

Appendix B
Exhibit Log

9/28/09
 SC

TREATMENT BMP TABLE (April 2007, Districts 1, 2, 3, & 4)							
DIST.	LOCATION	DESCRIPTION	NO. OF UNITS	COMMENT	Phase 1 Boundary	Phase 2 Boundary	Within 300ft of Phase 2 boundaries
1	01 Mem 001 KP049.900	Biofiltration Strip	1	EA 45840 Future construction. Source: FY 5 to 7 BMPs_gp.xls (G.Punuschka; 6/26/2006)			
2	02 BUT 070 E 028.900	INFILTRATION DEVICE - BASIN	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 BUT 070 E 042.100 PULGA MAINTENANCE	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 LAS 044 E 014.700 BOGARD SRRA	DETENTION BASINS (EXT/OTH)	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 LAS 395 N 049.500 HONEY LAKE SRRA	DETENTION BASINS (EXT/OTH)	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 LAS 139 PM 019.510	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 LAS 139 PM 019.520 S	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 LAS 139 PM 019.530 S	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 MOD 299 PM 013.500 W	DETENTION BASINS (EXT/OTH)	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 MOD 139 S 026.500	INFILTRATION DEVICE - BASIN	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 MOD 299 E 020.200	INFILTRATION DEVICE - BASIN	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 MOD 395 S 023.00 ALTURAS MAINTENANCE	INFILTRATION DEVICE - BASIN	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 MOD 299 E 006.300	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 089 PM 000.930 N	DETENTION BASINS (EXT/OTH)	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 070 PM 009.000 E	INFILTRATION DEVICE - BASIN	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 070 PM 026.900 E	INFILTRATION DEVICE - BASIN	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 036 PM 006.500 CHESTER	INFILTRATION DEVICE - BASIN	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 070 PM 044.300 E	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 070 PM 044.900 E	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 070 PM 007.500 W	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 070 PM 043.900 W	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 070 PM 044.400 W	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 070 PM 044.550 W	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 070 PM 044.800 W	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 070 PM 044.900 W	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-
2	02 PLU 089 PM 003.100 N	TRACTION SAND TRAPS	1	Not located with a Phase I and II MS4 area; see Caltrans MS4 Boundary Maps.	Out	Out	-

Exhibit 1. Caltrans' inventory of treatment BMPs differentiates between areas located inside or outside of Phase I and II permit coverage, and only lists one treatment BMP in the primarily rural area of Caltrans District 1.

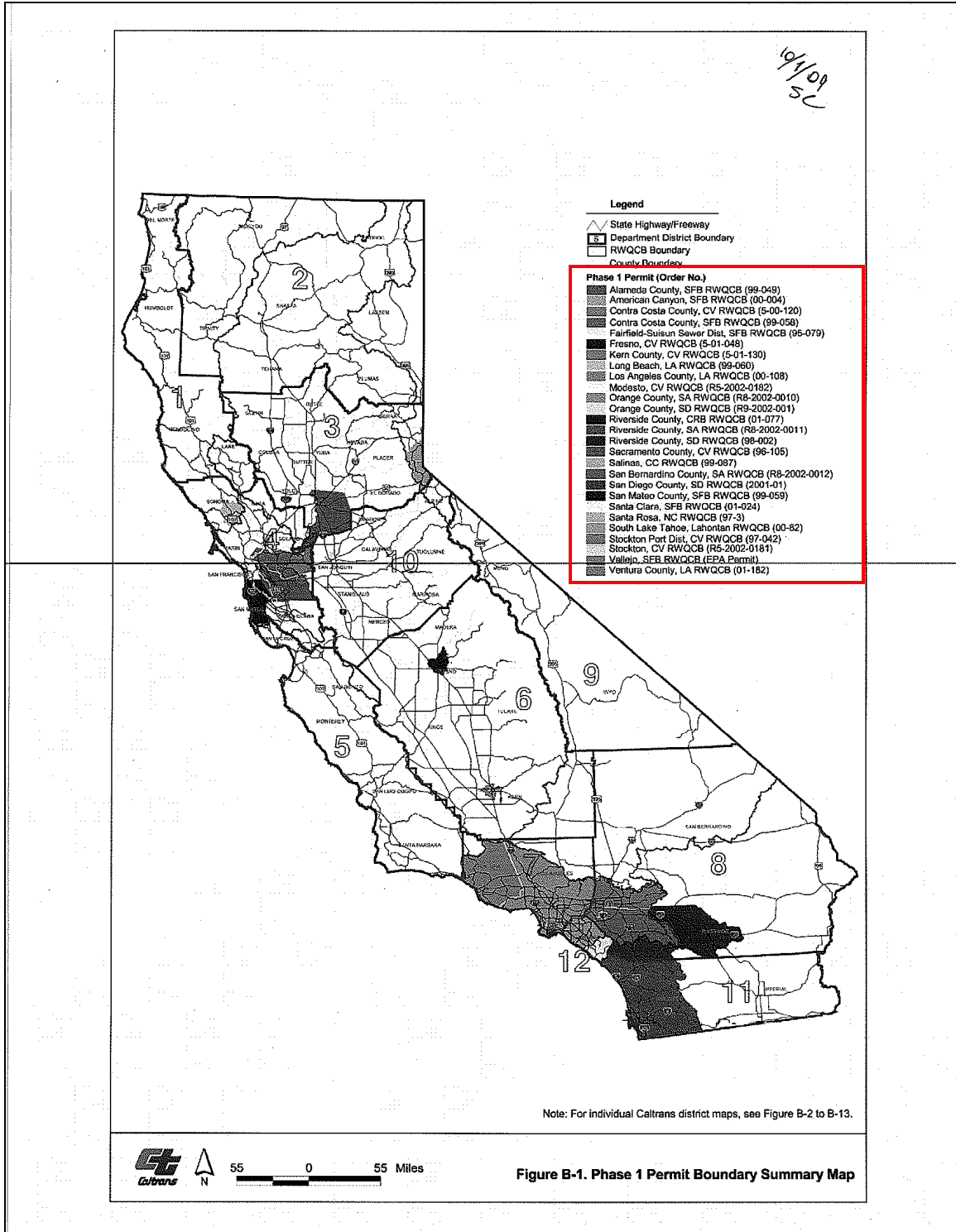


Exhibit 2. As part of the 2007 update to the SWMP, Caltrans undertook a significant mapping effort that differentiates between areas located inside or outside of Phase I and II permit coverage.

