

Standard Operating Procedure (SOP) for the EPA Integrated Compliance Information System (ICIS) Electronic Entry of Inspection, Single Event Violation, and Enforcement Action Data for NPDES Permits for Stormwater Discharges Associated with Construction Activities

July 3, 2017

DISCLAIMER: The process and procedures outlined in this Standard Operating Procedure (SOP) are intended to supplement existing requirements. Nothing in the SOP shall affect regulatory requirements.

The process, procedures, and interpretations herein are not adjudication or a regulation. There is no intent on the part of DEP to give the rules in this SOP that weight or deference. This document establishes the framework within which DEP will exercise its administrative discretion in the future. DEP reserves the discretion to deviate from this policy statement if circumstances warrant.

Table of Contents

- I. Background**
- II. Logging in to ICIS**
- III. Managing Your ICIS Account**
- IV. Compliance Evaluations (Inspections)**
 - A. Entering Inspection Data**
 - B. Viewing and/or Modifying Inspection Data**
- V. Single Event Violations (SEVs)**
 - A. Entering Violation Data**
 - B. Viewing and/or Modifying Violation Data**
- VI. Enforcement Actions (EAs)**
 - A. Entering Enforcement Action Data**
 - 1. Entering an Informal EA - Notice of Violation**
 - 2. Entering a Formal EA**
 - B. Viewing and/or Modifying Enforcement Action Data**
 - 1. Entering a Final Order and Penalty**
 - 2. Entering a Final Order Closed Date**
- VII. Linking an Enforcement Action to a Violation**

Attachment 1 – Entry of a Series of Inspections and Violations

I. Background

On October 22, 2015, the US Environmental Protection Agency (EPA) published the “National Pollutant Discharge Elimination System (NPDES) Electronic Reporting Rule” (eReporting Rule) with an effective date of December 21, 2015. This eReporting Rule requires the electronic reporting and sharing of Clean Water Act NPDES program information by states instead of the current paper-based reporting of this information. This action, according to EPA, will save time and resources for permittees, states, tribes, territories, and the U.S. Government while increasing data accuracy, improving compliance, and supporting EPA’s goal of providing better protection of the nation’s waters.

The EPA eReporting Rule’s Appendix A contains a listing of required data to be submitted for NPDES Permits for Stormwater Associated with Construction Activities under these 5 broad categories:

1. Facilities
2. Permits - Creation, Amending, Renewing, & Termination
3. Compliance Monitoring Activities (Inspections)
4. Single Event Violations
5. Enforcement Actions

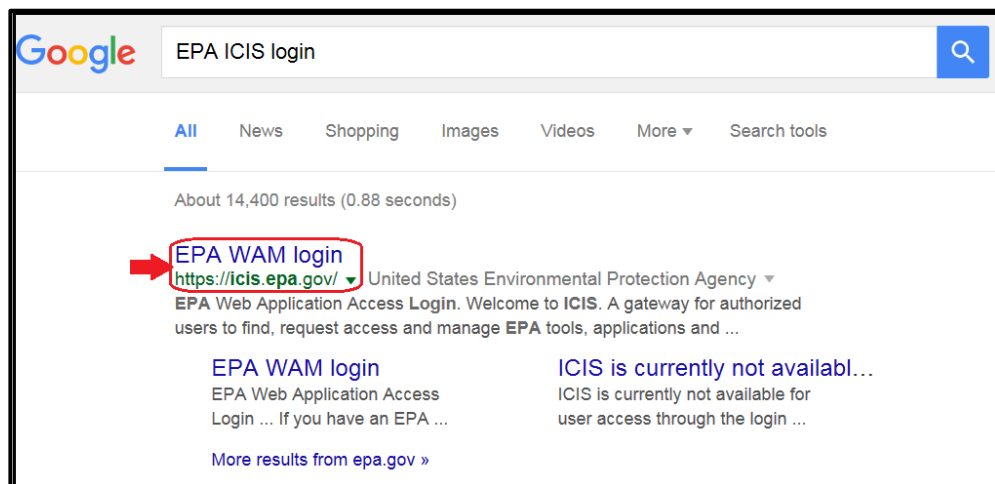
Phase one of the eReporting Rule sets forth a deadline of December 21, 2016 for the electronic submission of **inspections, violations, and enforcement actions**. This SOP contains the necessary steps to be taken by delegated county conservation districts in order to enter inspection, violation, and enforcement action data into the EPA’s Integrated Compliance Information System (ICIS).

II. Logging in to ICIS

The link for ICIS is <https://icis.epa.gov>

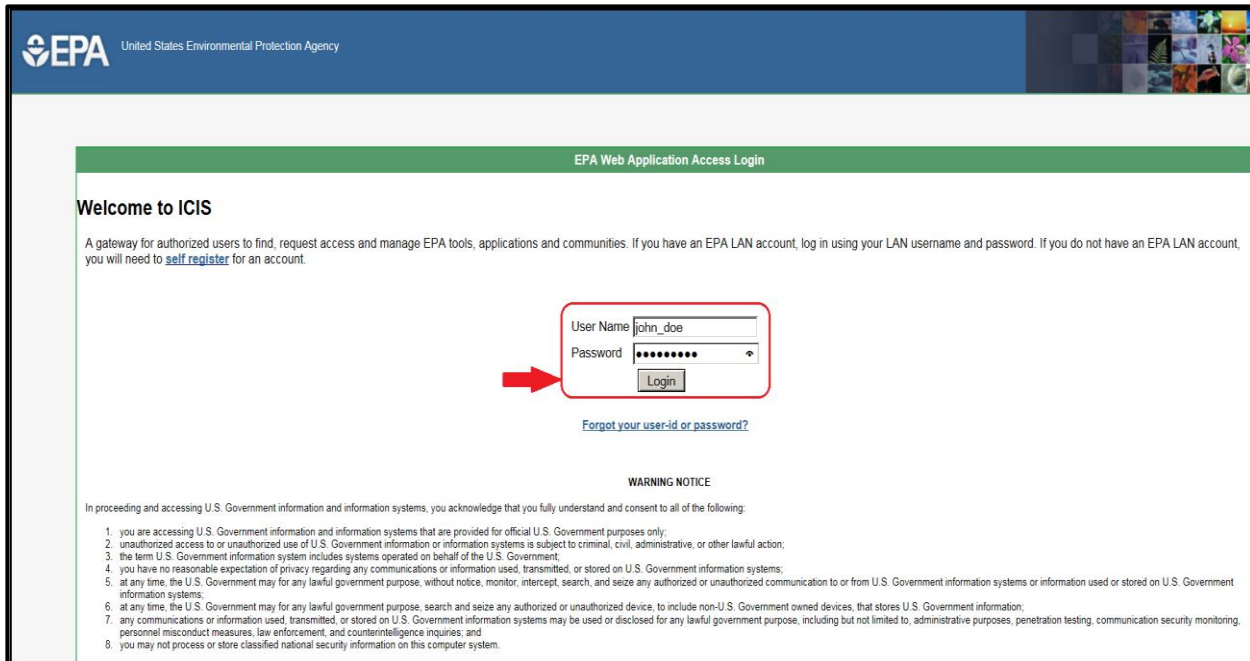
An ICIS shortcut can be created on your desktop or the website address may be added to your internet favorites.

If for some reason the link does not work, Google “EPA ICIS login”, and follow the EPA WAM Login link to ICIS.



July 3, 2017

To log in, enter your User ID and Password.



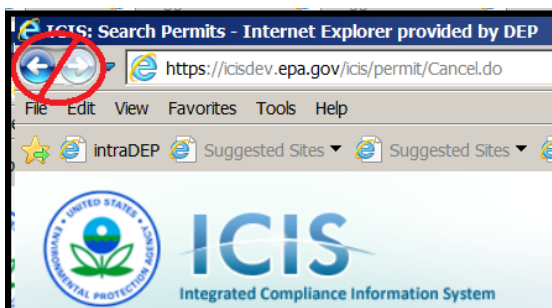
If you do not have an ICIS User ID, contact Trish Attardo in Central Office, via email at pattardo@pa.gov or phone at (717)783-3741, to coordinate receiving one.

The ICIS password has certain requirements: It must be at least 8 characters long, must contain at least one lower case letter, and at least one number.

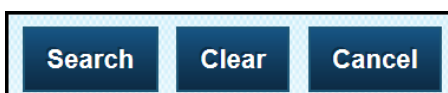
Your ICIS Password will expire every 90 days. Prior to its expiring, you will receive an email from EPA Portal. Follow the directions in this email to change your password.

General Navigation within ICIS

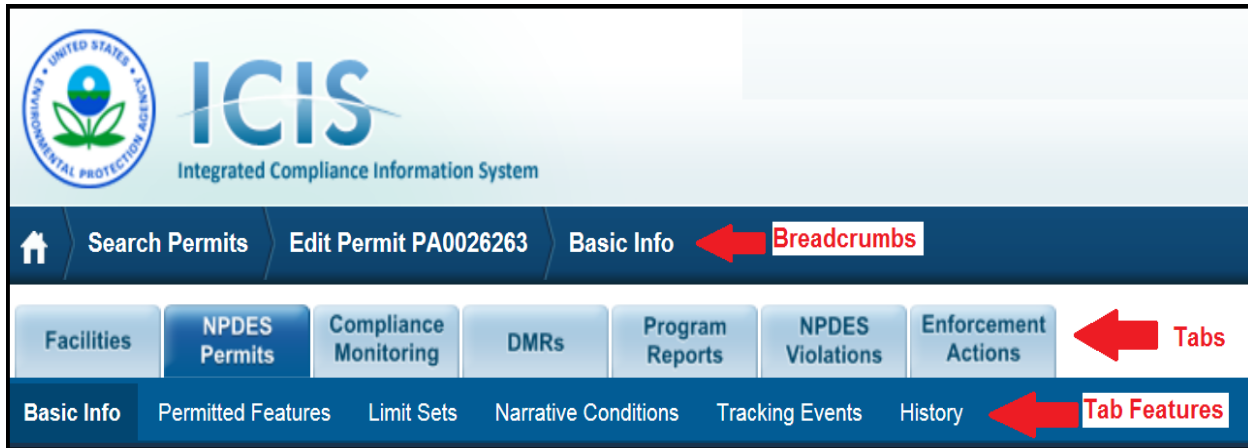
Do not use your browser Back & Forward buttons.



Along with more readily used navigation features, such as buttons....



...there are also “Breadcrumbs”, Tabs, and Tab Features that should be used for navigation within ICIS.



In addition, underlined text is a hyperlink. In this case, clicking on the permit number would open the permit record.

Select	NPDES ID	Permit/Permittee Name
<input type="radio"/>	<u>PA0026263</u>	YORK CITY SEW AUTH YORK CNTY

III. Managing your ICIS Account

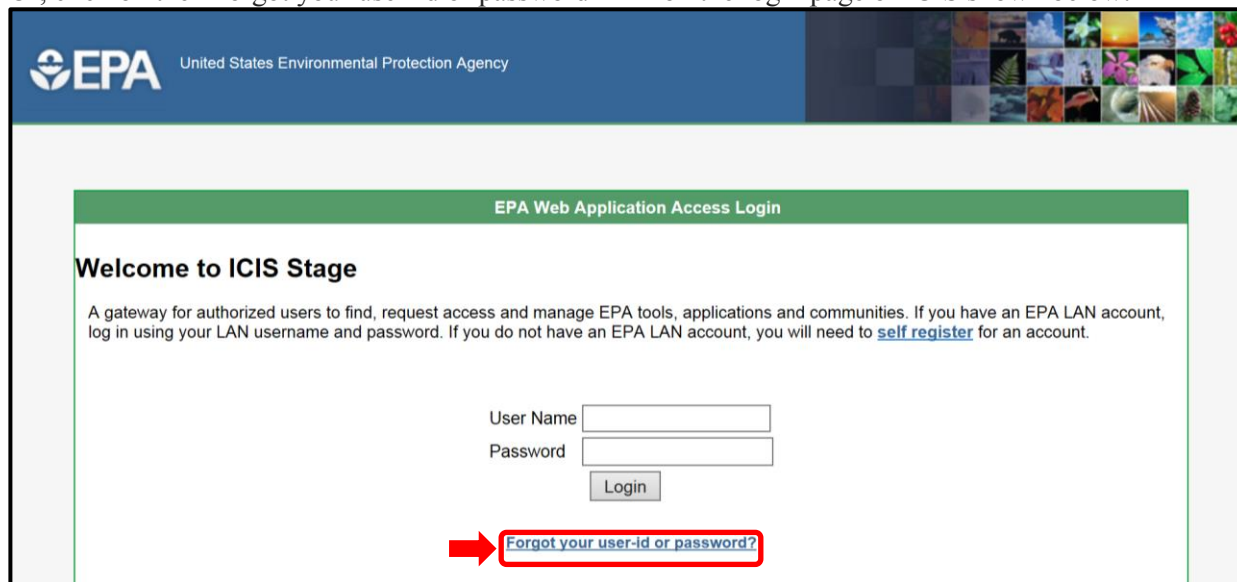
To change a current password:

1. Access the EPA portal <https://waa.epa.gov>
2. Login using your WAM id and your current password
3. Click on "User Profile"
4. Create a new password that is more meaningful for you to use

If you've forgotten your password:

To establish a **new password**, you may access the EPA portal directly at <https://waa.epa.gov>.

