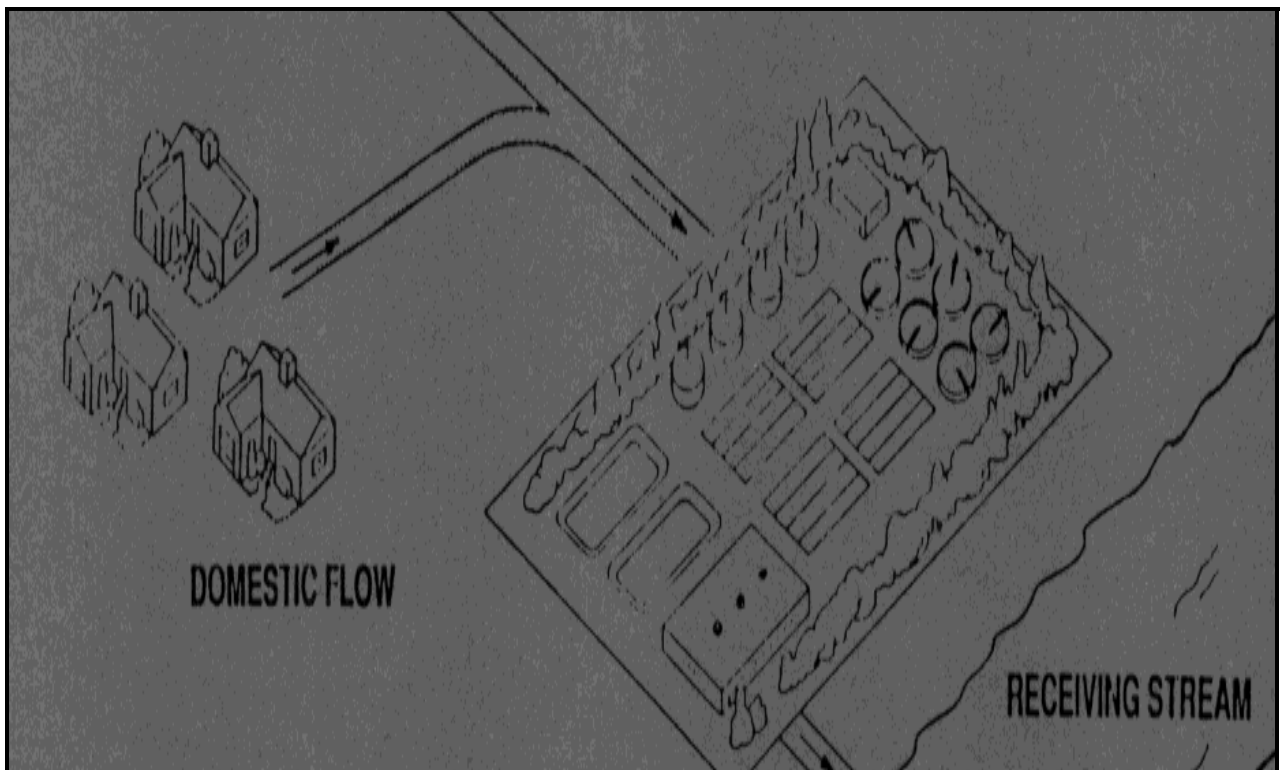


Guidance Manual For Preparation of the Pretreatment Program 403 Annual Report for Delegated Local Agencies



Division of Water Quality Bureau of Pretreatment and Residuals

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This is a Preliminary Draft Document for public review.

INTRODUCTION

This document is directed toward publicly owned treatment works (POTW) personnel responsible for implementing a pretreatment program which has been approved by the New Jersey Department of Environmental Protection (NJDEP). Corresponding requirements for Non-Delegated Local Agencies are found in the companion manual “Guidance Manual For Preparation of the 7:14A-19.3 Annual Report”. The objective of this manual is to provide guidance to local agency personnel in the compilation and submission of the pretreatment program annual report, hereinafter the “403 Annual Report”.

The NJDEP is responsible for overseeing the development, implementation, and continued effectiveness of local pretreatment programs. One of the requirements of the Delegated Local Agency Industrial Pretreatment Program (IPP), pursuant to Federal pretreatment regulations 40 CFR 403.12(i) and N.J.A.C. 7:14A-19.3, is for the local agency to submit an Annual Report of its pretreatment activities covering the twelve months of its reporting period. The 403 Annual Report is utilized by NJDEP as a mechanism for determining the local agency's compliance status with their pretreatment program requirements in accordance with 40 CFR 403 and N.J.A.C. 7:14A-19.3, and as approved by NJDEP. Also, this report is submitted on a six month interval from the IPP on-site audit, and therefore enables the NJDEP to oversee the local agency's IPP compliance status once every six months. It is through the 403 Annual Report that the local agency highlights the implementation, effectiveness, and accomplishments of its IPP. The 403 Annual Report should also address any problems and/or deficiencies indicated by the IPP and outline a plan of action for their resolution.