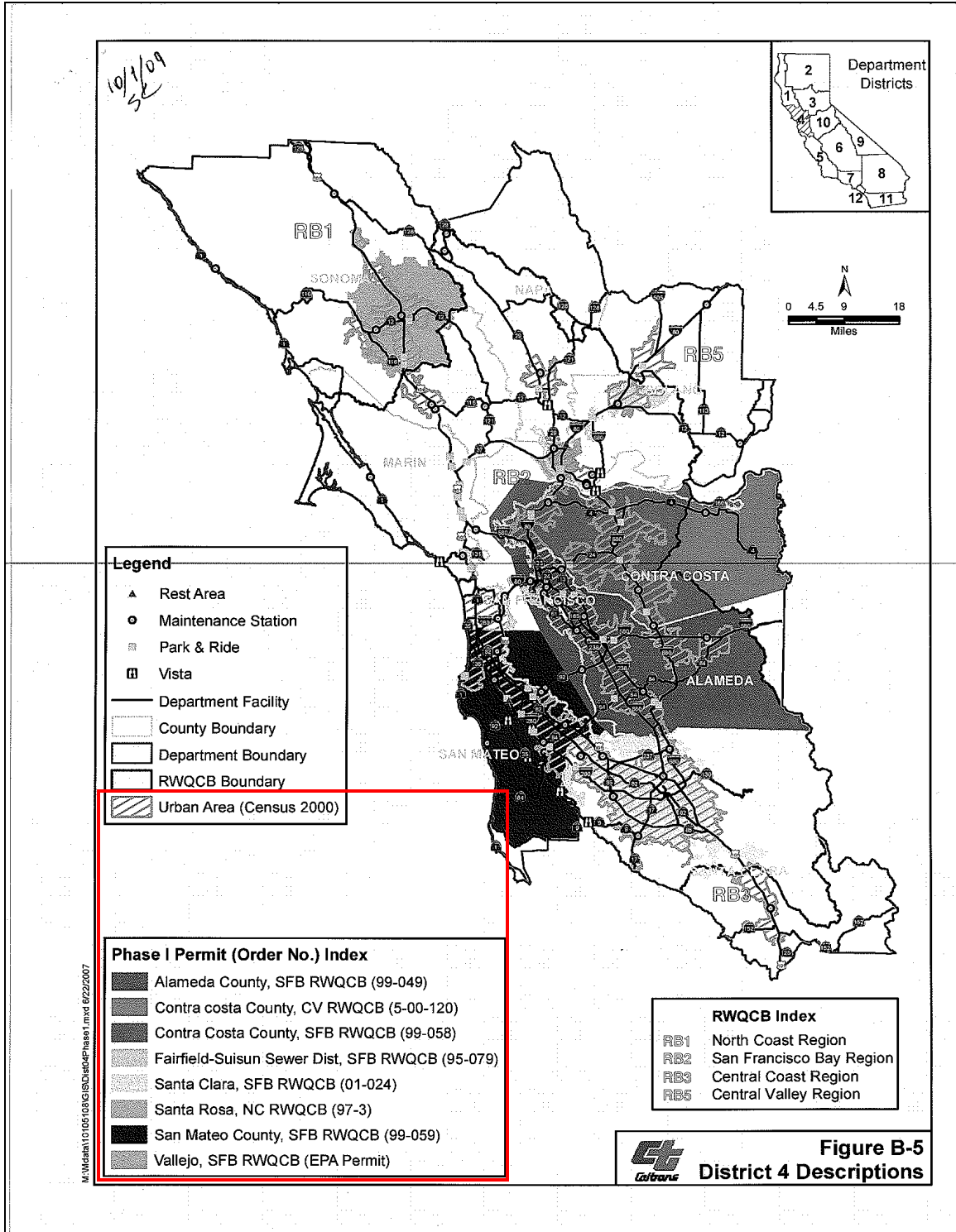


Exhibit 3. Caltrans District 4 map showing Phase I and II permit areas

JEM
10/13/09

Construction Project Stormwater Review Report

<p>PROJECT RATING</p> <h1 style="font-size: 48px; margin: 0;">1A</h1>	<p>Non-Storm Water Controls - 1 <small>0 Y(s) assigned for 3 BMPs reviewed.</small></p> <p>Temporary Sediment Control - NA <small>No BMPs reviewed.</small></p> <p>Temporary Soil Stabilization - 1 <small>0 Y(s) assigned for 2 BMPs reviewed.</small></p> <p>Tracking Control - 1 <small>0 Y(s) assigned for 1 BMPs reviewed.</small></p> <p>Waste Management and Pollution Control - 1 <small>0 Y(s) assigned for 4 BMPs reviewed.</small></p> <p>Wind Erosion Control - 1 <small>0 Y(s) assigned for 1 BMPs reviewed.</small></p>																																				
<p>Date of Review: 10/6/2009 Contract #: 02 - 370704 County, Route, and PM: Tehama, 005, 3.5/10 SWPPP or WPCP: SWPPP RE Name: Jim Rogers Contractor Name: Knif River Construction Review Type: New Project Reviewer Name: Brian Adams</p>																																					
<p>Project Description: South Ave Interchange Reconstruction</p> <p>Project Comments: Rainy Season Dates are October 15th thru April 15th. Review Comments:</p> <p style="text-align: center;">Reason for insufficient reviews of BMPs</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">BMP</th> <th style="text-align: center;">Required</th> <th style="text-align: center;">Reviewed</th> <th style="text-align: left;">Explanation</th> </tr> </thead> <tbody> <tr> <td>SS-5 Soil Binders</td> <td style="text-align: center;">1</td> <td style="text-align: center;">0</td> <td>Not observed at time of review</td> </tr> <tr> <td>SS-7 Geotextiles, Plastic Covers, Erosion Cont Blankets</td> <td style="text-align: center;">1</td> <td style="text-align: center;">0</td> <td>Not observed at time of review</td> </tr> <tr> <td>SC-4 Check Dam</td> <td style="text-align: center;">1</td> <td style="text-align: center;">0</td> <td>Not observed at time of review</td> </tr> <tr> <td>SC-5 Fiber Rolls</td> <td style="text-align: center;">1</td> <td style="text-align: center;">0</td> <td>Not observed at time of review</td> </tr> <tr> <td>NS-8 Vehicle and Equipment Cleaning</td> <td style="text-align: center;">1</td> <td style="text-align: center;">0</td> <td>Not observed at time of review</td> </tr> <tr> <td>NS-9 Vehicle and Equipment Fueling</td> <td style="text-align: center;">1</td> <td style="text-align: center;">0</td> <td>Not observed at time of review</td> </tr> <tr> <td>NS-10 Vehicle and Equipment Maintenance</td> <td style="text-align: center;">1</td> <td style="text-align: center;">0</td> <td>Not observed at time of review</td> </tr> <tr> <td>NS-12 Concrete Curing</td> <td style="text-align: center;">1</td> <td style="text-align: center;">0</td> <td>Not observed at time of review</td> </tr> </tbody> </table>		BMP	Required	Reviewed	Explanation	SS-5 Soil Binders	1	0	Not observed at time of review	SS-7 Geotextiles, Plastic Covers, Erosion Cont Blankets	1	0	Not observed at time of review	SC-4 Check Dam	1	0	Not observed at time of review	SC-5 Fiber Rolls	1	0	Not observed at time of review	NS-8 Vehicle and Equipment Cleaning	1	0	Not observed at time of review	NS-9 Vehicle and Equipment Fueling	1	0	Not observed at time of review	NS-10 Vehicle and Equipment Maintenance	1	0	Not observed at time of review	NS-12 Concrete Curing	1	0	Not observed at time of review
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Exhibit 4. South Avenue On-Ramp Project—a recent oversight inspection indicated that the SWPPP was reflective of current site conditions.

