

**STATE WATER RESOURCES CONTROL BOARD**  
**1001 I Street, Sacramento, California 95814**  
**JANUARY 31, 2022 DRAFT ORDER WQ 2022-XXXX-DWQ**  
**STATEWIDE WASTE DISCHARGE REQUIREMENTS**  
**GENERAL ORDER FOR SANITARY SEWER SYSTEMS**

**Table 1. Key Definitions for the Purpose of this Order**

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| Sanitary Sewer System                        | <p>A sanitary sewer system is a system that is designed to convey sewage, including but not limited to, pipes, manholes, pump stations, syphons, wet wells, diversion structures and/or other pertinent supporting infrastructure, upstream of a wastewater treatment plant headworks, including:</p> <ul style="list-style-type: none"> <li>• Laterals owned by the Enrollee;</li> <li>• Satellite sewer systems; and/or</li> <li>• Temporary conveyance and storage facilities, including but not limited to temporary piping, vaults, construction trenches, wet wells, impoundments, tanks and diversion structures.</li> </ul>  |
| Enrollee                                     | <p>An Enrollee is a public or private entity that has obtained approval for regulatory coverage under this General Order, including:</p> <p>A federal or state agency, municipality, special district, or other public entity that owns and/or operates one or more sanitary sewer systems with pipelines collectively totaling <u>more than one (1) mile in length</u>;</p> <p>or</p> <p>A private company that owns and/or operates a sanitary sewer system of any size where the State Water Resources Control Board or a Regional Water Quality Control Board requires regulatory coverage under this Order, and that is not regulated under separate waste discharge requirements issued by a Regional Water Quality Control Board.</p> |
| Waste Discharge Identification Number (WDID) | <p>A waste discharge identification number (WDID) identifies each individual sanitary sewer system enrolled under this General Order. A WDID number is assigned to each enrolled system upon an Enrollee’s approved regulatory coverage.</p>   |
| Spill  | <p>A spill is a discharge of sewage from any portion of a sanitary sewer system due to a sanitary sewer system overflow, operational failure, and/or infrastructure failure. Exfiltration of sewage is not considered to be a spill under this General Order if the exfiltrated sewage remains in the subsurface and does not reach a surface water of the State.</p>  |
| Sewage                                       | <p>Sewage is untreated or partially treated domestic, municipal, commercial and/or industrial waste (including sewage sludge) conveyed in a sanitary sewer system.</p>   |

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

**Table 2. Administrative Information**

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| This Order was adopted by the State Water Resources Control Board on XXXX XX, 2022.                      |
| This Order shall become effective on XXXX XX, 202X.  |
| The Enrollee shall comply with requirements of this Order upon the Effective Date of this General Order. |

**CERTIFICATION**

I, Jeanine Townsend, Clerk to the Board, do hereby certify that this Order with all attachments is a full, true, and correct copy of the Order adopted by the State Water Board on XXXX XX, 2022.

AYE:

NAY:

ABSENT

ABSTAIN:

\_\_\_\_\_  
Jeanine Townsend  
Clerk to the Board

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## 1. INTRODUCTION

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

This General Order serves as statewide waste discharge requirements and supersedes the previous State Water Resources Control Board (State Water Board) Order 2006-0003-DWQ and amendments thereafter. All sections and attachments of this General Order are enforceable by the State Water Board and Regional Water Quality Control Boards (Regional Water Boards). Through this General Order, the State Water Board requires an Enrollee to:

- Comply with federal and state prohibitions of discharge of sewage to waters of the State, including federal waters of the United States;
- Comply with specifications, and notification, monitoring and reporting requirements in this General Order that implement the federal Clean Water Act, the California Water Code (Water Code), and water quality control plans and policies (including Regional Water Board Basin Plans);
- Proactively operate and maintain resilient sanitary sewer systems to prevent spills;
- Eliminate discharges of sewage to waters of the State through effective implementation of a Sewer System Management Plan;
- Monitor, track, and analyze spills for ongoing system-specific performance improvements; and
- Report noncompliance with this General Order per reporting requirements.

## 2. REGULATORY COVERAGE AND APPLICATION REQUIREMENTS

### 2.1. Requirements for Continuation of Existing Regulatory Coverage

To continue regulatory coverage from previous Order 2006-0003-DWQ under this General Order, **within the 60-days-prior-to the Effective Date of this General Order**, the Legally Responsible Official of an existing Enrollee shall electronically certify the Continuation of Existing Regulatory Coverage form in the online California Integrated Water Quality System (CIWQS) Sanitary Sewer System Database. The Legally Responsible Official will receive an automated CIWQS Sanitary Sewer System Database-issued Notice of Applicability email, confirming continuation of regulatory coverage under this General Order. All regulatory coverage under previous Order 2006-0003-DWQ will cease on the Effective Date of this Order.

An Enrollee continuing existing regulatory coverage is not required to submit a new application package or pay an application fee for enrollment under this General Order.

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The Annual Fee due date for continued regulatory coverage from previous Order 2006-0003-DWQ to this General Order remains unchanged.

A previous Enrollee of Order 2006-0003-DWQ that fails to certify the Continuation of Existing Regulatory Coverage form in the online CIWQS database by the Effective Date of this Order is considered a New Applicant, and will not have regulatory coverage for its sanitary sewer system(s) until:

- A new application package for system(s) enrollment is submitted per section 2.2. (Requirements for New Regulatory Coverage) below; and
- The new application package is approved per section 2.2.2. (Approval for New Application Package – For New Applicants Only).

### 2.2. Requirements for New Regulatory Coverage

Within 60 days prior to commencing and/or assuming operation and maintenance responsibilities of a sanitary sewer system, a legally authorized representative that maintains legal authority over the public or private sanitary sewer system is required to enroll under this General Order by submitting a complete Application package as specified below and as provided in the Attachment B (Application for Enrollment Form) of this General Order.

#### 2.2.1. Application Package Requirements

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

- **Application for Enrollment Form.** Attachment B (Application for Enrollment Form) must be completed, signed, and certified by a Legally Responsible Official, in accordance with section 5.1. (Designation of a Legally Responsible Official) of this General Order. If an electronic Application for Enrollment form is available at the time of application, a new applicant shall submit its application form electronically; and
- **Application Fee.** A fee payable to the “State Water Resources Control Board” in accordance with the Fee Schedule required in the California Code of Regulations, Title 23, section 2200 or subsequent fee regulations updates.

The application fee for this General Order is based on the sanitary sewer system’s threat to water quality and complexity designations of category 2C or 3C which is assigned based on the population served by the sanitary sewer system. The current Fee Schedule for sanitary sewer systems is listed under subdivision (a)(2) at the following website: [Fee Schedule](https://govt.westlaw.com/calregs/Document/1EEE14760D45A11DEA95CA4428EC25FA0?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default)) (https://govt.westlaw.com/calregs/Document/1EEE14760D45A11DEA95CA4428EC25FA0?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default))

### **2.2.2. Approval of Application Package (For New Applicants Only)**

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

If the submitted application package is not complete in accordance with section 2.2.1 (Application Package Requirements) of this General Order, the Deputy Director will send a response letter to the applicant outlining the application deficiencies. The Legally Responsible Official will have 60 days from the date of the response letter to correct the application deficiencies and submit the identified items necessary to complete the Application for Enrollment Package to the State Water Board.

### **2.2.3. Electronic Reporting Account for New Enrollee**

**Within 30 days after the date of Approval of Complete Application Package for System Enrollment**, a duly authorized representative for the Enrollee shall obtain a CIWQS user account by clicking the “User Registration” button and following the directions at the CIWQS Login Page (<https://ciwqs.waterboards.ca.gov>). If additional assistance is needed to establish an online CIWQS database user account, contact State Water Board staff by email at [CIWQS@waterboards.ca.gov](mailto:CIWQS@waterboards.ca.gov). The online user account will provide the Enrollee secure access to the online CIWQS Sanitary Sewer System Database for electronic reporting.

### **2.3. Regulatory Coverage Transfer**

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

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

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

### **3. FINDINGS**

#### **3.1. Legal Authorities**

##### **3.1.1. Federal and State Regulatory Authority**

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

##### **3.1.2. Discharge of Sewage**

A discharge of raw or partially treated sewage is a discharge of waste as defined in Water Code section 13050(d) that could affect the quality of waters of the State and is subject to regulation by waste discharge requirements issued pursuant to Water Code section 13263 and Chapter 9, Division 3, Title 23 of the California Code of Regulations. A discharge of sewage may pollute and alter the quality of the waters of the State to a degree that unreasonably affects the beneficial uses of the receiving water body or facilities that serve those beneficial uses (Water Code section 13050(l)(1)).

##### **3.1.3 Water Boards Authority to Require Technical Reports, Monitoring, and Reporting**

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

The technical and monitoring reports required by this General Order and Attachment E (Notification, Monitoring, Reporting and Recordkeeping Requirements) are necessary to evaluate and ensure compliance with this General Order. The effort to develop required technical reports will vary depending on the system size and complexity and the needs of the specific technical report. The burden and cost of these reports are reasonable and consistent with the interest of the state in protecting water quality, which is the primary purpose of requiring the reports.

Water Code section 13383(a) authorizes the Water Boards to “establish monitoring, inspection, entry, reporting, and recordkeeping requirements... for any person who discharges, or proposes to discharge, to navigable waters, any person who introduces



pollutants into a publicly owned treatment works, any person who owns or operates, or proposes to own or operate, a publicly owned treatment works or other treatment works treating domestic sewage, or any person who uses or disposes, or proposes to use or dispose, of sewage sludge.” Section 13383(b) continues, “the state board or the regional boards may require any person subject to this section to establish and maintain monitoring equipment or methods, including, where appropriate, biological monitoring methods, sample effluent as prescribed, and provide other information as may be reasonably required.”

Reporting of spills from privately owned sewer laterals and systems pursuant to section 5.15 (Voluntary Reporting of Spills from Privately-Owned Sewer Laterals and/or Private Sanitary Sewer Systems) of this General Order is authorized by Water Code section 13225(c) and encouraged by the State Water Board, wherein a local agency may investigate and report on any technical factors involved in water quality control provided the burden including costs of such reports bears a reasonable relationship to the need for the report and the benefits to be obtained therefrom. The burden of reporting private spills under section 5.15 (Voluntary Reporting of Spills from Privately-Owned Sewer Laterals and/or Private Sanitary Sewer Systems) is minimal and is outweighed by the benefit of providing Regional Water Boards an opportunity to respond to these spills when an Enrollee, which in many cases has a contractual relationship with the owner of the private system, has knowledge of the spills.

#### **3.1.4. Water Board Authority to Prescribe General Waste Discharge Requirements**

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

- The discharges are produced by the same or similar operations;
- The discharges involve the same or similar types of waste;
- The discharges require the same or similar treatment standards; and
- The discharges are more appropriately regulated under general waste discharge requirements than individual waste discharge requirements.

Since 2006, the State Water Board has been regulating over 1,100 publicly owned sanitary sewer systems (See Section 3.1.5. (Previous Statewide General Waste Discharge Requirements) of this General Order). California also has a large unknown number of unregulated privately owned sanitary sewer systems. All waste conveyed in publicly owned and privately owned sanitary sewer systems (as defined in this General Order) is comprised of untreated or partially treated domestic waste and/or industrial waste. Generally, sanitary sewer systems are designed and operated to convey waste by gravity or under pressure; system-specific design elements and system-specific operations do not change the common nature of the waste, the common threat to public health, or the common impacts on water quality. Spills of waste from a sanitary sewer system prior to reaching the ultimate downstream treatment facility are unauthorized and enforceable by the State Water Board and/or a Regional Water Board. Therefore, spills from sanitary sewer systems are more appropriately regulated under general waste discharge requirements.

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

### **3.1.5. Previous Statewide General Waste Discharge Requirements**

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

To decrease the risk to human health and the environment caused by sewage spills, the previous Order required enrollees to develop a rehabilitation and replacement plan that identifies system deficiencies and prioritizes short-term and long-term rehabilitation actions. The previous Order also required enrollees to:

1. Maintain information that can be used to establish and prioritize appropriate Sewer System Management Plan activities; and
2. Implement a proactive approach to reduce spills.