Two copies of the 403 Annual Report must be submitted on standard-size 8½ x 11 inch paper. Use of legal-size paper or large-size computer printouts is discouraged. Submission of computer printouts reduced to standard size is satisfactory. Forms may be altered or adapted to fit any word processing capabilities of the local agency, as long as the same information is included.

Failure to comply with the conditions and requirements of the approved IPP, including submission of the 403 Annual Report is a violation of the Water Pollution Control Act and the implementing New Jersey Pollutant Discharge Elimination System (NJPDES) regulations (N.J.A.C. 7:14A-1 et seq.) and subjects the permittee to civil administrative penalties.

403 ANNUAL REPORT OUTLINE

I. General Information Page (Form AR-1) This standard page provides basic information on the POTW submitting the 403 Annual Report, including the person to contact regarding information contained in the report. The official signing the certification on this page must be the Executive Director or General Manager of the local agency, or a person of equivalent or higher position.

II. Report Summary: The Summary is an abstract highlighting the main points covered by the 403 Annual Report.

III. Table of Contents: The report must contain a table of contents which references sections by page number.

IV. Industrial Inventory: A complete listing of all known industrial users (IUs) of each POTW must be provided. For purposes of the inventory, an industrial user, including trucked or hauled waste dischargers, is any user who discharges non-domestic wastewater and is regulated under the IPP.

For local agencies using forms **AR-2a**, **AR-2b**, **AR-2c**, **AR-2d** and **AR-2e** the inventory must be organized in three groups:

- 1) Categorical Industries,
- 2) Significant/Major Non-categorical Industries (as defined by the local agency), and
- 3) "Other Regulated" Non-categorical Industries

These listings must be arranged alphabetically by facility name. Since facility names and Categorical standards applicability may change, it is recommended that an unchanging identification number or "Reference Number" be assigned to each site and reported. (See Forms **AR-2a**, **AR-2b**, and **AR-2c** for the format for the required information). The Annual Report must also provide a summary of additions, deletions, and/or revisions to the inventory. The reason(s) for the inventory modifications must be specified on the form. (See **Form AR-2d** for the format for the required information). The 403 Annual Report must also include the listing of facilities that discharge wastes into the POTW, which, if otherwise disposed of, would be considered RCRA hazardous wastes. (See Form **AR-2e** for the required information). A separate industrial inventory must be provided for each treatment plant in the local agency's system.

Computerized listings imitating forms in this manual may be acceptable. Prior to initial submittal of such listings, the permittee should contact the Department to assure that the proposed format includes all necessary information and will not create processing problems. *The Department is also evaluating the possibility of accepting user listings and updates, as well as other forms, electronically.*

V. Monitoring Program and Evaluation of Local Discharge Limits:

A. POTW Monitoring

The local agency must also prepare a narrative discussion summarizing data collected from monitoring activities conducted at the treatment works. The discussion must also include trend analyses comparing the most recent data with data from previous years.

For each plant, the local agency must provide data from influent, effluent, and sludge sampling. Data for the report year which was not previously reported on DMR, WCR or RTF forms must be reported on **Form AR-5**. If **all** monitoring data was previously reported, indicate this on the **Form AR-5**.

B. Local limits evaluation

When required by a relevant NJPDES permit or when otherwise necessary to protect plant operations, the local agency must evaluate the need to develop or modify local discharge limitations applicable to indirect users. Such limitations are for purposes of defining prohibited discharges by users, and are distinct from criteria for determining user fees or surcharges. If the local agency is in need of local limits development, in the process of development or has completed development during the reporting period, the agency should indicate the status of this process and append any completed relevant documents and calculations as an appendix, ***unless previously submitted***. If no local limits development has occurred or is proposed, indicate "Not Applicable".

C. IU Monitoring

The local agency must provide a narrative description of the monitoring program (i.e., inspections, sampling visits, local agency sampling) conducted during the twelve months of the reporting period to gather data about the IUs and their effects, if any, on the POTW's treatment plant. ***Permitted IUs must conduct self-monitoring unless the local agency opts to monitor the IU's wastewater. If an SIU has not been inspected or sampled during the period covered by the Annual Report, an explanation should be included.***

VI. Compliance with Categorical Standards by Industrial Users: In this section, the local agency must report the activities regarding the identification of industries subject to categorical standards.