Or, click on the "Forgot your user-id or password" link on the login page of ICIS shown below:



Once in the EPA portal, follow the steps listed below:

1. Click the "Forgot User ID or Password" link on the EPA Portal Main Page

When second page opens,

2. Enter your User Name (WAM ID)
3. Click on "Reset and Email My Password"
4. You will receive an email with a new temporary password.

Your temporary password will need to be changed. To learn more about changing your password, see section above called "To change a current password:"

If you've **forgotten your User ID**, at the bottom of the same page,

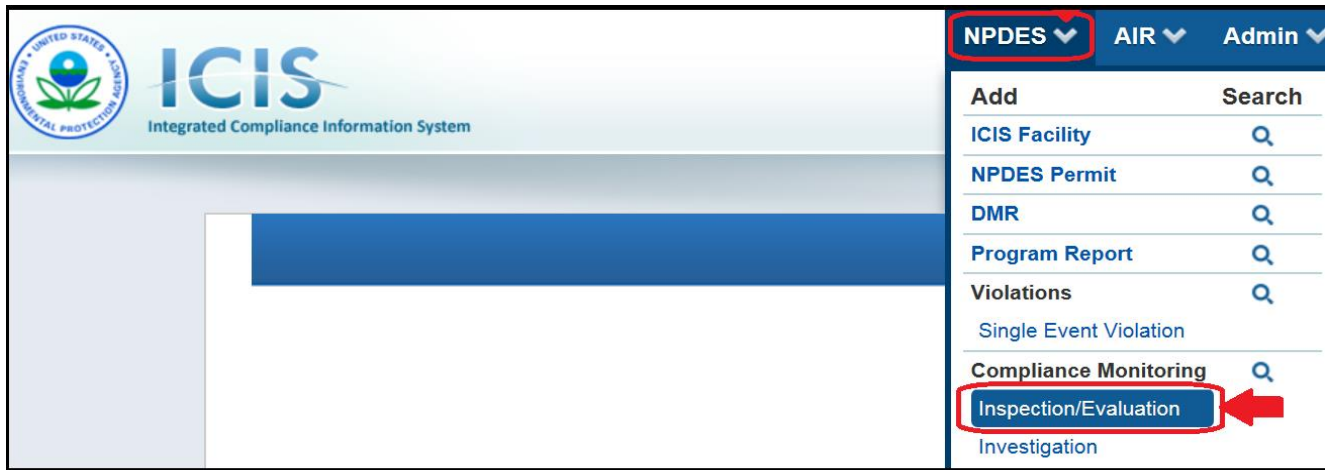
1. Enter your First and Last names
2. Click on "Lookup and Email My User Name"
3. You will receive an email with your User name listed

IV. Compliance Evaluation (Inspection) Data

A. Entering Inspection Data

Whenever an inspection of a NPDES (PAG-02 or Individual) permitted facility is conducted by a delegated county conservation district, the inspection will be entered into ICIS by the conservation district within 5 business days of its completion. If the responsible party was not present during the inspection, the inspection will be entered into ICIS at the time of mailing the inspection report to the responsible party.

Compliance Monitoring Activities (inspections) can only be added to the ICIS database for permits that are already in ICIS. To enter inspections into ICIS, click on the down arrow next to “NPDES”, and then click on “Inspection/Evaluation” under Compliance Monitoring.



This opens up the Add Inspection/Evaluation screen.

Enter the appropriate Compliance Monitoring Activity Name from the “type of inspection” on the inspection report (see the **green** box below for a listing of Compliance Monitoring Activity Names to choose from).

Then, enter the Compliance Monitoring Type as “**Reconnaissance without Sampling**.”

The screenshot shows the 'Basic Information' form. On the left, there is a text input field for 'Compliance Monitoring Activity Name' containing the word 'Complaint'. Below this is a green-bordered box containing a list of activity names: 'Complaint', 'Follow-up', 'Routine/complete', 'Routine/final', and 'Routine/partial'. On the right, there is a dropdown menu for 'Compliance Monitoring Type' with '1 selected'. Below the dropdown are checkboxes for various types: 'Non-Compliance Rate', 'Oversight', 'Plan Review', 'Reconnaissance with Sampling', 'Reconnaissance without Sampling' (checked), 'Remote Sensing', 'Sampling', and 'Sampling (IU)'. The 'Reconnaissance without Sampling' option is highlighted with a red box.

Enter the NPDES permit number in the Programmatic ID box and click “Add”.

* Linked Facility > Search Facilities to Link

Prog. Sys. Acronym: NPDES

Programmatic ID: PAD220001

Add

Prog. Sys. Acronym	Programmatic ID	Facility Site Name
--------------------	-----------------	--------------------

This should populate the linked facility. Ensure that the correct facility is listed.

* Linked Facility > Search Facilities to Link

Prog. Sys. Acronym: NPDES

Programmatic ID: PAD220001

Add

Prog. Sys. Acronym	Programmatic ID	Facility Site Name	FRS ID	Address	County	Action
NPDES	PAD220001	MEADOW VIEW BUSINESS CENTER		1234 COMMERCE DRIVE, SUSQUEHANNA, TOWNSHIP OF, PA, 17110	Dauphin	<input type="checkbox"/> Unlink

Enter the Program. Always check “NPDES-Stormwater-Construction,” and uncheck any other checked programs.

Statute / Programs

* Federal Statute: CWA: Clean Water Act

* Programs: 1 selected

Check all Uncheck all

- NPDES - Section 308 Information Requests
- NPDES - Sludge/Biosolids
- NPDES - Stormwater - Construction
- NPDES - Stormwater - MS4
- NPDES - Stormwater - Non-Construction

State Statutes

All dates entered into ICIS are to be entered in the “mm/dd/yyyy” format. Enter the inspection date into both the Actual Start Date and Actual End Date boxes. Enter the Compliance Monitoring Action Reason by first clicking on “uncheck all” then checking “**Core Program**”. Enter the Compliance Monitoring Agency Type by first clicking on “uncheck all” then check “**County**” to indicate that the county conservation district conducted the inspection.

* Compliance Monitoring Dates

Enter at least one End Date.

Planned Start Date Planned End Date

Actual Start Date Actual End Date

* Compliance Monitoring Reason

1 selected

Check all Uncheck all

Citizen Complaint/Tip

Core Program

For Cause

Linearity Checks

Other

* Compliance Monitoring Agency

1 selected

Check all Uncheck all

County

District

EPA Contractor

Interstate

Local

Compliance Monitoring Agency Name

Because the inspection was performed by a county conservation district on behalf of the DEP, answer the following questions as shown below, as “No” and “State.” However, if a joint inspection was performed with EPA, answer the questions below with “Yes” and “Joint,” and answer the two subsequent questions.

NAICS Codes

NAICS Codes:
Search code or keyword to add.

SIC Codes

SIC Codes:
Search code or keyword to add.

Compliance Monitoring Details

If State, Local or Tribal lead, did EPA Assist?
No

Was this a State, Federal or Joint (State/Federal) Compliance Monitoring Activity?
State

If Joint, what was the purpose of the participation of the other party?

Which party had the lead?

Because NPDES – Stormwater – Construction was chosen under Programs, this Special Programs block will appear at the bottom of the screen. Because one of the data elements in this block must be entered in order to save the inspection, enter the SWPPP Evaluation Basis as “off-site.” Click on “Save” to save the inspection.

Special Programs

Storm Water (Non-Municipal) Collapse

Construction and Industrial

Inspection of an Unpermitted Construction Site

No Exposure Authorization Date

SWPPP Evaluation Date

SWPPP Evaluation Basis Off Site

SWPPP Evaluation

Project Type

Estimated Start Date

Estimated Complete Date

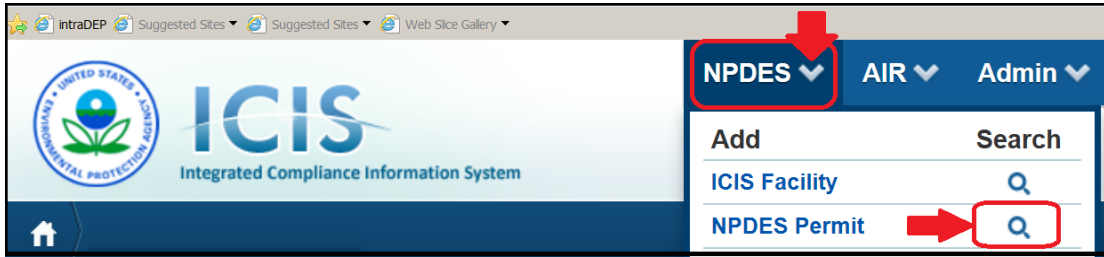
Estimated Area Disturbed

Project Plan Size

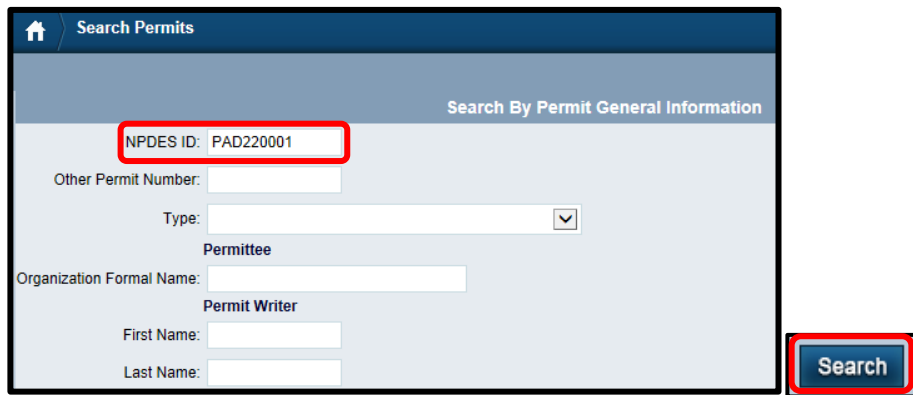
Save Save and Add Another Copy & Create New Cancel

B. Viewing and/or Modifying Inspection Data

To see what Compliance Monitoring Activities are in ICIS for a particular permit, click on the down arrow next to “NPDES” and then click on the “magnifying glass” search icon next to “NPDES Permit”.



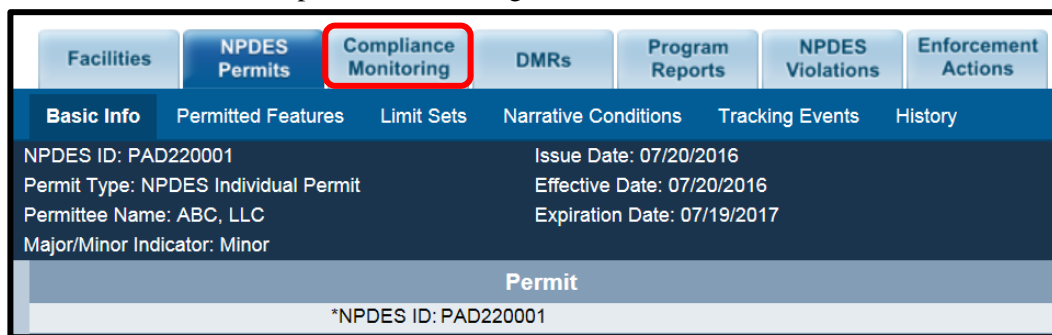
Enter the permit number, and click on the “Search” button at the bottom right.