The previous Order required Sewer System Management Plan elements for the proper and efficient management, operation, and maintenance of sanitary sewer systems, while taking into consideration risk management and rehabilitation focused on infrastructure at risk of future spills.

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

Many enrollees of Order 2006-0003-DWQ have already implemented proactive measures to reduce sewage spills. Other enrollees, however, still require technical assistance and funding to improve sanitary sewer system operation and maintenance for the reduction of sewage spills.

**3.1.6. Existing Memorandum of Agreement with California Water Environment Association**

The California Water Environment Association is a nonprofit organization dedicated to providing water industry certifications, training, and networking opportunities. The Association’s Technical Certification Program provides accredited sanitary sewer system operator certification for collection system operators and maintenance workers.

On February 10, 2016, the State Water Board entered into a collaborative agreement with the Association titled *Memorandum of Agreement Between the California State Water Resources Control Board and the California Water Environment Association - Training Regarding Requirements Set Forth In Statewide General Waste Discharge Requirements for Sanitary Sewer Systems*. The Memorandum sets forth collaborative training necessary for regulated sanitary sewer system personnel to operate and maintain a well operating system and ensure full compliance with statewide sewer system regulations.

On March 15, 2018, the State Water Board and the California Water Environment Association amended the existing Memorandum of Agreement to include collaborative outreach and expand training needs associated with further updates to Water Board regulations for sanitary sewer systems. The State Water Board encourages further Agreement updates as necessary to support improved sewer system operations and the professionalism of collection system operators.

**3.2. General**

**3.2.1. Waters of the State**

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

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

Sewage contains high levels of suspended solids, pathogenic organisms, toxic pollutants, nutrients, oxygen-demanding organic compounds, oil and grease and other pollutants. Sewage spills may cause a public nuisance, particularly when sewage is discharged to areas with high public exposure such as streets and surface waters used for drinking, irrigation, fishing, recreation, or other public consumption or contact uses.

More specifically, sanitary sewer spills may:

- Adversely affect aquatic life and/or threaten water quality when reaching receiving waters;
- Inadvertently generate trash, including plastics;
- Impair the recreational use and aesthetic enjoyment of surface waters by polluting surface or groundwaters;
- Threaten public health through direct public exposure to bacteria, viruses, intestinal parasites, and other microorganisms that can cause serious illness such as gastroenteritis, hepatitis, cryptosporidiosis, and giardiasis;

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- Negatively impact ecological receptors and biota within surface waters; and
- Cause nuisance including odors, closure of beaches and recreational areas, and property damage.

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

- Municipal and Domestic Supply (MUN)
- Water Contact Recreation (REC-1) and Non-Contact Water Recreation (REC-2)
- Cold Freshwater Habitat (COLD)
- Warm Freshwater Habitat (WARM)
- Native American Culture (CUL)
- Wildlife Habitat (WILD)
- Rare, Threatened, or Endangered Species (RARE)
- Spawning, Reproduction, and/or Early Development (SPWN)
- Wetland Habitat (WET)
- Agricultural Supply (AGR)
- Estuarine Habitat (EST)
- Commercial and Sport Fishing (COMM)
- Subsistence Fishing (SUB)
- Tribal Tradition and Culture (CUL)
- Tribal Subsistence Fishing (T-SUB)
- Aquaculture (AQUA)
- Marine Habitat (MAR)
- Preservation of Biological Habitats of Special Significance (BIOL)
- Migration of Aquatic Organisms (MIGR)
- Shellfish Harvesting (SHELL)
- Industrial Process Supply (PROC)
- Industrial Service Supply (IND)
- Hydropower Generation (POW)
- Navigation (NAV)
- Flood Peak Attenuation/Flood Water Storage (FLD)
- Water Quality Enhancement (WQE)
- Fresh Water Replenishment (FRSH)
- Groundwater Recharge (GWR)
- Inland Saline Water Habitat (SAL)

### 3.2.3. Proactive Sanitary Sewer System Management to Eliminate Spill Causes

Finding 3 of the previous Order, 2006-0003-DWQ states: “Sanitary sewer systems experience periodic failures resulting in discharges that may impact waters of the State. There are many factors (including factors related to geology, design, construction methods and materials, age of the system, population growth, and system operation and maintenance), which affect the likelihood of an SSO [sewer system overflows]. A proactive approach that requires Enrollees to ensure a system-wide operation, maintenance, and management plan is in place will reduce the number and frequency of SSOs within the state. This approach will in turn decrease the risk to human health and the environment caused by SSOs.”

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

- Blockages from sources including but not limited to:
  - Fats, oils and grease;
  - Tree roots;
  - Rags, wipes and other paper, cloth and plastic products; and
  - Sediment and debris.
- Sewer system damage from identified system-specific environmental, and climate-change impacts, including but not limited to:
  - Sea level rise impacts including flooding, coastal erosion, seawater intrusion, tidal inundation and submerged lands;
  - Increased surface water flows due to higher intensity rain events;
  - Flooding;
  - Wildfires and wildfire induced impacts;
  - Earthquake induced damage;
  - Landslides; and
  - Subsidence.
- Infrastructure deficiencies and failures, including but not limited to:
  - Pump station mechanical failures;
  - System age;
  - Construction material failures;
  - Manhole cover failures;
  - Structural failures; and
  - Lack of proper operation and maintenance.
- Insufficient system capacity (temporary or sustained), due to factors including but not limited to:
  - Excessive storm or groundwater inflow/infiltration;

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- Insufficient capacity due to population increase and/or new connections from industrial, commercial and other system users; and
- Stormwater capture projects utilizing a sanitary sewer system to convey stormwater to treatment facilities for reuse.
- Community impacts, including but not limited to:
  - Power outages;
  - Vandalism; and
  - Contractor-caused or other third party-caused damages.

### **3.2.4. Underground Sanitary Sewer System Leakage**

Not all, yet many sanitary sewer systems leak, causing underground exfiltration (exiting) of sewage from the system. Underground exfiltration of sewage, in and of itself, does not threaten beneficial uses. Exfiltrated sewage that remains in the underground infrastructure trench and/or the soil matrix, and that does not discharge into waters of the State (surface water or groundwater) may not threaten beneficial uses.

Underground exfiltrated sewage may threaten beneficial uses if discharged to waters of the State. Exfiltrated sewage that discharges to groundwater may impact beneficial uses of groundwater and pollute groundwater supply. Additionally, exfiltrated sewage may enter into a compromised underground drainage conveyance system that discharges into a water of the United States, or into groundwater that is hydrologically connected to (feeds into) a water of the United States, thus potentially causing: (1) a Clean Water Act violation, (2) threat and impact to beneficial uses, and/or (3) surface water pollution.

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

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

### **3.3. Water Quality Control Plans, Policies and Resolutions**

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

**3.3.1. State Water Board Antidegradation Policy**

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

The continued prohibition of sewage discharges from sanitary sewer systems into waters of the State aligns with Resolution 68-16. A sewage discharge from sanitary sewers to waters of the State is prohibited by this Order. Therefore, this Order does not allow degradation of waters of the State. In addition, this Order: (1) further expands the existing prohibition of sewage discharges to include waters of the State, in addition to waters of the United States as provided in previous Order 2006-0003-DWQ, and (2) enhances the ability for Water Board enforcement of violations of the established prohibitions.

**3.3.2. State Water Board Sources of Drinking Water Policy**

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

**3.3.3. State Water Board Cost of Compliance Resolution**

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

**3.3.4. State Water Board Human Right to Water Resolution**

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

**3.3.5. State Water Board Open Data Resolution**

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

**3.3.6. State Water Board Response to Climate Change**

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

**3.4. California Environmental Quality Act**

The adoption of this Order is an action to reissue general waste discharge requirements that is exempt from the California Environmental Quality Act (Public Resources Code section 21000 et seq.) because it is an action taken by a regulatory agency to assure the protection of the environment and the regulatory process involves procedures for protection of the environment (Cal. Code Regs., Title. 14, section 15308). In addition, the action to adopt this Order is exempt from CEQA pursuant to Cal. Code Regs., Title 14, section 15301 to the extent that it applies to existing sanitary sewer collection systems that constitute “existing facilities” as that term is used in sections 15301 and 15302, to the extent that it results in the repair or replacement of existing systems involving negligible or no expansion of capacity.

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

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

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

**3.6. Notification to Interested Parties**

On January 31, 2022, the State Water Board notified interested parties and persons of its intent to reissue Sanitary Sewer Systems General Order 2006-0003-DWQ by issuing a draft General Order for a 60-day public comment period. State Water Board staff conducted extensive stakeholder outreach and encouraged public participation in the adoption process for this General Order. On March 15, 2022, the State Water Board held a public meeting to hear and consider oral public comments. The State Water Board considered all public comments prior to adopting this General Order.

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



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Water Act and regulations and guidelines adopted thereunder, the Enrollee shall comply with the requirements in this Order.

## **4. PROHIBITIONS**

### **4.1 Discharge of Sewage from a Sanitary Sewer System**

Any discharge from a sanitary sewer system that has the potential to discharge to waters of the State is prohibited unless it is promptly cleaned up and reported as required in this General Order.

### **4.2. Discharge of Sewage to Waters of the State**

Any discharge from a sanitary sewer system, discharged directly or indirectly through a drainage conveyance system or other route, to waters of the State is prohibited.

### **4.3. Discharge of Sewage Creating a Nuisance**

Any discharge from a sanitary sewer system that creates a nuisance or condition of pollution as defined in Water Code section 13050(m) is prohibited.

## **5. SPECIFICATIONS**

### **5.1. Designation of a Legally Responsible Official**

The Enrollee shall designate at least one Legally Responsible Official that has the appropriate knowledge and expertise of the enrolled sanitary sewer system(s) and is authorized to serve as a duly authorized representative. The Legally Responsible Official must have responsibility over management of the Enrollee's entire sanitary sewer system. For example, a sewer system superintendent or manager, an operations manager, a public utilities manager or director, or a district engineer may be designated as a Legally Responsible Official.

The Legally Responsible Official shall complete the electronic CIWQS "User Registration" form (<https://ciwqs.waterboards.ca.gov/ciwqs/newUser.jsp>) for each of its enrolled systems. A Legally Responsible Official that represents multiple enrolled systems shall complete the electronic CIWQS "User Registration" form for each system.

The Enrollee shall submit any change to its Legally Responsible Official, and/or change in contact information, to the State Water Board within 30 calendar days of the change by emailing [help@ciwqs.waterboards.ca.gov](mailto:help@ciwqs.waterboards.ca.gov) and copying the appropriate Regional Water Board as provided in Attachment G (Regional Water Quality Control Board Contact Information) of this General Order.

### **5.2. Sewer System Management Plan Development and Implementation**

To facilitate adequate local funding and management of its sanitary sewer system(s), the Enrollee shall develop, and implement an updated Sewer System Management Plan. The scale and complexity of the Sewer System Management Plan, and specific elements of the Plan, must match the scale and complexity of the Enrollee's sanitary sewer system(s) and/or specific elements of the system(s). The Sewer System

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Management Plan must address, at minimum, the required Plan elements in Attachment D (Sewer System Management Plan – Required Elements) of this General Order. To be effective, the Sewer System Management Plan must include provisions for the management, operation, and maintenance of the sanitary sewer system(s), and prioritize system repairs and maintenance based on risk, to proactively prevent spills from its system(s). The Sewer System Management Plan must address the implementation of current standard industry practices through available equipment, technologies, and strategies for proactive system operation and maintenance, and local program management.

### For New Enrollees:

- The governing entity of a new Enrollee shall adopt its Sewer System Management Plan; and
- The Legally Responsible Official shall certify and submit the adopted Sewer System Management Plan per section 5.3. (Certification of Sewer System Management Plan and Plan Updates) of this General Order within twelve (12) months of obtaining coverage under this General Order and update its Plan per section 5.5. (Six-Year Sewer System Management Plan Update) of this General Order.

