquired information after submittal of draft report;
- Description of the *spill* event destination(s) and GPS coordinates of the furthest reaches of the *spill*;
- Estimate of the *spill* end date and time;
- *Spill* cause(s) (for example, root intrusion, grease deposition, etc.);
- System failure location (for example, main, *lateral*, pump station, etc.);
- The association of the *spill* with a storm event, if applicable;
- Description of how the volume estimations were calculated, including, at minimum:
    - The methodology and type of data relied upon, including supervisory control and data acquisition (SCADA) records, flow monitoring or other telemetry information used to estimate the volume of the *spill discharged*, and the volume of the *spill* recovered (if any volume of the *spill* was recovered); and
    - The methodology and type of data relied upon to estimate the *spill* start time, on-going *spill* rate at time of arrival (if applicable), and the *spill* end time.
- Description of *spill* corrective actions, including at minimum:
    - Local regulatory enforcement action taken against an illicit *discharge* in response to this *spill,* as applicable; and
    - Identifiable system modifications, and operation and maintenance program modifications needed to prevent repeated *spill* occurrences at the same *spill* event location, including:
        - Adjusted schedule/method of preventive maintenance;
        - Planned rehabilitation or replacement of sanitary sewer asset;
        - Inspected, repaired asset(s), or replaced defective asset(s);
        - Capital improvements;
        - Documentation verifying immediately implemented system modifications and operating/maintenance modifications;
        - Description of *spill* response activities
        - *Spill* response completion date; and
        - Ongoing investigation efforts, and expected completion date of investigation, to determine the full cause of *spill*.

- Detailed narrative of investigation and investigation findings of cause of *spill*;
- Name and type of water body(s) impacted;
- Public closure, restricted public access, temporary restricted use, and/or posted health warnings due to *spill*:
  - Responsible entity for closing/restricting use of water body; and
  - Number of days closed/restricted as a result of the spill.
- Visual inspection of water body, narrative description, and photographs of impacted water body(s); and
- Water quality sample analysis results.

3.4.2. Monthly "No-Spills" Certification

If no *spill*s occur during a calendar month, the *Enrollee* shall certify that no *spills* occurred during a specified calendar month, within the first 10 days of the subsequent calendar month.

If a *spill* starts in one calendar month and ends in a subsequent calendar month, and the *Enrollee* has no further *spills* in the subsequent calendar month, the *Enrollee* shall certify "no-spills" for the subsequent calendar month.

If the *Enrollee* has no *spill*s from its systems during a calendar month, but the *Enrollee* notified the Regional Water Board of a *spill* from a private *lateral* or a private system, the *Enrollee* shall certify "no-spills" for that calendar month.

3.5. Annual Report (Previously termed as Questionnaire in Order 2006-0003-DWQ)

By February 1 of each year, the *Enrollee* shall submit a certified *Annual Report* providing the following system-specific updates regarding its *Sewer System Management Plan* implementation and compliance with this General Order. Each Annual Report must address updates to the previous calendar year. The updated *Annual Report* content, as listed below, must be entered directly in *CIWQS*:

- Updated sewer system service area boundaries and system service area (square miles);
- Updated population served;
- Current annual system operation and maintenance budget;
- Current annual system capital expenditure budget;
- Number of system operation and maintenance staff:
  - Entry level (less than two years of experience);
  - Journey level (greater than two years of experience);
  - Supervisory level; and
  - Managerial level.