JAM
10/2/09

Category: Alpha Checklist	Answer	Result
Is there an approved SWPPP or WPCP on file?	Yes	
Does the SWPPP or WPCP appropriately reflect current project operations?	Yes	
Is the SWPPP or WPCP (or amendments) adequate and does it address the Contractor's yard, staging area, storage of material, waste site directly related to the project?	Yes	
Is an annual re-certification of the project SWPPP required?	Yes	
Is the annual re-certification of the project SWPPP on file?	Yes	A
Do site inspections by the Contractor meet the minimum inspection frequency specified in the contract?	Yes	A
Do site inspections by RE staff meet the minimum inspection frequency specified in the SWMP?	Yes	A
Is Sampling and Analysis Plan required for sediments per project WPC SSP?	Yes	
Are proper documentations for implementing sampling and analysis for sediments on file?	Yes	A
Is Sampling and Analysis Plan required for non-visible pollutants per project WPC SSP?	Yes	
Are proper documentations for implementing sampling and analysis for non-visible pollutants on file?	NA	
Is a Dewatering and Discharge Plan required?	No	
Is there documentation on-file that a pre-construction meeting was conducted, including discussion of SWPPP or WPCP requirements?	Yes	
Is there expansion beyond the contract specified limit for active DSA(s)?	No	
Are Contractor's employees and subcontractors properly trained to identify hazardous and solid waste and on hazardous waste and	Yes	A

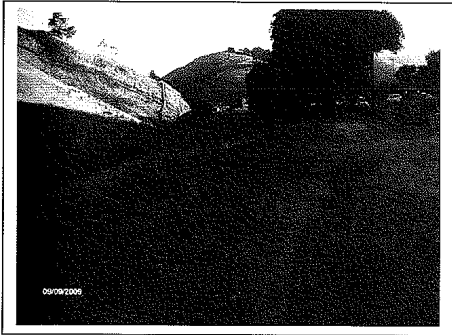
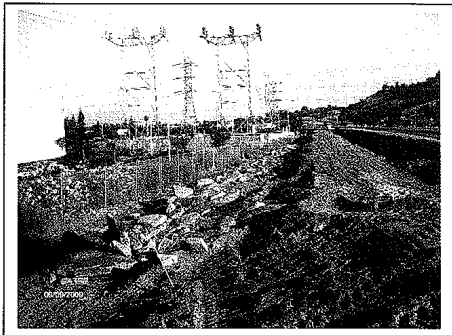
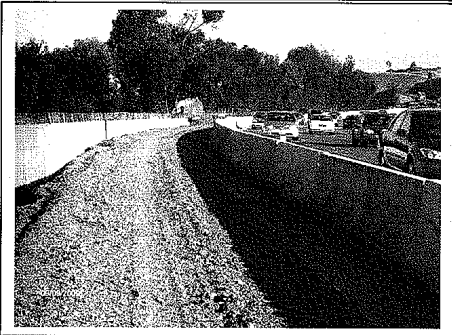

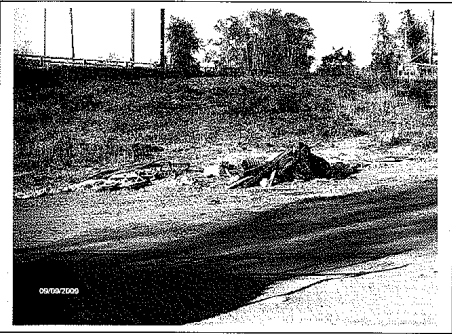
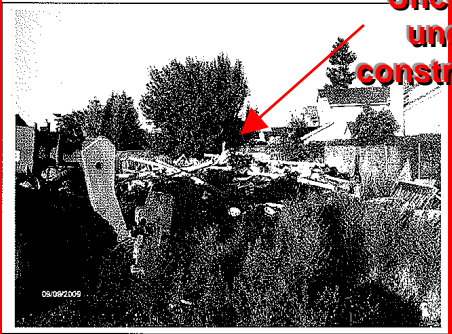
Exhibit 5. South Avenue On-Ramp Project—a recent oversight inspection indicated that the SWPPP was reflective of current site conditions.

10/7/09

Non-Rainy Season April 16 - October 14) Inspection Report		SWPPP	X	WPCP	
CO-RTE-P.M.		04-ALA-680-M5.2/R10.9	Project EA :		04-253794
RE Name:		Satinder Grewal	RE Phone:		510 668 4923
OS-RE Name		N/A	RE Fax:		510-668-4968
Project WPC Inspector :		Behrooz Izadi	Insp Phone		510 668 4944
Contractor:		Bay Cities Paving & Grading, Inc.	Inspection Date:		09/09/09
Permit					
Participants		Yulius Yadegar		Behroos Izadi of Caltrans	
Inspect Type:		Rain		Pre	
				During	
				Post	
				Regular	X
				Staff req	
				Dragomir request	
Inspection Score		Red Flag- Major or critical deficiencies exist that require immediate attention.			
		Yellow Flag - Minor deficiencies exist. (requires prompt attention)			
XX		Green flag - Minor or Insignificant deficiencies exist.			
		Not Rated - Not a compliance inspection.			
Office Review:		Yes	No	Comment:	
1. SWPPP/WPCP Approved by RE		X			
2. Annual certification complete & on file for SWPPP		X			
3. Staff Inspection Report frequency compliant with Blue Memo		X			
4. CT & Contractor Inspection reports in Category 20 project files		X			
5. Inspection Reports-appropriate level of detail		X			
6. CT Insp. Reports/files Include Photographs		X			
7. Plan amendment on file & SWPPP is up to date		X			
8. Separate Dewatering Plan		X			
9. Date of last project insp.:		X			
Job Description:		Widening, ramp meters and roadway rehabilitation			
Rating Justification:		Green flag: Minor tracking; Concrete debris; public and employees trash and liters; construction generated wastes are among the minor issues required attention.			
General Observations:					
Construction activities were going on through out the project. DI protections were in good condition, however some needed maintenance prior to rain event. Pavement area behind the "K" rails should be cleaned to prevent from being transported to travel ways by means of traffic and rain or watering. Construction generated waste should be picked up and hauled away at least weekly. Minor tracking was noticed on SB 680 off and loop on ramps to and from Washington Boulevard should properly be cleaned. Public and employees trash and liter is increasing daily and AC grindings at Washington Interchange should have perimeter control or cover prior to rain event.					
The following issues need correction:					
1. Construction generated waste should be removed and hauled away (photo # 10-12).					
2. AC grindings should have perimeter control or plastic cover prior to a rain event (photo # 13-14).					
3. Fuel containers curing compound and paints should be stored in secondary container (photo # 15-17).					
4. Spilled liquid behind the container box should be cleaned (photo # 18).					
District-4 Construction Water Quality Unit					
1					
09/09/09					

Exhibit 6. Sunol Grade/Route 680 Roadway Rehabilitation Project—outstanding issues had not been corrected through adequate enforcement of the contract conditions as of October 7, 2009, the date of the EPA Audit Team’s site visit.

10/7/09
SC

	
<p>7. AC grindings mixed with granular material spread at this location it should be segregated, removed and hauled away.</p>	<p>8. CTB rubles should be removed and hauled to recycling plant.</p>
	
<p>9. Paved section behind the "K" rails should be cleaned prior to rain event.</p>	<p>10. Construction generated waste should periodically be removed and hauled away.</p>
	
<p>11. Construction generated waste should periodically be removed and hauled away.</p>	<p>12. Construction generated waste should periodically be removed and hauled away.</p>

4

Exhibit 7. Sunol Grade/Route 680 Roadway Rehabilitation Project—Photograph 12 above corresponds to the area shown in Appendix E, Site Visit No. 11, Photograph 5 of this audit report.


