

# California Regional Water Quality Control Board

## North Coast Region

### California Water Code Section 13383 Investigative Order R1-2021-0051

#### Directing California Department of Transportation, District 2

#### To Submit Informational Reports

#### Pertaining to Permanent Stormwater Treatment BMPs

#### Trinity, Siskiyou, and Modoc Counties

## FINDINGS

The California Regional Water Quality Control Board, North Coast Region (Regional Water Board) finds that:

1. The California Department of Transportation, District 2 (Caltrans District 2) is subject to the requirements of the State Water Resources Control Board Statewide Stormwater Permit Order 2012-0011-DWQ (Caltrans Statewide Stormwater Permit).<sup>1</sup>
2. Caltrans Statewide Stormwater Permit provision E.2.e.2.d (Page 38) requires Caltrans District 2 “utilize a watershed-based database to track and inventory treatment BMPs<sup>2</sup> and treatment BMP maintenance within its jurisdiction.”
3. On March 1, 2021, the North Coast Regional Water Quality Control Board (Regional Water Board) sent a letter to Caltrans District 2 requesting a copy of the District 2 treatment BMP inventory pursuant to Caltrans Statewide Stormwater Permit Provision E.2.e.2.d. Caltrans District 2 provided its treatment BMP inventory on May 6, 2021.
4. The Caltrans Statewide Stormwater Permit requires installation of treatment BMPs on projects that create or redevelop a minimum of one acre of impervious area. Also, the Regional Water Board requires all projects seeking Clean Water Act section 401 water quality certification (401 certification) install treatment BMPs where 5,000 or more square feet of impervious area are created and/or redeveloped. Regional Water Board staff used its online inventory of 401

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<sup>1</sup> Order 2012-0011-DWQ as Amended by Order WQ 2014-0006-EXEC, Order WQ 2014-0077-EXEC, Order WQ 2015-0036-EXEC, and Order WQ 2017-0026-EXEC, NPDES No. CAS000003 National Pollutant Discharge Elimination System (NPDES) Statewide Storm Water Permit Waste Discharge Requirements (WDRs) for State of California Department of Transportation

<sup>2</sup> The Caltrans Statewide Stormwater Permit uses the term “treatment BMPs” to refer to structural best management practices installed on a permanent basis to control stormwater pollutant discharges from Caltrans projects. These BMPs are also sometimes referred to as “post-construction BMPs,” “permanent BMPs,” and “Low Impact Development BMPs.” For consistency with the Caltrans Statewide Stormwater Permit, the term “treatment BMPs” is used in this NOV.

certifications<sup>3</sup> to query 401 certifications issued to Caltrans District 2 between June 12, 2012, and November 20, 2015. Four 401 certifications for projects that included fourteen treatment BMPs were issued to Caltrans during this time period. The fourteen total required treatment BMPs from these four projects were compared to the treatment BMPs listed in the Caltrans-submitted treatment BMP inventory. Of the four 401 certification projects, one was partially represented in the Caltrans treatment BMP inventory and three were not represented in the inventory. Of the fourteen treatment BMPs, three were represented in the Caltrans treatment BMP inventory and eleven were not.

5. Caltrans District 2 uses two databases to maintain its treatment BMP inventory: the “Stormwater Portal” and its “Integrated Maintenance Management System (IMMS)”. IMMS is used by Caltrans District 2 maintenance staff to track hard assets requiring maintenance for proper function. Caltrans treatment BMPs that are not in the Caltrans treatment BMP inventory are not in IMMS and are therefore not being maintained by Caltrans to capture pollutants as designed. Additionally, there is the possibility that treatment BMPs required by the Regional Water Board were never constructed if they cannot be found in the Caltrans District 2 treatment BMP inventory.
6. The Regional Water Board issued a Notice of Violation to Caltrans District 2 on October 6, 2021 (Attachment 1) due to its failure to track and inventory treatment BMPs and comply with provision E.2.e.2.d of the Caltrans Statewide Stormwater Permit.
7. California Environmental Quality Act: This Order is categorically exempt from the provisions of the California Environmental Quality Act (CEQA) pursuant to: California Code of Regulations, title 14, section 15306, because, by requiring submittal of technical and/or monitoring reports, this Order merely requires information collection; California Code of Regulations, title 14, section 15308, because issuance of this California Water Code Section 13383 Investigative Order (Order) is an action by a regulatory agency for protection of the environment; and California Code of Regulations, title 14, section 15304 (minor alterations to land), because it is unlikely that compliance with this Order, including implementation of any work plans, could result in anything more than minor physical changes to the environment that will not result in significant environmental effects.