### **5.3. Certification of Sewer System Management Plan and Plan Updates**

The Sewer System Management Plan and subparts thereof must comply with the requirements of this General Order. The Sewer System Management Plan and all subsequent updates must be certified by:

1. The Legally Responsible Official; and
2. One of the following if the Legally Responsible Official is not a certified collection system operator of Grade II or higher in accordance with Attachment F (Criteria for Equivalent Collection System Operator Certification Program) of this General Order, or is not a professional engineer licensed in the State of California:
  - Grade II Certified Collection System Operator through the California Water Environment Association, or equivalent certification program that meets criteria specified in Attachment F (Criteria for Equivalent Collection System Operator Certification Program) of this General Order; or
  - Grade II Wastewater Treatment Plant Operator through the State Water Board Wastewater Operator Certification Program, and employed for the wastewater treatment plant that receives the enrolled system's sewage; or
  - Professional Engineer registered through the California Department of Consumer Affairs.

The Legally Responsible Official shall upload its Sewer System Management Plan and subsequent updated Plans in the online CIWQS Sanitary Sewer System Database.

### **5.4. Sewer System Management Plan Audits**

The Enrollee shall conduct an internal program audit at a minimum frequency of once every three years. The audit must be conducted for the period after the end of the Enrollee's last audit period. An audit report must be submitted into the online CIWQS

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Sanitary Sewer System Database per the requirements in section 3.6. (Sewer System Management Plan Audit Reporting Requirements) of Attachment E1 (Notification, Monitoring, Reporting and Recordkeeping Requirements) of this General Order.

A new Enrollee of this General Order (that did not have a sanitary sewer system enrolled in the previous State Water Board Order 2006-0003-DWQ) shall conduct its first internal program audit for the time period between the date of its Notice of Applicability and the third subsequent December 31<sup>st</sup> date. The audit report must be submitted into the online CIWQS Sanitary Sewer System Database by **July 1 of the following calendar year.**

The internal program audit shall be appropriately scaled to the size of the system and the number of spills. At minimum, the audit must:

- Evaluate the implementation and effectiveness of the Enrollee’s Sewer System Management Plan in preventing spills;
- Evaluate the Enrollee’s compliance with this General Order;
- Identify Sewer System Management Plan deficiencies in addressing ongoing spills and discharges to waters of the State; and
- Identify necessary modifications to the Sewer System Management Plan to correct deficiencies.

The Enrollee shall submit a complete audit report that includes:

- Audit findings and recommended corrective actions; and
- A proposed schedule for the Enrollee to address the identified deficiencies.

See following tables for clarification:

**Initial Audit Period for a New Enrollee**

|                | Audit Period   | Audit Due Date                               |
|----------------|--|--|
| New Enrollee   | Notice of Applicability Date through the third December 31 <sup>st</sup> date                                      | July 1 <sup>st</sup> date after audit period |
| <i>Example</i> | <i>Notice of Applicability Date of August 2, 2021<br/>Audit Period of August 2, 2021 through December 31, 2023</i> | <i>July 1, 2024</i>                          |

**Initial Audit Period for Transition from 2-Year Audit Required in Previous Order 2006-0003-DWQ to 3-Year Audit Required in this General Order**

|  | Audit Period   | Audit Due Date                                     |
|--|--|--|
| An Enrollee previously regulated by Order 2006-003-DWQ | A three-year period starting from the end of last Audit Period   | Within six months after end of 3-year Audit Period |
| <i>Example</i>   | <i>Last Audit Period start date of August 2, 2021;<br/>Audit Period of August 2, 2021 through August 1, 2024</i> | <i>February 1, 2025</i>                            |

**Three-Year Ongoing Audit Period**

|               | Audit Period        | Audit Due Date                              |
|---------------|---------------------|---|
| Each Enrollee | 3-year Audit Period | Six months after end of 3-year Audit Period |

**5.5. Six-Year Sewer System Management Plan Update**

At a minimum, the Enrollee shall update its Sewer System Management Plan every six (6) years after the date of its last Plan Update due date (for an Enrollee previously regulated by Order 2006-003-DWQ, the six-year period shall commence on the due date of the last Plan Update required under that order). The Updated Sewer System Management Plan must include:

- Findings from the Enrollee’s Year 3 and Year 6 local program audits; and
- All sewer system management-related changes.

The Enrollee’s governing entity shall approve the updated Plan. The Legally Responsible Official shall certify and submit the approved updated Plan into the online CIWQS Sanitary Sewer System Database in accordance with section 3.7. (Sewer System Management Plan Reporting Requirements) of Attachment E1 (Notification, Monitoring, Reporting and Recordkeeping Requirements) of this General Order. During the time period in between Plan updates, the Enrollee shall continuously document changes to its Sewer System Management Plan in a change log attached to the Plan.

**5.6. System Resilience**

The Enrollee shall include and implement system-specific procedures in its Sewer System Management Plan to proactively prioritize: (1) operation and maintenance, (2) condition assessments, and (3) repair and rehabilitation, to address ongoing system resilience, as specified in Attachment D (Sewer System Management Plan – Required Elements) of this General Order.

### 5.7. Allocation of Local Resources

The Enrollee's governing entity shall allocate the necessary resources to its sewer system management program for: (1) compliance with this General Order, (2) full implementation of its updated Sewer System Management Plan, (3) system operation, maintenance and repair, and (4) spill responses.

### 5.8. Designation of Data Submitters

The Legally Responsible Official may designate one or more individuals as a Data Submitter for reporting of spill data. The Legally Responsible Official shall authorize the designation of one or more Data Submitters through the online CIWQS database (<https://ciwqs.waterboards.ca.gov>) prior to the individuals establishing a CIWQS user account (<https://ciwqs.waterboards.ca.gov/ciwqs/newUser.jsp>) and entering spill data into the online CIWQS Sanitary Sewer System Database.

The Legally Responsible Official shall submit any change to its Data Submitter(s), and/or change in contact information of Data Submitter, to the State Water Board within 30 calendar days of the change by emailing [help@ciwqs.waterboards.ca.gov](mailto:help@ciwqs.waterboards.ca.gov) and copying the appropriate Regional Water Board as provided in Attachment G (Regional Water Quality Control Board Contact Information) of this General Order.

### 5.9. Reporting Certification

The Legally Responsible Official shall electronically certify, on the Enrollee's behalf, all applications, reports, the Sewer System Management Plan(s) and corresponding updates, and other information submitted electronically into the online CIWQS Sanitary Sewer System Database, as follows:

*"I certify under penalty of perjury under the laws of the State of California that the electronically submitted information was prepared under my direction or supervision. Based on my inquiry of the person(s) directly responsible for gathering the information, to the best of my knowledge and belief, the information submitted is true, accurate, and complete. I am aware that there are significant penalties for submitting false information. Additionally, I certify that: (1) reporting and notification of all sanitary sewer spills and/or discharges, and (2) other submitted reports and plans, comply with the Statewide Sanitary Sewer Systems General Order."*

Hardcopy submittals to the State Water Board must be accompanied by the above certification statement.

### 5.10. System Capacity

The Enrollee shall maintain the system capacity necessary to convey: (1) base flows during dry weather conditions, and (2) wet weather peak flows per the appropriate design storms. The Enrollee shall implement capital improvements to provide adequate hydraulic capacity to:

- Meet or exceed the design criteria as defined in the Enrollee's System Evaluation and Capacity Assurance element of its Sewer System Management Plan; and
- Prevent system capacity-related spills, and adverse impacts to the treatment efficiency of downstream wastewater treatment facilities.

### **5.11. System Performance Analysis**

The Enrollee shall include a running 10-year system performance analysis in its Annual Report. The system performance analysis shall be a CIWQS-generated graph presenting the following information:

1. A 10-year period which includes the current calendar year and the nine previous calendar years shown on the X axis of graph;
2. The current calendar year is the calendar year covered in the Annual Report;
3. The total spill volume for each calendar year, shown on the Y axis of graph;
4. The total number of spills for each calendar year, shown on the Y axis of graph; and
5. The number of spills per 100 miles for each calendar year, shown on the Y axis of graph.

The Enrollee shall generate the graph in CIWQS, using the existing data in the online CIWQS Sanitary Sewer System Database at the following graph generation link: ([https://ciwqs.waterboards.ca.gov/ciwqs/readOnly/PublicReportSSOServlet?reportAction=criteria&reportId=sso\\_operation\\_report](https://ciwqs.waterboards.ca.gov/ciwqs/readOnly/PublicReportSSOServlet?reportAction=criteria&reportId=sso_operation_report)).

### **5.12. Spill Response and Remedial Actions**

The Enrollee shall develop and implement a Spill Emergency Response Plan that identifies measures to protect the public health and the environment. The Enrollee shall respond to spills from its system(s) in a timely manner that minimizes water quality impacts and nuisance by:

- Immediately stopping the spill and preventing/minimizing a discharge to waters of the State;
- Intercepting sewage flows to prevent/minimize spill volume discharged into waters of the State;
- Thoroughly recovering, cleaning up and disposing of sewage and wash down water; and
- Disinfecting publicly accessible areas while preventing toxic discharges to waters of the State.

### **5.13. Notification, Monitoring, Reporting and Recordkeeping Requirements**

The Enrollee shall comply with notification, monitoring, reporting, and recordkeeping requirements in Attachment E1 (Notification, Monitoring, Reporting and Recordkeeping Requirements) of this General Order.

#### **5.13.1. Individual Spill Notification, Monitoring and Reporting**

Individual spill notification, monitoring and reporting must be in accordance with the following spill categories:

- **Category 1 Spill**

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

- Waters of the United States, or a drainage conveyance system tributary to waters of the United States; or
- A drainage conveyance system that discharges to waters of the United States when the sewage is not fully captured and returned to the sanitary sewer system or disposed of properly.

- **Category 2 Spill**

A Category 2 spill is a spill of 1,000 gallons or greater, from or caused by a sanitary sewer system regulated under this General Order that **is not a Category 1 Spill**.

- **Category 3 Spill**

A Category 3 spill is a spill, of equal to or greater than 50 gallons and less than 1,000 gallons, from or caused by a sanitary sewer system regulated under this General Order that **is not a Category 1 Spill**.

- **Category 4 Spill**

A Category 4 spill is a spill of less than 50 gallons, from or caused by a sanitary sewer system regulated under this General Order **that is not a Category 1 Spill**.

### 5.13.2. Annual Report

The Enrollee shall submit an Annual Report (previously termed as Collection System Questionnaire in Order 2006-0003-DWQ) as specified in section 3.5. (Annual Report) of Attachment E1 (Notification, Monitoring, Reporting and Recordkeeping Requirements) of this General Order.

**For new Enrollees: Within 30 days of obtaining a CIWQS account**, a new Enrollee shall submit its initial Annual Report, as specified in section 3.5. (Annual Report) of Attachment E1 (Notification, Monitoring, Reporting and Recordkeeping Requirements) of this General Order.

### 5.14. Electronic Sanitary Sewer System Service Area Boundary Map

**Within 12 months of the Effective Date of this General Order** for continuing Enrollees, **or within 12 months of the Application for Enrollment approval date** for new Enrollees, an Enrollee must submit into the online CIWQS Sanitary Sewer System Database an up-to-date electronic spatial map, digitized at a minimum scale of 1:24,000, of the Enrollee's sewer system service area boundaries, for each system identified by a WDID number. An Enrollee of a disadvantaged community that may need assistance developing an electronic map to comply with this requirement, may contact State Water Board staff for assistance at [SanitarySewer@waterboards.ca.gov](mailto:SanitarySewer@waterboards.ca.gov).

The map must include the following elements:

- A scale;
- A north arrow;

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- Major streets, city and county boundaries, and other landmarks necessary to appropriately identify location of service area boundaries; and
- Location of wastewater treatment facility(ies) that treats system waste if in same sewer service boundary.

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

- ESRI Shapefile per the following [ESRI Shapefile Technical Description](https://support.esri.com/en/white-paper/279) (<https://support.esri.com/en/white-paper/279>);
- Keyhole Markup Language / Compressed Keyhole Markup Language (KML/KMZ) format per the following [KML Specifications](https://www.ogc.org/standards/kml/) (<https://www.ogc.org/standards/kml/>);
- Geospatial JavaScript Object Notation (GeoJSON) format per the [GeoJSON Specification](https://tools.ietf.org/html/rfc7946) (<https://tools.ietf.org/html/rfc7946>); or
- Other updated formats specified by the State Water Board.

