



## **Year-End Performance Report FY2017-2018**

### **A Summary of Maintenance Activity Storm Water Compliance Reviews**

**CTSW-RT-18-366.04.1**

**September 2018**

**California Department of Transportation  
Division of Environmental Analysis, Stormwater Program  
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<http://www.dot.ca.gov/hq/env/stormwater/index.htm>

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## Acronyms, Abbreviations, and Definitions

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**AMOCR:** Annual Maintenance and Operation Compliance Review Plan

**BMPs:** Best Management Practices

**Department:** State of California, Department of Transportation

**DMSWC:** District Maintenance Stormwater Coordinator

**Family:** Organization of Maintenance work consistent with the Department's methods used to record, report and monitor maintenance work as it is planned and performed.

**FPPP:** Facility Pollution Prevention Plan

**FY:** Fiscal Year

**Maintenance:** California Department of Transportation, Division of Maintenance

**Maintenance Activities:** Routine maintenance activities that may require clearing, grading or excavation to maintain original line and grade, hydraulic capacity or original purpose of the facility.

**Maintenance Facility:** Facilities under the Department's ownership or control that contain such areas as fueling areas, waste storage or disposal facilities, wash racks, equipment or vehicle storage and materials storage areas.

**NPDES:** National Pollutant Discharge Elimination System

**Permit:** National Pollutant Discharge Elimination System Statewide Stormwater Permit and Waste Discharge Requirements (WDRs) for the State of California, Department of Transportation

**Maintenance Staff Guide:** Caltrans Stormwater Quality Handbook: Maintenance Staff Guide (Interim, rev. September 2012)

**SWMP:** Storm Water Management Plan (latest)

**USEPA:** U.S. Environmental Protection Agency

# 1. Introduction

This Year-End Performance Report is for Fiscal Year (FY) 2017–2018. It summarizes the results of stormwater compliance reviews conducted at California Department of Transportation (Department) maintenance activities. Facilities and activities reviews were conducted to verify compliance with the requirements of the Department’s Statewide Storm Water Management Plan (SWMP). The SWMP was developed in accordance with the requirements prescribed in the National Pollutant Discharge Elimination System (NPDES) Statewide Storm Water Permit and Waste Discharge Requirements (WDRs) for the State of California, Department of Transportation, NPDES No. CAS000003 (Permit).

The key elements of this Year-End Performance Report include:

- Description of the stormwater maintenance activity compliance program (Section 2).
- Summaries of maintenance activity compliance reviews and stormwater management Best Management Practice (BMP) effectiveness (Section 3).
- Maintenance activity compliance review assessments (Section 4).
- Summary of compliance assistance (Section 5).

## 2. Maintenance Activity Compliance Program

The Maintenance Activity Compliance Program is a Departmental effort to review maintenance activities for compliance with the Permit. Reviews are conducted by an independent third party consultant (third party). To implement the compliance program and meet the SWMP requirements, guidelines are developed and presented in an Annual Maintenance and Operation Compliance Review Plan (AMOCR). Under this plan, a minimum of 10 activities are reviewed in each District annually. Statewide, there are 12 Districts with various maintenance activities.

The reviews are conducted in accordance with the AMOCR and in consultation and coordination with the Department’s Division of Environmental Analysis and the Department’s Division of Maintenance.

The key component of the Storm Water Maintenance Activity Compliance Program is the Caltrans Stormwater Quality Handbook: Maintenance Staff Guide (Interim, rev. September 2012) (Maintenance Staff Guide). The Maintenance Staff Guide is a Maintenance employee handbook that incorporates the approved Maintenance BMPs providing direction, guidance, policies and procedures for maintenance activities. The Storm Water Maintenance Activity Compliance Program objectives are to:

- Evaluate compliance of activities with the requirements of the Permit.
- Report compliance status to Department management.
- Evaluate BMP implementation results, suggest areas for improvement and recommend new BMP implementation methodologies.

This Year-End Performance Report summarizes the results of maintenance activities reviewed from July 01, 2017 to June 30, 2018.

### 2.1 Maintenance Activity BMPs

Maintenance work is organized into several Families (Families A through T) consistent with the Department’s method to record, report, and monitor maintenance work as it is planned and performed. Maintenance activities are listed under the Families identified in the Maintenance Staff Guide. These activities represent typical maintenance work on State highways. The activities have the potential to affect stormwater quality. The 62 maintenance activities are grouped into 14 Families that represent work of a similar nature. The Families and activities are defined in Table 2-1.