The permit record will be returned. Click on the underlined permit number to open the permit.

Select	NPDES ID	Permit/Permittee Name	Type	Major/Minor	Effective Date	Expiration Date
<input type="radio"/>	<u>PAD220001</u>	ABC, LLC	NPDES Individual Permit	Minor	07/20/2016	07/19/2017

Click on the tab for Compliance Monitoring.



July 3, 2017

Any inspections for that permit will be listed in this section. To open the Compliance Monitoring activity, click on the Compliance Monitoring ID (circled in red below). Save any modifications made.

List of Compliance Monitoring Activities Linked to the NPDES Permit

NPDES ID: PAD220001 **Permit Type:** NPDES Individual Permit **Permittee Name:** ABC, LLC **Major/Minor Indicator:** Minor

Issue Date: 07/20/2016 **Effective Date:** 07/20/2016 **Expiration Date:** 07/19/2017

Compliance Monitoring List

Show entries: 200 | Filter: | Showing 1 to 1 of 1 entries | [First](#) [Previous](#) **1** [Next](#) [Last](#)

Compliance Monitoring ID / Activity ID	Activity Name	Programmatic ID / Facility Site Name	Activity Type	Compliance Monitoring Type	Actual End Date	Sensitive?	Actions
PA000N1349863 3600781815	Complaint	» NPDES PAD220001 MEADOW VIEW BUSINESS CENTER	Inspection/Evaluation	Reconnaissance without Sampling	09/13/2016	No	Copy Delete

Showing 1 to 1 of 1 entries | [First](#) [Previous](#) **1** [Next](#) [Last](#)

V. Single Event Violations (SEVs)

What is a SEV?

In EPA's 10/2008 "Single Event Violation Entry Guide for ICIS_NPDES", SEVs are described as

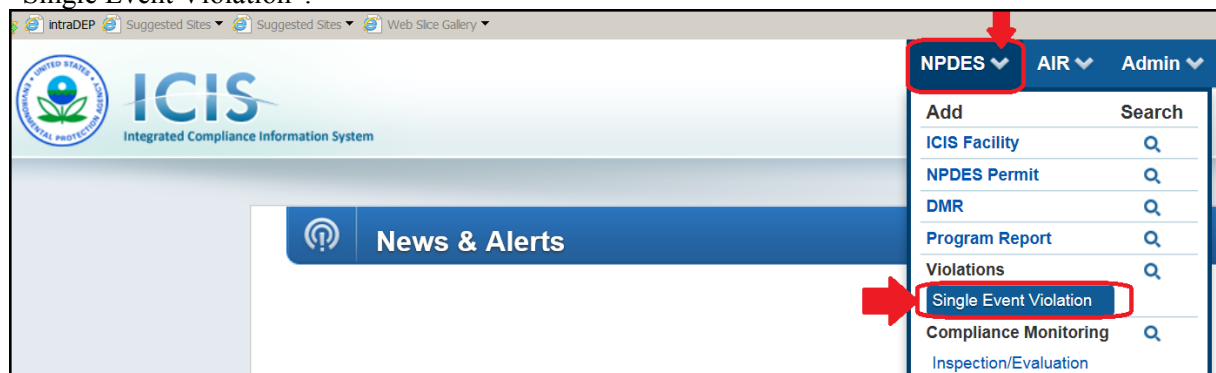
"...violations of the CWA's NPDES requirements that are documented during a compliance inspection, reported by the facility, or determined through other compliance monitoring methods by the regulatory authority. Examples of single event violations include failure to obtain required permit, sampling wastewater in an unauthorized location, or an unauthorized wastewater bypass or discharge... Single event violations include one-time events and long-term violations... Single event violations do not include violations generated automatically (e.g., effluent limit violation from a DMR, or compliance schedule violations) by the Integrated Compliance Information System for the National Pollutant Discharge Elimination System program (ICIS-NPDES)."

A. Entering Violation Data

Whenever an inspection of a NPDES (PAG-02 or Individual) permitted facility is conducted by a delegated county conservation district, any violations noted will be entered into ICIS by the conservation district within 5 business days of the completion of the inspection. If the responsible party was not present during the inspection, the violation will be entered into ICIS at the time of mailing the inspection report to the responsible party.

If multiple violations are noted during a single inspection, each violation must be entered by proceeding through the steps below for each violation. **Note:** At this time, ICIS will not accept multiple entries of the same ICIS Violation Code for the same SEV date. Therefore, inspection report findings which share the same ICIS Violation Code will need to be grouped and entered under the same ICIS Violation Code. See Attachment 1 for details. Attachment 1 also outlines the ICIS entry process as violations are being observed and resolved for a particular site over time.

To enter a SEV into ICIS, after logging into ICIS, click on the down arrow next to "NPDES", and then click on "Single Event Violation".



This brings up the Add Single Event violation screen.

First, enter the permit number in the NPDES ID field:

To enter the Violation Code, click on the “Search” button...

... which brings up the Violation Code Search pop-up window. Scroll down the list to the Storm Water Construction violations. The complete violation description cannot be read directly from the list, but when a single violation is highlighted by clicking on it, a yellow banner with the complete description is briefly displayed at the bottom.

In Table 1 below, locate your inspection report finding letter and match it to the ICIS violation code and description in the same row. For a violation which is associated with multiple inspection report findings, choose only the principle inspection report finding and match it to the ICIS violation code and description in the same row of Table 1. For example, a violation of “silt fence B not installed per plan” might have three inspection report findings (d, u, & w) associated with it. Choose inspection report finding “d” (and, thus, ICIS violation code B0C18), since it is the principle finding. There is no need to enter separate violations for each inspection report finding associated with the violation.

Note: Inspection report findings (p and u) which correlate to multiple ICIS violation codes are highlighted in Table 1. For these inspection findings choose the single ICIS violation code and description which best represents the violation.

Table 1 “Violation Codes and Descriptions Available for Stormwater Construction Activities”

Inspection Report Finding	ICIS Violation Code	ICIS Violation Description
h, i	D0R12	WW Storm Water Construction - CWA §308 Failure to submit required permit application information
g	D0R11	WW Storm Water Construction - Discharge without a permit
u, z	B0R12	WW Storm Water Construction - Failure to Conduct Inspections
d, f	B0C18	WW Storm Water Construction - Failure to Implement SWPPP/SWMP
b, l, p	B0R41	WW Storm Water Construction - Failure to Maintain Records
u	C0R11	WW Storm Water Construction - Failure to Monitor
j	D0R18	WW Storm Water Construction - Failure to apply for a notice of termination
a, k	B0C17	WW Storm Water Construction - Failure to develop any or adequate SWPPP/SWMP
n, q, s, t	BR19A	WW Storm Water Construction - Failure to properly install/implement BMPs
e, o, y	BR19B	WW Storm Water Construction - Failure to properly operate and maintain BMPs
p	E0R16	WW Storm Water Construction - Failure to submit required report (non-DMR)
r, u, v, w	A0R22	WW Storm Water Construction - Narrative effluent violation
N/A	E0R14	WW Storm Water Construction - Noncompliance with section 308 Information Request
N/A	A0R12	WW Storm Water Construction - Numeric Effluent Violation
c, m, x	B0R42	WW Storm Water Construction - Violation of a milestone in an order

To choose the ICIS violation, click on it to highlight it and click on “Done”...

...and the selected violation code will be displayed on the SEV screen.

*Violation Code : BR19A WW Storm Water Construction - Failure to properly install/implement BMPs

Enter the Single Event Violation Date.

*Single Event Violation Date : 09/13/2016

To enter the Single Event Agency Type, click on the down arrow to display the drop down menu. Choose “County” to indicate a violation cited by a county conservation district.

*Single Event Agency Type : County

If the SEV has been resolved, as confirmed by a follow-up inspection, enter both the Single Event Start Date and the Single Event End Date. These dates may be the same as the Single Event Violation Date. If the violation has not been resolved, enter the Single Event Start Date and leave the Single Event End Date blank, and return to ICIS upon resolution of the violation to enter the Single Event End Date. Resolution of the violation must be identified through a reinspection, not through the contractor’s inspection, prior to entry of the Single Event End Date. The Single Event End Date is the date of reinspection.

Duration

Single Event Start Date : Required

Single Event End Date : Required if the SEV has been resolved

In order to identify the individual inspection report finding(s) and specific violation(s) which is associated with the ICIS violation code, fill in the comment box with the appropriate inspection finding as per the example below.

“Violation code correlates to inspection report finding: _____
and specific violation: _____”

Click on one of the “Save” buttons at the bottom in order to save the violation. Note: if additional violations were noted on the inspection report, enter each of those violations by clicking on “Save & Add Another.”

Comments

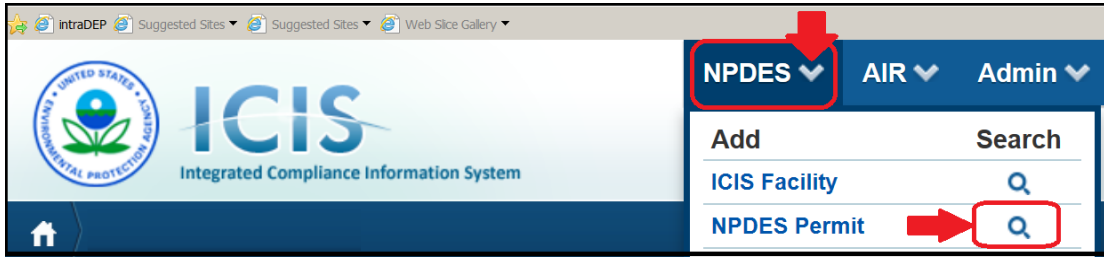
violation code correlates to inspection report finding: Failure to maintain effective E&S BMPs, and specific violation: filter sock A not maintained

Save & Exit Save & Continue Save & Add Another Cancel

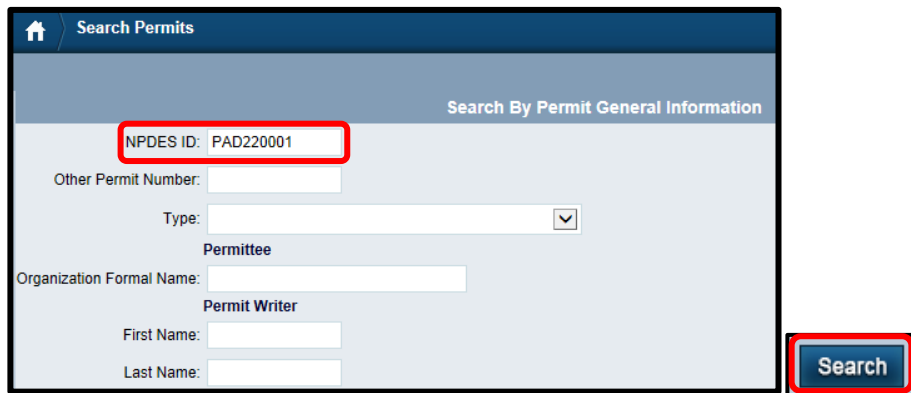
See **Attachment 1** for clarification on the process necessary for the ICIS entry of a series of inspections and violations on a particular project site.

B. Viewing and/or Modifying Violation Data

To see what violations are in ICIS for a particular permit, click on the down arrow next to “NPDES” and then click on the “magnifying glass” search icon next to “NPDES Permit”.



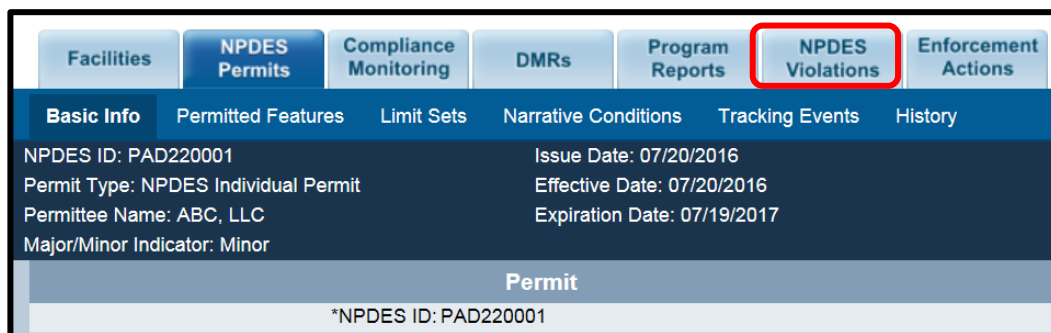
Enter the permit number, and click on the “Search” button at the bottom right.