### **5.15. Voluntary Reporting of Spills from Privately-Owned Sewer Laterals and/or Private Sanitary Sewer Systems**

Within 24 hours of becoming aware of a spill (as described below) from a private sewer lateral or private sanitary sewer system that is not owned/operated by the Enrollee, the Enrollee is encouraged to report the following observations to the online CIWQS Sanitary Sewer System Database at the following link:

<https://ciwqs.waterboards.ca.gov>:

- A spill equal or greater than 1,000 gallons that discharges (or potentially discharges) to a water of the State, or a drainage conveyance system that discharges to waters of the State; **or**
- Any volume of sewage that discharges (or potentially discharges) to waters of the United States.

In the CIWQS module, the Enrollee is encouraged to identify:

- Time of observation;
- Description of general spill location (for example, street name and cross street names);
- Estimated volume of spill;
- If known, general description of spill destination (for example, flowing into drainage channel, flowing directly into a creek, etc.); and
- If known, name of private system owner/operator.

The name and contact information of the entity voluntarily reporting a private spill will be accessible to the State and Regional Water Board staff only. The name and contact information of the reporting entity will not be accessible to the public. Only information regarding the actual spill will be accessible to the public.



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

Upon observing or acquiring knowledge of any of the following from a private sewer lateral or private sanitary sewer system that is not owned/operated by the Enrollee, the Enrollee is encouraged to notify the California Office of Emergency Services (as provided by Health and Safety Code section 5410 et. seq. and Water Code section 13271), or inform the responsible party that State law requires such notification to the Office of Emergency Services by any person that causes or allows a sewage discharge to waters of the State:

- A spill equal to 1,000 gallons or more that discharges (or potentially discharges) to waters of the State, or a drainage conveyance system that discharges to waters of the State; or
- Any volume of sewage to waters of the United States.

**5.17. Unintended Failure to Report**

If an Enrollee becomes aware that they unintentionally failed to submit relevant facts in any report required in this General Order, the Enrollee shall promptly notify State Water Board staff by email at [SanitarySewer@waterboards.ca.gov](mailto:SanitarySewer@waterboards.ca.gov) for assistance in formally amending the corresponding report(s) in the online CIWQS Sanitary Sewer System Database.

**5.18. System-Specific Reduced Reporting**

An Enrollee that certifies the following criteria to the State Water Board may qualify for system-specific reduced reporting for Category 4 spills by maintaining onsite recordkeeping, in place of public reporting into the online CIWQS Sanitary Sewer System Database:

- The Enrollee maintains the following system-specific performance for a minimum of five (5) consecutive years:
  - No more than two spills per 100 miles of system, per year;
  - Total volume of individual spills not to exceed 1,000 gallons; and
  - Spills do not discharge to waters of the United States.
- At least 50 percent (50%) of the Enrollee’s operation and maintenance workforce is certified in Collection System Maintenance through the California Water Environment Association, or equivalent certification program that meets criteria specified in Attachment F (Criteria for Equivalent Collection System Operator Certification Program) of this General Order.

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

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

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2. Number of total system operation and maintenance staff/positions that are required to perform field operations and maintenance tasks per documented responsibilities of corresponding position duty statements;
3. Number of total certified system operation and maintenance staff that perform field operations and maintenance tasks per documented responsibilities of their position duty statements; and
4. The following certification that the Enrollee has reported spills from its system, in accordance with this General Order, into the online CIWQS Sanitary Sewer System Database in the last five (5) years.

*"I certify under penalty of perjury, under the laws of the State of California, that the [Enrollee Name] has submitted all required spill reports in accordance with the waste discharge requirements in effect during the time of the spills."*

The Deputy Director will consider approval of each Reduced Reporting Request Package on a system-specific basis. If approved, the Enrollee may substitute reporting of Category 4 spills for that system per instructions and conditions in the approval letter.

### **5.19. Duty to Report to Water Boards**

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

### **5.20. Operation and Maintenance**

To prevent discharges to the environment, the Enrollee shall maintain in good working order, and operate as designed, any facility or treatment and control system designed to contain sewage and convey it to a treatment plant.

## **6. PROVISIONS**

### **6.1. Enforcement Provisions**

The following enforcement provisions are based on existing federal and state regulations, laws and policies, including the federal Clean Water Act, the state Water Code and the State Water Board Enforcement Policy.

#### **6.1.1. Enforceability of Clean Water Act and Water Code Violations**

Noncompliance with requirements of this General Order or discharging sewage without enrolling in this General Order constitutes a violation of the Water Code and a potential violation of the Clean Water Act and is grounds for an enforcement action by the State Water Board or the applicable Regional Water Board. Failure to comply with the notification, monitoring, inspection, entry, reporting, and recordkeeping requirements may subject the Enrollee to administrative civil liabilities of up to \$10,000 a day per violation pursuant to Water Code section 13385; up to \$1,000 a day per violation

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

#### **6.1.2. Monetary Penalties**

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

#### **6.1.3. Falsifying or Failure to Report**

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

#### **6.1.4. Severability of General Order**

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

#### **6.1.5. Indirect Discharges**

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

#### **6.1.6. Water Boards' Considerations for Discretionary Enforcement**

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

- The Enrollee's compliance with this General Order with a focus on compliance with reporting requirements;
- The Enrollee's provision of adequate funding to implement the requirements of this General Order;

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

### **6.1.7. Enforcement Discretion Based on Reporting Compliance**

Consistent with the State Water Board Enforcement Policy, the State Water Board or a Regional Water Board may consider the Enrollee's efforts to comply with spill reporting

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requirements when determining compliance with Water Code section 13267 and section 13383. When assessing Water Code section 13227 factors, the State Water Board or the applicable Regional Water Board will consider:

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

Consistent with Water Code section 13267 and section 13383, the State Water Board or a Regional Water Board may require an Enrollee to report the results of a condition assessment of a specified portion of the Enrollee's sanitary sewer system.

### **6.2. Professional Licensing and Certification**

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

- Certified Grade II Collection System Maintenance operator issued by the California Water Environment Association, or an equivalent certification program per the criteria specified in Attachment F (Criteria for Equivalent Collection System Operator Certification Program) of this General Order; or
- Professional Engineer License that is in accordance with the California Business and Professions Code sections 6735, 7835, and 7835.1.

### **6.3. Other Regional Water Board Orders**

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

- In a manner inconsistent with the federal Clean Water Act;
- To authorize a spill or discharge that is illegal under either the Clean Water Act, the Water Code, and/or an applicable Basin Plan prohibition or water quality standard;
- To prohibit a Regional Water Board from issuing an individual National Pollutant Discharge Elimination System (NPDES) permit or individual waste discharge requirements superseding an Enrollee's regulatory coverage under this General

## DRAFT STATEWIDE SANITARY SEWER SYSTEMS GENERAL ORDER

Order for a sanitary sewer system authorized under the Clean Water Act or Water Code;

- To supersede any more specific or more stringent waste discharge requirements or enforcement orders issued by a Regional Water Board; or
- To supersede any more specific or more stringent state or federal requirements in existing regulation, an administrative/judicial order, or Consent Decree.

### **6.4. Sewer System Management Plan Availability**

The Enrollee's updated Sewer System Management Plan must be maintained at the Enrollee's offices and facilities and must be available on the Enrollee's internet homepage in a format accessible to the public.

### **6.5. Entry and Inspection**

#### **6.5.1. Entry and Availability of Information**

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

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

#### **6.5.2. Pre-Inspection Questionnaire**

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

## **ATTACHMENT A - DEFINITIONS**

### **Annual Report**

An Annual Report (previously termed as Collection System Questionnaire in Order 2006-0003-DWQ) is a mandatory report in which the Enrollee provides a calendar-year update of its efforts to prevent spills.

### **Basin Plan**

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

### **Beneficial Uses**

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

### **California Integrated Water Quality System (CIWQS)**

CIWQS is the statewide database that provides for mandatory electronic reporting as required in State and Regional Water Board-issued waste discharge requirements.

### **Data Submitter**

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

### **Disadvantaged Community**

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

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

### **Drainage Conveyance System**

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

### **Environmentally Sensitive Area**

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

### **Exfiltration**

Exfiltration is the underground exiting of sewage from a sanitary sewer system through cracks and/or corrosion in pipes, misaligned joints, or broken/failed infrastructure.

### **Flood Control Channel**

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

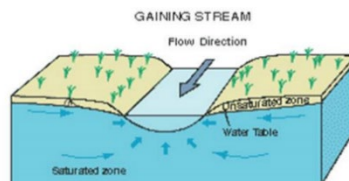
### **Governing Entity**

A governing entity includes but is not limited to the following:

- A publicly elected governing board, council, or commission of a municipal agency;
- A Department or Division director of a federal or state agency that is not governed by a board;
- A governing board or commission of an organization or association; and
- A private system owner/manager that is not governed by a board.

### **Hydrologically Connected**

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



### **Lateral (including Lower and Lower and Upper Lateral)**

A lateral is an underground segment of pipe that transports sewage from a building or property (residential, commercial, or industrial) to a sanitary sewer system main in a street or easement.

A lower lateral is the portion of the lateral located between: (1) the sanitary sewer system main, and (2) either the property line or the boundary of an established easement.

An upper lateral is the portion of the lateral from the building or property, to a clean out closest to the property line or boundary of an established easement.



### **Legally Responsible Official**

A Legally Responsible Official is an official representative, designated by the Enrollee, with authority to sign and certify submitted information and documents required by this General Order.

### **Nuisance**

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

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

### **Private Sewer Lateral**

A private sewer lateral is the privately-owned lateral that transports sewage from private property(ies) into a sanitary sewer system.

### **Private Sanitary Sewer System**

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

### **Receiving Water**

A receiving water is waters of the State that receive a discharge of waste.

### **Resilience**

Resilience is the ability to plan, prepare for, mitigate, and adapt to changing conditions from hazards to enable rapid recovery of physical, social, economic, and ecological infrastructure. Improving resilience before or following a hazard event should engage physical infrastructure and social systems with adaptive capacity to ensure rapid return to functionality, accounting for interdependencies within and across all sectors.

### **Satellite Sewer System**

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

### **Sewer System Management Plan**

A sewer system management plan is a living document an Enrollee develops and implements to effectively manage its sanitary sewer system(s) in accordance with this General Order.

### **Sewage**

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

### **Spill**

A spill is a discharge of sewage from any portion of a sanitary sewer system due to a sanitary sewer system overflow, operational failure, and/or infrastructure failure. Exfiltration of sewage is not considered to be a spill under this General Order if the exfiltrated sewage remains in the subsurface and does not reach a surface water of the State.

### **Training**

Training is in-house or external education and guidance needed that provides the knowledge, skills, and abilities to comply with this General Order.

### **Wash Down Water**

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

### **Waste**

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

### **Waters of the State**

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

### **Waters of the United States**

Waters of the United States are surface waters or waterbodies that are subject to federal jurisdiction in accordance with the Clean Water Act.