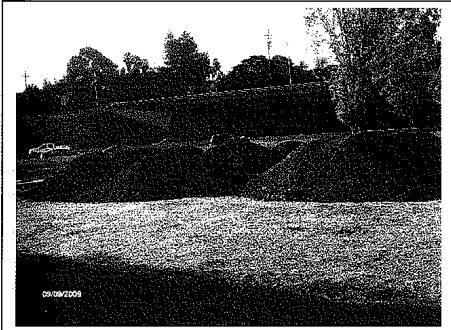
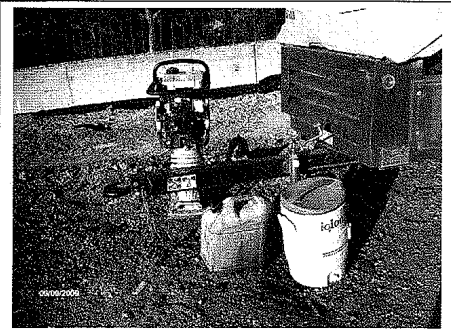
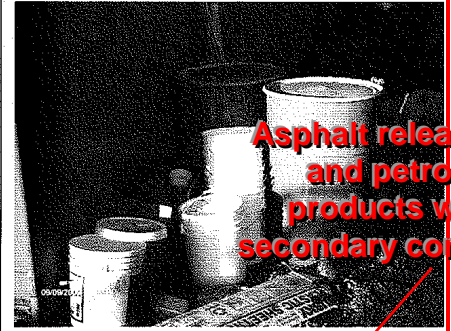


 <p>09/09/2009</p>	<p>19/8/09 SL</p>  <p>09/09/2009</p>
<p>13. AC grindings should be either covered or perimeter control prior to rain.</p>	<p>14. AC grindings should be either covered or perimeter control prior to rain.</p>
 <p>09/09/2009</p>	 <p>Asphalt release agent and petroleum products without secondary containment</p>
<p>15. Fuel containers should be stored in the back of pick up.</p>	<p>16. Paint buckets curing compound should be stored in the tool shed or secondary container.</p>
 <p>09/09/2009</p>	 <p>Spilled liquid should be cleaned.</p>
<p>17. Paint buckets should be stored in the tool shed or secondary container.</p>	<p>18. Spilled liquid should be cleaned.</p>

Exhibit 8. Sunol Grade/Route 680 Roadway Rehabilitation Project—Photograph 18 above corresponds to the same asphalt release agent and petroleum products (lacking secondary containment) shown in Appendix E, Site Visit No. 11, Photographs 6—8 of this audit report.

10/30/09 SC

Non-Rainy Season		SWPPP	X	WPCP	
April 16 - October 14) Inspection Report		FY Report #	8	Project Rpt #	8
CO-RTE-P.M.	04-A1a-680-R10.5/31.1	Project EA :	04-4A5204		
RE Name:	Andy Chang	RE Phone:	510 668 4929		
OS-RE Name	N/A	RE Fax:	510-668-4968		
Project WPC Inspector :	Behrooz Izadi	Insp Phone	510 668 4944		
Contractor:	Bay Cities Paving & Grading, Inc.	Inspection Date:	09/28/09		
Permit					
Participants	Yulius Yadegar		Behrooz Izadi of Caltrans and Justin DiFrais contractor SWPPP manager.		
Inspect Type:	Rain	Pre	During	Post	Regular X Staff req Dragomir request
Inspection Score	Red Flag - Major or critical deficiencies exist that require immediate attention.				
	Yellow Flag - Minor deficiencies exist. (requires prompt attention)				
	XX Green flag – Minor or Insignificant deficiencies exist.				
	Not Rated – Not a compliance inspection.				
Office Review:		Yes	No	Comment:	
1. SWPP/WPCP Approved by RE		X			
2. Annual certification complete & on file for SWPPP		X			
3. Staff Inspection Report frequency compliant with Blue Memo		X			
4. CT & Contractor Inspection reports in Category 20 project files		X			
5. Inspection Reports-appropriate level of detail		X			
6. CT Insp. Reports/files Include Photographs		X			
7. Plan amendment on file & SWPPP is up to date		X			
8. Separate Dewatering Plan		X			
9. Date of last project insp.:		X			
Job Description:	The roadway to be widened and the pavement to be rehabilitated.				
Rating Justification:	Green flag: Surplus AC and PCC rubles; Secondary container issues, leaking concrete washouts, construction generated waste are among the issues need correction.				
General Observations:					
Construction activities were going on through out the project. DI protection will be removed and replaced since the design of silt socks was deficient. Toe of the slope BMP measures is damaged should be restored prior to on set of rain. Construction generated waste should periodically be removed and hauled away. Surplus PCC and AC dumped on the side of pour or road should be removed and hauled away. Concrete washouts at Vargas Interchange are full to capacity and leaking should be removed and replaced. An entrance and exit was recommended to be installed opposite side of Vargas yard see photo # 9. ESA and silt fences are damaged by rolling rocks at the toe of the slope in front of retaining walls along the project should be corrected. Mechanic has done maintenance on equipment and dumped substantial amount of grease on the ground should be cleaned.					
The following issues need correction:					
<ol style="list-style-type: none"> An entrance and exit was recommended be installed at this location (photo # 9). Two concrete washouts at Vargas Yard are leaking should be removed and replaced (photo # 10). Secondary containment is an issue it should be corrected by next visit (photo # 11-12). Surplus PCC and AC at retaining walls and side of the road should be picked up (photo # 13-16). Grease dumped on the ground during the maintenance of equipment should be cleaned (photo # 17-18). 					

District -4 Construction Water Quality Unit 1 09/28/09

Exhibit 9. Sunol Grade/Route 680 Roadway Rehabilitation Project—Outstanding issues had not been corrected through adequate enforcement of the contract conditions as of October 7, 2009, the date of the EPA Audit Team’s site visit.


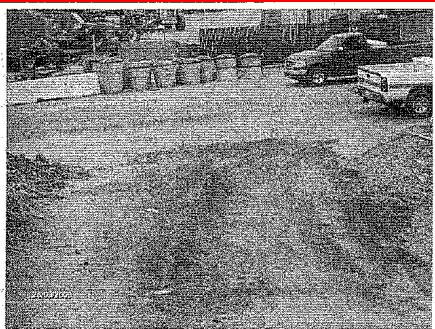
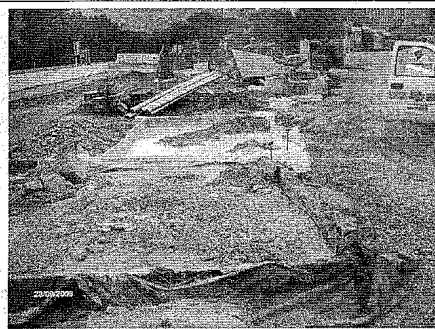
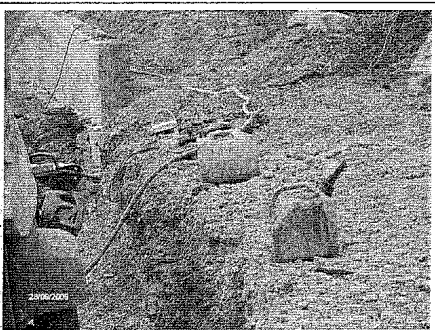
	<p>10/7/09 SC</p> 
<p>7. Water truck on hand to help keep both dust under control and moisturize the compacting materials</p>	<p>8. Geo textile netting on hand at Vargas Yard.</p>
	
<p>9. It was recommended to install an entrance and exit at this location if it is going to be used as an entrance and exit.</p>	<p>10. Both of these washouts are leaking should be removed and replaced.</p>
	
<p>11. Gas containers and pipe soup should be in the back of pick up or secondary container.</p>	<p>12. 5 gallon bucket has oil and two 55 gallons have some curing compound it should be stored in secondary</p>

Exhibit 10. Sunol Grade/Route 680 Roadway Rehabilitation Project—Photograph 9 above corresponds to the same construction entrance shown in Appendix E, Site Visit No. 15, Photographs 8—9 of this audit report.