Table 2-1: Family of Activities	
Family of Activity	Activities
A Family – Flexible Pavement	Asphalt Cement Crack and Joint Grinding/Sealing; Asphalt Paving; Structural Pavement Failure (Digouts) Pavement Grinding/Paving; Emergency Pothole Repair; and Sealing Operations
B Family – Rigid Pavement	Portland Cement Crack and Joint Sealing; Mudjacking and Drilling; and Concrete Slab/Spall Repair
C Family – Slope/Drain/Vegetation	Shoulder Grading; Non-landscape Chemical Vegetation Control; Non-landscape Mechanical Vegetation Control/Mowing; Non-landscape Tree/Shrub Pruning, Brush Chipping, Tree/Shrub Removal; Fence Repair; Drainage Ditch/Channel Maintenance; Drain/Culvert Maintenance; and Curb/Sidewalk Repair
D Family – Litter/Debris/Graffiti	Sweeping Operations; Litter and Debris Removal; Emergency Response and Cleanup Practices; and Graffiti Removal
E Family – Landscaping	Chemical Vegetation Control; Manual Vegetation Control; Landscape Mechanical Vegetation Control/Mowing; Landscape Tree/Shrub Pruning, Brush Chipping, Tree/Shrub Removal; Irrigation Line Repair; and Irrigation
F Family – Environmental	Storm Drain Stenciling; Roadside Slope Inspection; Roadside Stabilization; Storm Water Treatment Devices; and Traction Sand Trap Devices
G Family - Public Facilities	Custodial Responsibilities at Restrooms, Fountains, and Picnic Areas; Maintenance of Appurtenances such as Roadway Surfacing, Signs, Pavement Markings, Buildings, Landscaping, and Electrical Installations
H Family – Bridges	Welding and Grinding; Sandblasting, Wet Blast (Sand Injection) and Hydroblasting; Painting; Bridge Repairs; and Draw Bridge Maintenance
J Family – Other Structures	Pump Station Cleaning; Tube and Tunnel Maintenance and Repair; Ferryboat Operations; Tow Truck Operations; and Toll Booth Lane Scrubbing Operations
K Family – Electrical	Sawcutting for Loop Installation
M Family – Traffic Guidance	Thermoplastic Stripping and Marking; Paint Stripping and Marking; Raised/Recessed Pavement Marker Application and Removal; Sign Repair and Maintenance; Median Barrier and Guard Rail Repair; and Emergency Vehicle Energy Attenuator Repair
R Family – Snow and Ice Removal	Snow Removal; and Ice Control
S Family – Storm Maintenance	Minor Slides and Slipouts Cleanup/Repair
T Family – Management and Support	Building and Grounds Maintenance; Storage of Hazardous Materials; Material Storage Control; Outdoor Storage of Raw Materials; Vehicle and Equipment Fueling/Cleaning/ Maintenance and Repair; and Aboveground and Underground Tank Leak/Spill Control

The Maintenance Staff Guide provides 64 Maintenance BMPs approved for statewide use. These Maintenance BMPs are individual BMPs relevant to maintenance activities. In addition to BMPs relevant to a specific maintenance activity, there are BMPs that are commonly applied to all maintenance activities and are defined as General BMPs. The General BMPs include Scheduling and Planning, Spill Prevention and Control, Sanitary/Septic Waste Management, Material Use, Safer Alternative Products, Vehicle/Equipment Cleaning/Fueling /Maintenance, Illicit Connection Detection/Reporting/Removal, Illegal Spill Discharge Control, and Maintenance Facility Housekeeping Practices.

In the Maintenance Staff Guide, Activity Cut-Sheets are provided to summarize the BMPs that are appropriate to implement for each maintenance activity in the Families.

## 2.2 Activity Review

Activity reviews were completed in FY2017–2018 for the Maintenance Families listed in Table 2-1. At the facility, non-routine maintenance work not listed in the T Family may have also been conducted (e.g., Asphalt Cement Crack and Joint Grinding/Sealing, Thermoplastic Striping and Marking, etc.). These activity reviews, if any, are also presented in this report. Although reviews were planned to be conducted in all of the Families, maintenance activities selected for review are limited by maintenance work planned and seasonal conditions.

### 2.2.1 Review Guidelines and Report

To maintain compliance with the AMOCRIP, Maintenance Activity Compliance Review Rating Guidelines and Procedures and a standardized Maintenance Activity Storm Water Compliance Review Report are developed and implemented for all activity reviews (Attachments A and B, respectively). The procedures and report are developed to evaluate the overall effectiveness of stormwater pollution prevention practices, implementation of those practices and the potential for pollutant discharge during maintenance activities.

During each review, the third party auditor rates the compliance status of the activity and documents the results using the Maintenance Activity Storm Water Compliance Report form. A rating is assigned representing an overall assessment of the activity’s compliance with the stormwater pollution prevention requirements. The third party auditor reviews the findings and the rating with the supervisor or designated representative, as well, as, the District Maintenance Stormwater Coordinator (DMSWC). The auditor subsequently completes the appropriate form in electronic format, and the report is shared with pertinent personnel electronically via email.