Pursuant to the requirements of section 13383 of the Water Code, Caltrans District 2 is directed to submit a report with the following information to the Regional Water Board no later than **March 30, 2022**:

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<sup>3</sup> [https://www.waterboards.ca.gov/northcoast/board\\_decisions/water\\_quality\\_certification/](https://www.waterboards.ca.gov/northcoast/board_decisions/water_quality_certification/)

## REQUIREMENTS

1. Provide a detailed description of the process used by Caltrans District 2 to populate treatment BMP information into both its Stormwater Portal and IMMS. If the process has changed anytime in the last year, describe the previous processes in addition to the current process. The description(s) shall include at a minimum:
  - a. Scope of treatment BMPs entered into the Stormwater Portal and IMMS, including BMP types (e.g., traction sand traps, biofiltration strips, design pollution prevention infiltration areas, etc.) and those BMPs that were installed pursuant to Caltrans statewide stormwater permit requirements as well as Clean Water Act section 401 water quality certification requirements; and
  - b. District personnel, including job title, responsible for gathering, transmitting, and conducting database entry of treatment BMP information.
2. Identify and document:
  - a. All completed Caltrans District 2 projects subject to provision E.2.d post-construction treatment requirements of the Caltrans Statewide Stormwater Permit (page 31);
  - b. All completed Caltrans District 2 projects issued Clean Water Act section 401 water quality certifications since March 21, 2005 with requirements for treatment BMPs; and
  - c. The specific treatment BMPs installed for each of the above projects.

For the above identified projects and corresponding treatment BMPs, determine whether the treatment BMPs are in the Stormwater Portal and IMMS. Describe the method used to identify the above projects and treatment BMPs required by items 2a-2c.

3. Caltrans District 2 shall field inspect every treatment BMP identified in Requirement No. 2 that is not in IMMS to 1) verify whether they are constructed and 2) to document their condition. Documentation shall include, at a minimum, photographs, the location of the BMP, date of inspection, documentation of any maintenance conducted, documentation that the BMP Inventory databases have been updated, and condition relative to the treatment BMP design specifications. These treatment BMPs shall be entered into the Caltrans Stormwater Quality Portal and IMMS. A timeline subject to Regional Water Board approval shall be provided to restore the treatment BMPs to their design specifications, if applicable. The timeline shall identify the work needed to return the BMP to its

design specification, proposed dates of repair/construction, and proposed repair/completion date.

If the BMP was not constructed and cannot be constructed in its originally intended location, then Caltrans shall submit a Compensatory Treatment BMP Proposal subject to Executive Officer approval to provide treatment elsewhere in the Caltrans right-of-way. The proposal shall include a plan to treat an equivalent or greater amount of impervious surface area than the foregone treatment BMP. The Compensatory Treatment BMP Proposal shall include 1) a description (including location) of the foregone and proposed treatment BMP(s), 2) the amount of impervious surface that would have been treated, 3) the amount of impervious area proposed to be treated for each compensatory treatment BMP, and 4) a timeline for compensatory treatment BMP construction.

All of the above, including inspection documentation, updating of the Caltrans treatment BMP inventory, and submittal of the proposed timeline and Compensatory Treatment BMP Proposal, shall be provided to the Regional Water Board by March 30, 2022.