The local agency must provide a tabulation of the *existing industries subject to new categorical standards, and/or new, industries subject to previously promulgated categorical standards* from whom Baseline Monitoring Reports (BMRs) were requested, during the reporting period. For each BMR received, the following information is required as indicated on **Form AR-3a**:

- 1) Facility name
- 2) Facility address
- 3) Categorical Standard(s) to which the IU is Subject (e.g. 40 CFR 4xx.xx).
- 4) The date that all information required by 40 CFR 403.12(b) is submitted in acceptable form should be noted in the column labeled "Date BMR Complete". This date includes submission of a compliance schedule, if necessary.
- 5) Note "Y" or "N" in the next column noting the compliance status of the IU at the time the BMR is submitted. If a facility is working under a compliance schedule, its compliance status is "N".
- 6) The "Projected Compliance Date" is the date obtained from the compliance schedule.
- 7) The date the Facility notified the local agency that the facility is meeting the applicable categorical standard(s) is noted in the column labeled "Date Compliance Achieved".

A summary of the POTW's monitoring activities for the reporting year must be noted on **Form AR-4**, including the number of IUs in the monitoring program, changes from the previous reporting period, the total number of IU inspections and monitoring visits made, and the total number of facilities not inspected and/or not sampled, broken down by IU type (Categorical IUs, Significant/Major non-categorical IUs, and Other Regulated IUs) . If any IUs have not been sampled and/or inspected, these facilities must be noted, and the reason for omission must be provided in the narrative portion of this section.

The **total** number of categorical industries by industrial category and their compliances with BMR requirements are summarized in **Forms AR-3b** and **AR-3c**. Note that the **Form AR-3c** is only applicable to *New Sources*. The relationships between the numbers in the columns is as follows:

- | | | | | | | |
|------------------|---|---------------|---|----------------------------------|---|--------------|
| 1. BMRs Received | = | In Compliance | + | Out of Compliance Under Schedule | + | Under Review |
| 2. BMRs Complete | = | In Compliance | + | Out of Compliance Under Schedule | | |

The "Total in Category" may be greater than or equal to the BMRs received since the "Total in Category" may include *existing industries subject to new categorical standards, and new industries subject to previously promulgated categorical standards*, which have not yet submitted a BMR.

The status of an industry must be "in Compliance", "Out of Compliance Under Schedule", or "Under Review,". If an industry is Out of Compliance but has not submitted an acceptable compliance schedule, the BMR is incomplete, and the facility should be considered "Under Review".

Information regarding upsets, interference, and pass-through incidents at each treatment plant must be summarized on **Form AR-6**.

VII. Enforcement Activities: The narrative description of the enforcement activities must include the case summaries for all facilities that were in significant noncompliance as defined at 40 CFR 403.8(f)(2)(vii) during

the reporting period. The definition as of June 2001 is given below. The case summaries noted above must describe the reason of the significant noncompliance violation, and the actions taken by the local agency and the IU(s) in an effort to get the IU(s) into compliance.

"For the purposes of this provision, an industrial user is in significant noncompliance if its violation meets one or more of the following criteria:

(A) Chronic violations of wastewater discharge limits, defined here as those in which sixty-six percent or more of all of the measurements taken during a six-month period exceed (by any magnitude) the daily maximum limit or the average limit for the same pollutant parameter;

(B) Technical Review Criteria (TRC) violations, defined here as those in which thirty-three percent or more of all of the measurements for each pollutant parameter taken during a six-month period equal or exceed the product of the daily maximum limit or the average limit multiplied by the applicable TRC (TRC=1.4 for BOD, TSS, fats, oil, and grease, and 1.2 for all other pollutants except pH.

(C) Any other violation of a pretreatment effluent limit (daily maximum or longer-term average) that the Control Authority determines has caused, alone or in combination with other discharges, interferences or pass through (including endangering the health of POTW personnel or the general public);

(D) Any discharge of a pollutant that has caused imminent endangerment to human health, welfare or to the environment or has resulted in the POTW's exercise of its emergency authority under paragraph (f)(1)(vi)(B) of this section to halt or prevent such a discharge;

(E) Failure to meet, within 90 days after the schedule date, a compliance schedule milestone contained in a local control mechanism or enforcement order for starting construction, completing construction, or attaining final compliance;

(F) Failure to provide, within 30 days after the due date, required reports such as baseline monitoring reports, 90-day compliance reports, periodic self-monitoring reports, and reports on compliance with compliance schedules;

(G) Failure to accurately report noncompliance;

(H) Any other violation or group of violations which the Control Authority determines will adversely affect the operation or implementation of the local pretreatment program."