### 2.2.2 Rating System

The rating system consists of a numeric component, 1 through 5, as defined in the Maintenance Activity Compliance Review Rating Guidelines and Procedures (Table 2-2) presented in Attachment A.

Table 2-2: Maintenance Activity Compliance Rating Summary	
Numeric Rating Summary	
1	No release observed. Appropriate BMPs implemented and effective.
2	No release observed. Appropriate BMPs implemented but are less than 100% effective.
3	No release observed. Appropriate BMPs not implemented.
4	Release (observed or evidence of a recent release) of an unauthorized substance from an activity to outside the Caltrans' right-of-way.
5	Discharge (observed or evidence of a recent discharge) of an unauthorized substance from an activity to surface water.

Maintenance activities that receive a 1 or 2 Rating (i.e., BMPs are implemented and are effective or less than 100% effective, respectively) are considered to be compliant with the stormwater requirements. The BMPs that require repair or maintenance are documented and discussed with the Maintenance Supervisor or representative.

In contrast, the 3, 4, or 5 Rating (i.e., BMPs not implemented, release to outside the Caltrans’ right-of-way, or discharge to surface water, respectively) indicates the need for immediate corrective action. The corrective action(s) is implemented immediately prior to the third party auditor leaving the activity location. A revisit to the site is not required. If additional training is required, training is conducted and

documented on a BMP Tailgate Meeting Form upon return to the maintenance facility. A Level 2 Maintenance Enforcement Response Program is triggered by a rating of 4 or 5.

## **2.3 Reporting and Communications**

Throughout the reporting period, Department Headquarters and third party auditors maintain on-going communication on the progress of the program activities and the self-audit results. Regular status meetings are conducted with Department Headquarters and the third party auditors to identify programmatic issues and BMP deficiencies identified in the field.

### **2.3.1 Status Reports**

The third party auditors prepare monthly status reports that are submitted to Headquarters staff. Each status report provides a list of District maintenance activities reviewed and a summary of review results.

### **2.3.2 Maintenance Activity Review Database Summary**

A database is maintained to make review results and other useful information readily available to Headquarters staff. The database includes the maintenance activity reviewed, reference information (i.e., the maintenance activity location, supervisor/lead worker, Maintenance Facility assigned, contact information), overall activity BMP ratings and completed stormwater compliance forms. The summary of the database for FY2017-2018 is provided in Attachment C.

### **2.3.3 On-Site Training**

Informal on-the-job training can occur during the compliance review to provide immediate site-specific guidance to facility supervisors and maintenance staff. The review schedule also allows sufficient time for the third party auditor to discuss observations with the facility supervisor or designated representative and the DMSWC.



### 3. Summary of Maintenance Activity Compliance Review Results

This section summarizes the review results and BMP implementation results of the stormwater compliance reviews that were conducted statewide from July 01, 2017 through June 30, 2018. A detailed list of results is provided in the Maintenance Activity Review Database Summary (FY2017–2018). See Attachment C.

Based on the maintenance work planned and the seasonal conditions in FY2017–2018, zero (0) to forty-two (42) activity reviews were evaluated in the each of the Families. See Table 3-1.

Maintenance Family	No. of Activities Reviewed	Location of Activities Reviewed
C Family – Slope/Drain/Vegetation	42	All Districts
M Family – Traffic Guidance	24	All Districts except for District 12
D Family – Litter/Debris/Graffiti	21	Districts 2, 3, 4, 6, 7, 8, 9, 10, 11, and 12
E Family – Landscaping	15	Districts 2, 3, 4, 6, 7, 10, 11, and 12
F Family – Environmental	14	Districts 1, 2, 3, 4, 5, 7, 8, 11, and 12
A Family – Flexible Pavement	10	Districts 1, 2, 4, 5, 6, 7, and 10
K Family – Electrical	4	Districts 4, 8, 10, and 12
S Family – Storm Maintenance	4	Districts 1, 2, 9, and 10
H Family – Bridges	2	District 8
T Family – Management and Support	1	District 11
R Family – Snow and Ice Removal	1	District 9
B Family – Rigid Pavement	1	District 3
J Family -Other Structures	0	None
G Family - Public Facilities	0	None
<b>TOTAL</b>	<b>139</b>	

The activity reviews focused on proper implementation of the General BMPs and the activity-specific BMPs associated with the 14 Families which were reviewed. The Maintenance Activity Review Database Summary (FY2017–2018) provides review details, which includes the District, activity evaluated, location (County/Route/PM/Direction), review date and compliance rating. See Attachment C.