## PROVISIONS

1. **Signatory Requirements:** The report shall be signed and certified by a principal executive officer or the person with overall responsibility for Caltrans District 2 compliance with the Caltrans Statewide Stormwater Permit.
2. **Certification Statement:** Any person signing a document to comply with this 13383 Order shall make the following certification: "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 knowing violations."
3. **Use of Registered Professionals:** The Discharger shall provide documentation that each technical report required by this Order was prepared under the direction of appropriately qualified professionals. In preparing each technical report required by this Order, any engineering or geologic evaluations and judgments must be performed by or under the direction of registered professionals pursuant to California Business and Professions Code sections 6735, 7835, and 7835.1. A statement of qualifications and registration numbers of the responsible lead professional shall be included in the report submitted by the Discharger. The lead professional shall sign and affix his or her registration stamp to the report.

4. **Delayed Compliance:** If for any reason, the Discharger is unable to perform any activity or submit any document in compliance with the schedule set forth herein, or in compliance with any work schedule submitted pursuant to this Order and approved by the Executive Officer, the Discharger may request, in writing, an extension of the time specified. The extension request shall include justification for the delay. Any extension request shall be submitted as soon as a delay is recognized and prior to the compliance date. An extension may only be granted by modification of this Order or by a letter from the Executive Officer or his/her delegee.
5. **Report Submittal:** The reports required under this Order shall be submitted electronically to [NorthCoast@waterboards.ca.gov](mailto:NorthCoast@waterboards.ca.gov) and [Brendan.Thompson@waterboards.ca.gov](mailto:Brendan.Thompson@waterboards.ca.gov).

## NOTIFICATIONS

1. **Enforcement Discretion:** The Regional Water Board reserves its rights to take any enforcement action authorized by law for violations of the terms and conditions of this Order. Furthermore, compliance with this Order is wholly distinct from any possible enforcement that may follow from the discharges themselves, pursuant to violations of the Water Code or other orders issued by the Regional Water Board.
2. **Enforcement Notification:** Pursuant to Water Code section 13385, failure to submit the required technical reports as required by Water Code section 13383, or falsifying any information provided therein, may result in the imposition of administrative civil liability of up to \$10,000 per violation per day.
3. **Appeal Notification:** Any person aggrieved by this action of the Regional Water Board may petition the State Water Board to review the action in accordance with Water Code section 13320 and California Code of Regulations, title 23, sections 2050 and following. The State Water Board must receive the petition by 5:00pm, 30 days after the date of this Order, except that if the thirtieth day following the date of this Order falls on a Saturday, Sunday, or state holiday, the petition must be received by the State Water Board by 5:00pm on the next business day. Copies of the law and regulations applicable to filing petitions may be found on the Internet at:  
[https://www.waterboards.ca.gov/public\\_notices/petitions/water\\_quality/](https://www.waterboards.ca.gov/public_notices/petitions/water_quality/)  
or will be provided upon request.

If you have questions about this Order please contact Brendan Thompson at [Brendan.Thompson@waterboards.ca.gov](mailto:Brendan.Thompson@waterboards.ca.gov).

Sincerely,

Matthias St. John  
Executive Officer

21\_0051\_CalTransD2\_13383 BMP

Attachment 1: Caltrans District 2 Notice of Violation

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## North Coast Regional Water Quality Control Board

October 6, 2021

Certified No. 7016 0750 0001 0048 6467

CalTrans District 2  
Mr. Dave Moore  
1657 Riverside Drive  
Redding, CA 96001  
[Dave.Moore@dot.ca.gov](mailto:Dave.Moore@dot.ca.gov)

Dear Mr. Moore:

Subject: Notice of Violation of Statewide Stormwater Permit Order 2012-0011-DWQ and Clean Water Act section 401 Water Quality Certification

Files: Caltrans MS4 District 2 (SMARTS Permittee Id.); CIWQS PIN CW-810249 (ECM Primary Indexing No.)