### **Water Quality Objective**

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

**ATTACHMENT B – APPLICATION FOR ENROLLMENT**

**1. Enrollment Status:** (Mark only one item)

New Enrollee

New Enrollee with previous regulatory coverage under Order 2006-0003  
(that failed to certify continuation of coverage in CIWQS per Order 2022-XXXX-DWQ)  
Existing WDID Number: \_\_\_\_\_

**2. Applicant Information:**

Legally Responsible Official Submitting Application

First and Last Name: \_\_\_\_\_

Title: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

System Owner/Operator Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

County: \_\_\_\_\_

Sanitary Sewer System Name: \_\_\_\_\_

Regional Water Quality Control Board(s): \_\_\_\_\_

Signature and Date: \_\_\_\_\_

**3. Applicant Type (Check one):**

City     County     State     Federal     Special District

Government Combination     Private

**4. Wastewater Treatment Plant Receiving Sanitary Sewer System Waste:**

Wastewater Treatment Plant Permittee: \_\_\_\_\_

WDID No.: \_\_\_\_\_

**5. Billing Information**

Billing Address: \_\_\_\_\_

City, State Zip: \_\_\_\_\_

Billing Contact Person and Title: \_\_\_\_\_

Phone and Email Address: \_\_\_\_\_

**6. Application Fee:**

The application fee, as required by Water Code section 13260, is based on the daily population served by the sanitary sewer system. See updated [Fee Schedule](https://govt.westlaw.com/calregs/Document/IEEE14760D45A11DEA95CA4428EC25FA0?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default))).  
([https://govt.westlaw.com/calregs/Document/IEEE14760D45A11DEA95CA4428EC25FA0?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=\(sc.Default\)\)](https://govt.westlaw.com/calregs/Document/IEEE14760D45A11DEA95CA4428EC25FA0?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default))))

Check one of the following and enter fee amount:

Population Served < 50,000 – Total Fee submitted: \$ \_\_\_\_\_

Population Served ≥ 50,000 – Total Fee submitted: \$ \_\_\_\_\_

Make the fee payment payable to the State Water Resources Control Board and mail the complete application package to:

State Water Resources Control Board, Accounting Office  
P. O. Box 1888  
Sacramento, CA 95812-1888

Attention: Statewide Sanitary Sewer System Program

**7. Application Submittal Certification**

*I certify under penalty of perjury under the laws of the State of California that to the best of my knowledge, the information in the submitted application package is true, accurate and complete, to the best of my knowledge and belief. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.*

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_



**3. Regulatory Coverage Termination Certification**

*I certify under penalty of perjury under the laws of the State of California that to the best of my knowledge: 1) the sanitary sewer system I officially represent is not required to be regulated under the Statewide Waste Discharge Requirements for Sanitary Sewer Systems Order 2022-XXXX-DWQ, and 2) the information submitted in this Notice of Termination is true, accurate and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine or imprisonment. Additionally, I understand that the submittal of this Notice of Termination does not release sanitary sewer system agencies from liability for any violations of the Clean Water Act.*

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**For State Water Board Use Only**

Approved for Termination

Denied and Returned to Enrollee

Deputy Director of Water Quality Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Notice of Termination Effective Date: \_\_\_\_\_

**ATTACHMENT D – SEWER SYSTEM MANAGEMENT PLAN – REQUIRED ELEMENTS**

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**ATTACHMENT D – SEWER SYSTEM MANAGEMENT PLAN – REQUIRED CONTENT**

A Sewer System Management Plan (Plan) is a living planning document that documents ongoing local sewer system management program activities, procedures, and decision-making. This Plan may incorporate other programs and other plans by reference, to address short-term and long-term system resilience through:

- Proactive planning and decision-making;
- Updated operations and maintenance activities and procedures;
- Identification of high-risk system spill areas;
- Implementation of capital improvements;
- Sufficient local budget to support staff resources, contractors, equipment, and training; and
- Updated training of staff and contractors.

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

This Attachment includes the following required elements that the Enrollee shall address in its Plan and subsequent updates. The Enrollee shall identify any requirement in this Attachment that is not applicable to the Enrollee’s sewer system and shall explain in its Plan why the requirement is not applicable.

**1. SEWER SYSTEM MANAGEMENT PLAN GOAL AND INTRODUCTION**

The goal of the Sewer System Management Plan (Plan) is to provide a plan and schedule to: (1) properly manage, operate, and maintain all parts of the Enrollee’s sanitary sewer system(s), (2) reduce and prevent spills, and (3) contain and mitigate spills that do occur.

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

**1.1. Regulatory Context**

The Plan Introduction section must provide a general description of the local sewer system management program and discuss Plan implementation and updates.

**1.2. Sewer System Management Plan Update Schedule**

The Plan Introduction section must include a schedule for the Enrollee to update the Plan, including the schedule for conducting local audits. The schedule must include milestones for incorporation of activities addressing prevention of sewer spills.



### 1.3. Sewer System Asset Overview

The Plan Introduction section must provide a description of the Enrollee-owned assets and service area, including but not limited to:

- Location, including county(ies);
- Service area boundary;
- Population and community served;
- System size, including total length in miles, length of gravity mainlines, length of pressurized (force) mains, and number of pump stations and siphons;
- Structures diverting stormwater to the sewer system;
- Data management systems;
- Sewer system ownership and maintenance responsibilities between Enrollee and private entities for upper and lower sewer laterals;
- Estimated number or percent of residential, commercial, and industrial service connections; and
- Unique service boundary conditions and challenge(s).

Additionally, the Plan Introduction section must provide reference to the Enrollee's up-to-date map of its sanitary sewer system, as required in section 4.1. (Updated Map of Sanitary Sewer System) of this Attachment.

## 2. ORGANIZATION

The Plan must identify organizational staffing responsible and integral for implementing the local Sewer System Management Plan through an organization chart or similar narrative documentation that includes:

- The name of the Legally Responsible Official as required in section 5.1. (Designation of a Legally Responsible Official) of this General Order;
- The position titles, telephone numbers, and email addresses for management, administrative, and maintenance positions responsible for implementing specific Sewer System Management Plan elements;
- Organizational lines of authority; and
- Chain of communication for reporting spills from receipt of complaint or other information, including the person responsible for reporting spills to the State and Regional Water Boards and other agencies, as applicable. (For example, county health officer, county environmental health agency, and State Office of Emergency Services.)

### **3. LEGAL AUTHORITY**

The Plan must include copies or an electronic link to the Enrollee’s current sewer system use ordinances, service agreements and/or other legally binding procedures to demonstrate the Enrollee possesses the necessary legal authority to:

- Prevent illicit discharges into its sanitary sewer system from inflow and infiltration (I&I); unauthorized stormwater; chemical dumping; unauthorized debris; roots; fats, oils, and grease; and trash, including rags and other debris that may cause blockages;
- Collaborate with storm sewer agencies to coordinate emergency spill responses, ensure access to storm sewer systems during spill events, and prevent unintentional cross connections of sanitary sewer infrastructure to storm sewer infrastructure;
- Require that sewer system components and connections be properly designed and constructed;
- Ensure access for maintenance, inspection, and/or repairs for portions of the service lateral owned or maintained by the Enrollee;
- Enforce any violation of its sewer ordinances, service agreements, or other legally binding procedures; and
- Obtain easement accessibility agreements for locations requiring sewer system operations and maintenance, as applicable.

### **4. OPERATION AND MAINTENANCE PROGRAM**

The Plan must include the items listed below that are appropriate and applicable to the Enrollee’s system.

#### **4.1. Updated Map of Sanitary Sewer System**

An up-to-date map of the sanitary sewer system, showing all gravity line segments and manholes, pumping facilities, pressure pipes and valves, and stormwater conveyance facilities within the sewer system service area boundaries.

#### **4.2. Preventive Operation and Maintenance Activities**

A scheduling system and a data collection system for routine preventive operation and maintenance activities conducted by staff and contractors. The scheduling system must schedule: (1) routine inspection and maintenance activities, and (2) higher-frequency inspections and maintenance of known problem areas. The data collection system must document data from routine inspection and maintenance activities, and higher-frequency inspections and maintenance of high-risk infrastructure conditions.

#### **4.3. Rehabilitation and Replacement**

Sewer system rehabilitation and replacement procedures to prioritize short-term and long-term rehabilitation actions that address deficiencies that pose a high risk of spills. The procedures must include:

- Regular visual and closed-circuit television (CCTV) inspections of manholes and sewer pipes;
- A method for prioritizing capital improvements addressing high risk system and deficiencies;
- Joint coordination between operation and maintenance staff, and engineering staff/consultants during planning, design, and construction of capital improvement projects; and
- Interagency coordination with other impacted utility agencies.

#### **4.4. Training**

In-house and external training provided on a regular basis for sanitary sewer system operations and maintenance staff and contractors. The training must cover:

- The requirements of this General Order;
- The Enrollee's Spill Emergency Response Plan procedures and practice drills;
- Skilled estimation of spill volume for field operators; and
- Electronic CIWQS reporting procedures for staff submitting data.

#### **4.5. Equipment Inventory System**

A system to track and manage the inventory of sewer system equipment and replacement parts. Inventories, including identification of critical replacement parts.

### **5. DESIGN AND PERFORMANCE PROVISIONS**

The Plan must include the following items as appropriate and applicable to the Enrollee's system:

#### **5.1. Updated Design and Construction Standards and Specifications**

Updated design and construction standards and specifications for the installation, repair, and rehabilitation of existing and proposed system infrastructure, including but not limited to: pipelines, pump stations, and other system appurtenances.

#### **5.2. Procedures, Protocols and Standards**

Procedures, protocols, and standards for the inspection and testing of newly constructed, newly installed, repaired, and rehabilitated system pipelines, pumps, and other equipment and appurtenances.

### **5.3. Component-specific Design Criteria**

Design criteria and standards for system construction and installation, repair and rehabilitation; if existing design criteria and standards are deficient to address necessary capacity determinations, a system condition assessment, as specified in section 8 (ELEMENT 8. System Evaluation and Capacity Assurance And Capital Improvements) of this Attachment, must include component-specific evaluation to appropriately assess design criteria and/or existing conditions.

## **6. SPILL EMERGENCY RESPONSE PLAN**

The Plan must include a developed Spill Emergency Response Plan to assure immediate detection and response to spills to reduce spill volumes and collect information for prevention of future spills. The Spill Emergency Response Plan must include procedures to:

- Notify primary responders, appropriate local officials, and appropriate regulatory agencies of a spill in a timely manner;
- Notify other potentially affected entities (for example, health agencies, water suppliers, etc.) of spills that potentially affect public health or reach waters of the State;
- Comply with the notification, monitoring and reporting requirements of this General Order, State law and regulations, and applicable Regional Water Board Orders;
- Ensure that appropriate staff and contractors implement the Spill Emergency Response Plan and are appropriately trained;
- Address emergency system operations, traffic control and other necessary response activities;
- Contain a spill and prevent discharge to waters of the State or any drainage conveyance system;
- Minimize and remediate public health impacts and adverse impacts on beneficial uses of waters of the State;
- Implement technologies, practices, equipment, and interagency coordination to expedite spill containment and recovery;
- Implement pre-planned coordination and collaboration with storm drain agencies and other utility agencies/departments prior, during, and after a spill event;
- Conduct post-spill assessments of spill response activities;
- Document and report spill events as required in this General Order; and
- Review and assess the Spill Emergency Response Plan Annually.

**7. SEWER PIPE BLOCKAGE CONTROL PROGRAM**

The Plan must include procedures to evaluate the Enrollee’s service area and identify and address system-specific pipe blockages caused by roots, fats, oils, grease, rags, and debris. The procedures must include, at minimum:

- An implementation plan and schedule for a public education and outreach program that promotes proper disposal of pipe-blocking substances;
- A plan and schedule for the disposal of pipe-blocking substances generated within the sanitary sewer system service area. This may include a list of acceptable disposal facilities and/or additional facilities needed to adequately dispose of substances generated within a sanitary sewer system service area;
- A plan to identify, document and address system areas/components prone to root-intrusion potentially resulting in system backup, failure and/or exfiltration;
- The legal authority to prohibit discharges to the system and identify measures to prevent spills and blockages;
- Requirements to install grease removal devices (such as traps or interceptors), design standards for the removal devices, maintenance requirements, best management practices requirements, recordkeeping and reporting requirements;
- Authority to inspect grease producing facilities, enforcement authorities, and whether the Enrollee has sufficient staff to inspect and enforce the fats, oils, and grease ordinance;
- An identification of sanitary sewer system sections subject to fats, oils, and grease blockages and establishment of a cleaning schedule for each section; and
- Implementation of source control measures for all sources of fats, oils, and grease reaching the sanitary sewer system for each section identified above.

**8. SYSTEM EVALUATION AND CAPACITY ASSURANCE AND CAPITAL IMPROVEMENTS**

The Plan must provide procedures and activities for the Enrollee to assess system condition and capacity, and prioritize rehabilitation actions to address:

- Local / regional climate change impacts;
- Environmental impacts;
- Change in waste flow rates and system users;
- Customer use of household and commercial products; and
- Other current and forecasted system-specific impacts that threaten the sewer system.

The Sewer System Management Plan must include a system evaluation that includes:

- Routine evaluation and assessment of system conditions;
- Capacity assessment and design criteria;
- Identification of risk and prioritization of corrective actions; and
- A capital improvement plan.