#### 3.1 Activity Review Results by District

The third party auditors reviewed an average of 11.5 individual maintenance activities per District. In FY2017–2018, a total of 139 reviews were conducted across the 12 Districts. The selection process for the activities reviewed was based on geographical location and specific types of activities. All of the Families were targeted for review. The goal of 10 maintenance activity compliance reviews per District was not achieved during this reporting. Only eight reviews were conducted in District 9.

The numeric ratings results organized by District are presented in Table 3-2. A summary of the ratings results for the Districts include the following:

- Activity reviews were conducted in 41 of 58 counties statewide.
- Throughout the Districts a total of 138 activities (99.3%) received a 1 or 2 Rating (Appropriate BMPs implemented and effective or appropriate BMPs implemented but are less than 100% effective).
- Reviews across the 12 Districts were generally evenly distributed. District 4 had the most activity reviews (16 reviews) to a low of activity reviews in District 9 (8 reviews). All other Districts had between 10 and 13 activity reviews.
- No activities receive a 4 or 5 Rating. However, one (1) activity (0.7%) did receive a 3 Rating because equipment did not have an appropriate spill kit during a median mowing operation.

**Table 3-2: Compliance Review Activity Ratings Summary By District  
FY2017-2018**

Numeric Rating Summary											
District	No. of Activities Reviewed	Appropriate & Effective BMPs		Appropriate BMPs, Not 100% Effective		Appropriate BMPs Not Implemented		Release Outside of Caltrans ROW		Release to Surface Water	
		1 Rating		2 Rating		3 Rating		4 Rating		5 Rating	
1	10	10	100%	0	0%	0	0%	0	0%	0	0%
2	13	13	100%	0	0%	0	0%	0	0%	0	0%
3	12	12	100%	0	0%	0	0%	0	0%	0	0%
4	16	14	88%	2	13%	0	0%	0	0%	0	0%
5	13	13	100%	0	0%	0	0%	0	0%	0	0%
6	12	11	92%	1	8%	0	0%	0	0%	0	0%
7	11	9	82%	2	18%	0	0%	0	0%	0	0%
8	11	10	91%	1	9%	0	0%	0	0%	0	0%
9	8	6	75%	1	13%	1	13%	0	0%	0	0%
10	12	12	100%	0	0%	0	0%	0	0%	0	0%
11	10	10	100%	0	0%	0	0%	0	0%	0	0%
12	11	9	82%	2	18%	0	0%	0	0%	0	0%
<b>TOTAL</b>	<b>139</b>	<b>129</b>	<b>92.8%</b>	<b>9</b>	<b>6.5%</b>	<b>1</b>	<b>0.7%</b>	<b>0</b>	<b>0%</b>	<b>0</b>	<b>0%</b>

### 3.2 Activity Review Results by Maintenance Family

The numeric ratings for BMP effectiveness organized by Family are presented in Table 3-3. A summary of the rating results for the Families includes the following:

- Throughout the Family activities a total of 129 activities (92.8%) received a 1 Rating (Appropriate BMPs implemented and effective).
- None of the Family activities received a 4 or 5 Rating. However, one (1) C-Family activity (0.7%) did receive a 3 Rating because Equipment was not equipped with spill kits.

**Table 3-3: Compliance Review Activity Ratings Summary By Family  
FY2017-2018**

Numeric Rating Summary											
Maintenance Family	No. of Activities Reviewed	Appropriate & Effective BMPs		Appropriate BMPs, Not 100% Effective		Appropriate BMPs Not Implemented					
						No Release		Release Outside of Caltrans ROW		Release to Surface Water	
		1 Rating	100%	2 Rating	0%	3 Rating	4 Rating	5 Rating	0%	0%	0%
A Family – Flexible Pavement	10	10	100%	0	0%	0	0%	0	0%	0	0%
B Family – Rigid Pavement	1	1	100%	0	0%	0	0%	0	0%	0	0%
C Family – Slope/Drain/Vegetation	42	38	90.5%	3	7.1%	1	2.4%	0	0%	0	0%
D Family – Litter/Debris/Graffiti	21	20	95.2%	1	4.8%	0	0%	0	0%	0	0%
E Family – Landscaping	15	13	86.7%	2	13.3%	0	0%	0	0%	0	0%
F Family – Environmental	14	14	100%	0	0%	0	0%	0	0%	0	0%
G Family – Public Facilities	0	0	0%	0	0%	0	0%	0	0%	0	0%
H Family – Bridges	2	2	100%	0	0%	0	0%	0	0%	0	0%
J Family – Other Structures	0	0	0%	0	0%	0	0%	0	0%	0	0%
K Family – Electrical	4	2	50%	2	50%	0	0%	0	0%	0	0%
M Family – Traffic Guidance	24	24	100%	0	0%	0	0%	0	0%	0	0%
R Family – Snow and Ice Removal	1	1	100%	0	0%	0	0%	0	0%	0	0%
S Family – Storm Maintenance	4	3	75%	1	25%	0	0%	0	0%	0	0%
T Family – Management and Support <sup>1</sup>	1	1	100%	0	0%	0	0%	0	0%	0	0%
<b>TOTAL</b>	<b>139</b>	<b>129</b>	<b>92.8%</b>	<b>9</b>	<b>6.5%</b>	<b>1</b>	<b>0.7%</b>	<b>0</b>	<b>0%</b>	<b>0</b>	<b>0%</b>

## 4. Maintenance Activity Compliance Review Assessments

This section summarizes the overall BMP implementation and effectiveness observed during the reporting period. Overall, BMP implementation statewide complied with the SWMP.