You are hereby notified that California Department of Transportation, District 2 (Caltrans District 2) is in violation of California State Water Resources Control Board Order No. 2012-0011-DWQ<sup>1</sup> (Caltrans Statewide Stormwater Permit) and a Clean Water Act section 401 water quality certification.

### I. **Background**

The Caltrans Statewide Stormwater Permit regulates discharges from Caltrans District 2's Municipal Separate Storm Sewer System (MS4) to federal and state waters.

Caltrans Statewide Stormwater Permit provision E.2.e.2.d (Page 38) requires Caltrans to develop and utilize a watershed-based database to track and inventory treatment BMPs<sup>2</sup> and their maintenance within its jurisdiction. On March 1, 2021, the North Coast Regional Water Quality Control Board (Regional Water Board) sent a letter to the Caltrans District 2 Director requesting a copy of the District 2 treatment BMP inventory pursuant to Statewide Stormwater Permit Provision E.2.e.2.d. Caltrans District 2 provided its treatment BMP inventory on May 6, 2021.

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<sup>1</sup> As amended by Order WQ-2014-0006-EXEC, Order WQ-2014-0077-DWQ, ORDER WQ-2015-0036-EXEC, and Order WQ-2017-0026-EXEC

<sup>2</sup> The Caltrans Statewide Stormwater Permit uses the term "treatment BMPs" to refer to structural best management practices installed on a permanent basis to control stormwater pollutant discharges from Caltrans projects. These BMPs are also sometimes referred to as "post-construction BMPs," "permanent BMPs," and "Low Impact Development BMPs." For consistency with the Caltrans Statewide Stormwater Permit, the term "treatment BMPs" is used in this NOV.

The Caltrans Statewide Stormwater Permit requires installation of treatment BMPs on projects that create or redevelop a minimum of one acre of impervious area.<sup>3</sup> Also, the Regional Water Board requires all projects seeking Clean Water Act section 401 water quality certification (401 certifications) install treatment BMPs where 5,000 or more square feet of impervious area are created and/or redeveloped. Regional Water Board staff reviewed its online inventory of 401 certifications<sup>4</sup> to query 401 certifications issued to Caltrans District 2 between June 29, 2012, and June 2, 2016. Four 401 certifications for projects that included fourteen treatment BMPs were issued to Caltrans during this time period (see Table 1 summary below). The fourteen total required treatment BMPs from these four projects were compared to the treatment BMPs listed in the Caltrans-submitted treatment BMP inventory. Of the four 401 certification projects, one was partially represented in the Caltrans treatment BMP inventory. Of the fourteen treatment BMPs, three were represented in the Caltrans treatment BMP inventory.

**Table 1: Treatment BMP Audit results**

Project	County and Route	BMP	In Caltrans Inventory?
Hayfork Bike Lane	Trinity 3	Biostrip	No
		Biostrip	No
		Biostrip	No
Collin's Bar <sup>5</sup>	Trinity 299	Bioswale	Yes
		Bioswale	Yes
		Bioswale	Yes
		Bioswale	No
		Bioswale	No
		Bioswale	No
		Bioswale	No
Whole Enchilada	Trinity 299	Biostrip	No
3 Bridges Rail Upgrade	Siskiyou 96	Biostrip	No
		Biostrip	No
		Biostrip	No

Additional details about the Regional Water Board's treatment BMP inventory audit are included in the attached memorandum, *District 2 LID BMP Inventory Compliance Audit*.

**II. Alleged Violations**

Caltrans Statewide Stormwater Permit provision E.2.e.2. requires:

*The Department shall develop and utilize a watershed-based database to track and inventory treatment BMPs and treatment BMP maintenance within its jurisdiction. At a minimum, the database shall include:*

<sup>3</sup> Order Provision 2.d.2.a, page 32

<sup>4</sup> [https://www.waterboards.ca.gov/northcoast/board\\_decisions/water\\_quality\\_certification/](https://www.waterboards.ca.gov/northcoast/board_decisions/water_quality_certification/)

<sup>5</sup> Three of the seven Collin's Bar project bioswales were reported in the District 1 inventory—none were included in the District 2 inventory