### **8.1 System Evaluation and Condition Assessment**

The Plan must document the procedures to:

- Evaluate the sanitary sewer system assets utilizing the best practices and technologies available;
- Identify and justify the amount (percentage) of its system for its condition to be assessed each year;
- Prioritize the condition assessment of high-risk system areas that:
  - Hold a high level of environmental consequences if vulnerable to collapse, failure, blockage, capacity issues, or other gross system deficiencies;
  - Are located in or within the vicinity of surface waters, steep terrain, high groundwater elevations, and environmentally sensitive areas;
  - Are within the vicinity of a receiving water with a bacterial-related impairment on the most current Clean Water Act section 303(d) List to determine if sanitary sewer system exfiltration is potentially contributing to the impairment;
- Assess the condition of identified high-priority high-risk system areas using visual observations, video surveillance and/or other comparable system inspection methods;
- Utilize observations/evidence of system conditions that may contribute to sewage exiting the system that may be potentially entering into a water of the State, for prioritization of rehabilitation and/or repair of compromised system component accordingly; and
- Maintain documents and recordkeeping of system evaluation and condition assessment inspections and activities.

### **8.2. Capacity Assessment and Design Criteria**

The capacity assessment must include procedures to evaluate sanitary sewer system components that are experiencing or contributing to spills caused by hydraulic deficiency, including procedures for:

- Estimates of peak flows including flows from spills that escape from the system associated with conditions similar to those causing spills events;
- Estimates of the capacity of key system components;

- Identification of system components/areas with hydraulic deficiencies and/or limiting capacity; and
- Identification of the major sources that contribute to the peak flows associated with sewer spills.

The capacity assessment must consider:

- Data from existing system condition assessments, system inspections, system audits, spill history, and other available information;
- Capacity of flood-prone systems subjected to increased infiltration and inflow, under normal local and regional storm conditions;
- Capacity of major system elements to accommodate dry weather peak flow conditions, and updated design storm and wet weather events; and
- Necessary redundancy in pumping and storage capacities.

### **8.3. Identification of Risk and Prioritization of Corrective Action**

The findings of the condition assessments and capacity assessments must be used to consider infiltration and inflow, bank erosion (in canyons and along coastal bluffs), and inundation of low-lying pump stations. The prioritization of corrective actions must consider the ranking and measurement of risk based on the severity of the consequences of potential spills.

### **8.4. Capital Improvement Plan**

The capital improvement plan must include the following items:

- Project schedules with interim milestones for planning, design, and construction;
- Completion dates for all portions of the capital improvement program, updated consistent with the Sewer System Management Plan update; and
- Internal and external project funding sources including:
  - Local accounts that will provide the necessary local resources,
  - Necessary local board or company budget approvals,
  - Necessary planning, design and construction staff and contractor, and
  - Breakdown of resources allocated to various capital improvement projects.

## **9. MONITORING, MEASUREMENT AND PROGRAM MODIFICATIONS OF SEWER SYSTEM MANAGEMENT PLAN IMPLEMENTATION**

The Plan must include an Adaptive Management section that addresses Plan-implementation effectiveness and the steps for necessary Plan improvement, including:

- Maintaining relevant information, including audit findings, to establish and prioritize appropriate Plan activities;

- Monitoring Plan implementation and measuring the effectiveness of each Plan Element;
- Assessing the effectiveness of the system operations and maintenance, and identifying system deficiencies;
- Updating Plan procedures and activities based on results of monitoring and performance evaluations; and  
Identifying and illustrating spill trends, including spill frequency, locations and estimated volumes.

**10. INTERNAL PROGRAM AUDITS**

The Plan shall include internal audit procedures, appropriate to the size and performance of the system, for the Enrollee to comply with section 5.4. (Sewer System Management Plan Audits) of this General Order.

**11. COMMUNICATION PROGRAM**

The Plan must include procedures for the Enrollee to communicate with:

- The public for:
  - Spills and discharges resulting in closures of public areas, or that enter a source of drinking water, and
  - The development, implementation, and update of its Plan, including opportunities for public input to Plan implementation and updates.
- Owners of private and public lateral/systems that connect into the Enrollee's system, including satellite systems for system operation, maintenance, and capital improvement-related activities; and
- Stormwater, drinking water and other utility agencies for collaborative emergency spill response during and after a spill to immediately stop the spill, prevent/minimize a discharge to waters of the State, and clean up spill areas.



**ATTACHMENT E1 – NOTIFICATION, MONITORING, REPORTING AND  
RECORDKEEPING REQUIREMENTS**

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## **ATTACHMENT E1– NOTIFICATION, MONITORING, REPORTING AND RECORDKEEPING REQUIREMENTS**

The Notification Requirements (section 1), Spill-specific Monitoring Requirements (section 2), Reporting Requirements (section 3) and Recordkeeping Requirements (section 4) in this Attachment are pursuant to Water Code section 13267 and section 13383, and are an enforceable component of this General Order. For the purpose of this General Order, the term:

- Notification means the notifying of appropriate parties of a spill event or other activity.
- Spill-specific Monitoring means the gathering of information and data for a specific spill event to be reported or kept as records.
- Reporting means the reporting of information and data into the online California Integrated Water Quality System (CIWQS) Sanitary Sewer System Database.
- Recordkeeping means the maintaining of information and data in an official records storage system.

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

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

### **1. NOTIFICATION REQUIREMENTS**

#### **1.1. Notification of Spills of 1,000 Gallons or Greater to the California Office of Emergency Services**

Per Water Code section 13271, for a spill that discharges in or on any waters of the State, or discharges or is deposited where it is, or probably will be, discharged in or on any waters of the State, the Enrollee shall notify the California Office of Emergency Services and obtain a California Office of Emergency Services Control Number as soon as possible **but no later than two (2) hours** after:

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

## 1.2. Spill Notification Information

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

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

## 1.3. Notification of Spill Report Updates

Following the initial notification to the California Office of Emergency Services and until such time that the Enrollee certifies the spill report in the online CIWQS Sanitary Sewer System Database, the Enrollee shall provide updates to the California Office of Emergency Services regarding substantial changes to:

- Estimated spill volume (increase or decrease in gallons initially estimated);
- Estimated discharge volume discharged directly into waters of the State or indirectly into a drainage conveyance system (increase or decrease in gallons initially estimated); and
- Additional impact(s) to the receiving water(s) and beneficial uses.

## **2. SPILL-SPECIFIC MONITORING REQUIREMENTS**

### **2.1 Spill Location and Spread**

The Enrollee shall visually assess the spill location(s) and spread using photography, global positioning system (GPS), and other best available tools. The Enrollee shall document the critical spill locations, including:

- The system location where spill originated;
- Boundaries of spill spread;
- Drainage conveyance system entry locations;
- The location(s) of discharge into waters of the State, as applicable; and
- The location(s) of clean up.

### **2.2 Spill Volume Estimation**

To assess the approximate spill magnitude and spread, the Enrollee shall estimate the total spill volume using updated volume estimation techniques, calculations, and documentation for electronic reporting. The Enrollee shall update its notification and reporting of estimated spill volume (which includes spill volume recovered) as further information is gathered during and after a spill event.

### **2.3. Receiving Water Monitoring**

#### **2.3.1. Receiving Water Visual Observations**

Through visual observations and use of best available spill volume-estimating techniques and field calculation techniques, the Enrollee shall gather and document the following information for spills discharging to surface waters:

- Estimate of spill travel time to the receiving water;
- For spills entering a drainage conveyance system, estimate of spill travel time from the point of entry into the drainage conveyance system to the point of discharge into the receiving water;
- Estimate of the spill volume entering the receiving water; and
- Photography of:
  - Waterbody bank erosion,
  - Floating matter,
  - Water surface sheen (potentially from oil and grease), and
  - Discoloration of receiving water.

### 2.3.2. Receiving Water Field Sampling

For spills that discharge into a surface water of the State, the Enrollee shall conduct the following field sampling of the receiving water:

- pH
- Turbidity
- Temperature
- Dissolved Oxygen

#### Monitoring Equipment Calibration

Field equipment and analytical instruments used to implement the requirements of this General Order must be properly maintained and calibrated. The Enrollee must maintain records documenting the maintenance and calibration of equipment and instruments to ensure continued accuracy.

### 2.3.3. Receiving Water – Water Quality Sampling and Analysis

To capture the impact of sewage spills estimated to be 50,000 gallons or more to a surface water, the Enrollee shall conduct the following receiving water quality sampling and analysis, as soon as possible, but no later than **12 hours** after the Enrollee's knowledge of potential discharge to a water of the United States:

- Three receiving water samples, each day of the duration of the spill, per the Water Quality Sampling Specification in section 2.3.4. (Water Quality Sampling Specifications) of this Attachment, and at the receiving water sampling locations in section 2.3.5. (Receiving Water Sampling Locations) of this Attachment;
- Analyze the collected receiving water samples for the following constituents:
  - Ammonia, and
  - Appropriate bacterial indicator(s) per the applicable Basin Plan water quality objectives, including one or more of the following, unless directed otherwise by the Regional Water Board:
    - Total Coliform Bacteria
    - Fecal Coliform Bacteria
    - E-coli
    - Enterococcus

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

- Collect and analyze additional sampling as required by the applicable Regional Water Board Executive Officer or designee.

**2.3.4. Water Quality Analysis Specifications**

Spill monitoring must be representative of the monitored activity (40 Code of Federal Regulations section 122.41(j)(1)).

Sufficiently Sensitive Methods

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

Environmental Laboratory Accreditation Program-Accredited Laboratories

The analysis of water quality samples required per this General Order must be performed by a laboratory that has accreditation pursuant to Article 3 (commencing with section 100825) of Chapter 4 of Part 1 of Division 101 of the Health and Safety Code. (Water Code section 13176(a).) The State Water Board accredits laboratories through its Environmental Laboratory Accreditation Program (ELAP).

**2.3.5. Receiving Water Sampling Locations**

The Enrollee shall collect receiving water samples at the following locations.

**Sampling of Drainage Conveyance System (DCS) Flow**

| <b>Sampling Location</b> | <b>Sampling Location Description</b>   |
|--------------------------|--|
| DCS-001                  | A point where a representative sample of the drainage water in a drainage conveyance system, before the drainage conveyance system flow discharges into a receiving water. |

**Receiving Surface Water Sampling (RSW)<sup>1</sup>**

(either direct discharge or via a drainage conveyance system)

| <b>Sampling Location</b>                             | <b>Sampling Location Description</b>   |
|--|--|
| RSW-001  | The initial point(s) where sewage enters the receiving water.  |
| RSW-001U:<br>Upstream<br>Receiving Water<br>Sampling | A point upstream of the point of sewage discharge (including point of drainage conveyance system discharge (as applicable)), to capture ambient conditions absent of sewage discharge impacts. |

|  |  |
|--|--|
| RSW-001D:<br>Downstream<br>Receiving Water<br>Sampling | A point downstream of the point of sewage discharge (including point of drainage conveyance system discharge (as applicable)), where the spill material is fully mixed with the receiving water. |
|--|--|

<sup>1</sup> The Enrollee must use its best professional judgment to determine the upstream and downstream distances based on receiving water flow, accessibility to upstream/downstream waterbody banks, and size of visible sewage plume.

**2.4. Safety and Access Exceptions**

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

**3. REPORTING REQUIREMENTS**

All reporting required in this General Order must be submitted electronically to the State Water Board's (CIWQS) Sanitary Sewer System Database, unless specified otherwise in this General Order. Electronic entry of draft spill information into the online CIWQS Sanitary Sewer System Database may solely be conducted by a Legally Responsible Official or Data Submitter(s) previously designated by the Legal Responsible Official, as required in section 5.8. (Designation of Data Submitters) of this General Order.

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

**3.1. Reporting Requirements for Individual Category 1 and Category 2 Spill Reporting**

**3.1.1. Draft Spill Report for Category 1 and Draft Category 2 Spill**

**Within three (3) business days** of the Enrollee's knowledge of a Category 1 or Category 2 spill, the Enrollee shall submit a Draft Spill Report to the online CIWQS Sanitary Sewer System Database.