### 4.1 A Family – Flexible Pavement

Flexible Pavement maintenance activities consist of asphalt cement crack and joint grinding/sealing, asphalt paving, structural pavement failure (digouts), pavement grinding/paving, emergency pothole repair, and sealing operations.

Flexible Pavement maintenance activity evaluations were conducted in Districts 1, 2, 4, 5, 6, 7, and 10. BMP implementation at all 10 flexible pavement work sites (100%) received a 1 Rating.

### 4.2 B Family – Rigid Pavement

Rigid Pavement maintenance activities consist of Portland cement crack and joint sealing, mudjacking and drilling, and concrete slab/spall repair.

Rigid Pavement maintenance activity evaluation was conducted in District 3. BMP implementation at the lone rigid pavement work site (100%) received a 1 Rating.

### 4.3 C Family – Slope/Drain/Vegetation

Slope/Drain/Vegetation maintenance activities consist of shoulder grading, non-landscape chemical vegetation control, non-landscape mechanical vegetation control/mowing, non-landscape tree/shrub pruning, brush chipping, tree/shrub removal, fence repair, drainage ditch and channel maintenance, drain and culvert maintenance, and curb/sidewalk repair.

Slope/Drain/Vegetation maintenance activity evaluations were conducted in all the Districts. BMP implementation at 41 of 42 work sites (97.6%) received a 1 or 2 Rating. One work site (2.4%) received a 3-rating because the equipment was not outfitted with spill kits.

### 4.4 D Family – Litter/Debris/Graffiti

Litter/Debris/Graffiti maintenance activities consist of sweeping operations, litter/debris removal, emergency response and cleanup practices, and graffiti removal.

Litter/Debris/Graffiti maintenance activity evaluations were conducted in Districts 2, 3, 4, 6, 7, 8, 9, 10, 11, and 12. BMP implementation at all 21 work sites (100%) received a 1 or 2 Rating.

### 4.5 E Family – Landscaping

Landscaping maintenance activities consist of chemical vegetation control, manual vegetation control, landscape mechanical vegetation control/mowing, landscape tree/shrub pruning, brush chipping, tree/shrub removal, irrigation line repair, and irrigation.

Landscaping maintenance activity evaluations were conducted in Districts 2, 3, 4, 6, 7, 10, 11, and 12. BMP implementation at all 15 landscape related work sites (100%) received a 1 or 2 Rating.

## **4.6 F Family – Environmental**

Environmental maintenance activities consist of storm drain stenciling, roadside slope inspection, roadside stabilization, stormwater treatment devices and, traction sand trap devices.

Environmental maintenance activity evaluations were conducted in Districts 1, 2, 3, 4, 5, 7, 8, 11, and 12. BMP implementation at all 14 work sites (100%) received a 1 Rating.

## **4.7 G Family – Public Facilities**

Public Facility maintenance activities consist of custodial responsibilities at restrooms, fountains, and picnic areas, as well as, the maintenance of appurtenances such as roadway surfacing, signs, pavement markings, buildings, landscaping, and electrical installations.

Public facility maintenance activity evaluations were not conducted in any district this reporting period.

## **4.8 H Family – Bridges**

Bridge maintenance activities consist of welding and grinding, sandblasting, wet-blast (sand injection) and hydroblasting, painting, bridge repairs, and draw bridge maintenance.

Bridge maintenance activity evaluations were conducted in District 8. BMP implementation at both bridge work sites (100%) received a 1 Rating.

## **4.9 J Family – Other Structures**

Other Structure maintenance activities consist of pump station cleaning, tube/tunnel maintenance and repair, ferryboat operations, tow truck operations and toll booth lane scrubbing operations.

Other Structures maintenance activity evaluations were not conducted in any district this reporting period.

## **4.10 K Family – Electrical**

Electrical maintenance consists of saw cutting for detector loops.

Electrical maintenance activity evaluations were conducted in Districts 4, 8, 10, and 12. BMP implementation at all 4 work sites (100%) received a 1 or 2 Rating.