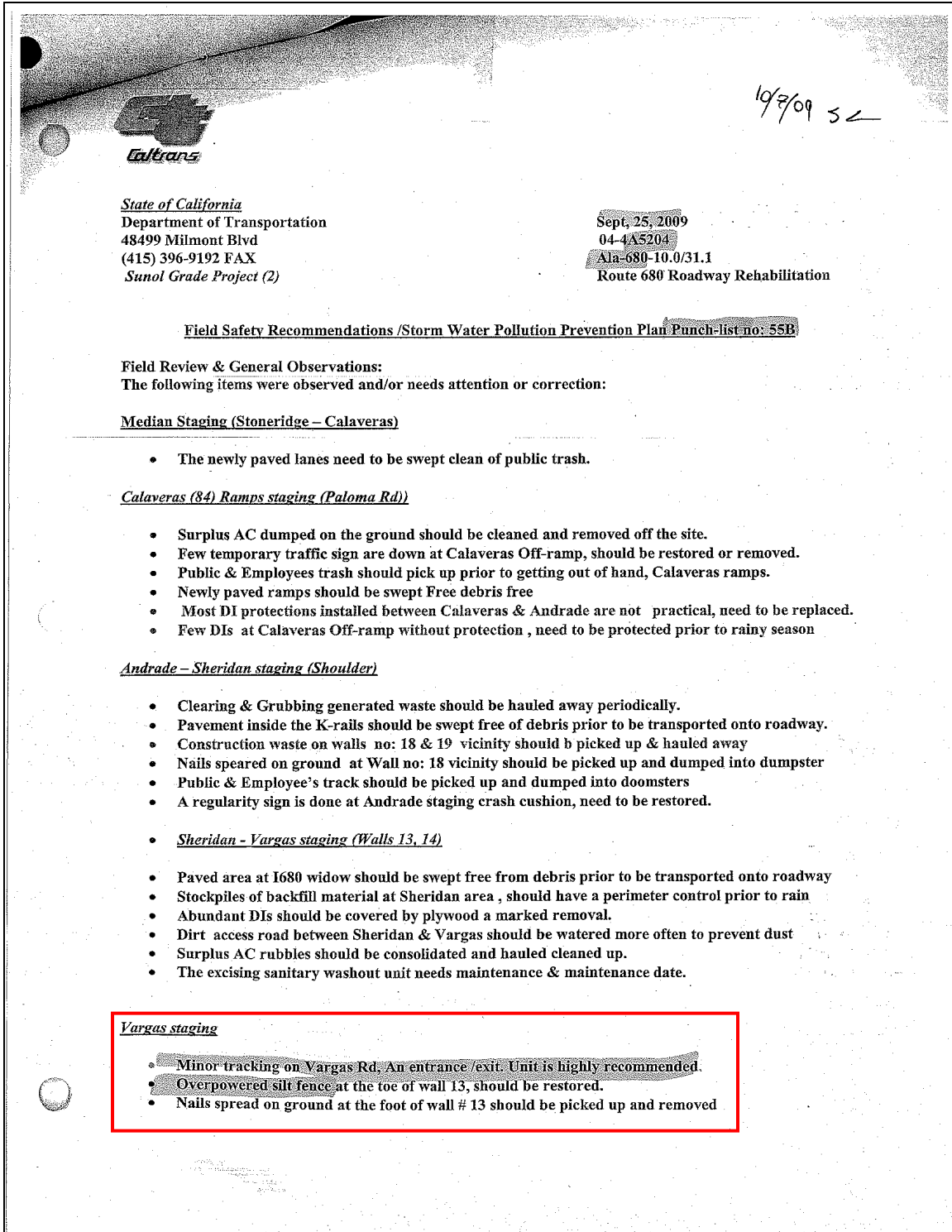


Exhibit 11. Sunol Grade/Route 680 Roadway Rehabilitation Project—issues identified by the Caltrans Construction Storm Water Coordinator’s inspector in a SWPPP punch-list, generated from inspections conducted prior to September 25, 2009, demonstrate the issues had been outstanding for a longer period of time.

10/22/09
SLL

11.0 Records Showing incidents of Illicit Discharges/connections and resolution 2007/2008 FY.

The Illicit connections/discharges are documented and notification letters are sent to the discharger or responsible parties. A meeting is arranged with all the parties to discuss the discharges and possible solutions.

The table below shows the IC/ID summary for FY 2007/ 2008.

District	Number of Incidents	# in Progress#	# Resolved from Prior Fiscal Year	#Resolved during FY 2007-08	# Referred to RWQCB or Local Agency
1	None	None	None	None	None

Exhibit 12. District 1 records claim that there were no IC/ID incidents in Fiscal Year 2007-2008.

10/21/09
SC

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
STORMWATER POLLUTION/DRAINAGE PROBLEM
MTCE 07 (REV 9/2009)

DATE OF REPORT	COUNTY	ROUTE	POST MILE / DIRECTION
CONTACT PERSON / SUPERVISOR		COST CENTER	PHONE NUMBER

Immediate Problem On going Problem Slope or water course erosion **Illegal connection or discharge**

FOR IC/ID INCLUDE NAME OF RESPONSIBLE PARTY, ADDRESS AND PHONE NUMBER, IF KNOWN

PROBLEM DESCRIPTION

PROPOSED TEMPORARY OR PERMANENT FIX, IF ANY

SKETCH (or attach photos)

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

Exhibit 13. Recordkeeping form developed for use in illicit connection detection, reporting, and removal.