- i) *Name and location of BMP;*
- ii) *Watershed, Regional Water Board and District where project is located;*
- iii) *Size and capacity;*
- iv) *Treatment BMP type and description;*
- v) *Date of installation;*
- vi) *Maintenance certifications or verifications;*
- vii) *Inspection dates and findings;*
- viii) *Compliance status;*
- ix) *Corrective actions, if any; and*
- x) *Follow-up inspections to ensure compliance.*

*Electronic reports for each BMP inspected during the reporting period shall be submitted to each associated Regional Water Board in tabular form. A summary of the tracking system data shall be included in the Annual Report along with a report on maintenance activities for post construction BMPs. The tracking system database shall be made available to the State Water Board or any Regional Water Board upon request.*

Caltrans District 2 violated Caltrans Statewide Stormwater Permit provision E.2.e.2. because treatment BMPs for the Hayfork Bike Lane, Collin's Bar, Whole Enchilada, and 3 Bridges Rail Upgrade projects (i.e., bioswales and biostrips) were not entered into the Caltrans District 2 tracking and inventory database.

Additionally, Caltrans is in violation of Condition number 2 of the Collin's Bar Curve Improvement Project 401 certification<sup>6</sup>, which requires that:

*The swales shall be entered into the District's permanent stormwater treatment BMP database and monitored and maintained to ensure BMP infiltration efficacy.*

### **III. Required Actions**

All treatment BMPs listed above in Table 1 shall be entered into the tracking database as required by provision E.2.e.2. , which consists of both the Caltrans District 2 "Stormwater Portal" and "Integrated Maintenance Management System." Caltrans shall field verify that these treatment BMPs are installed and that they are well maintained and functioning as designed. If they are not installed or fully functional, then Caltrans shall submit a timeline for Regional Water Board approval to install and/or maintain the BMPs to their functional design as required by the Caltrans Statewide Stormwater Permit.

**Caltrans District 2 shall verify compliance with these required actions no later than 60 days from issuance of this Notice of Violation.** Please submit your response via e-mail to [NorthCoast@waterboards.ca.gov](mailto:NorthCoast@waterboards.ca.gov) and [Brendan.Thompson@waterboards.ca.gov](mailto:Brendan.Thompson@waterboards.ca.gov) and include documentation, including at a

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<sup>6</sup>[https://www.waterboards.ca.gov/northcoast/board\\_decisions/water\\_quality\\_certification/pdf/2014/140221\\_CDOT\\_Hwy299\\_CollinsBar\\_401.pdf](https://www.waterboards.ca.gov/northcoast/board_decisions/water_quality_certification/pdf/2014/140221_CDOT_Hwy299_CollinsBar_401.pdf)

minimum, photographs, documentation of any maintenance conducted, and documentation that the databases have been updated.

#### **IV. Future Enforcement Action**


The Regional Water Board is issuing a California Water Code Section 13383 Investigative Order concurrent with this Notice of Violation to obtain additional information about Caltrans District 2's processes for tracking treatment BMPs.

Please be aware that pursuant to Water Code section 13385, the Regional Water Board may take enforcement actions for violation of conditions of the Certification and Caltrans Statewide Stormwater Permit, including but not limited to assessment of civil liabilities of up to \$10,000 per violation per day, and \$10 per gallon of waste discharged in excess of the first 1,000 gallons of discharge.

The Regional Water Board will consider your response to this Notice of Violation, as well as the number of days of violation already incurred, in determining whether to seek the imposition of an administrative civil liability complaint as well as additional legal action. Therefore, it is imperative that you comply as soon as possible.

Should you have any questions regarding this matter, please contact Brendan Thompson of my staff at (707) 407-0036, or via email at [Brendan.Thompson@waterboards.ca.gov](mailto:Brendan.Thompson@waterboards.ca.gov).