The permit record will be returned. Click on the underlined permit number to open the permit.

Select	NPDES ID	Permit/Permittee Name	Type	Major/Minor	Effective Date	Expiration Date
<input type="radio"/>	<u>PAD220001</u>	ABC, LLC	NPDES Individual Permit	Minor	07/20/2016	07/19/2017

Click on the tab for NPDES Violations.



The Violation Search Criteria screen will appear, allowing you to narrow the search. It will likely not be necessary but the date range, SEV checkbox, and violation code may be entered to narrow the search. Click “Search” at the bottom of the page.

Violation Search Criteria

*NPDES ID: PAD220001

Date Range

From: **May be narrowed**

To:

Violation Type

DMR Violation
Violation Code(s): D80 DMR, Monitor Only - Overdue
D90 DMR, Limited - Overdue
E90 DMR, Limited - Numeric Violation

Schedule Violation
Violation Code(s): C10 Schedule Event reported late
C20 Schedule Event achieved late but reported
C30 Schedule Event unachieved but reported
C40 Schedule Event unachieved and not reported

Single Event Violation **May be checked**
Violation Code: **May be narrowed**

Permitted Feature ID:

Limit Set Designator:

Parameter:

Statistical Base Code Type: AVG Average
MAX Maximum
MIN Minimum
NON Not Applicable

RNC

RNC Detection Code: A Enforcement Order
B Manual 2A4 - Pass-Through
C Chronic Violation
D Manual Other

From: To: Detection Flag:

RNC Resolution Code: 0 RE - Two Years Past Detection (System Administratively Resolved)
1 NC - Unresolved RNC
2 RE - Back into Compliance
3 RP - Due to Formal Enforcement Action Final Order with Compliance Schedule

From: To:

Search **Cancel**

A list of the violations meeting the search criteria will be returned. Click on the correct “Single Event Violation” to open the details of the violation.

Search Permits **Related NPDES Violations**

Facilities NPDES Permits Compliance Monitoring DMRs Program Reports **NPDES Violations** Enforcement Actions

List of Violations Related to the Permit

Violation Type	Violation Information	Violation Code	Violation Date
Single Event Violation	BR19A WW Storm Water Construction - Failure to properly install/implement BMPs	BR19A	09/13/2016
Single Event Violation	BR19B WW Storm Water Construction - Failure to properly operate and maintain BMPs	BR19B	09/13/2016

July 3, 2017

The information in the dark blue banner at the top cannot be altered. The white fields are available for modification. For example, the Single Event End Date, which was previously left blank due to an unresolved violation, may now be entered if the violation has been resolved.

Click on one of the Save buttons to save any changes. Click on "Cancel" if any changes made are to be ignored.

NPDES ID: PAD220001
Violation Code: BR19B
Violation Description: WW Storm Water Construction - Failure to properly operate and maintain BMPs
Violation Date: 09/13/2016

Edit Single Event Violation

*Single Event Agency Type : County

Duration		User Defined Fields
Single Event Start Date :	09/13/2016	1 : <input type="text"/>
Single Event End Date :	09/30/2016	2 : <input type="text"/>
RNC Information		3 : <input type="text"/>
RNC Detection Code :	<input type="text"/>	4 : <input type="text"/>
RNC Detection Date :	<input type="text"/>	5 : <input type="text"/>
RNC Resolution Code :	<input type="text"/>	
RNC Resolution Date :	<input type="text"/>	

Comments

violation code correlates to inspection report finding: Failure to maintain effective E&S BMPs, and specific violation: filter sock A not maintained

Save & Exit Save & Continue Save & Add Another Cancel

VI. Enforcement Actions (EAs)

A. Entering Enforcement Action Data

Whenever an enforcement action is taken on a NPDES (PAG-02 or Individual) permitted facility by a level-three delegated county conservation district, the EA will be entered into ICIS within 5 business days of its execution by the conservation district taking the enforcement action.

There are three types of EAs: Informal, Formal, and Judicial. This document will provide instructions to add Informal and Formal EAs.

1. Entering an Informal EA - Notice of Violation

There is only one type of Informal EA that will be entered – the Notice of Violation (or NOV), associated with scheduling an administrative/enforcement conference. The NOV will be entered within 5 business days of sending the NOV.

From the navigation bar at the top right of the screen, click on the down arrow next to “NPDES” and then click on “Informal” under Enforcement Action.



This will open the first entry screen. For Informal EAs, the Enforcement Action Name will always be entered as “NOV” and the Enforcement Action Type will always be entered as “**Notice of Violation**”.

A screenshot of a web form titled "Please enter identifying information for the Enforcement Action." The form has three main input fields. The first is labeled "*Enforcement Action Identifier:" and contains a dropdown menu with "PA" selected and the text "- (Auto Generated)". The second is labeled "Enforcement Action Name:" and contains the text "NOV". The third is labeled "*Enforcement Action Type:" and contains a dropdown menu with "Notice of Violation" selected. Red boxes highlight the "NOV" and "Notice of Violation" fields. To the right of the "NOV" field, the text "Always 'NOV'" is written in red. To the right of the "Notice of Violation" field, the text "Always 'Notice of Violation'" is written in red.

July 3, 2017

The Agency Lead Indicator will always be entered as “**State**” because the NOV was issued by a delegated county conservation district on behalf of the DEP. The Enforcement Agency Type will be entered as “**County**” to indicate a conservation district-issued NOV. The Enforcement Agency Name will be entered as “_____ **County Conservation District**” to identify the conservation district which issued the NOV. Lastly, enter the Achieved Date as the date that the NOV was issued. Click on “Next” to continue.

*Enforcement Action Identifier: PA - (Auto Generated)

Enforcement Action Name: NOV

*Enforcement Action Type: Notice of Violation

Agency Lead Indicator: State *Always “State”*

Enforcement Agency Type: State
Municipal
County *Always “County”*
Regional

Enforcement Agency Name: Dauphin County Conservation District *Complete as “_____ County Conservation District”*

Achieved Date: 09/19/2016 *Date NOV Issued*

Next » Cancel

Since no facilities will be returned, click on “Manage Facilities” to find the **permit** to associate with the NOV.

Integrated Compliance Information System

*Linked Facilities

Manage Facilities

Facility Site Name	FRS ID	Programmatic ID	Address
Nothing found to display.			

Enter the NPDES Permit number of the permit to associate with the NOV. Then, click on “Next.”

Facility Search Criteria

Search By Facility Information	Search By Permit Information
Facility Site Name: <input type="text"/>	NPDES ID: PAD220001
FRS ID: <input type="text"/>	Other Permit Number: <input type="text"/>
State Facility ID: <input type="text"/>	Type: <input type="text"/>

« Previous Next » Cancel

If the correct NPDES Permit number is returned, click in the box on its left to check it. Then click on ‘Next.’”

Programmatic ID	Facility Site Name	Address, City, State, Zip
<input checked="" type="checkbox"/> NPDES PAD220001	MEADOW VIEW BUSINESS CENTER	1234 COMMERCE DRIVE, SUSQUEHANNA, TOWNSHIP OF, PA, 17110

Record 1 to 1

The facility, which is linked to the permit (which is associated with the NOV), will be returned. Click on “Next.”

Facility Site Name	FRS ID	Programmatic ID	Address
<input type="checkbox"/> MEADOW VIEW BUSINESS CENTER		NPDES PAD220001	1234 COMMERCE DRIVE, SUSQUEHANNA, TOWNSHIP OF, PA, 17110

At the top of the next screen, a summary of the information entered is displayed.

<p>*Enforcement Action Identifier: PA-(Auto Generated)</p> <p>Enforcement Action Name: <input type="text" value="NOV"/></p> <p>*Enforcement Action Type: <input type="text" value="Notice of Violation"/></p> <p>Achieved Date: <input type="text" value="09/19/2016"/></p>	<p>If the Agency Lead Indicator is blank, reenter “State”</p> <p>Agency Lead Indicator: <input type="text" value="State"/></p> <p>Enforcement Agency Type: <input type="text" value="County"/></p> <p>Enforcement Agency Name: <input type="text" value="Dauphin County Conservation District"/></p> <p>File Number: <input type="text"/></p>								
<p style="text-align: center;">*Linked Facilities</p> <table border="1"><thead><tr><th>Facility Site Name</th><th>FRS ID</th><th>Programmatic ID</th><th>Address</th></tr></thead><tbody><tr><td>MEADOW VIEW BUSINESS CENTER</td><td></td><td>NPDES PAD220001</td><td>1234 COMMERCE DRIVE, SUSQUEHANNA, TOWNSHIP OF, PA, 17110</td></tr></tbody></table>		Facility Site Name	FRS ID	Programmatic ID	Address	MEADOW VIEW BUSINESS CENTER		NPDES PAD220001	1234 COMMERCE DRIVE, SUSQUEHANNA, TOWNSHIP OF, PA, 17110
Facility Site Name	FRS ID	Programmatic ID	Address						
MEADOW VIEW BUSINESS CENTER		NPDES PAD220001	1234 COMMERCE DRIVE, SUSQUEHANNA, TOWNSHIP OF, PA, 17110						

Under the Statute/Law Section/Program block, for Programs Violated, scroll down to and click on “**NPDES Stormwater-Construction**”.

*Statute / Law Section / Program	
*Federal Statutes Violated: CWA - Clean Water Act	
Sections Violated:	<input type="text"/>
*Programs Violated:	<ul style="list-style-type: none">NPDES - Section 308 Information RequestsNPDES - Sludge/Biosolids<input checked="" type="checkbox"/> NPDES - Stormwater - ConstructionNPDES - Stormwater - MS4NPDES - Stormwater - Non-Construction

Scroll to the bottom of the page and click on “Save & Continue” in order to save this enforcement action.

2. Entering a Formal EA

Whenever a formal enforcement action is taken on a NPDES (PAG-02 or Individual) permitted facility, the enforcement action, final order, and any assessed penalties will be entered into ICIS within 5 business days of its execution. A formal enforcement action is considered executed once settlement has been reached and a Consent Assessment of Civil Penalties has been signed.

From the navigation bar at the top right of the screen, click on the down arrow next to “NPDES” and then click on “Administrative Formal” under Enforcement Action.



This will open the first entry screen. Enter the Enforcement Action Identifier, which is the default “PA” plus the remainder of the 9 character NPDES permit number, underscore, and the 8 digit date the EA was issued. In the example below, the EA being entered is for NPDES permit # PAD220001 and it was issued on October 13, 2016. (10/13/2016).

A screenshot of a web application's entry screen for an Enforcement Action Identifier. The screen has a light blue background. At the top, there is a red-bordered box containing the text '*Enforcement Action Identifier: PA' followed by a dropdown arrow, a hyphen, and 'D220001_10132016'. Below this, there are several input fields: 'Enforcement Action Name:' followed by a text box; 'Agency Lead Indicator:' followed by a dropdown arrow; 'Enforcement Agency Type:' followed by a dropdown menu with options 'State', 'Municipal', 'County', and 'Regional'; and 'Enforcement Agency Name:' followed by a text box. At the bottom right of the screen, there are two buttons: 'Next »' and 'Cancel'.

Enter the Enforcement Action Name as “**Consent Assessment of Civil Penalty.**”

*Enforcement Action Identifier: PA [v] - D220001_10132016

Enforcement Action Name: Consent Assessment of Civil Penalty

Agency Lead Indicator: [v]

Enforcement Agency Type: State
Municipal [^]
County [v]
Regional [v]

Enforcement Agency Name: []

Next » Cancel

The Agency Lead Indicator will always be entered as “**State**” because the enforcement action was issued by a delegated county conservation district on behalf of the DEP. The Enforcement Agency Type will be entered as “**County**” to indicate a conservation district-issued enforcement action. The Enforcement Agency Name will be entered as “_____ **County Conservation District**” to identify the conservation district which issued the enforcement action. Click on “Next” to continue.