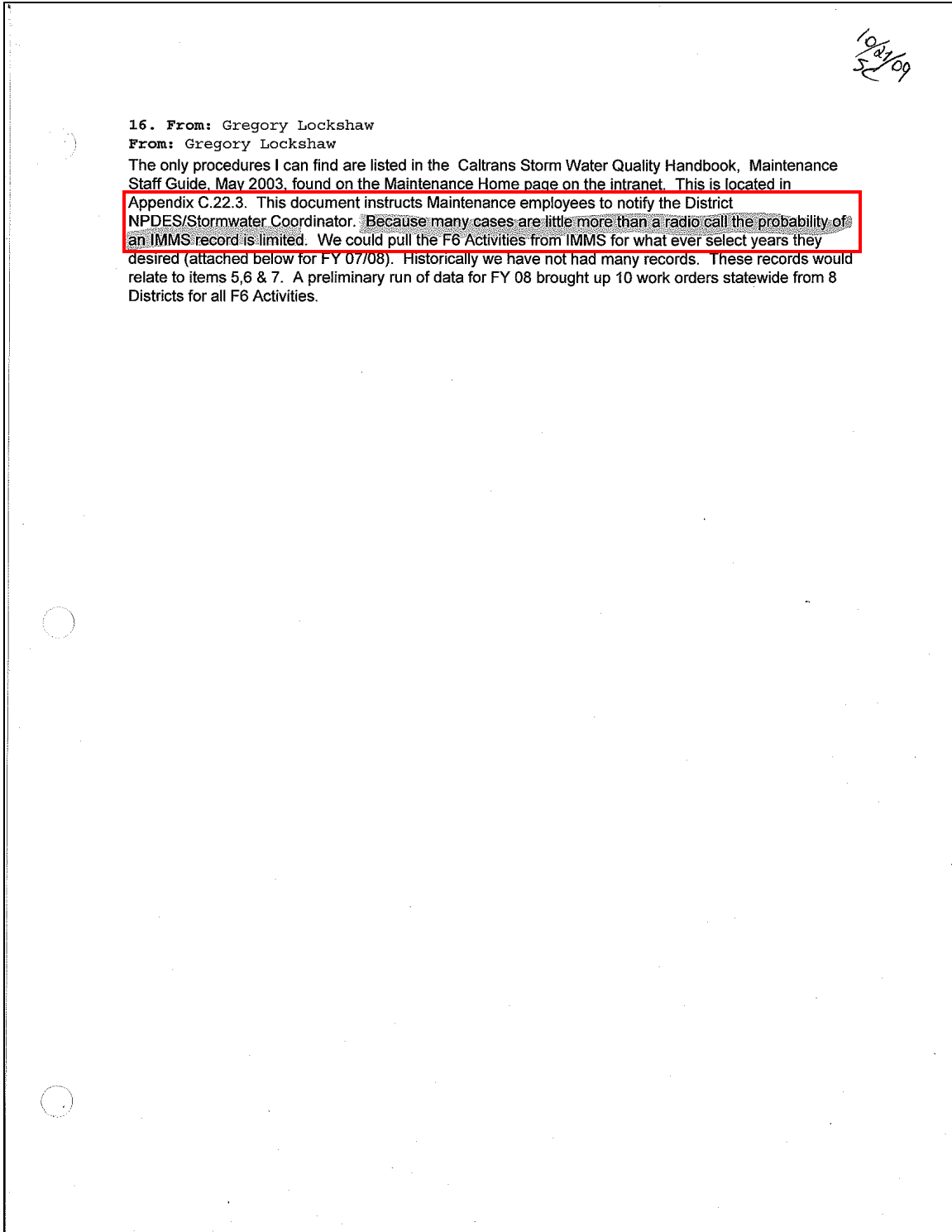
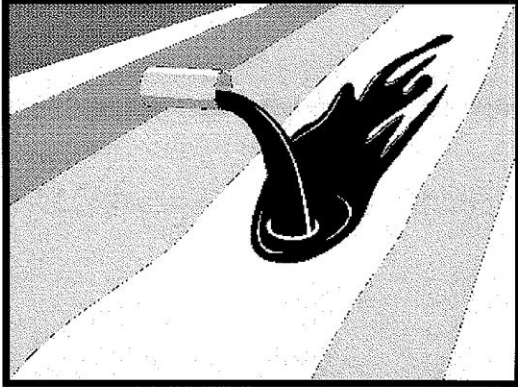



Exhibit 14. Records provided by Caltrans explain that Maintenance staff may not be formally documenting all IC/ID incidents.

Illicit Connection/Illegal Discharge Detection and Reporting

NS-6





Standard Symbol

BMP Objectives

- Soil Stabilization
- Sediment Control
- Tracking Control
- Wind Erosion Control
- Non-Storm Water Management
- Materials and Waste Management


Definition and Purpose Procedures and practices designed for construction contractors to recognize illicit connections or illegally dumped or discharged materials on a construction site and report incidents to the Resident Engineer (RE).

Appropriate Applications

- Illicit connection/illegal discharge detection and reporting is applicable anytime an illicit connection or discharge is discovered or illegally dumped material is found on the construction site.
- This best management practice (BMP) applies to all construction projects.

Limitations

- Unlabeled or non-identifiable material shall be assumed to be hazardous.
- Illicit connections and illegal discharges or dumping, for the purposes of this BMP, refer to discharges and dumping caused by parties other than the contractor.
- Procedures and practices presented in this BMP are general. Contractor shall use extreme caution, immediately notify the RE when illicit connections or illegal dumping or discharges are discovered, and take no further action unless directed by the RE.
- If pre-existing hazardous materials or wastes are known to exist onsite, the contractor's responsibility will be detailed in separate special provisions.



Caltrans Storm Water Quality Handbooks
Construction Site Best Management Practices Manual
March 1, 2003

Illicit Connection/Illegal Discharge Detection and Reporting

Section 7
NS-6
1 of 3

Exhibit 15. Excerpt from Caltrans guidance intended for construction contractors that provides clear direction on how to identify IC/IDs using field observations and related reporting

Date of Insp. Mth-Yr	Date of Compl. Mth-Yr	Co	Route	P.M.	Type of Facility (Bridge, CMP, RCP, etc.)	Size (in)	Length (ft)	Type of Work V - Vector E - Excavator B - Backhoe Veg - Vegetation CS - Confined Space ETC. (replace, line)	Contract or Maint. Work	If Contract Requested Take Pictures, P.I.F-Date-?	Is Work Required up or Down Stream of Facility (est in ft.)	Will Equipment be in the Stream Bed Y/N	Wet or Dry Stream Bed	Est. Material Removed, or Type and Amount to be Placed in Stream Bed	Natural Stream or Part of Highway Drainage (which one)	Fish Stream Yes/No, Unknown	Permits Required Agency-F&G, Corp, W/Q, Coastal Comm.
DN	101	14.65	CMP	18	64												
DN	101	14.73	CMP	18	60												
DN	101	14.75	CMP	18	52												
DN	101	14.81	CMP	24	104												
DN	101	14.88	CMP	24	64												
DN	101	14.96	CMP	18													
DN	101	15.01	CMP	18	59												
DN	101	15.06	CMP	18	42												
DN	101	15.2	CMP	18	56												
DN	101	15.34	CMP	18	102												
DN	101	15.4	CMP	18	56												
DN	101	15.54	CMP	18	72												
DN	101	15.6	CMP	18	80												
DN	101	15.6	CMP	36	215												
DN	101	15.76	CMP	36	198												
DN	101	15.96	CMP	18	60												
DN	101	16.03	CMP	36	100												
DN	101	16.09	CMP	36	140												
DN	101	16.22	CMP	18	59												
DN	101	16.68	CMP	18													
DN	101	16.82	CMP	36	104												
DN	101	16.83	CMP	18													
DN	101	16.97	CMP	18	60												
DN	101	17.04	CMP	18	55												
DN	101	17.12	CMP	18	80												
DN	101	17.19	CMP	18													
DN	101	17.28	CMP	18													
DN	101	17.4	CMP	18	50												
DN	101	17.51	CMP	18	108												
DN	101	17.59	CMP	18	54												
DN	101	17.8	CMP	18													

(Client Inspec for
 Crescent City Maint
 Facility
 - from weldon,
 Roadway Maint Spec
 District 1

Page 5

Exhibit 16. Example of storm drain inlet cleaning record provided by maintenance personnel at the Crescent City maintenance facility in District 1

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
DRAIN AND DROP INLET INSPECTION
 MTCE-08 (REV 11/1997)

CLEANING AND INSPECTION OF DRAINS AND FACILITIES

(PLEASE PRINT)