- Number certification title of the above system operation and maintenance staff certified as a *certified collection system operator* by the California Water Environmental Association (CWEA) or California State University Sacramento - Office of Water Programs, with:
    - Corresponding number of various *certified collection system operator* grade levels (Grade I, II, III, IV, and V).
- *Legally Responsible Official's* active Professional Engineer license number or Certified Collection System Operator certification number*;*
- Updated system information:
    - Miles of system gravity and force mains;
    - Number of upper and lower service *laterals* connected to system (see definition of *laterals* in Attachment A);
    - Estimated number of upper and lower *laterals* owned and/or operated/maintained by the *Enrollee*;
    - Portion of *laterals* that is *Enrollee's* responsibility;
    - Average age the major components of system infrastructure;
    - Number and age of pump stations; and
    - Estimated total miles of the system pipeline not accessible for maintenance.
- Estimated sewer system flow characteristics;
- Name and location of the treatment plant(s) receiving *sanitary sewer system*'s *waste*;
- Name of *satellite sewer system* tributaries;
- Number of gravity sewer above or underground crossings of water bodies throughout system;
- Number of force main (pressurized pipe) above or underground crossings of water bodies throughout system;
- Number of siphons used to convey *waste* throughout the sewer system;
- Miles of sewer system cleaned;
- Miles of sewer system video inspected, or comparable (i.e., video closed-circuit television or alternative inspection methods);
- System Performance Evaluation as specified in section 5.10 of this General Order;
- Description of methodology(ies) and type of data relied upon for estimations of the *spill* volume *discharged* and recovered;
- Major *spill* causes (for example, root intrusion, grease deposition);

- System infrastructure failure points (for example, main, pump station, *lateral*, etc.); and
- Ongoing *spill* investigations.

3.6. Sewer System Management Plan Audit Reporting Requirement

The *Enrollee* shall submit its certified Sewer System Management Plan Audit and other pertinent audit information, in accordance with section 5.11 of this General Order, in *CIWQS* **by March 1 of the calendar year after the end of the 2-year audit period**.

If a Sewer System Management Plan Audit is not conducted as required, the *Enrollee* shall:

- Update *CIWQS* and select the justification for not conducting the Audit; and
- Notify its corresponding Regional Water Quality Control Board (see Attachment F) of the justification for the lapsed requirements.

The *Enrollee's* reporting of a justification for not conducting a timely Audit does not justify non-compliance with this Order. The *Enrollee* shall:

- Submit the late Audit as required in this General Order; and
- Comply with subsequent Audit requirements and due dates corresponding with the original audit cycle.

3.7. Sewer System Management Plan Reporting Requirements

Within every five (5) years from the date of its first submitted Sewer System Management Plan, the *Enrollee* must upload an updated, local Board-approved and certified Sewer System Management Plan to *CIWQS*. If electronic document format or size capacity prevents the electronic upload of the Plan, the *Enrollee* must report an electronic link to its Sewer System Management Plan posted on its own website.

For New *Enrollees*: Within nine (9) months of its Application for Enrollment Approval date, a new *Enrollee* shall submit a local Board-approved and certified Sewer System Management Plan to *CIWQS*. If electronic document format or size capacity prevents the electronic upload of the Plan, the *Enrollee* must provide an electronic link to its Sewer System Management Plan posted on its own website. The due date for subsequent 5-year Plan updates, is five (5) years from the first submittal due date of the new Enrollee's first Sewer System Management Plan.

4. RECORD KEEPING REQUIREMENTS

The *Enrollee* shall maintain records to document compliance with all provisions of this General Order, and previous Order 2006-0003-DWQ as applicable, for each *sanitary sewer system* owned, including any required records generated by an *Enrollee's* contractor(s).

4.1. Record Keeping Time Period

The *Enrollee* shall maintain records listed in this Attachment, and records collected for compliance with this Order, and records collected in accordance with previous Order 2006-0003-DWQ, for a minimum of five (5) years.

4.2. Availability of Documents

The *Enrollee* shall make the records required in this General Order readily available, either electronic or hard copies, for review by Water Board staff during onsite inspections or through an information request.

4.3. Spill Reports

The *Enrollee* shall maintain records for each of the following *spill*-related events:

- *Spill* event complaint, including but not limited to records documenting how the *Enrollee* responded to all notifications of possible or actual *spills*, during and after business hours, including complaints not resulting in *spills*. Each complaint record must, at a minimum, include the following information:
    - Date, time, and method of notification;
    - Date and time the complainant first noticed the *spill*;
    - Narrative description of the complaint, including any information the caller provided on if the *spill* has reached surface waters or a *drainage conveyance system*;
    - Complainant's contact information unless reported anonymously; and
    - Final resolution of the complaint.
- Records documenting the steps and/or remedial action(s) undertaken by the *Enrollee*, using all available information, to comply with this General Order, and previous Order 2006-0003-DWQ as applicable;
- Records documenting how estimate(s) of volume(s) and, if applicable, volume(s) of *spill* recovered were calculated;
- All California Office of Emergency Services notification records, as applicable; and
- Records, in accordance with the Monitoring Requirements, to document water quality monitoring for *spills* in which a net volume of 50,000 gallons or greater reached a surface water.