## **4.11 M Family – Traffic Guidance**

Traffic Guidance maintenance activities consist of thermoplastic stripping/marking, paint stripping/marking, raised/recessed pavement marker application/removal, sign repair/maintenance, median barrier and guard rail repair, and emergency energy attenuator repair.

Traffic Guidance maintenance activity evaluations were conducted statewide except in District 12. BMP implementation at all 24 work sites (100%) received a 1 Rating.

## **4.12 R Family – Snow and Ice Removal**

Snow and Ice Removal maintenance activities consist of snow removal and ice control.

Snow and Ice Removal maintenance activity evaluations were conducted in District 9. BMP implementation at the lone snow and ice removal work site (100%) received a 1 Rating.

## **4.13 S Family – Storm Maintenance**

Storm Maintenance activities consist of minor slides and slipouts cleanup and repair.

Storm maintenance activity evaluations were conducted in Districts 1, 2, 9 and 10. BMPs implementation at all 4 storm maintenance work sites (100%) received a 1 or 2 Rating.

#### **4.14 T Family – Management and Support**

Management and Support includes the maintenance activities at permanent maintenance facilities including Building and Grounds Maintenance and protection of Outdoor Storage of Raw Materials from the effects of rain and wind. The BMPs of Building and Grounds Maintenance and Outdoor Storage of Raw Materials are normally associated with maintenance facilities. However, crews were actively placing BMPs; therefore, conducting a maintenance activity.

Building and Grounds Maintenance and protection of Outdoor Storage of Raw Materials activity evaluations were conducted in District 11. BMP implementation at the lone work site (100%) received a 1 Rating.

### **5. Summary of Compliance Assistance**

This section summarizes the compliance assistance requested by the DMSWCs or other Department Storm Water Coordinators. Expert water pollution control assistance was provided by a third party from July 1, 2017 through June 30, 2018 through Statewide Contracts to conduct the maintenance evaluations, support maintenance training and update maintenance stormwater plans. Concerning the Stormwater Compliance contract, no assistance was provided for maintenance activities beyond the on-site training communicated by the third party auditor during this reporting period.

# **Attachment A: Maintenance Activity Compliance Review Rating Guidelines and Procedures**

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# Maintenance Activity Compliance Review Rating Guidelines and Procedures

The numeric rating criteria are as follows:

## **1 Rating**

**No release observed. Appropriate BMPs implemented and effective.**

No deficiencies noted. All of the following conditions must be met for a Rating 1:

No release to surface water or outside the Caltrans' right-of-way.

Appropriate BMPs are properly implemented for this activity and are 100% effective (i.e. installed and maintained so as to be functional).

## **2 Rating**

**No release observed. Appropriate BMPs implemented but are less than 100% effective.**

All of the following conditions must be met for a Rating 2:

No release to surface water or outside the Caltrans' right-of-way.

Appropriate BMPs are implemented for this activity; however, they are less than 100% effective.

- The BMPs that require repair or maintenance are documented and discussed with the Maintenance Supervisor or representative.

## **3 Rating**

**No release observed. Appropriate BMPs not implemented.**

All of the following conditions must be met for a Rating 3:

No release to surface water or outside the Caltrans' right-of-way.

Appropriate BMPs have not been implemented for this activity.

- This requires immediate corrective action.

## **4 Rating**

**Release (observed or evidence of a recent release) of an unauthorized substance from an activity to outside the Caltrans' right-of-way.**

Release outside the Caltrans' right-of-way.

- This condition requires immediate corrective action and initiation of the Maintenance ERP Level 2.

## **5 Rating**

**Discharge (observed or evidence of a recent discharge) of an unauthorized substance from an activity to surface water.**

Discharge to surface water.

- This condition requires immediate corrective action and initiation of the Maintenance ERP Level 2.
- Report discharge on an Incident Report form.



# **Attachment B: Caltrans Maintenance Activity Site Stormwater Compliance Review Report**



# MAINTENANCE ACTIVITY SITE STORMWATER COMPLIANCE REVIEW REPORT

ENV-WQP-0005 (REV 12/2017)

X

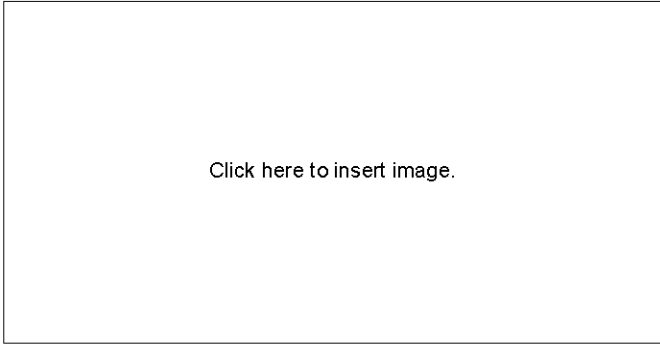


Photo 1 - Rating:

X

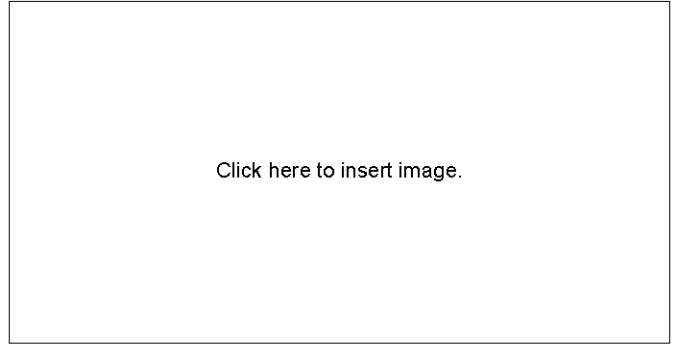


Photo 2 - Rating:

X

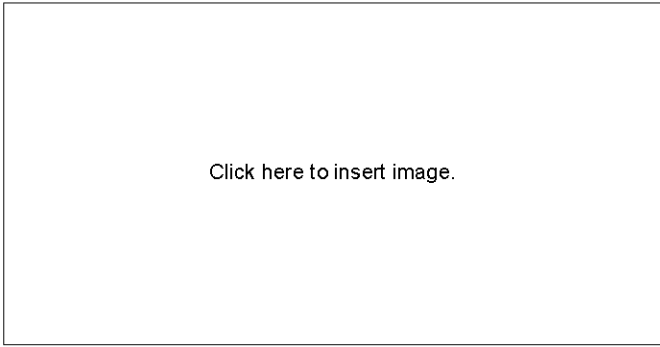


Photo 3 - Rating:

X

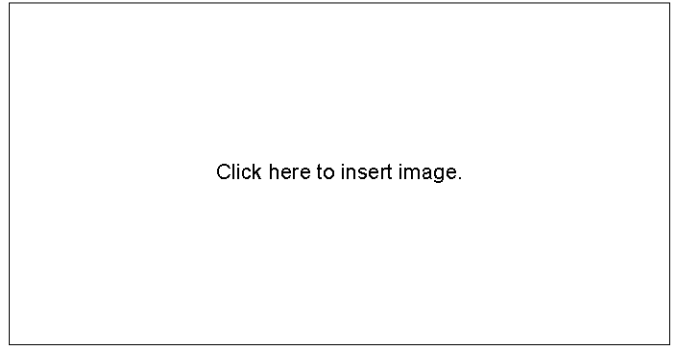


Photo 4 - Rating:

X

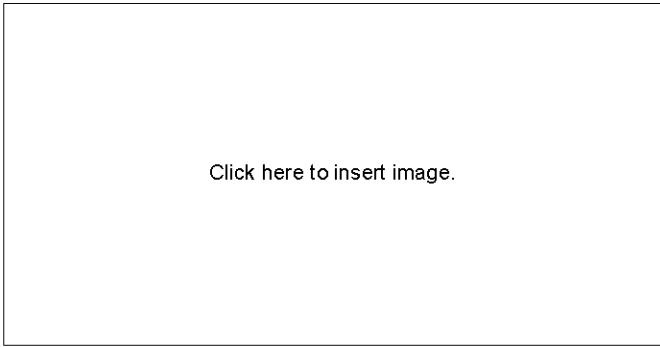


Photo 5 - Rating:

X

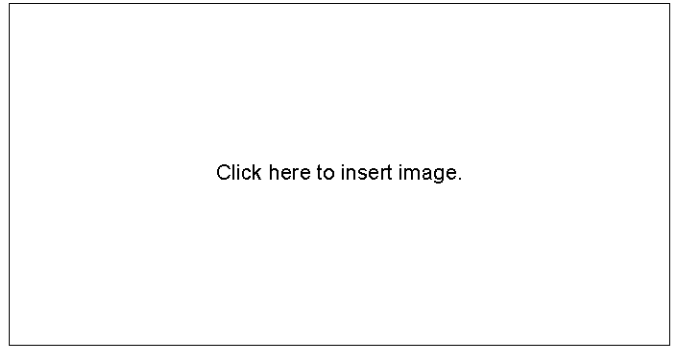


Photo 6 - Rating:

X

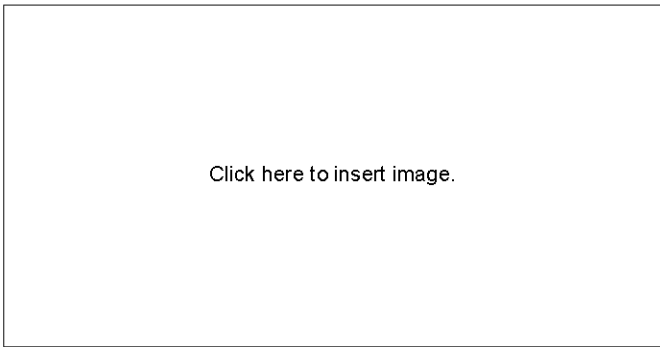


Photo 7 - Rating:

X

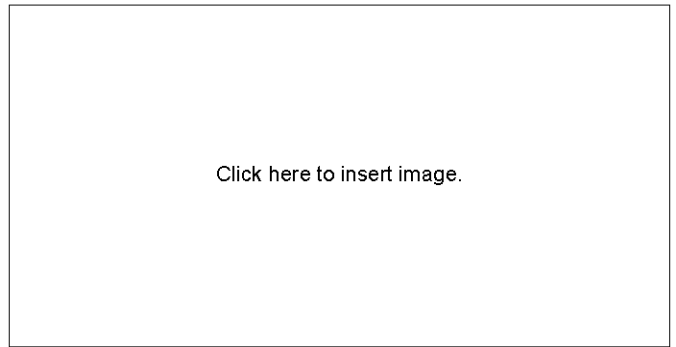


Photo 8 - Rating:

ADD A PAGE

# MAINTENANCE ACTIVITY SITE STORMWATER COMPLIANCE REVIEW REPORT

## GUIDE TO MAINTENANCE ACTIVITY SITE REPORT

This Report serves to document effectiveness of the BMPs, deficiencies and the corrective action taken to correct the deficiencies.

After the initial questions are asked (i.e. name, supervisor name, unit number, etc.), the following questions should be asked and actions taken:

1. What is the activity that you are working on here today?
2. What is the location of the nearest water body?
3. What Best Management Practices (BMPs) have been considered for this activity?
4. Is there any type of Spill Kit onsite? If the answer is "none", ask "What action would you take if a spill occurred at your activity site today?"
5. What will you do if you find IC/ID during the course of work today?
6. Perform a walk-through of the job site to observe whether or not appropriate BMPs are in place.
7. Take photos of effective BMPs, deficient BMPs, or areas where BMPs are needed but not in place.

### LINE INSTRUCTIONS FOR REPORT

1. Complete the basic facility information on p. 1 before the field review.
2. Obtain forecasted precipitation information from the National Weather Service Forecast Office website, <http://www.weather.gov/>
3. For rating 4 and 5, refer to the Caltrans statewide map with facility locations and surface water.
4. Use p. 4 during the review to help in your activity site findings.
5. The Final Rating is the most deficient Individual BMP Field Compliance Rating (e.g., Rating 2B is more deficient than Rating 1A).
6. Record the Not Reportable/Reportable evaluation based on the highest numerical Individual BMP Field Compliance Rating.

### AFTER YOU ARE FINISHED

1. For Ratings 1-3, upload the completed form to the database within 2 days.
2. For Ratings 4 and 5, immediately call DMSWC, HQMSC and DEA-SWP.
3. Upload the completed form to the database within 24 hours.

### GETTING HELP

Review the AMOCRIP for instructions on independent quality assurance evaluation.

Contact the Department of Environmental Analysis-Stormwater Program or the Headquarters Maintenance Stormwater Coordinator for technical support and questions.

# MAINTENANCE ACTIVITY SITE STORMWATER COMPLIANCE REVIEW REPORT

ENV-WQP-0005 (REV 12/2017)

Rating	NA	Photo #	Corrective Action Completed (date)	BMPs
<b>GENERAL BMPs</b>				
▼	<input type="checkbox"/>			Scheduling and Planning
▼	<input type="checkbox"/>			Spill Prevention and Control
▼	<input type="checkbox"/>			Sanitary/Septic Waste Management
▼	<input type="checkbox"/>			Material Use
▼	<input type="checkbox"/>			Vehicle/Equipment Cleaning, Fueling and Maintenance
▼	<input type="checkbox"/>			Illegal Connection Detection, Reporting and Removal
▼	<input type="checkbox"/>			Illicit Spill Discharge Control
▼	<input type="checkbox"/>			Maintenance Facility Housekeeping Practices
<b>ACTIVITY-SPECIFIC BMPs (add activity-specific BMPs as necessary)</b>				
▼	<input type="checkbox"/>			
▼	<input type="checkbox"/>			
▼	<input type="checkbox"/>			
▼	<input type="checkbox"/>			
▼	<input type="checkbox"/>			
▼	<input type="checkbox"/>			
▼	<input type="checkbox"/>			
<b>POLLUTANT RELEASE OR DISCHARGE (Observed or Evidence of a Recent Release or Discharge)</b>				
▼	<input type="checkbox"/>			Release outside Caltrans right-of-way
▼	<input type="checkbox"/>			Discharge to surface water

IQA REVIEWER LOCK