REGION/COST CENTER RED BLUFF MAINTENANCE/ 634 SUPERVISOR _____

COUNTY TEHAMA ROUTE SR 99 INSPECTED BY _____

Page 1

DATE	POST MILE	DIRECTION		LEFT	RIGHT	CULVERT STATUS	YES NO	CLEANED		QUANTITY LINEAL FEET	EST INCHES OF MAT'L PER DRAIN	NUMBER OF DRAINS CLEANED	CONDITION OF DRAIN OR TYPE OF DAMAGE	COMMENTS
		E/B (W/B)	S/B (N/B)					NOT NECESSARY	NECESSARY					
11-04-08	24.94	S/B		X	X	1/4 Plugged	X				30"	good	good	5 pipe 30 inches of mat'l 4 mi/c
24.86	24.84			X	X							11	11	Bridge
24.80	24.77			X	X							11	11	Need Brushed
24.68	24.66			X	X						5 Trees	11	11	Bridge. Left side needs Brushed
24.14	24.13			X	X	1/4 Plugged	X				2 Trees	11	11	Box Culvert
22.56	22.54			X	X	open		X				good	good	Box Culvert
	21.65			X	X	11						11	11	Bridge
	21.34			X	X	11						good	good	Box & 3 culverts
21.14	21.13			X	X	Open		X				11	11	Bridge
	20.73			X	X	1/2 Plugged	X					11	11	Box
	20.17			X	X	open		X				11	11	DI Miss marked
	19.6			X	X	11						11	11	DI Bridg
	19.54			X	X	open	X					11	11	
	19			X	X	11		X				11	11	
	18.02			X	X	11		X				11	11	With miss marked Bridge
	17.38			X	X	11	X					11	11	
	17.34			X	X	11		X				11	11	Miss marked
	17.28			X	X	11		X				11	11	
	17.04			X	X	11		X				11	11	
	16.97			X	X	11		X				11	11	
TOTAL														

DISTRIBUTION
 WHITE MAINTENANCE STORMWATER COORDINATOR
 YELLOW SUPERINTENDENT
 PINK SUPERVISOR

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 For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-0410 or TDD (916) 654-3960 or write Records and Forms Management, 1120 N Street, MS-88, Sacramento, CA 95814.

Exhibit 17. Example of storm drain inlet cleaning record provided by maintenance personnel in District 2

MTC-06 (REV 11/1997)

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
DRAIN AND DROP INLET INSPECTION

CLEANING AND INSPECTION OF DRAINS AND FACILITIES

(PLEASE PRINT)

REGION-COST CENTER 04-694 SUPERVISOR Camryn Johnson

COUNTY Contra Costa ROUTE W/B-242 INSPECTED BY _____

DATE	POST MILE	DIRECTION		SHOULDER		CULVERT STATUS	CLEANED		QUANTITY OF LINEAL FEET	EST INCHES OF MAT'L PER DRAIN	NUMBER OF DRAINS CLEANED	CONDITION OF DRAIN OR TYPE OF DAMAGE	COMMENTS
		E/B	W/B	LEFT	RIGHT		YES	NO					
8/5/09						Mediana Plugged X		NOT NECESSARY	1000	24"	10	Debris Routed + Vacuumed.	
TOTAL													

Walnut Creek E Facility
 DI Cleaning
 ferns
 04

10-10-09

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Exhibit 18. Example of storm drain inlet cleaning record provided by maintenance personnel at the Walnut Creek East maintenance facility in District 4

CAS000003 - Caltrans MS4 - District 1 - 10/21/09

MS4 PROGRAM COMPLIANCE EVALUATION

Records Requested:

Program Management

- 1. Current SWMP document and any significant changes/modifications - need July 5, 2008 McGowan memo
- 2. SWMP Appendix D: Statewide Storm Water Quality Practice Guidelines
- 3. Attached CD and Appendices for the Annual Report FY07-08
- 4. Program organizational chart and/or a description of the departments involved in the implementation of your MS4 program and their responsibilities.

Construction

- 5. Construction-related regulatory mechanisms and legal authority
- 6. District inventory of current active construction sites in the permit area of Districts 1 - 4 (preferably maps by District showing location and active segment) - Obtain from District
- 7. Inspection and enforcement procedures/protocol

Post-Construction

- 8. Post Construction BMP Manual/Guidelines
- 9. Requirements for continued maintenance - need Maintenance Staff Guide (hardcopy)
- 10. District inventory of post-construction BMPs in the permit area of Districts 1 - 4 (preferably maps by District showing location)

Maintenance Program

- 11. Statewide inventory of road segments with slopes that are prone to erosion
- 12. Established 5-year schedule of inspections for roadway erosion control, and records - CD for Javed that demonstrate inspections are conducted in accordance with the 5-year schedule
- 13. Statewide inventory of all drainage inlets that pose a significant threat to water quality (based on accumulation or otherwise); and records that demonstrate removal of all waste from those inlets on an annual basis prior to the winter season (FY07-08)
- 14. District inventory of municipal facilities/corporate yards in the permit area of Districts 1 - 4 (preferably maps by District showing location and activities conducted at the site) - Obtain from District

Highway Surveillance and IC/ID

- 15. Spill records from IMMS (FY07-08) - spot in IMMS but not being used
- 16. Procedures for receiving and investigating public and employee complaints of IC/IDs - Maint Guide App C p. B-E E NS-6
- 17. Procedures on how to identify IC/IDs, conduct investigations of IC/IDs, and identify the source
- 18. Procedure to track all reports of IC/IDs and the action taken on them - Staff Guide
- 19. Regulatory mechanism(s) prohibiting illicit non-storm water discharges to the MS4
- 20. Records showing incidents of illicit discharges/connections and resolution (2008 Calendar Year) - Obtain from District, case file "examination"
- 21. Example/case file of an illicit discharge incident where enforcement was used (ideally full extent of enforcement authority for each District) - Obtain from District
- 22. Records of major outfall inspections, dry weather screening, or other means of actively seeking and eliminating illicit connections/discharges (2008 Calendar Year) - Obtain from District
- 23. Municipal Coordination Plan - never developed per Joyce
- 24. Maps of Additional Municipal Facilities (email to print)

Exhibit 19. Record of documentation requested from District 1

10/20/09
CS

Program Subject Area - Highway Surveillance and IC/ID

Request #10- Regulatory mechanism(s) prohibiting illicit non-storm water discharges to the MS4

Section 670(a)(2) of the Streets and Highways Code requires that encroachments onto the State Highway System be issued permits.

Regarding litter and illegal dumping, Section 721(c) of the Streets and Highways Code allows the Department to immediately remove from any state highway any encroachment that consists of refuse. The state has empowered the California Highway Patrol with the authority to enforce laws applicable to the use of state highways. (CA Vehicle Code § 2400.) The Department relies on the CHP for enforcement of applicable laws pertaining to the State Highway System.

The Department has authority to prevent illicit connections and other unauthorized non-stormwater discharges to the state highway system. The following is excerpted from the California Streets and Highways Code Sections 725-727:

It is unlawful for any person to permit water to be turned from his land to any State highway which results in damage to the highway.

It is unlawful to do the following:

(A) Drain water, or permit water to be drained from his lands onto any State highway by any means that results in damage to the highway.

(B) Obstruct any natural watercourse so as to:

(1) Prevent, impede or restrict the natural flow of waters from any State highway into and through the watercourse, unless other adequate and proper drainage is provided.

(2) Cause waters to be impounded within any State highway, damaging the highway.