*Enforcement Action Identifier: PA [v] - D220001_10132016

Enforcement Action Name: Consent Assessment of Civil Penalty

Agency Lead Indicator: State [v] Always “State”

Enforcement Agency Type: State
Municipal [^]
County [v] Always “County”
Regional [v]

Enforcement Agency Name: Dauphin County Conservation District Complete as “_____ County Conservation District”

Next » Cancel

July 3, 2017

On the next screen, an Enforcement Action Type needs to be chosen from the list of available options on the left side of the screen. Click on the Enforcement Action Type of “**State CWA Penalty AO,**” and then click on the “Add” button.

Please select Enforcement Action Type.

Enter Enforcement Action Type beginning with:

Available

- Emergency Order - Governor
- Order of Suspension or Revocation
- State Administrative Order of Consent
- State CWA Non Penalty AO
- State CWA Penalty AO

Add

Remove

*Selected

This will move the choice over to the right side of the screen under “Selected”. Click on “Next.”

Available

- Emergency Order - Governor
- Order of Suspension or Revocation
- State Administrative Order of Consent
- State CWA Non Penalty AO

Add

Remove

*Selected

- State CWA Penalty AO

« Previous

Next »

Cancel

Since no facilities will be returned, click on “Manage Facilities” to find the **permit** to associate with the Administrative Formal Enforcement Action.

Integrated Compliance Information System

*Linked Facilities

Facility Site Name	FRS ID	Programmatic ID	Address
Nothing found to display.			

Manage Facilities

July 3, 2017

Enter the NPDES Permit number of the permit to associate with the Administrative Formal Action. Then, click on “Next.”

The screenshot shows a 'Facility Search Criteria' form with two main sections: 'Search By Facility Information' and 'Search By Permit Information'. The 'Search By Permit Information' section has 'NPDES ID: PAD220001' highlighted with a red box. Below this is a 'Search By Codes' section with 'SIC Codes' and 'NAICS Codes' fields. At the bottom right, the 'Next' button is highlighted with a red box.

If the correct NPDES Permit number is returned, click in the box on its left to check it. Then click on “Next.”

Programmatic ID	Facility Site Name	Address, City, State, Zip
<input checked="" type="checkbox"/> NPDES PAD220001	MEADOW VIEW BUSINESS CENTER	1234 COMMERCE DRIVE, SUSQUEHANNA, TOWNSHIP OF, PA, 17110

Record 1 to 1

Navigation buttons: Previous, Next, Cancel. The 'Next' button is highlighted with a red box.

The facility, which is linked to the permit (which is associated with the EA), will be returned. Click on “Next.”

Facility Site Name	FRS ID	Programmatic ID	Address
<input type="checkbox"/> MEADOW VIEW BUSINESS CENTER		NPDES PAD220001	1234 COMMERCE DRIVE, SUSQUEHANNA, TOWNSHIP OF, PA, 17110

Unlink Facilities

Navigation buttons: Previous, Next, Cancel. The 'Next' button is highlighted with a red box.

The next screen is an opportunity to add a Government Contact. This is not required. Proceed to the next screen without adding the contact by clicking on “Next.”

The screenshot shows the 'Government Contacts' screen in the 'Integrated Compliance Information System'. The title 'Government Contacts' is highlighted with a red box. Below the title is a table with columns: Affiliation Type, First Name, Last Name, Phone, Office, Organization. The table is empty, displaying 'Nothing found to display.' At the bottom right, the 'Next' button is highlighted with a red box and a red arrow points down to it.

At the top of the next screen, a summary of the information entered can be viewed.

				Status Data	
*Enforcement Action Identifier: PA-D220001_10132016				Enforcement Action Status: Enforcement Action Data Entered	
Enforcement Action Name: Consent Assessment of Civil Penalty				Status Date: 10/13/2016	
*Enforcement Action Type: State CWA Penalty AO				Branch: <input type="text"/>	
Agency Lead Indicator: State <input type="checkbox"/> If the Agency Lead Indicator is blank, reenter "State"					
Enforcement Agency Type: State Municipal County					
Enforcement Agency Name: Dauphin County Conservation District					
*Linked Facilities					
Facility Site Name	FRS ID	Programmatic ID	Address		
MEADOW VIEW BUSINESS CENTER		NPDES PAD220001	1234 COMMERCE DRIVE, SUSQUEHANNA, TOWNSHIP OF, PA, 17110		

Under the Statute/Law Section/Program block, for Program Violated, scroll down to and click on “**NPDES Stormwater-Construction**”.

*Statute / Law Section / Program	
*Federal Statutes Violated: CWA - Clean Water Act	
Sections Violated:	<input type="text"/>
*Programs Violated:	NPDES - Section 308 Information Requests NPDES - Sludge/Biosolids NPDES - Stormwater - Construction NPDES - Stormwater - MS4 NPDES - Stormwater - Non-Construction

Scroll to the bottom of the page and click on “Save & Continue” in order to save this enforcement action.

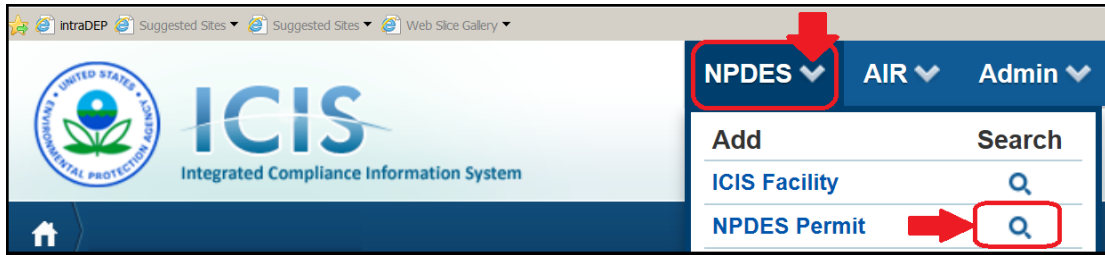
<input type="button" value="Previous"/>	<input type="button" value="Save & Continue"/>	<input type="button" value="Cancel"/>
---	--	---------------------------------------

The page will refresh and return to the top. New tabs and tab features will appear so that a final order may be entered. The final order and any assessed penalties will be entered at the same time as the enforcement action is entered by following the steps in section VI.B.1 of this SOP.

	Search Enforcement Actions	Search Results	Edit Enforcement Action PA-D220001_10132016	Basic Info	
Facilities	NPDES Permits	Compliance Monitoring	Case Files	NPDES Violations	Enforcement Actions
Basic Info	Sensitive Comments	Milestones	Sub Activities	Final Order	
Enforcement Action Identifier: PA-D220001_10132016					
Enforcement Action Name: Consent Assessment of Civil Penalty					
Issued By: State					
Forum: Administrative - Formal					

B. Viewing and/or Modifying Enforcement Action Data

To see what enforcement action data are in ICIS for a particular permit, and to enter the final order data, click on the down arrow next to “NPDES” and then click on the “magnifying glass” search icon next to “NPDES Permit”.



Enter the permit number, and click on the “Search” button at the bottom right.

Search Permits

Search By Permit General Information

NPDES ID:

Other Permit Number:

Type:

Permittee

Organization Formal Name:

Permit Writer

First Name:

Last Name:

The permit record will be returned. Click on the underlined permit number to open the permit.

Select	NPDES ID	Permit/Permittee Name	Type	Major/Minor	Effective Date	Expiration Date
<input type="radio"/>	<u>PAD220001</u>	ABC, LLC	NPDES Individual Permit	Minor	07/20/2016	07/19/2017

Click on the tab for Enforcement Actions.

Facilities | **NPDES Permits** | Compliance Monitoring | DMRs | Program Reports | NPDES Violations | **Enforcement Actions**

Basic Info | Permitted Features | Limit Sets | Narrative Conditions | Tracking Events | History

NPDES ID: PAD220001 Issue Date: 07/20/2016
 Permit Type: NPDES Individual Permit Effective Date: 07/20/2016
 Permittee Name: ABC, LLC Expiration Date: 07/19/2017
 Major/Minor Indicator: Minor

Permit	Dates
*NPDES ID: PAD220001	Original Issue Date: 07/20/2016
Permit Status	Issue Date: <input type="text" value="07/20/2016"/>
*Permit Status: Terminated.	Effective Date: 07/20/2016
Approved for Electronic DMR	Expiration Date: 07/19/2017
Submission: <input type="checkbox"/> Yes	Retirement Date:
	Termination Date: 07/25/2016

The enforcement actions linked to the NPDES Permit will be listed.

List of Enforcement Actions Linked to the NPDES Permit

NPDES ID: PAD220001 **Permit Type:** NPDES Individual Permit **Permittee Name:** ABC, LLC **Major/Minor Indicator:** Minor
Issue Date: 07/20/2016 **Effective Date:** 07/20/2016 **Expiration Date:** 07/19/2017

Enforcement Actions List

Show entries: 200 | Filter: | Showing 1 to 2 of 2 entries | [First](#) [Previous](#) [1](#) [Next](#) [Last](#)

Enforcement Action ID	Enforcement Action Name	Forum	Primary Law	Complaint Filed/ Proposed Order Date	Status	Status Date	Actions
Final Order Number	Final Order Issued / Entered Date	EPA Penalty Assessed	State/Local Penalty Assessed	Injunctive Relief?			
PA-200138936	NOV	Administrative - Informal	CWA		Achieved	09/19/2016	Delete
PA-D220001_10132016	Consent Assessment of Civil Penalty	Administrative - Formal	CWA		Enforcement Action Data Entered	10/13/2016	Copy Delete

Showing 1 to 2 of 2 entries | [First](#) [Previous](#) [1](#) [Next](#) [Last](#)

1. Entering a Final Order and Penalty

Enter the final order and any penalties as directed below. First, click on the Enforcement Action ID for the particular enforcement action.

List of Enforcement Actions Linked to the NPDES Permit

NPDES ID: PAD220001 **Permit Type:** NPDES Individual Permit **Permittee Name:** ABC, LLC **Major/Minor Indicator:** Minor
Issue Date: 07/20/2016 **Effective Date:** 07/20/2016 **Expiration Date:** 07/19/2017

Enforcement Actions List

Show entries: 200 | Filter: | Showing 1 to 2 of 2 entries | [First](#) [Previous](#) [1](#) [Next](#) [Last](#)

Enforcement Action ID	Enforcement Action Name	Forum	Primary Law	Complaint Filed/ Proposed Order Date	Status	Status Date	Actions
Final Order Number	Final Order Issued / Entered Date	EPA Penalty Assessed	State/Local Penalty Assessed	Injunctive Relief?			
PA-200138936	NOV	Administrative - Informal	CWA		Achieved	09/19/2016	Delete
PA-D220001_10132016	Consent Assessment of Civil Penalty	Administrative - Formal	CWA		Enforcement Action Data Entered	10/13/2016	Copy Delete

Showing 1 to 2 of 2 entries | [First](#) [Previous](#) [1](#) [Next](#) [Last](#)

Click on the “Final Order” tab feature.

The screenshot shows the 'Edit Enforcement Action PA-D220001_10132016' page. The 'Final Order' tab is highlighted with a red box. The page includes a breadcrumb trail: Search Enforcement Actions > Search Results > Edit Enforcement Action PA-D220001_10132016 > Basic Info. Below the breadcrumb, there are tabs for Facilities, NPDES Permits, Compliance Monitoring, Case Files, NPDES Violations, and Enforcement Actions. The 'Final Order' tab is selected. The main content area displays: Enforcement Action Identifier: PA-D220001_10132016, Enforcement Action Name: Consent Assessment of Civil Penalty, Issued By: State, and Forum: Administrative - Formal.

No final order will be displayed. Click on “Add Final Order.”

The screenshot shows the 'Final Order' tab selected. The 'ADD FINAL ORDER' button is highlighted with a red box. The page displays the same enforcement action details as the previous screenshot. Below the details is a table with columns: Final Order ID, Name, Type, Date Issued, Date NPDES Closed, and Date Air Resolved. The table is currently empty, with the text 'Nothing found to display.' at the bottom. There are 'View', 'Edit', and 'Delete' buttons at the bottom right.

The correct facility should already be listed under “Selected Facility Interests. Click on “Next.”