4.4. Record Keeping per System-specific Reduced Reporting

An *Enrollee* that receives Deputy Director approval of its Reduced Reporting Request per section 5.20 of this General Order (System Specific Reduced Reporting) must maintain records of all Category 4 spill information in accordance with the corresponding Reduced Reporting Request Approval.

4.5. Sewer System Telemetry Records

The *Enrollee* shall maintain the following sewer system telemetry records if used to document compliance with this General Order, and previous Order 2006-0003-DWQ as applicable, including *spill* volume estimates:

- Supervisory control and data acquisition (SCADA) system(s);
- Alarm system(s);
- Flow monitoring device(s) or other instrument(s) used to estimate wastewater levels, flow rates, and/or volumes;
- Computerized maintenance management system records; and
- Asset management-related records.

4.6. Sewer System Management Plan Implementation Records

The *Enrollee* shall maintain records documenting the *Enrollee's* implementation of its Sewer System Management Plan, including critical documents to support its Sewer System Management Plan audits, corrections, modifications and updates to the Sewer System Management Plan.

4.7. Audit Records

The *Enrollee* shall maintain, at minimum, the following records pertaining to its Sewer System Management Plan audits, and other local sewer system program audits:

- Completed audit documents and findings;
- Name and contact information of staff and/or consultants that conducted or involved in the audit;
- Follow-up actions based on audit findings; and
- Financial-related records pertaining to Audit findings.

4.8. Equipment Records

The *Enrollee* shall maintain a log of all owned and leased sewer system cleaning, operational, maintenance, construction, and rehabilitation equipment.

4.9. Work Orders

The *Enrollee* shall maintain record of work order for capital improvement projects and operations and maintenance projects.

4.10. Applicable Regional Water Quality Control Board Basin Plan

The *Enrollee* shall keep a copy of the most recent applicable *Basin Plan* pertaining to all potential *receiving water*s (surface waters and groundwater) of potential system *spill*s.

ATTACHMENT E2 – SUMMARY OF NOTIFICATION, MONITORING, REPORTING AND RECORD KEEPING REQUIREMENTS PER SPILL CATEGORIES

This Attachment provides a summary of notification, monitoring, reporting and recordkeeping requirements, by spill category as defined in section 5 (Specifications) and Attachment E1 of this General Order, for quick reference purposes only. The content in this Attachment is summarized from the detailed reporting requirements in Attachment E1 and provided for summary purposes only.

Table of Contents

Table E2-1 **Spill Category 1:** Spills to Waters of the United States		
Spill Requirement	**Due**	**Method**
Notification	**Within two (2) hours** of the *Enrollee's* knowledge of a Category 1 *spill* discharging or threatening to *discharge* to a *water of the United States:* 1) For Category 1 *spills* of 1000 gallons or greater, notify California Office of Emergency Services and obtain a notification control number; and/or 2) For all Category 1 *spills*, notify the State Water Board through the *CIWQS* spill notification portal.	1) California Office of Emergency Services at: (800) 852-7550 2) https://ciwqs.waterboards.ca.gov in accordance with section 1.1 (Water Board Notifications) of Attachment E1.
Monitoring	• Conduct water quality monitoring • Conduct water quality sampling within **12 hours** of initial notification of a Category 1 *spill* of 50,000 gallons or greater to a *water of the United States*. • Conduct *Spill* Volume Monitoring	In accordance with sections 2.1 through 2.3, and section 3 of Attachment E1.
Reporting of Category 1 Spills	• Submit Draft Spill Report **within three (3) business days** of having knowledge of the *spill*. • Submit Certified Spill Report **within 15 calendar days** of the *spill* end date. • Submit Technical Report **within 45 calendar days** after the *spill* end date for a Category 1 *spill* in which **50,000 gallons or greater** *discharged* to a *water of the United States*. • Submit Amended Spill Reports **within 90 calendar days** after the *spill* end date.	In accordance with section 3.3 and section 3.5 (Individual Spill Report and Annual Report) of Attachment E1.