The Draft Spill Report must, at minimum, include the following items:

1. Contact information: Name and telephone number of Enrollee contact person to respond to spill-specific questions;
2. Spill location name;
3. Location of the spill event including GPS coordinates of known spill boundaries:
  - If a single overflow event results in multiple appearance points, provide GPS coordinates for the appearance point closest to the failure point and describe each additional appearance point in the spill appearance point explanation field;

4. Did the spill reach a drainage conveyance system? If Yes:
  - Description of the drainage conveyance system transporting the spill, and
  - The total spill volume fully recovered within the drainage system;
5. Did the spill directly or indirectly (via a drainage conveyance system) discharge into:
  - A water of the United States for a Category 1 spill, or
  - A water of the State that are not waters of the United States, for a Category 2 spill;
6. Description and GPS coordinates of all discharge point(s), as applicable;
7. Estimate of total spill volume, inclusive of all discharge point(s);
8. Estimate of the spill volume that discharged to waters of the State, and spill volume not recovered from a drainage conveyance system;
9. Estimate of the spill volume recovered (if applicable);
10. Spill appearance point(s), including:
  - Number of appearance points,
  - Description of spill appearance point(s),
  - Location including GPS coordinates of each spill appearance point (or attach a sketch to illustrate the geographic location(s) of each spill appearance point), and
  - If a single sanitary sewer system failure results in multiple spill appearance locations, each appearance point must be described;
11. Spill start date and time;
12. Date and time the Enrollee was notified of, or self-discovered, the spill;
13. Estimated operator arrival time; and
14. For Category 1 spills requiring California Office of Emergency Services notification:
  - The date and time the Enrollee notified California Office of Emergency Services, and
  - The California Office of Emergency Services control number.

### 3.1.2. Certified Spill Report for Category 1 and Category 2 Spills

**Within 15 calendar days** of the spill end date, the Enrollee shall submit a Certified Spill Report for Category 1 and/or Category 2 spills, to the online CIWQS [Sanitary Sewer System Database](https://ciwqs.waterboards.ca.gov) (<https://ciwqs.waterboards.ca.gov>). Upon completion of Certified Spill Report, the online CIWQS Sanitary Sewer System Database will issue a final spill event identification number.

The Certified Spill Report must, at minimum, include the following mandatory information in addition to all information in the Draft Spill Report per section 3.1.1. (Draft Spill Report for Category 1 and Draft Category 2 Spill) above:



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1. Description of the spill event destination(s) including GPS coordinates that represent the full spread of the spill;
2. Spill end date and time;
3. Description of how the spill volume estimations were calculated, including at a minimum:
  - The methodology, assumptions and type of data relied upon, such as supervisory control and data acquisition (SCADA) records, flow monitoring or other telemetry information used to estimate the volume of the spill discharged, and the volume of the spill recovered (if any volume of the spill was recovered), and
  - The methodology(ies), assumptions and type of data relied upon for estimations of the spill start time and the spill end time;
4. Spill cause(s) (for example, root intrusion, grease deposition, etc.);
5. System failure location (for example, main, lateral, pump station, etc.);
6. Whether or not the spill was associated with a storm event;
7. Description of spill response activities including description of immediate spill containment and cleanup efforts;
8. Description of spill corrective action, including steps planned or taken to reduce, eliminate, and prevent reoccurrence of the spill, and a schedule of major milestones for those steps;
9. Spill response completion date;
10. Whether or not there is an investigation. If yes, detailed narrative of investigation and investigation findings of cause of spill;
11. Reasons for an ongoing investigation (as applicable) and the expected date of completion;
12. Name and type of water body(s) impacted:
  - Public closure, restricted public access, temporary restricted use, and/or posted health warnings due to spill,
  - Responsible entity for closing/restricting use of water body, and
  - Number of days closed/restricted as a result of the spill.

### For Category 1 Spills only:

If water quality samples were collected, identify parameters the water quality samples were analyzed for. If no samples were taken, NA shall be selected.

### **3.1.3. Spill Technical Report for Individual Category 1 Spill of 50,000 Gallons or Greater**

For any spill with 50,000 gallons or greater discharged into a water of the United States, **within 45 calendar days** of the spill end date, the Enrollee shall submit a Spill Technical Report to the online CIWQS Sanitary Sewer System Database. The Spill Technical Report, at minimum, must include the following information:

1. Spill causes and circumstances, including at minimum:
  - Complete and detailed explanation of how and when the spill was discovered;
  - Photographs illustrating the spill origin, the spill flow path, the extent of the spill, drainage conveyance system entrance and exit, receiving water, and post-cleanup site conditions;
  - Diagram showing the spill failure point, appearance point(s), and ultimate destinations;
  - Detailed description of the methodology employed, and available data used to calculate the discharge volume and, if applicable, the recovered spill volume;
  - Detailed description of the spill cause(s);
  - Copy of original field crew records used to document the spill; and
  - Historical maintenance records for the failure location.
2. Enrollee's response to spill:
  - Chronological narrative description of all actions taken by the Enrollee to terminate the spill;
  - Explanation of how the Sewer System Management Plan Spill Emergency Response Plan was implemented to respond to and mitigate the spill; and
  - Final corrective action(s) completed and/or planned to be completed including a schedule for actions not yet completed, including:
    - Local regulatory enforcement action taken against an illicit discharge in response to this spill, as applicable.
    - Identifiable system modifications, and operation and maintenance program modifications needed to prevent repeated spill occurrences.
3. Water Quality Monitoring, including at minimum:
  - Description of all water quality sampling activities conducted;
  - List of pollutant and parameters monitored, sampled and analyzed; as required in section 2.3. (Receiving Water Monitoring) of this Attachment;
  - Laboratory results, including laboratory reports;
  - Detailed location map illustrating all water quality sampling points; and
  - Other regulatory agencies receiving sample results (if applicable).
4. Evaluation of spill impact(s), including a description of short-term and long-term impact(s) to beneficial uses of the surface water.

**3.1.4. Amended Certified Spill Reports for Individual Category 1 and Category 2 Spills**

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

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

**3.2. Monthly Certified Spill Reporting for Individual Category 3 and Category 4 Spills**

The Enrollee shall report and certify all Category 3 and Category 4 spills to the online CIWQS Sanitary Sewer System Database within 30 calendar days after the end of the month in which the spills occurred. (For example, all Category 3 and Category 4 spills occurring in the month of February shall be reported and certified by March 30<sup>th</sup>). After the Legal Responsible Official certifies the spills, the online CIWQS Sanitary Sewer System Database will issue a spill event identification number for each spill.

The monthly reporting of all Category 3 and Category 4 spills must address the following items for each spill:

1. Contact information: Name and telephone number of Enrollee contact person to respond to spill-specific questions,
2. Spill location name,
3. Location of the spill event including GPS coordinates of known spill boundaries:
  - If a single overflow event results in multiple appearance points, provide GPS coordinates for the appearance point closest to the failure point and describe each additional appearance point in the spill appearance point explanation field;
4. Did the spill reach a drainage conveyance system? If Yes:
  - Description of the drainage conveyance system transporting the spill, and
  - The total spill volume fully recovered within the drainage system;
5. Did the spill directly or indirectly (via a drainage conveyance system) discharge into a water of the State?
6. Description and GPS coordinates of all discharge point(s), as applicable;
7. Estimate of total spill volume, inclusive of all discharge point(s);
8. Estimate of the spill volume that discharged to waters of the State, and spill volume not recovered from a drainage conveyance system;
9. Estimate of the spill volume recovered (if applicable);
10. Spill appearance point(s), including:
  - Number of appearance points,

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- Description of spill appearance point(s),
  - Location including GPS coordinates of each spill appearance point (or attach a sketch to illustrate the geographic location(s) of each spill appearance point), and
  - If a single sanitary sewer system failure results in multiple spill appearance locations, each appearance point must be described;
11. Spill start date and time;
  12. Date and time the Enrollee was notified of, or self-discovered, the spill;
  13. Estimated operator arrival time;
  14. All information provided in Draft Category 1 Spill Report, with verification, or necessary modification based on subsequently acquired information after submittal of draft report;
  15. Description of the spill event destination(s) and GPS coordinates of the furthest reaches of the spill;
  16. Estimate of the spill end date and time;
  17. Spill cause(s) (for example, root intrusion, grease deposition, etc.);
  18. System failure location (for example, main, lateral, pump station, etc.);
  19. The association of the spill with a storm event, if applicable;
  20. Description of how the volume estimations were calculated, including, at minimum:
    - The methodology and type of data relied upon, including supervisory control and data acquisition (SCADA) records, flow monitoring or other telemetry information used to estimate the volume of the spill discharged, and the volume of the spill recovered (if any volume of the spill was recovered), and
    - The methodology and type of data relied upon to estimate the spill start time, on-going spill rate at time of arrival (if applicable), and the spill end time;
  21. Description of spill corrective actions, including at minimum:
    - Local regulatory enforcement action taken against an illicit discharge in response to this spill, as applicable, and
    - Identifiable system modifications, and operation and maintenance program modifications needed to prevent repeated spill occurrences at the same spill event location, including:
      - Adjusted schedule/method of preventive maintenance,
      - Planned rehabilitation or replacement of sanitary sewer asset,
      - Inspected, repaired asset(s), or replaced defective asset(s),
      - Capital improvements,
      - Documentation verifying immediately implemented system modifications and operating/maintenance modifications,

- Description of spill response activities,
- Spill response completion date, and
- Ongoing investigation efforts, and expected completion date of investigation to determine the full cause of spill;

22. Detailed narrative of investigation and investigation findings of cause of spill;

23. Name and type of water body(s) impacted; and

24. If discharged to a surface water, visual inspection of water body, narrative description, and photographs of impacted water body(s).

### 3.3 Monthly “No-Spills” Certification

If no spills occur during a calendar month, the Enrollee shall certify, within 30 calendar days after the end of each calendar month, a “No-Spill” certification statement in the online CIWQS Sanitary Sewer System Database certifying that there were no spills for the designated month.

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

If the Enrollee has no spills from its systems during a calendar month, but the Enrollee voluntarily reported a spill from a private lateral or a private system, the Enrollee shall certify “no-spills” for that calendar month.

### 3.4. Amended Individual Spill Reports

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

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

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

To facilitate program implementation, compliance assessment, and enforcement response, **by April 1 of each year:**

- A new Enrollee shall complete and submit a certified Annual Report into the online CIWQS Sanitary Sewer System Database;
- An existing Enrollee shall update and certify the previous year’s Annual Report in the online CIWQS Sanitary Sewer System Database.

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The Annual Report must be entered directly into the online CIWQS Sanitary Sewer System Database. The Enrollee's Legally Responsible Official must shall complete the certification portion for the Annual Report as instructed in CIWQS;

The Annual Report (an Annual Report update) must address the following items:

- Updated sewer system service area boundaries and system service area (square miles);
- Updated population served;
- Number of system operation and maintenance staff:
  - Entry level (less than two years of experience),
  - Journey level (greater than two years of experience),
  - Supervisory level, and
  - Managerial level;
- Number of operation and maintenance staff certified as a certified collection system operator by the California Water Environmental Association (CWEA), or equivalent certification program as provided in Attachment F (Criteria for Equivalent Collection System Operator Certification Program) of this General Order, with:
  - Corresponding number of certified collection system operator grade levels (Grade I, II, III, IV, and V);
- Updated system information:
  - Miles of system gravity and force mains,
  - Number of upper and lower service laterals connected to system,
  - Estimated number of upper and lower laterals owned and/or operated/maintained by the Enrollee,
  - Portion of laterals that is Enrollee's responsibility,
  - Average age the major components of system infrastructure,
  - Number and age of pump stations, and
  - Estimated total miles of the system pipeline not accessible for maintenance;
- Name and location of the treatment plant(s) receiving sanitary sewer system's waste;
- Name of satellite sewer system tributaries;
- Number of system's gravity sewer above or underground crossings of water bodies throughout system;
- Number of force main (pressurized pipe) above or underground crossings of water bodies throughout system;
- Number of siphons used to convey waste throughout the sewer system;

- Miles of sewer system cleaned;
- Miles of sewer system video inspected, or comparable (i.e., video closed-circuit television or alternative inspection methods);
- System Performance Evaluation as specified in section 5.11. (System Performance Analysis) of this General Order;
- Major spill causes (for example, root intrusion, grease deposition);
- System infrastructure failure points (for example, main, pump station, lateral, etc.);
- Ongoing spill investigations; and
- Actions taken to address system deficiencies.