The screenshot shows a dialog box titled 'Please select one or more Facility Interests to Link to the Final Order'. It has two columns: 'Available Facility Interests' (empty) and '* Selected Facility Interests' (containing 'NPDES PAD220001-MEADOW VIEW BUSINESS CENTER'). There are 'Add' and 'Remove' buttons between the columns. At the bottom right, the 'Next >' button is highlighted with a red box, along with a 'Cancel' button.

The Final Order screen will display.

Enter the Type as “**Administrative Penalty Order With or Without Injunctive Relief.**”

For the Federal Statue Violated, scroll down the list and click on “**CWA : CWA : Clean Water Act.**”

Then, enter “Final Order Issued Date” as the date that the final order was issued. Enter the “NPDES Closed Date” as the date that the final order closed. If the enforcement action is still open, leave the “NPDES Closed Date” blank, and return to enter the NPDES Closed Date when the action is closed.

Final Order	Dates
Name: Consent Assessment of (Complaint Filed/Proposed Order Date:
Type: Administrative Penalty Order With or Without Injunctive Relief	Final Order Issued Date: 11/30/2016
EMS Requested: <input type="checkbox"/> ADR Used: <input type="checkbox"/>	NPDES Closed Date:
*Federal Statutes Violated: CWA - Clean Water Act	Estimated Termination Date:
Law Sections Violated: CWA : 309A1 : Clean Water Act CWA : 309G : Clean Water Act CWA : 308A : Clean Water Act CWA : CWA : Clean Water Act CWA : 301/311 : Effluent Limitations - Oil and Haza	Actual Termination Date:
	Most Recent Amendment Date:

Scroll to the bottom of the page and click on “Save and Continue” to save the Final Order.



The screen will refresh and go to the top. New tab features under Final Order will display. If there is no penalty involved, entry for the Formal EA is complete. If there is a penalty involved, click on “Penalty.”

Facilities	NPDES Permits	Compliance Monitoring	Case Files	NPDES Violations	Enforcement Actions	
Basic Info	Sensitive Comments	Milestones	Sub Activities	Final Order		
Basic Info	Penalty	SEP	Complying Action/Inj. Relief	Compliance Schedule	Enf. Act. Limits	NPDES Violations
Enforcement Action Identifier: PA-D220001_10132016		Final Order ID: 1				
Enforcement Action Name: Consent Assessment of Civil Penalty		Final Order Name: Consent Assessment of Civil Penalty				
Issued By: State		Final Order Type: Administrative Penalty Order With or Without Injunctive Relief				
Forum: Administrative - Formal						
Final Order				Dates		
Name: Consent Assessment of (Complaint Filed/Proposed Order Date:		

Click “Add Penalty” to enter the penalty.

Facilities	NPDES Permits	Compliance Monitoring	Case Files	NPDES Violations	Enforcement Actions	
Basic Info	Sensitive Comments	Milestones	Sub Activities	Final Order		
Basic Info	Penalty	SEP	Complying Action/Inj. Relief	Compliance Schedule	Enf. Act. Limits	NPDES Violations
Enforcement Action Identifier: PA-D220001_10132016		Final Order ID: 1				
Enforcement Action Name: Consent Assessment of Civil Penalty		Final Order Name: Consent Assessment of Civil Penalty				
Penalty		Final Order Type: Administrative Penalty Order With or Without Injunctive Relief				
Issued By: State						
Forum: Administrative - Formal						
No Penalty Information Added						

Enter the penalty amount in the “State/Local Agency” field, and click on “Save” to save the penalty.

Add Penalty

Notice Pleading: No Cash Civil Penalty Amount Sought: \$


Cash Civil Penalty Amount Required-By Statute

CWA: \$


Penalty Assessed to Be Paid to:

EPA: \$

Federal Agency/Dept. Other Than EPA: \$ Federal Agency/Dept. Receiving Penalty Assessed:

State/Local Agency: \$ 

Total Penalty Collected: \$


Save

The screen will refresh. **DO NOT** click on Edit or Delete. If more information needs to be entered, click on the top “Basic Information” tab feature. If data entry is complete, click on the NPDES Permits tab, then the permit number, then the Enforcement Actions tab to view the EA.

Facilities **NPDES Permits** Compliance Monitoring Case Files NPDES Violations Enforcement Actions

Basic Info **Sensitive Comments** Milestones Sub Activities Final Order

Basic Info **Penalty** SEP Complying Action/Inj. Relief Compliance Schedule Enf. Act. Limits NPDES Violations

Enforcement Action Identifier: PA-D220001_10132016 Final Order ID: 1
Enforcement Action Name: Consent Assessment of Civil Penalty Final Order Name: Consent Assessment of Civil Penalty
Issued By: State Final Order Type: Administrative Penalty Order With or Without Injunctive Relief
Forum: Administrative - Formal

Penalty

Notice Pleading: No Cash Civil Penalty Amount Sought: \$

Cash Civil Penalty Amount Required-By Statute

CWA: \$

Penalty Assessed to Be Paid to:

EPA: \$
Federal Agency/Dept. Other Than EPA: \$ Federal Agency/Dept. Receiving Penalty Assessed:
State/Local Agency: \$ 1,000.00

Total Penalty Collected: \$



2. Entering a Final Order Closed Date

If access to a previously entered final order is needed to enter the final order closed date, access the list of enforcement actions linked to the NPDES permit by following the directions in section VI.B of this SOP, then click on the final order number (next to the correct final order issued date) to be taken directly to the final order screen.

List of Enforcement Actions Linked to the NPDES Permit

NPDES ID: PAD220001 Permit Type: NPDES Individual Permit Permittee Name: ABC, LLC Major/Minor Indicator: Minor
 Issue Date: 07/20/2016 Effective Date: 07/20/2016 Expiration Date: 07/19/2017

Enforcement Actions List

Show entries: 200 Filter: Showing 1 to 2 of 2 entries [First] [Previous] [1] [Next] [Last]

Enforcement Action ID	Enforcement Action Name	Forum	Primary Law	Complaint Filed/ Proposed Order Date	Status	Status Date	Actions
PA-200138936	NOV	Administrative - Informal	CWA		Achieved	09/19/2016	Delete
PA-D220001_10132016	Consent Assessment of Civil Penalty	Administrative - Formal	CWA		Final Order Issued	11/30/2016	Copy Delete
	1	11/30/2016			\$1,000.00	No	

Showing 1 to 2 of 2 entries [First] [Previous] [1] [Next] [Last]

Enter the NPDES Closed Date. Scroll to the bottom and click on “Save.”

Basic Info Sensitive Comments Milestones Sub Activities **Final Order**

Basic Info Penalty SEP Complying Action/Inj. Relief Compliance Schedule Enf. Act. Limits NPDES Violations

Enforcement Action Identifier: PA-D220001_10132016 Final Order ID: 1
 Enforcement Action Name: Consent Assessment of Civil Penalty Final Order Name: Consent Assessment of Civil Penalty
 Issued By: State Final Order Type: Administrative Penalty Order With or Without Injunctive Relief
 Forum: Administrative - Formal

Final Order	Dates
Name: Consent Assessment of t	Complaint Filed/Proposed Order Date:
*Type: Administrative Penalty Order With or Without Injunctive Relief	Final Order Issued Date: 11/30/2016
EMS Requested: <input type="checkbox"/> ADR Used: <input type="checkbox"/>	NPDES Closed Date: 12/01/2016
*Federal Statutes Violated: CWA - Clean Water Act	Estimated Termination Date:
Law Sections Violated: CWA : 301/402 : NPDES Permit Violations CWA : 402 : Clean Water Act CWA : 301A : Clean Water Act CWA : 307D : Clean Water Act CWA : 309 : Violation of Existing AO	Actual Termination Date:
	Most Recent Amendment Date:

[Save] [Save & Continue] [Cancel]

VII. Linking an Enforcement Action to a Violation

In order to indicate which violation(s) a particular enforcement action is addressing, the enforcement action must be linked to the violation in ICIS. To create this linkage, first follow the steps in section VI.B of this SOP. This will bring you to the list of enforcement actions linked to the permit. Click on the Enforcement Action ID that needs to be linked to a violation(s).

List of Enforcement Actions Linked to the NPDES Permit

NPDES ID: PAD220001	Permit Type: NPDES Individual Permit	Permittee Name: ABC, LLC	Major/Minor Indicator: Minor
Issue Date: 07/20/2016	Effective Date: 07/20/2016	Expiration Date: 07/19/2017	

Enforcement Actions List

Show entries Filter: Showing 1 to 2 of 2 entries
[First](#) [Previous](#) [1](#) [Next](#) [Last](#)

Enforcement Action ID	Enforcement Action Name	Forum	Primary Law	Complaint Filed/ Proposed Order Date	Status	Status Date	Actions
PA-200138936	NOV	Administrative - Informal	CWA		Achieved	09/19/2016	Delete
PA-D220001_10132016	Consent Assessment of Civil Penalty	Administrative - Formal	CWA		Enforcement Action Data Entered	10/13/2016	Copy Delete

Showing 1 to 2 of 2 entries
[First](#) [Previous](#) [1](#) [Next](#) [Last](#)

The Enforcement Action detail page will be returned, click on the NPDES Violations tab.

Search Enforcement Actions
Search Results
Edit Enforcement PA-200139016
Basic Info

Facilities

NPDES Permits

Compliance Monitoring

Case Files

NPDES Violations

Enforcement Actions

Basic Info Sub Activities

Enforcement Action Identifier: PA-200139016

Enforcement Action Name: NOV

Issued By: State

Forum: Administrative - Informal

*Enforcement Action Identifier: PA-200139016

Enforcement Action Name:

*Enforcement Action Type:

Achieved Date:

Enforcement Action Status: Achieved
Status Date: 09/19/2016

Agency Lead Indicator:

Enforcement Agency Type:

Enforcement Agency Name:

File Number:

July 3, 2017

Click on “Search to Link.”

Search Enforcement Actions Search Results Related Violations

Facilities NPDES Permits Compliance Monitoring Case Files NPDES Violations Enforcement Actions

List of Violations Related to the Enforcement Action

Select All Violation Type Violation Information Violation Code Violation Date RNC Detection Code-Date RNC Resolution Code-Date Action

Nothing found to display.

Search to Link Unlink

An opportunity to enter search criteria will appear. Enter additional criteria, or just click on “Search.”

Violation Search Criteria

*NPDES ID: PAD220001

Date Range
From: To:

Violation Type
 DMR Violation
Violation Code(s): D80 DMR, Monitor Only - Overdue
D90 DMR, Limited - Overdue
E90 DMR, Limited - Numeric Violation
Permitted Feature ID: Limit Set Designator: Parameter: Statistical Base Code Type: AVG Average MAX Maximum MIN Minimum NON Not Applicable
 Schedule Violation
Violation Code(s): C10 Schedule Event reported late
C20 Schedule Event achieved late but reported
C30 Schedule Event unachieved but reported
C40 Schedule Event unachieved and not reported
 Single Event Violation
Violation Code:

RNC
RNC Detection Code: A Enforcement Order B Manual 2A4 - Pass-Through C Chronic Violation D Manual Other
From: To: Detection Flag:
RNC Resolution Code: 0 RE - Two Years Past Detection (System Administratively Resolved) 1 NC - Unresolved RNC 2 RE - Back into Compliance 3 RP - Due to Formal Enforcement Action Final Order with Compliance Schedule
From: To:

Search Cancel

Check the boxes next to any violations that are to be linked to the enforcement action, and click on “Link.”

Search Enforcement Actions Search Results Link/Unlink Violations to Enforcement Action

Facilities NPDES Permits Compliance Monitoring Case Files NPDES Violations Enforcement Actions

Enforcement Action Identifier: PA-200139016
Enforcement Action Name: NOV
Issued By: State
Forum: Administrative - Informal

List of Violations eligible to be linked to Enforcement Action

Select All Record Numbers 1 to 2

Violation Type	Violation Information	Violation Code	Violation Date	RNC Detection Code-Date	RNC Resolution Code-Date
<input checked="" type="checkbox"/>	Single Event Violation BR19A WW Storm Water Construction - Failure to properly install/implement BMPs	BR19A	09/13/2016		
<input type="checkbox"/>	Single Event Violation BR19B WW Storm Water Construction - Failure to properly operate and maintain BMPs	BR19B	09/13/2016		

Record Numbers 1 to 2

Link Cancel

July 3, 2017

A list of the violations “related” (or linked) to the enforcement action will be returned, with an opportunity to unlink a violation if an error was made.