Table E2-1 **Spill Category 1:** Spills to Waters of the United States		
Spill Requirement	**Due**	**Method**
Record Keeping	Immediately and made available to State and/or Regional Water Board staff upon request.	In accordance with section 4 (Record Keeping Requirements) of Attachment E1.

Table E2-2 **Spill Category 2:** Spills of 1000 Gallons or Greater That Are Not Category 1 Spills		
Spill Requirements	**Due**	**Method**
Notification	**Within two (2) hours** of the *Enrollee's* knowledge of a *spill* discharging or threatening to *discharge* to a *water of the State:* • Notify California Office of Emergency Services and obtain a notification control number; and/or • Notify the State Water Board through the *CIWQS* spill notification portal.	California Office of Emergency Services at: (800) 852-7550 *CIWQS* spill notification portal: https://ciwqs.waterboards.ca.gov in accordance with section 1.1 (Water Board Notifications) of Attachment E1 and Regional Water Board contact information in Attachment F of this Order.
Monitoring	• Conduct monitoring within **12 hours** of initial notification of *spill* to a *water of the State*.	In accordance with sections 2.1 through 2.3, and section 3 of Attachment E1.
Reporting of Category 2 Spills	• Draft Spill Report: Within **three (3) business days** of having knowledge of the *spill.* • Within the first day of the second month from the *spill* end date, submit Monthly Certified Spill Report, as applicable. • Submit Amended Spill Reports **within 90 calendar days** after the *spill* end date,	In accordance with section 3.3.1. (Draft Spill Report), and section 3.4 (Monthly Report) of Attachment E1.
Record Keeping	Immediately and made available to State and/or Regional Water Board staff upon request.	In accordance with section 4 (Record Keeping Requirements) of Attachment E1.

Table E2-3 **Spill Category 3 and Category 4:** Spills less than 1000 Gallons and Not Category 1 Spills		
Spill Requirements	**Due**	**Method**
Notification	Notify the State Water Board through the *CIWQS spill* notification portal	https://ciwqs.waterboards.ca.gov
Monitoring	*Spill* Volume Observatory Monitoring	In accordance with sections 2.2 through 2.3, and section 3 of Attachment E1.
Reporting of Category 3 and Category 4 Spill Reports	• Within the first day of the second month from the *spill* end date, submit Monthly Certified Spill Report, as applicable • Submit Amended Spill Reports **within 90 calendar days** after the *spill* end date	In accordance with section 3.4 (Monthly Report) of Attachment E1.
Record Keeping	Immediately and made available to State and/or Regional Water Board staff upon request	In accordance with section 4 (Record Keeping Requirements) of Attachment E1.

Table E2-4 ***Private Lateral or Private System Spills*** (Non-Enrollee Ownership or Responsibility) per section 5.11.3. and 5.11.4. of this General Order		
Spill Requirements	**Due**	**Method**
Notification	Within two (2) hours of becoming aware of a *Private Lateral/System Waste Spill*, the *Enrollee* shall report all *private lateral/system waste spills* that: • Are equal or greater than 1000 gallons, **or** • Result in a *discharge* to a *water of the United States*, **or** • Flow into a municipal separate *storm sewer* system or other *drainage conveyance system*, that is not fully captured, and *discharges* to a *water of the United States*.	Notify Applicable Regional Water Quality Control Board (See Attachment F for contact information)
Voluntary Notification and Voluntary Reporting	• Voluntary notification to the California Office of Emergency Services for *spills* of 1000 gallons or greater • Voluntary Reporting to the CIWQS	• California Office of Emergency Services at: (800) 852-7550 (See section 5.16 of this General Order) • CIWQS Database Homepage Link (See section 5.15 and 5.16 of this General Order)
Monitoring	Not Applicable	
Reporting	Not Applicable	
Record Keeping	Not Applicable	