NOTE: Additional compliance information is required to be filed as a separate report pursuant to the Clean Water Enforcement Act, and is addressed in a separate Guidance Manual.

If users have met and/or are in significant noncompliance, the delegated local agency must public notice the necessary information in the local newspaper(s) as required under N.J.A.C. 7:14A-19.10(b), and should submit proof of publication, if available, at the time of annual report submittal. Proof of publication will be verified by the Department during pretreatment program on-site audits. DLAs are reminded that publication of this information must be completed no later than 60 days after the 403 Annual Report due date.

The number of facilities which violate criteria indicated on **Form AR-7** must be tabulated by violation type on that form.

The number of enforcement actions initiated by the local agency must be tabulated by action type as specifies on **Form AR-8**. Tabulate penalties collected on **Form AR-8a**. Following **Form AR-8a**, the specific users against which the local agency initiated enforcement actions should be listed, along with a summary of the users' compliance status.

Users from which penalties were collected during the reporting period should be listed, along with the total penalty each user paid, on Form **AR-8a**.

The number of facilities on a compliance schedule must be tabulated as specified on Form **AR-9**. If no IUs were on a compliance schedule, this must be clearly stated.

VIII. Program Resources: The local agency must provide a detailed breakdown of the pretreatment program funding. This information must include salaries (as a lump sum), analytical costs for both in-house and contract analyses, equipment costs, and any other expenditures associated with implementation of the pretreatment program. The POTW must also provide a manpower estimate in full-time equivalents (FTEs).

IX. Program Evaluation: This is a narrative section in which the local agency outlines specific strengths and weaknesses of the Pretreatment Program during the reporting period. The local agency must state if the implementation of the IPP has been effective in protecting plant operation, effluent quality, and sludge quality during the reporting period. Strategies for improving the effectiveness of the IPP Must be detailed under the specific topics below.

A. Legal Authority

The local agency must state if the legal authority is sufficient to properly implement the program. Any discussion must also include:

- 1) any proposed or approved changes to the Sewer Use Ordinance or Rules and Regulations,
- 2) changes in the jurisdictional area,
- 3) changes in the scope of the IPP, and
- 4) changes necessary because of new State or Federal rules or legislation enacted during the reporting period.

B. Resources

The local agency must state the adequacy of the program resources in terms of funding, manpower, and materials. Any resource deficiencies must be discussed.

C. Procedures

The local agency must state the adequacy, of implementation of its IPP procedures, any improvements that could be made, and/or any particularly innovative or effective procedures utilized by the local agency. At a minimum, deficiencies and/or accomplishment pertaining to the following program topics must be addressed:

- 1) acceptance of trucked-in wastes (including septage),
- 2) tracking and review of IU reports,
- 3) issuance of control documents,
- 4) POTW sampling and inspection of IUs (both frequency and procedures), and
- 5) enforcement.

D. Special Topics

The local agency must also discuss any other problems or highlights impacting the IPP.

APPENDIX A

FORMS AR-1 to AR-9

Local Agency: _____

Report Date: _____

Period Covered by this Report: _____

Period Covered by Previous Report: _____

Wastewater Treatment Plant(s)

NJPDES Permit Number

Person to contact concerning information in this report:

Name:

Title:

Mailing Address:

Telephone No:

Fax No. if any:

E-mail if any:

"I certify under penalty of law that this document and all attachments were prepared under my direction or 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, 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 purposely, knowingly, recklessly, or negligently submitting false information."