Search Enforcement Actions Search Results Related Violations							
Facilities	NPDES Permits	Compliance Monitoring	Case Files	NPDES Violations	Enforcement Actions		
List of Violations Related to the Enforcement Action							Record 1 to 1
Select All	Violation Type	Violation Information	Violation Code	Violation Date	RNC Detection Code-Date	RNC Resolution Code-Date	Action
<input type="checkbox"/>		PAD220001 MEADOW VIEW BUSINESS CENTER					
<input type="checkbox"/>	Single Event Violation	BR19A WW Storm Water Construction - Failure to properly install/implement BMPs	BR19A	09/13/2016			Delete
							Record 1 to 1
							Search to Link Unlink

Attachment 1 Entry of a Series of Inspections and Violations

This attachment outlines the process for the ICIS entry of a series of inspections and violations on a particular project site, utilizing an example. The process below and corresponding flow chart are derived from the four partially completed sample inspection report forms on the following pages.

1. Upon the **first** inspection

- Enter the inspection start and end dates.
- Enter the SEV start date for EPA violation code B0C18, and include the following comments in the Comment Box for the SEV:

*“violation code correlates to inspection report finding:
Failure to implement effective E&S BMPs, and specific violations:
Silt fence B not installed,
Inlet protection 2 not installed, &
Sediment Trap 3 not installed”*

2. Upon the **second** inspection

- Enter the inspection start and end dates.
- Because one of the three specific violations from the first inspection are not yet resolved, the SEV from the first inspection remains open.
- Enter the SEV start date for EPA violation code BR19B, and include the following comments in the Comment Box for the SEV:

*“violation code correlates to inspection report finding:
Failure to maintain effective E&S BMPs, and specific violations:
Filter sock A not maintained”*

3. Upon the **third** inspection

- Enter the inspection start and end dates.
- Because all three specific violations from the first inspection are now resolved, the SEV from the first inspection must be closed.
- Because the specific violation from the second inspection is now resolved, the SEV from the second inspection must be closed.

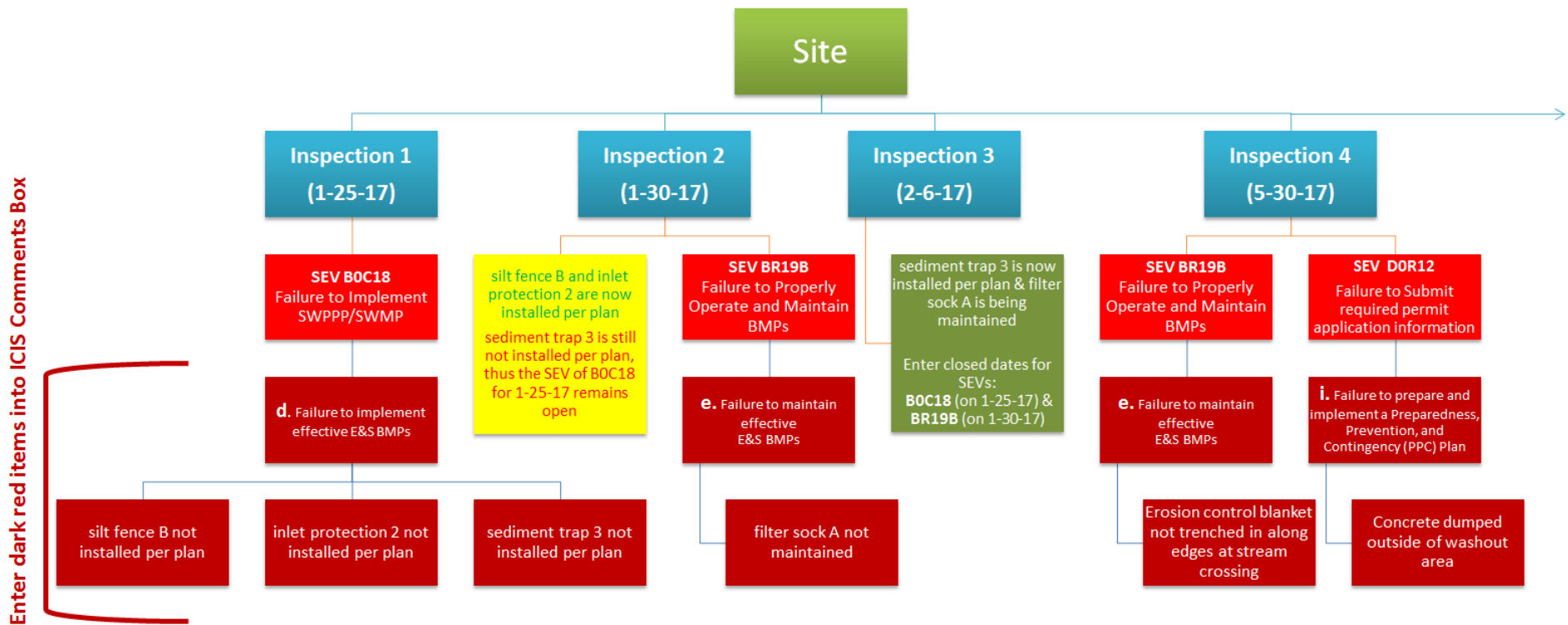
4. Upon the **fourth** inspection

- Enter the inspection start and end dates.
- Enter the SEV start date for EPA violation code BR19B, and include the following comments in the Comment Box for the SEV:

*“violation code correlates to inspection report finding:
Failure to maintain effective E&S BMPs, and specific violations:
Erosion control blanket not trenched in along edges at stream crossing”*

- Enter the SEV start date for EPA violation code D0R12, and include the following comments in the Comment Box for the SEV:

*“violation code correlates to inspection report finding:
Failure to prepare and implement a Preparedness, Prevention, and Contingency (PPC) Plan, and specific violations:
Concrete dumped outside of washout area”*



*Flow chart is derived from the sample inspection report forms on the following pages.

3150-FM-BWEW0092 Rev. 1/2016 COMMONWEALTH OF PENNSYLVANIA
 DEPARTMENT OF ENVIRONMENTAL PROTECTION
 BUREAU OF WATERWAYS ENGINEERING AND WETLANDS

Permit No. _____
 Report No. 1

EARTH DISTURBANCE INSPECTION REPORT

Project Name _____ Inspection Date 1-25-17 Inspection Time _____

Inspection Findings	Reference
No violations observed at this time.	<input type="checkbox"/> (N/A)
a. Failure to develop a written Erosion and Sediment (E&S) Plan.	<input type="checkbox"/> (102.4)
b. Failure to have an E&S Plan available onsite.	<input type="checkbox"/> (102.4)
c. Failure to submit an E&S Plan as requested.	<input type="checkbox"/> (102.4)
d. Failure to implement effective E&S Best Management Practices (BMPs).	<input checked="" type="checkbox"/> (102.4)
e. Failure to maintain effective E&S BMPs.	<input type="checkbox"/> (102.4)
f. Failure to use Antidegradation Best Available Combination of Technologies (ABACT) BMPs for discharges to High Quality or Exceptional Value Waters.	<input type="checkbox"/> (102.4)
g. Failure to obtain an NPDES Permit for Stormwater Discharges Associated with Construction Activities.	<input type="checkbox"/> (102.5)
h. Failure to obtain an E&S Permit.	<input type="checkbox"/> (102.5)
i. Failure to prepare and implement a Preparedness, Prevention, and Contingency (PPC) Plan.	<input type="checkbox"/> (102.5)
j. Failure to submit a Notice of Termination (NOT).	<input type="checkbox"/> (102.7)
k. Failure to develop a written Post Construction Stormwater Management (PCSM) Plan/Restoration Plan.	<input type="checkbox"/> (102.8)
l. Failure to have PCSM Plan/Restoration Plan available onsite.	<input type="checkbox"/> (102.8)
m. Failure to submit PCSM Plan/Restoration Plan as requested.	<input type="checkbox"/> (102.8)
n. Failure to implement effective PCSM BMPs.	<input type="checkbox"/> (102.8)
o. Failure to maintain effective PCSM BMPs.	<input type="checkbox"/> (102.8)
p. Failure to perform reporting and recordkeeping as required.	<input type="checkbox"/> (102.8)
q. Failure to implement riparian buffer or riparian forest buffer.	<input type="checkbox"/> (102.14)
r. Failure to meet regulatory requirements for riparian forest buffer.	<input type="checkbox"/> (102.14)
s. Failure to provide temporary stabilization of the earth disturbance site.	<input type="checkbox"/> (102.22)
t. Failure to provide permanent stabilization of the earth disturbance site.	<input type="checkbox"/> (102.22)
u. Failure to comply with permit conditions.	<input checked="" type="checkbox"/> (402 CSL)
v. Sediment or other pollutant was discharged into waters of the Commonwealth.	<input type="checkbox"/> (401 CSL)
w. Site conditions present a potential for pollution to waters of the Commonwealth.	<input checked="" type="checkbox"/> (402 CSL)
x. Failure to comply with a Department Order.	<input type="checkbox"/> (402, 611 CSL)
y. Failure to comply with PCSM long-term operation and maintenance requirements.	<input type="checkbox"/> (102.8)
z. Failure to conduct a preconstruction meeting.	<input type="checkbox"/> (102.5)
aa. Failure to provide proof of consultation with the Pennsylvania Natural Heritage Program regarding the presence of a State or Federal threatened or endangered species on a project site requiring a Chapter 102 permit.	<input type="checkbox"/> (102.6)
bb. Failure to withhold a building or other permit or approval from those proposing or conducting earth disturbance activities, which require a Department permit, until the Department or conservation district has approved/acknowledged the Chapter 102 permit.	<input type="checkbox"/> (102.43)
<input checked="" type="checkbox"/> Inspection of this project has revealed site conditions which constitute violations of 25 Pa. Code Chapters 92a and/or 102 and the Clean Streams Law, the act of June 22, 1937, P.L. 1987, 35 P.S. §691.1 et seq. <i>Additional information regarding these violations can be found on the back of this page.</i>	

Page 2 of _____

White - Inspector Yellow - Responsible Party Pink - Department Goldenrod - Other

3150-FM-BWEW0092 Rev. 1/2016 COMMONWEALTH OF PENNSYLVANIA
 DEPARTMENT OF ENVIRONMENTAL PROTECTION
 BUREAU OF WATERWAYS ENGINEERING AND WETLANDS

Permit No. _____
 Report No. 1

EARTH DISTURBANCE INSPECTION REPORT

Project Name _____ Inspection Date 1-25-17 Inspection Time _____

Continuation Sheet

Site Description & Observations

1) Silt Fence B not installed per plan... d, u, w

2) Inlet Protection 2 not install per plan... d, u, w

3) Sediment Trap 3 not installed per plan... d, u, w

Compliance Assistance Measures _____

Follow-up Inspection will occur on or about (date) _____

 (Signature of Site Representative) (Date) (Inspector's Signature) (Date)

The Site Representative's signature acknowledges that they have read the report and received a copy and that they were given an opportunity to discuss it with the inspector. The signature does not necessarily mean the signee agrees with the report.