Table E2-5 **Category 4 Spills with Approved System-Specific Reduced Reporting** per section 5.7 of this General Order		
Spill Requirements	**Due**	**Method**
Notification	Voluntary Notification of *Spills* from Privately-Owned Laterals and/or Systems to the California Office of Emergency Services	California Office of Emergency Services at: (800) 852-7550
Monitoring	*Spill* and *Discharge* Volume Observatory Monitoring	In accordance with sections 2.2 through 2.3, and section 3. of Attachment E1.
Reporting	Submit all spill information in *Annual Report*	In accordance with section 3.5 of Attachment E1.
Record Keeping	Immediately and made available to State and/or Regional Water Board staff upon request	In accordance with: • Section 4 (Record Keeping Requirements) of Attachment E1, and • Deputy Director System-specific Reduced Reporting Approval Letter.

ATTACHMENT F – REGIONAL WATER QUALITY CONTROL BOARD CONTACT INFORMATION

This Attachment provides a map, list of counties and contact information to assist *Enrollees* in identifying the corresponding Regional Water Quality Control Board office, for all Regional Water Board notification requirements in this General Order.

Region 1 -- North Coast Regional Water Quality Control Board:
Del Norte, Glenn, Humboldt, Lake, Marin, Mendocino, Modoc, Siskiyou, Sonoma, and Trinity counties.

NorthCoast@waterboards.ca.gov or (707) 576-2220

Region 2 -- San Francisco Regional Water Quality Control Board:
Alameda, Contra Costa, San Francisco, Santa Clara (north of Morgan Hill), San Mateo, Marin, Sonoma, Napa, Solano counties.

XXXX@waterboards.ca.gov or (510) 622-2300

Region 3 -- Central Coast Regional Water Quality Control Board:
Santa Clara (south of Morgan Hill), San Mateo (southern portion), Santa Cruz, San Benito, Monterey, Kern (small portions), San Luis Obispo, Santa Barbara, Ventura (northern portion) counties.

centralcoast@waterboards.ca.gov or (805) 549-3147

Region 4 -- Los Angeles Regional Water Quality Control Board:
Los Angeles, Ventura counties, (small portions of Kern and Santa Barbara counties).

RB4-SSSWDR@waterboards.ca.gov or (213) 576-6600

Region 5 -- Central Valley Regional Water Quality Control Board:

Rancho Cordova (Sacramento) Office: Colusa, Lake, Sutter, Yuba, Sierra, Nevada, Placer, Yolo, Napa, (N. East), Solano (West), Sacramento, El Dorado, Amador, Calaveras, San Joaquin, Contra Costa (East), Stanislaus, Tuolumne counties.

CentralValleySacramento@waterboards.ca.gov or (916) 464-3291

Fresno Office: Fresno, Kern, Kings, Madera, Mariposa, Merced, and Tulare counties, and small portions of San Benito and San Luis Obispo counties.

CentralValleyFresno@waterboards.ca.gov or (559) 445-5116

Redding Office: Butte, Glen, Lassen, Modoc, Plumas, Shasta, Siskiyou, and Tehama Counties.

CentralValleyRedding@waterboards.ca.gov or (530) 224-4845

Region 6 -- Lahontan Regional Water Quality Control Board:

Lake Tahoe Office: Modoc (East), Lassen (East side and Eagle Lake), Sierra, Nevada, Placer, El Dorado counties.

XXXX@waterboards.ca.gov or (530) 542-5400

Victorville Office: Alpine, Mono, Inyo, Kern (East), San Bernardino, Los Angeles (N/E corner) counties.

XXXX@waterboards.ca.gov or (760) 241-6583

Region 7 -- Colorado River Regional Water Quality Control Board:

Imperial county and portions of San Bernardino, Riverside, San Diego counties.

XXXX@waterboards.ca.gov or (760) 346-7491

Region 8 -- Santa Ana Regional Water Quality Control Board:

Orange, Riverside, San Bernardino counties.

XXXX@waterboards.ca.gov or (951) 782-4130

Region 9 -- San Diego Regional Water Quality Control Board:

San Diego county and portions of Orange and Riverside counties.

SanDiego@waterboards.ca.gov or (619) 516-1990

End of Order 202X-XXXX-DWQ