Date

Signature of Official

Title

INDUSTRIAL INVENTORY: CATEGORICAL IUs

TREATMENT PLANT: _____

Ref # *	Facility Name and Street Address	Business Activity 40 CFR 4xx.xx SIC Code(s)	Average Daily Flow (GPD)	Average Process Flow (GPD)

* Use NJDEP Masterfile Site ID if known

INDUSTRIAL PRETREATMENT PROGRAM ANNUAL REPORT

INDUSTRIAL INVENTORY: SIUs, SIGNIFICANT/MAJOR IUs TREATMENT PLANT: _____

Ref # *	Facility Name and Street Address	Business Activity 40 CFR 4xx.xx SIC Code(s)	Average Daily Flow (GPD)	Average Process Flow (GPD)

* Use NJDEP Masterfile Site ID if known

INDUSTRIAL PRETREATMENT PROGRAM ANNUAL REPORT

INDUSTRIAL INVENTORY: OTHER REGULATED IUs

TREATMENT PLANT: _____

Ref # *	Facility Name and Street Address	Business Activity 40 CFR 4xx.xx SIC Code(s)	Average Daily Flow (GPD)	Average Process Flow (GPD)

* Use NJDEP Masterfile Site ID if known

INDUSTRIAL PRETREATMENT PROGRAM ANNUAL REPORT

INDUSTRIAL INVENTORY: MODIFICATIONS

TREATMENT PLANT: _____

Ref # *	A D D	D E L	M O D	Facility Name and Street Address (+ enter former name in parentheses if applies)	Business Activity SIC Code(s)	Average Daily Flow (GPD)	Average Daily Process Flow (GPD)	40 CFR 4xx.xx if any

* Use NJDEP Masterfile Site ID if known

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HAZARDOUS WASTE CONSTITUENT INVENTORY**

TREATMENT PLANT: _____

Ref # *	Facility Name	Constituent (and CAS Number if known)	Grams Per Day Discharged	Contributing Process

* Use NJDEP Masterfile Site ID if known, or key to Ref # used earlier in report

** See 40 CFR 403.12(p) and instructions regarding waste constituents requiring reporting.

INDUSTRIAL PRETREATMENT PROGRAM 403 ANNUAL REPORT

BMR COMPLIANCE DATA

TREATMENT PLANT: _____

Ref # *	Facility Name	Applicable Section of Federal Code	Date BMR Complete	Compl- iance Status (Y/N)	Projected Compliance Date	Date Final Compliance Achieved

* Use NJDEP Masterfile Site ID if known, or key to Ref # used earlier in report

NOTE: BMR Information for existing industries subject to new categorical standards and new industries subject to existing categorical standards

INDUSTRIAL PRETREATMENT PROGRAM 403 ANNUAL REPORT

COMPLIANCE WITH CATEGORICAL STANDARDS

TREATMENT PLANT: _____

Industrial Category (Consent Decree)	40 CFR Part	Number of Industries						
		Total in Category	BMRs Received	BMRs Complete	In Compliance	Out of Compliance Under Schedule	Under Review	Final Compliance Report Received
Electroplating	413							
Organic Chemicals, Plastics, Synthetic Fibers	414							
Inorganic Chemicals	415							
Petroleum Refining	419							
Iron & Steel	420							
Nonferrous Metal Manufacturing	421							
Steam Electric	423							
Leather Tanning	425							
Rubber Manufacturing	428							
Metal Finishing	433							
Central Waste Treaters	437							
Metal Products & Machinery (when effective)	438							
Pharmaceutical Manufacturing	439							
Transportation Equipment Cleaning	442							
Pesticides Manufacturing	455							
Battery Manufacturing	461							
Metal Molding & Casting	464							
Coil Coating	465							
Porcelain Enameling	466							
Aluminum Forming	467							
Copper Forming	468							
Electrical & Electronic Components	469							
Nonferrous Forming	471							

INDUSTRIAL PRETREATMENT PROGRAM 403 ANNUAL REPORT

COMPLIANCE WITH CATEGORICAL STANDARDS

TREATMENT PLANT: _____

Industrial Category (Non-Consent Decree)	40 CFR Part	Number of Industries						
		Total in Category	BMRs Received	BMRs Complete	In Compliance	Out of Compliance Under Schedule	Under Review	Final Compliance Report Received
Soap and Detergent Manufacturing	417							
Fertilizer Manufacturing	418							
Ferroalloy Manufacturing	424							
Glass Manufacturing	426							
Asbestos Manufacturing	427							
Rubber Manufacturing	423							
Leather Tanning	425							
Rubber Manufacturing	428							
Paint Formulating	446							
Paint Formulating	447							