Page 3 of _____

White - Inspector Yellow - Responsible Party Pink - Department Goldenrod - Other

3150-FM-BWEW0092 Rev. 1/2016
 COMMONWEALTH OF PENNSYLVANIA
 DEPARTMENT OF ENVIRONMENTAL PROTECTION
 BUREAU OF WATERWAYS ENGINEERING AND WETLANDS

Permit No. _____
 Report No. 2

EARTH DISTURBANCE INSPECTION REPORT

Project Name _____ Inspection Date **1-30-17** Inspection Time _____

Inspection Findings

Inspection Findings	Reference
No violations observed at this time.	<input type="checkbox"/> (N/A)
a. Failure to develop a written Erosion and Sediment (E&S) Plan.	<input type="checkbox"/> (102.4)
b. Failure to have an E&S Plan available onsite.	<input type="checkbox"/> (102.4)
c. Failure to submit an E&S Plan as requested.	<input type="checkbox"/> (102.4)
d. Failure to implement effective E&S Best Management Practices (BMPs).	<input checked="" type="checkbox"/> (102.4)
e. Failure to maintain effective E&S BMPs.	<input checked="" type="checkbox"/> (102.4)
f. Failure to use Antidegradation Best Available Combination of Technologies (ABACT) BMPs for discharges to High Quality or Exceptional Value Waters.	<input type="checkbox"/> (102.4)
g. Failure to obtain an NPDES Permit for Stormwater Discharges Associated with Construction Activities.	<input type="checkbox"/> (102.5)
h. Failure to obtain an E&S Permit.	<input type="checkbox"/> (102.5)
i. Failure to prepare and implement a Preparedness, Prevention, and Contingency (PPC) Plan.	<input type="checkbox"/> (102.5)
j. Failure to submit a Notice of Termination (NOT).	<input type="checkbox"/> (102.7)
k. Failure to develop a written Post Construction Stormwater Management (PCSM) Plan/Restoration Plan.	<input type="checkbox"/> (102.8)
l. Failure to have PCSM Plan/Restoration Plan available onsite.	<input type="checkbox"/> (102.8)
m. Failure to submit PCSM Plan/Restoration Plan as requested.	<input type="checkbox"/> (102.8)
n. Failure to implement effective PCSM BMPs.	<input type="checkbox"/> (102.8)
o. Failure to maintain effective PCSM BMPs.	<input type="checkbox"/> (102.8)
p. Failure to perform reporting and recordkeeping as required.	<input type="checkbox"/> (102.8)
q. Failure to implement riparian buffer or riparian forest buffer.	<input type="checkbox"/> (102.14)
r. Failure to meet regulatory requirements for riparian forest buffer.	<input type="checkbox"/> (102.14)
s. Failure to provide temporary stabilization of the earth disturbance site.	<input type="checkbox"/> (102.22)
t. Failure to provide permanent stabilization of the earth disturbance site.	<input type="checkbox"/> (102.22)
u. Failure to comply with permit conditions.	<input checked="" type="checkbox"/> (402 CSL)
v. Sediment or other pollutant was discharged into waters of the Commonwealth.	<input type="checkbox"/> (401 CSL)
w. Site conditions present a potential for pollution to waters of the Commonwealth.	<input checked="" type="checkbox"/> (402 CSL)
x. Failure to comply with a Department Order.	<input type="checkbox"/> (402, 611 CSL)
y. Failure to comply with PCSM long-term operation and maintenance requirements.	<input type="checkbox"/> (102.8)
z. Failure to conduct a preconstruction meeting.	<input type="checkbox"/> (102.5)
aa. Failure to provide proof of consultation with the Pennsylvania Natural Heritage Program regarding the presence of a State or Federal threatened or endangered species on a project site requiring a Chapter 102 permit.	<input type="checkbox"/> (102.6)
bb. Failure to withhold a building or other permit or approval from those proposing or conducting earth disturbance activities, which require a Department permit, until the Department or conservation district has approved/acknowledged the Chapter 102 permit.	<input type="checkbox"/> (102.43)

Inspection of this project has revealed site conditions which constitute violations of 25 Pa. Code Chapters 92a and/or 102 and the Clean Streams Law, the act of June 22, 1937, P.L. 1987, 35 P.S. §691.1 et seq.
 Additional information regarding these violations can be found on the back of this page. □

Page 2 of _____

White - Inspector Yellow - Responsible Party Pink - Department Goldenrod - Other

3150-FM-BWEW0092 Rev. 1/2016
 COMMONWEALTH OF PENNSYLVANIA
 DEPARTMENT OF ENVIRONMENTAL PROTECTION
 BUREAU OF WATERWAYS ENGINEERING AND WETLANDS

Permit No. _____
 Report No. 2

EARTH DISTURBANCE INSPECTION REPORT

Project Name _____ Inspection Date **1-30-17** Inspection Time _____

Continuation Sheet

Site Description & Observations

1) Silt Fence B is now installed per plan...

2) Inlet Protection 2 is now install per plan...

3) Sediment Trap 3 is still not installed per plan... d, u, w

4) Filter Sock A not maintained... e, u, w

Compliance Assistance Measures _____

Follow-up Inspection will occur on or about (date) _____

 (Signature of Site Representative) (Date) (Inspector's Signature) (Date)

The Site Representatives' signature acknowledges that they have read the report and received a copy and that they were given an opportunity to discuss it with the inspector. The signature does not necessarily mean the signee agrees with the report.

Page 3 of _____

White - Inspector Yellow - Responsible Party Pink - Department Goldenrod - Other

Permit No. _____
 Report No. 3

EARTH DISTURBANCE INSPECTION REPORT

Project Name _____ Inspection Date **2-6-17** Inspection Time _____

Inspection Findings

Reference

No violations observed at this time.

(N/A)

- a. Failure to develop a written Erosion and Sediment (E&S) Plan. (102.4)
- b. Failure to have an E&S Plan available onsite. (102.4)
- c. Failure to submit an E&S Plan as requested. (102.4)
- d. Failure to implement effective E&S Best Management Practices (BMPs). (102.4)
- e. Failure to maintain effective E&S BMPs. (102.4)
- f. Failure to use Antidegradation Best Available Combination of Technologies (ABACT) BMPs for discharges to High Quality or Exceptional Value Waters. (102.4)
- g. Failure to obtain an NPDES Permit for Stormwater Discharges Associated with Construction Activities. (102.5)
- h. Failure to obtain an E&S Permit. (102.5)
- i. Failure to prepare and implement a Preparedness, Prevention, and Contingency (PPC) Plan. (102.5)
- j. Failure to submit a Notice of Termination (NOT). (102.7)
- k. Failure to develop a written Post Construction Stormwater Management (PCSM) Plan/Restoration Plan. (102.8)
- l. Failure to have PCSM Plan/Restoration Plan available onsite. (102.8)
- m. Failure to submit PCSM Plan/Restoration Plan as requested. (102.8)
- n. Failure to implement effective PCSM BMPs. (102.8)
- o. Failure to maintain effective PCSM BMPs. (102.8)
- p. Failure to perform reporting and recordkeeping as required. (102.8)
- q. Failure to implement riparian buffer or riparian forest buffer. (102.14)
- r. Failure to meet regulatory requirements for riparian forest buffer. (102.14)
- s. Failure to provide temporary stabilization of the earth disturbance site. (102.22)
- t. Failure to provide permanent stabilization of the earth disturbance site. (102.22)
- u. Failure to comply with permit conditions. (402 CSL)
- v. Sediment or other pollutant was discharged into waters of the Commonwealth. (401 CSL)
- w. Site conditions present a potential for pollution to waters of the Commonwealth. (402 CSL)
- x. Failure to comply with a Department Order. (402, 611 CSL)
- y. Failure to comply with PCSM long-term operation and maintenance requirements. (102.8)
- z. Failure to conduct a preconstruction meeting. (102.5)
- aa. Failure to provide proof of consultation with the Pennsylvania Natural Heritage Program regarding the presence of a State or Federal threatened or endangered species on a project site requiring a Chapter 102 permit. (102.6)
- bb. Failure to withhold a building or other permit or approval from those proposing or conducting earth disturbance activities, which require a Department permit, until the Department or conservation district has approved/acknowledged the Chapter 102 permit. (102.43)

Inspection of this project has revealed site conditions which constitute violations of 25 Pa. Code Chapters 92a and/or 102 and the Clean Streams Law, the act of June 22, 1937, P.L. 1987, 35 P.S. §691.1 et seq.
Additional information regarding these violations can be found on the back of this page.

Page 2 of _____

- White - Inspector Yellow - Responsible Party Pink - Department Goldenrod - Other

Permit No. _____
 Report No. 3

EARTH DISTURBANCE INSPECTION REPORT

Project Name _____ Inspection Date **2-6-17** Inspection Time _____

Continuation Sheet

Site Description & Observations

1) Sediment Trap 3 is now installed per plan...

2) Filter Sock A is currently maintained...

Compliance Assistance Measures

Follow-up Inspection will occur on or about (date) _____

 (Signature of Site Representative) (Date) (Inspector's Signature) (Date)

The Site Representatives' signature acknowledges that they have read the report and received a copy and that they were given an opportunity to discuss it with the inspector. The signature does not necessarily mean the signee agrees with the report.

Page 3 of _____

- White - Inspector Yellow - Responsible Party Pink - Department Goldenrod - Other



Permit No. _____
Report No. 4

EARTH DISTURBANCE INSPECTION REPORT

Project Name _____ Inspection Date **5-30-17** Inspection Time _____

Inspection Findings

No violations observed at this time.

Reference

- a. Failure to develop a written Erosion and Sediment (E&S) Plan. (102.4)
- b. Failure to have an E&S Plan available onsite. (102.4)
- c. Failure to submit an E&S Plan as requested. (102.4)
- d. Failure to implement effective E&S Best Management Practices (BMPs). (102.4)
- e. Failure to maintain effective E&S BMPs. (102.4)**
- f. Failure to use Antidegradation Best Available Combination of Technologies (ABACT) BMPs for discharges to High Quality or Exceptional Value Waters. (102.4)
- g. Failure to obtain an NPDES Permit for Stormwater Discharges Associated with Construction Activities. (102.5)
- h. Failure to obtain an E&S Permit. (102.5)
- i. Failure to prepare and implement a Preparedness, Prevention, and Contingency (PPC) Plan. (102.5)**
- j. Failure to submit a Notice of Termination (NOT). (102.7)
- k. Failure to develop a written Post Construction Stormwater Management (PCSM) Plan/Restoration Plan. (102.8)
- l. Failure to have PCSM Plan/Restoration Plan available onsite. (102.8)
- m. Failure to submit PCSM Plan/Restoration Plan as requested. (102.8)
- n. Failure to implement effective PCSM BMPs. (102.8)
- o. Failure to maintain effective PCSM BMPs. (102.8)
- p. Failure to perform reporting and recordkeeping as required. (102.8)
- q. Failure to implement riparian buffer or riparian forest buffer. (102.14)
- r. Failure to meet regulatory requirements for riparian forest buffer. (102.14)
- s. Failure to provide temporary stabilization of the earth disturbance site. (102.22)
- t. Failure to provide permanent stabilization of the earth disturbance site. (102.22)
- u. Failure to comply with permit conditions. (402 CSL)**
- v. Sediment or other pollutant was discharged into waters of the Commonwealth. (401 CSL)**
- w. Site conditions present a potential for pollution to waters of the Commonwealth. (402 CSL)**
- x. Failure to comply with a Department Order. (402, 611 CSL)
- y. Failure to comply with PCSM long-term operation and maintenance requirements. (102.8)
- z. Failure to conduct a preconstruction meeting. (102.5)
- aa. Failure to provide proof of consultation with the Pennsylvania Natural Heritage Program regarding the presence of a State or Federal threatened or endangered species on a project site requiring a Chapter 102 permit. (102.6)
- bb. Failure to withhold a building or other permit or approval from those proposing or conducting earth disturbance activities, which require a Department permit, until the Department or conservation district has approved/acknowledged the Chapter 102 permit. (102.43)

Inspection of this project has revealed site conditions which constitute violations of 25 Pa. Code Chapters 92a and/or 102 and the Clean Streams Law, the act of June 22, 1937, P.L. 1987, 35 P.S. §691.1 et seq.

Additional information regarding these violations can be found on the back of this page.

Page 2 of _____

- White - Inspector
- Yellow - Responsible Party
- Pink - Department
- Goldenrod - Other



Permit No. _____
Report No. 4

EARTH DISTURBANCE INSPECTION REPORT

Project Name _____ Inspection Date **5-30-17** Inspection Time _____

Continuation Sheet

Site Description & Observations

1) Sediment overtopping filter sock C... resulting in sedimentation of stream... e, u, v, w

2) Concrete dumped outside of washout area... i, u, w

Compliance Assistance Measures _____

Follow-up Inspection will occur on or about (date) _____

(Signature of Site Representative) (Date) (Inspector's Signature) (Date)

The Site Representatives' signature acknowledges that they have read the report and received a copy and that they were given an opportunity to discuss it with the inspector. The signature does not necessarily mean the signee agrees with the report.

Page 3 of _____

- White - Inspector
- Yellow - Responsible Party
- Pink - Department
- Goldenrod - Other