### 3.6. Sewer System Management Plan Audit Reporting Requirements

The Enrollee shall submit its Sewer System Management Plan Audit (Audit) and other pertinent audit information, in accordance with section 5.4. (Sewer System Management Plan Audits) of this General Order, to the online CIWQS Sanitary Sewer System Database **by six months after the end of the 3-year audit period.**

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

- Update the online CIWQS Sanitary Sewer System Database and select the justification for not conducting the Audit; and
- Notify its corresponding Regional Water Board (see Attachment F (Criteria for Equivalent Collection System Operator Certification Program)) of the justification for the lapsed requirements.

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

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

### 3.7. Sewer System Management Plan Reporting Requirements

**Within every six (6) years after the required due date of its last Plan Update**, the Enrollee must upload a local Board-approved and certified Sewer System Management Plan Update to the online CIWQS Sanitary Sewer System Database. If electronic document format or size capacity prevents the electronic upload of the Plan, the Enrollee must report an electronic link to its updated Sewer System Management Plan posted on its own website.

For a New Enrollee: **Within twelve (12) months of its Application for Enrollment Approval date**, a new Enrollee shall submit a local Board-approved and certified Sewer System Management Plan to the online CIWQS Sanitary Sewer System Database. If

electronic document format or size capacity prevents the electronic upload of the Plan, the Enrollee must provide an electronic link to its Sewer System Management Plan posted on its own website. The due date for subsequent 6-year Plan updates, is six (6) years from the first submittal due date of the new Enrollee's first Sewer System Management Plan.

#### **4. RECORDKEEPING REQUIREMENTS**

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

##### **4.1. Recordkeeping Time Period**

The Enrollee shall maintain records of documents required in this Attachment, including records collected for compliance with this General Order, and records collected in accordance with previous General Order 2006-0003-DWQ, for five (5) years.

##### **4.2. Availability of Documents**

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

##### **4.3. Spill Reports**

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

- Spill event complaint, including but not limited to records documenting how the Enrollee responded to notifications of spills. Each complaint record must, at a minimum, include the following information:
  - Date, time, and method of notification,
  - Date and time the complainant first noticed the spill, if available,
  - Narrative description of the complaint, including any information the caller provided regarding whether the spill has reached surface waters or a drainage conveyance system, if available,
  - Complainant's contact information, if available, and
  - Final resolution of the complaint;
- Records documenting the steps and/or remedial action(s) undertaken by the Enrollee, using all available information, to comply with this General Order, and previous General Order 2006-0003-DWQ as applicable;
- Records documenting how estimate(s) of volume(s) and, if applicable, volume(s) of spill recovered were calculated;



- All California Office of Emergency Services notification records, as applicable; and
- Records, in accordance with the Monitoring Requirements in this Attachment.

#### **4.4. Recordkeeping per System-specific Reduced Reporting**

An Enrollee that receives Deputy Director approval of its Reduced Reporting Request per section 5.18. (System-specific Reduced Reporting) of this General Order (System Specific Reduced Reporting) must maintain records of all Category 4 spill information in accordance with the corresponding Reduced Reporting Request Approval.

#### **4.5. Sewer System Telemetry Records**

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

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

#### **4.6. Sewer System Management Plan Implementation Records**

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

#### **4.7. Audit Records**

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

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

#### **4.8. Equipment Records**

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

**4.9. Work Orders**

The Enrollee shall maintain record of work orders for operations and maintenance projects.

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

This Attachment provides a summary of notification, monitoring and reporting requirements, by spill category as defined in section 5.13.1. (Individual Spill Notification, Monitoring and Reporting), and as required in Attachment E1 of this General Order, for quick reference purposes only. The content in this Attachment is summarized from the detailed reporting requirements in Attachment E1 and provided for summary purposes only.

**Table E2-1  
Spill Category 1: Spills to Waters of the United States**

| <b>Spill Requirement</b> | <b>Due</b>   | <b>Method</b>  |
|--------------------------|--|--|
| Notification             | <p><b>Within two (2) hours</b> of the Enrollee’s knowledge of a Category 1 spill discharging or threatening to discharge to waters of the United States:</p> <ul style="list-style-type: none"> <li>For Category 1 spills of 1,000 gallons or greater, notify California Office of Emergency Services and obtain a notification control number; and</li> <li>For all Category 1 spills, notify the State Water Board through the online CIWQS Sanitary Sewer System Database.</li> </ul>   | <p>1) California Office of Emergency Services at: (800) 852-7550</p> <p>2) <a href="https://ciwqs.waterboards.ca.gov">https://ciwqs.waterboards.ca.gov</a></p> <p>(Section 1 of Attachment E1)</p> |
| Monitoring               | <ul style="list-style-type: none"> <li>Conduct spill-specific monitoring;</li> <li>Conduct receiving water monitoring; and</li> <li>Conduct water quality sampling of receiving water within <b>12 hours</b> of initial knowledge of spill of 50,000 gallons or greater to waters of the United States.</li> </ul>   | <p>(Section 2 of Attachment E1)</p>  |
| Reporting                | <ul style="list-style-type: none"> <li>Submit Draft Spill Report <b>within three (3) business days</b> of having knowledge of the spill;</li> <li>Submit Certified Spill Report <b>within 15 calendar days</b> of the spill end date;</li> <li>Submit Technical Report <b>within 45 calendar days</b> after the spill end date for a Category 1 spill in which <b>50,000 gallons or greater</b> discharged to waters of the United States; and</li> <li>Submit Amended Spill Reports <b>within 90 calendar days</b> after the spill end date.</li> </ul> | <p>(Section 3.1 of Attachment E1)</p>  |

**Table E2-2**  
**Spill Category 2: Spills of 1,000 Gallons or Greater That Are Not Category 1 Spills**

| <b>Spill Requirements</b> | <b>Due</b>  | <b>Method</b>  |
|---------------------------|---|--|
| Notification              | <p><b>Within two (2) hours</b> of the Enrollee’s knowledge of a spill of 1,000 gallons or greater, discharging or threatening to discharge to waters of the State:</p> <ul style="list-style-type: none"> <li>• Notify California Office of Emergency Services and obtain a notification control number; and/or</li> <li>• Notify the State Water Board through the online CIWQS Sanitary Sewer System Database.</li> </ul> | <p>1) California Office of Emergency Services at: (800) 852-7550</p> <p>2) <a href="https://ciwqs.waterboards.ca.gov">https://ciwqs.waterboards.ca.gov</a></p> <p>(Section 1 of Attachment E1)</p> |
| Monitoring                | <ul style="list-style-type: none"> <li>• Conduct spill-specific monitoring; and</li> <li>• Conduct receiving water monitoring.</li> </ul>   | <p>(Section 2 of Attachment E1)</p>  |
| Reporting                 | <ul style="list-style-type: none"> <li>• Submit Draft Spill Report <b>within three (3) business days</b> of having knowledge of the spill;</li> <li>• Submit Certified Spill Report <b>within 15 calendar days</b> of the spill end date; and</li> <li>• Submit Amended Spill Reports <b>within 90 calendar days</b> after the spill end date.</li> </ul>   | <p>(Section 3.1 of Attachment E1)</p>  |

**Table E2-3**  
**Spill Category 3 and Category 4: Spills Less Than 1,000 Gallons and Not Category 1 Spills**

| <b>Spill Requirements</b> | <b>Due</b>  | <b>Method</b>                           |
|---------------------------|---|---|
| Notification              | Not Applicable  | Not Applicable                          |
| Monitoring                | <ul style="list-style-type: none"> <li>• Conduct spill-specific monitoring; and</li> <li>• Conduct receiving water monitoring.</li> </ul>   | (Sections 2 of Attachment E1.)          |
| Reporting                 | <ul style="list-style-type: none"> <li>• Submit monthly Certified Spill Report to the online CIWQS Sanitary Sewer System Database within <b>30 calendars days</b> after the end of the month in which the spills occur; and</li> <li>• Submit Amended Spill Reports <b>within 90 calendar days</b> after the spill end date.</li> </ul> | (Section 3.2 and 3.4 of Attachment E1.) |

**ATTACHMENT F – CRITERIA FOR EQUIVALENT COLLECTION SYSTEM OPERATOR CERTIFICATION PROGRAM**

This Attachment provides the basic quality standards for a professional collection system operator certification program that provides certification credentials as specified in this General Order.

The collection system operator certification program must:

1. Have a governance structure, policies, and procedures in place to prevent a conflict of interest that could impact the integrity of the certification process, such as an overwhelming bias towards one organization’s procedures.
2. Maintain accurate records of persons certified and be able to verify an individual’s certification status upon request or through a public database.
3. Establish, with the guidance of industry experts, eligibility requirements of a combination of education and experience relevant to the job role and reflective of the job knowledge at the appropriate level for that certification.
4. Grant a time-limited use of the credential and ensure that competency is continued and enhanced through a continuing education requirement of job-related education or training.
5. Administer the exam in a proctored, secure environment and ensure a consistent testing experience to all candidates. Must use a reputable third-party test administrator or be able to demonstrate comparable exam security.
6. Make the following information publicly available:
  - The purpose and scope of the certification;
  - Eligibility criteria;
  - The application process and procedures;
  - The examination process and procedures;
  - Detailed information about the knowledge, skills and/or abilities being tested;
  - Summary of certification activities;
  - Discipline, nondiscrimination, and confidentiality policies; and
  - Appeal policies and procedures.
7. Ensure the scope of the certifications, and all exam development activities, focus specifically on the practice of collection system operation and maintenance in the State of California.

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8. Adhere to legal requirements for certification programs and generally accepted psychometric principles. Critical steps in exam development, including but not limited to development of the exam blueprint and establishing the passing score, should be conducted or overseen by a qualified psychometrician, utilizing subject matter expertise appropriate to the field and level of the certification.
9. Determine exam content through a Job Task Analysis study which establishes the knowledge, skills and abilities required to perform the job successfully. Job Task Analysis findings should be validated (typically through a survey of incumbent professionals).
10. Maintain documentation in support of validity and reliability of certification decisions. Must document and publish the process used to develop the exam and the research methods used to ensure that the examination process is valid.
11. Periodically review and revise exam content and performance to keep up with changes in the field, such as new regulations, new technology and changes in practice.

**ATTACHMENT G – REGIONAL WATER QUALITY CONTROL BOARD CONTACT INFORMATION**

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



**Region 1 -- North Coast Regional Water Quality Control Board:**

Del Norte, Glenn, Humboldt, Lake, Marin, Mendocino, Modoc, Siskiyou, Sonoma, and Trinity counties.

RB1SpillReporting@waterboards.ca.gov or (707) 576-2220

**Region 2 -- San Francisco Bay Regional Water Quality Control Board:**

Alameda, Contra Costa, San Francisco, Santa Clara (North of Morgan Hill), San Mateo, Marin, Sonoma, Napa, Solano counties.

RB2SpillReporting@waterboards.ca.gov or (510) 622-2300

**Region 3 -- Central Coast Regional Water Quality Control Board:**

Santa Clara (South of Morgan Hill), San Mateo (Southern portion), Santa Cruz, San Benito, Monterey, Kern (small portions), San Luis Obispo, Santa Barbara, Ventura (Northern portion) counties.

RB3SpillReporting@waterboards.ca.gov or (805) 549-3147

**Region 4 -- Los Angeles Regional Water Quality Control Board:**

Los Angeles, Ventura counties (small portions of Kern and Santa Barbara counties).

RB4SpillReporting@waterboards.ca.gov or (213) 576-6600



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

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

RB5sSpillReporting@waterboards.ca.gov or (916) 464-3291

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

RB5fSpillReporting@waterboards.ca.gov or (559) 445-5116

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

RB5rSpillReporting@waterboards.ca.gov or (530) 224-4845

**Region 6 -- Lahontan Regional Water Quality Control Board:**

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

RB6sSpillReporting@waterboards.ca.gov or (530) 542-5400

**Victorville Office:** Alpine, Mono, Inyo, Kern (East), San Bernardino, Los Angeles (North East corner) counties.

RB6vSpillReporting@waterboards.ca.gov or (760) 241-6583

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

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

RB7SpillReporting@waterboards.ca.gov or (760) 346-7491

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

Orange, Riverside, San Bernardino counties.

RB8SpillReporting@waterboards.ca.gov or (951) 782-4130

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

San Diego county and portions of Orange and Riverside counties.

RB9SpillReporting@waterboards.ca.gov or (619) 516-1990

**End of Order 2022-XXXX-DWQ**