Sincerely,

  
Digitally signed by  
Charles  
Reed\_Sep2020  
Date: 2021.10.06  
11:31:16 -07'00'

Charles Reed, P.E.  
Supervising Water Resource Control Engineer

21006\_BJT\_er\_CaltransDistrict2\_NOV

Certified – Return Receipt Required

Attachment: District 2 LID BMP Inventory Compliance Audit

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## North Coast Regional Water Quality Control Board

**TO:**

- Heaven Moore, NPDES Division Senior
- Gil Falcone, Southern Nonpoint Source and 401 Certification Unit Senior
- File, SMARTS Final Inspection Report

**FROM:** Brendan Thompson  
Environmental Scientist  
**NPDES MS4 STORMWATER**

**DATE:** September 27, 2021

**SUBJECT:** DISTRICT 2 COMPLIANCE AUDIT—MS4 ORDER PROVISION E.2.e.2.d,  
COMPLETENESS OF BMP INVENTORY

### I. AUDIT FINDINGS

Caltrans District 2 provided a post-construction stormwater treatment Best Management Practices (BMPs)<sup>1</sup> inventory to the Regional Water Board on May 6, 2021. Regional Water Board staff reviewed four Caltrans District 2 projects issued Clean Water Act section 401 water quality certifications and found that treatment BMPs for none of the four projects were in the Caltrans inventory. If treatment BMPs are not in the Caltrans inventory then their pollutant removal characteristics are not being maintained by Caltrans maintenance staff for proper function. The Regional Water Board should request Caltrans provide a description of and proposed improvements of their current process for entering treatment BMPs into their treatment BMP inventory as well as identify all other treatment BMPs missing from the Caltrans BMP inventory.

### II. BACKGROUND

California State Water Resources Control Board Order No. 2012-0011-DWQ<sup>2</sup> (Caltrans Statewide Stormwater Permit) regulates discharges from the California Department of Transportation (Caltrans) municipal separate storm sewer system (MS4).

Provision E.2.e.2.d (PAGE 38) requires that the Department develop and utilize a watershed-based database to track and inventory post-construction treatment BMPs and their maintenance within its jurisdiction. North Coast Regional Water Quality Control Board (Regional Water Board) staff received a copy of Caltrans District 2's LID BMP inventory on May 6, 2021.

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<sup>1</sup> Post-construction stormwater treatment BMPs, also known as Low Impact Development (LID) BMPs, are referred to as "LID BMPs" in this document.

<sup>2</sup> As amended by Order WQ-2014-0006-EXEC, Order WQ-2014-0077-DWQ, ORDER WQ-2015-0036-EXEC, and Order WQ-2017-0026-EXEC

The Caltrans Statewide Stormwater Permit requires installation of LID BMPs on projects that create or redevelop a minimum of 1 acre of impervious area. Also, the Regional Water Board requires all projects seeking Clean Water Act section 401 water quality certification (401 certifications) install LID BMPs where 5,000 or more square feet of impervious area are created and/or redeveloped.

### III. AUDIT PURPOSE AND OBJECTIVE

Operators of MS4s, including Caltrans, are required by their respective MS4 stormwater permits to track and ensure maintenance of LID BMPs installed in their jurisdictions. These requirements are intended to ensure that LID BMPs are in-place, functioning, well maintained, and continue to function as designed over time to reduce pollutant discharge to receiving waters.

The Regional Water Board reviewed LID BMPs required through Clean Water Act section 401 water quality certifications to determine whether this representative subset of Caltrans LID BMPs were in the Caltrans District 2 BMP inventory.

### IV. AUDIT PROCESS

Regional Water Board staff used its online inventory of 401 certifications<sup>3</sup> to query 401 certifications issued to Caltrans District 2 between June 29, 2012, and June 2, 2016. 401 certifications issued in this time period include sufficient LID BMP information in both the permits and electronic project file to allow an assessment of LID BMP type, treatment area, and location. Additionally, these projects have completed project construction and the BMPs should be in the Caltrans inventory.