INDUSTRIAL PRETREATMENT PROGRAM 403 ANNUAL REPORT

SUMMARY OF LOCAL AGENCY IU MONITORING

TREATMENT PLANT: _____

	CATEGORICAL IUs		SIGNIFICANT/MAJOR IUs		OTHER REGULATED IUs	
	This Period	Last Period	This Period	Last Period	This Period	Last Period
1. Number of industrial users (IUs) included in Local Agency IU Monitoring Program	—	—	—	—	—	—
2. Number of industrial users IUs added to Local Agency IU Monitoring Program	—	—	—	—	—	—
3. Number of industrial users IUs deleted from Local Agency IU Monitoring Program	—	—	—	—	—	—
4. Total number of Local Agency inspections of IUs	—	—	—	—	—	—
5. Total number of Local Agency sampling visits to IUs	—	—	—	—	—	—
6. Number of IUs in Local Agency IU Monitoring Program but not sampled	—	—	—	—	—	—
7. Number of IUs in Local Agency IU Monitoring Program but not inspected	—	—	—	—	—	—

INDUSTRIAL PRETREATMENT PROGRAM ANNUAL REPORT

ANALYTICAL DATA SUPPLEMENT*

TREATMENT PLANT: _____

MONTHLY AVERAGE VALUES (mg/L or indicated units)														YEARLY AVERAGE	
Parameter	Month													This Report Period	Last Report Period
	Monitoring Point**														

* Data simultaneously submitted on DMR / WCR or RTR forms need not be replicated. This form is for additional parameters / measurements not so reported. If no such results exist, mark N/A across form.

** Indicate Influent, Effluent, Domestic Wastewater (i.e. background from residential area) or Sludge (i.e., ____ sludge as removed from ____ as mg/kg dry basis).

INDUSTRIAL PRETREATMENT PROGRAM 403 ANNUAL REPORT
UPSET, INTERFERENCE AND PASS THROUGH INCIDENTS

WASTEWATER TREATMENT PLANT: _____

TYPE OF INCIDENT	DATE(S)	EXPLANATION / REASON FOR INCIDENT	CORRECTIVE ACTION INITIATED

INDUSTRIAL PRETREATMENT PROGRAM 403 ANNUAL REPORT
SUMMARY OF USERS WITH VIOLATIONS

WASTEWATER TREATMENT PLANT: _____

TYPE OF VIOLATION	NUMBER OF USERS WITH VIOLATIONS	
	This Period	Last Period
1. Limit Violations		
- Local	_____	_____
- State	_____	_____
- Federal	_____	_____
2. Reporting Violations including, but not limited to incomplete, late or non-submittal of Self-Monitoring Reports (SMRs), compliance schedule progress reports, spill reports and other pretreatment reports.	_____	_____
3. Administrative Order, Administrative Consent Order or Judicial Court Order Violations	_____	_____
4. Spill / Emergency	_____	_____
5. Number of facilities which met the Significant Noncompliance criteria	_____	_____
6. Number of facilities convicted of criminal conduct	_____	_____

**INDUSTRIAL PRETREATMENT PROGRAM 403 ANNUAL REPORT
SUMMARY OF LOCAL AGENCY ENFORCEMENT ACTIONS*
WASTEWATER TREATMENT PLANT: _____**

TYPE OF ACTION	NUMBER OF LOCAL AGENCY ACTIONS TO OBTAIN COMPLIANCE	
	This Period	Last Period
1. Administrative		
a. Notice of violation (or equivalent) Local	_____	_____
b. Issuance of compliance schedule	_____	_____
c. IU Control Mechanism Modification	_____	_____
d. IU Control Mechanism Revocation	_____	_____
e. Other (describe)	_____	_____
2. Legal / Judicial		
a. Show cause hearing	_____	_____
b. Orders Issued	_____	_____
c. Injunction	_____	_____
d. Number of Civil Actions	_____	_____
e. Civil Penalties Assessed (\$)	_____	_____
f. Number of Civil Administrative Actions	_____	_____
g. Civil Administrative Penalties Assessed (\$)	_____	_____
h. Number of Summonses Issued	_____	_____
i. Summonses Assessed (\$)	_____	_____
j. Total Penalties Collected (\$) **	_____	_____
k. Criminal Actions filed	_____	_____
l. Other (describe)	_____	_____

**--Provide listing of users from which penalties were collected, if any, on Form AR-8a

**INDUSTRIAL PRETREATMENT PROGRAM 403 ANNUAL REPORT
USERS FROM WHICH A PENALTY WAS COLLECTED DURING ANNUAL REPORT YEAR**

Ref # *	Facility Name	Total Penalty Collected During Annual Report Year

INDUSTRIAL PRETREATMENT PROGRAM 403 ANNUAL REPORT

USERS SUBJECT TO COMPLIANCE SCHEDULES

TREATMENT PLANT: _____

Ref # *	Facility Name	Reason for compliance schedule	Date Compliance Schedule Issued	Projected Compliance Date	Date Final Compliance Achieved