The 401 certifications and project files were reviewed to populate a spreadsheet inventorying the LID BMPs required on these projects. This LID BMP inventory was then compared to Caltrans's submitted LID BMP inventory.

### V. AUDIT RESULTS

Audit results are summarized below in Table 1.

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<sup>3</sup> [https://www.waterboards.ca.gov/northcoast/board\\_decisions/water\\_quality\\_certification/](https://www.waterboards.ca.gov/northcoast/board_decisions/water_quality_certification/)

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		Bioswale	Yes
		Bioswale	No
		Bioswale	No
		Bioswale	No
		Bioswale	No
Whole Enchilada	Trinity 299	Biostrip	No
3 Bridges Rail Upgrade	Siskiyou 96	Biostrip	No
		Biostrip	No
		Biostrip	No

Of the four 401 certification projects, one was partially represented in the Caltrans BMP inventory. Of the fourteen LID BMPs, three were represented in the Caltrans BMP inventory.

## VI. DISCUSSION

The Statewide Stormwater Permit requires “a watershed-based database to track and inventory treatment BMPs and treatment BMPs maintenance within its jurisdiction.” This requirement helps ensure that Caltrans maintains LID BMPs remain in place and maintained to control pollutant discharges from impervious surfaces. If any LID BMP is missing from the Caltrans treatment BMP inventory, then that is a significant problem because it means the BMP is either not in place, or if it is, its functionality is likely not being preserved. Additionally, failure to track and maintain LID BMPs is a violation of the Caltrans Statewide Stormwater Permit and 401 certifications requiring LID BMPs.

It is extremely concerning that eleven of the fourteen LID BMPs reviewed are missing from the Caltrans BMP inventory. Caltrans District 2 should have a process for relaying newly constructed LID BMPs into its BMP inventory, including its Integrated Maintenance Management System (IMMS)<sup>5</sup>. A thorough investigation of the existing process and its shortcomings is required so that the process may be modified and rendered “failsafe” to prevent future LID BMP omissions. Additionally, the number of projects reviewed was a rather small sample size, suggesting that there are more LID BMPs yet to be identified that are not in the Caltrans District 2 LID BMP inventory.

## VII. RECOMMENDATIONS AND NEXT STEPS

Based upon the results of this Audit, I recommend the following for management's consideration:

<sup>4</sup> Three of the seven bioswales for the Collin's Bar project were reported in the District 1 inventory—none were included in the District 2 inventory.

<sup>5</sup> Caltrans uses two databases to maintain its LID BMP inventory; the Stormwater Portal and IMMS. The Stormwater Portal is used by Caltrans as a stormwater program management resource and IMMS is used by maintenance staff to track Caltrans assets requiring ongoing upkeep.

1. At least eleven required LID BMPs are missing from the LID BMP inventory, which is a violation of the permit. Management should consider whether a Notice of Violation is appropriate.
2. The Regional Water Board should consider issuing a California Water Code section 13383 Investigative Order to Caltrans District 2 that includes:
  - a. A description of District 2's process for relaying LID BMPs into its Stormwater Portal and IMMS as it existed in March 2021 when the Regional Water Board requested a copy of the Caltrans District 2 LID BMP inventory;
  - b. An explanation for why the eleven LID BMPs in Table 1 are not in District 2's BMP inventory;
  - c. Based upon the findings produced from the above inquiries, a proposal for procedural modifications to ensure that future LID BMPs are transmitted into the District 2 LID BMP inventory and a timeline for implementation of the proposed modifications, subject to the approval of the Regional Water Board Executive Officer; and
  - d. A proposal and implementation timeline to:
    - I. Identify all LID BMPs installed since 2005, including those required by 401 certifications;
    - II. Identify all LID BMPs that are not in IMMS;
    - III. Add those BMPs identified in 2.e.II into IMMS;
    - IV. Conduct inspections of all BMPs identified in 2.e.II and reinstall and/or maintain all BMPs as appropriate to ensure they are functioning as designed; and
    - V. For each of the above, provide reports documenting compliance.