(3) Cause interference with, or damage or hazard to public travel.

(C) Store or distribute water for any purpose so as to permit it to overflow onto, to saturate by seepage, or to obstruct any State highway, with resulting damage to the highway.

Section 720 requires that Caltrans provide a written notice of encroachment. If the encroachment is not corrected and repairs made at the violator's expense after written notice, Caltrans may make corrections and repairs and recover by law the cost of repairs. Section 720 also permits Caltrans to collect the sum of \$10 for each day the drainage; diversion, overflow or seepage is permitted to continue after service of notice, together with the costs and expense incurred with such action.

Procedures for resolving such unauthorized / illicit non-storm water discharges are outlined in the Department's Encroachment Permits Manual;

http://www.dot.ca.gov/hq/traffops/developserv/permits/encroachment_permits_manual/index.html

Attached is a copy of the Notice (form) used to enforce removal of an illegal encroachment.

Exhibit 20. Explanation of Caltrans' regulatory mechanism(s) prohibiting illicit non-storm water discharges to the MS4, and excerpt from the California Streets and Highways Code

10/21/09
JK

**12.0 Example/Case File of an Illicit
Discharge Incident where enforcement
was used (ideally full extent of
enforcement authority for D1)**

None

Exhibit 21. Caltrans District 1 indicated that enforcement had never been used.

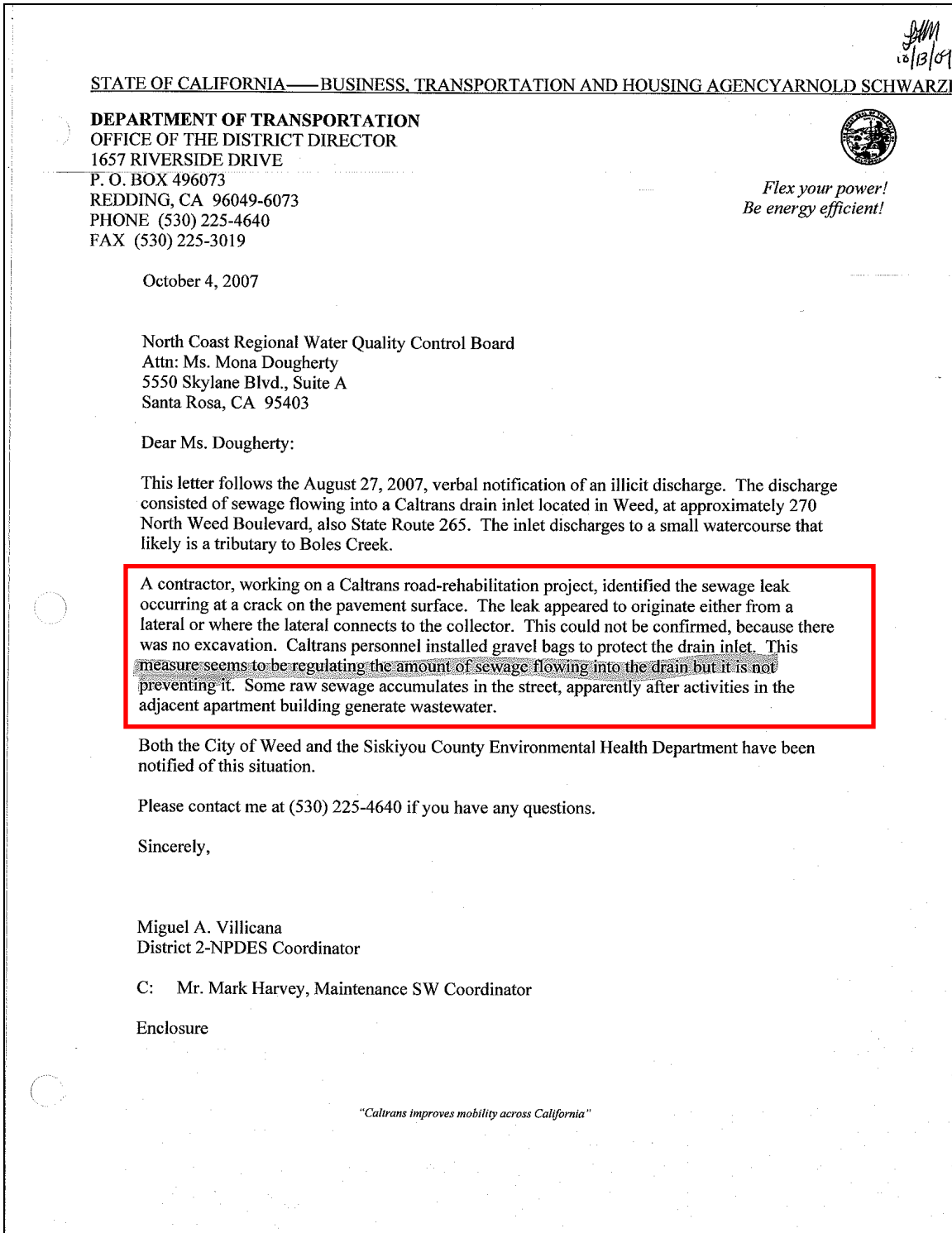


Exhibit 22. Caltrans District 2 provided a case example which did not demonstrate resolution of the incident

13. From: Gregory Lockshaw

There is no Statewide inventory of drainage inlets that pose a significant threat to water quality in IMMS. To my knowledge this does not exist anywhere. District 07, 11 & 12 may have some select areas due to the mandates but again that would be HQ/District Stormwater.

13. From: Frank Mele

Regarding drain inspection and cleaning this is also a District records issue. In accordance with the NPDES Permit I.1.c the Maintenance Supervisors inspect the drains in their respective jurisdictions prior to each winter season. Work orders are set up for crews to clean the drains that need it prior to the rainy season. We can run IMMS reports for the inlets that have been inspected and cleaned. The information can be run for all inlet types not just grated inlets.

The guidance is found in the Maintenance BMP Staff Guide. C.22.1 and C.22.2 are attached.



C22.1 and C22.2 MTCE BMPs.pdf

Here is summary information from my files for FY07 and FY 08. You may wish to contact Gregory Lockshaw to have the information run for the past 5 years however an excel file of the county route and post mile limits of the drains inspected will have thousands of lines of data.



Culvert Inspection & Clean FY07 Rerun.xls Culvert Inspection & Clean FY08 Rerun.xls

Exhibit 23. Caltrans response to request for documentation of an inventory of storm drain inlets that pose a significant threat to water quality. Note this response was included in the District 1 response binder.

10/21/09
SL

12. **From:** Gregory Lockshaw

The 5 year Slope Inspection documentation was maintained at a District level up until the current Fiscal Year, 2010. There is minimal information in IMMS at this time and could not be used to substantiate the 5 year schedule. We may be able to provide information for District 10 & 03 for Fiscal Year 08/09 (attached below). Available FY 09/10 data attached also.

12. **From:** Frank Mele

The Department's Statewide NPDES Permit states the following under Maintenance Program Management.

(3) Identify road segments with slopes that are prone to erosion and discl of sediment and stabilize these slopes to the extent possible.

The following information document describes how the Division of Maintenance complies with this part of the NPDES permit.

attachment "Slope Inspection Maintenance Policy.pdf"

12. **From:** Eric Uyeno (CMAS), IMMS Report Specialist

Development of the new Storm Water Slope Inspection Report is complete. The report is available for use on the IMMS reports website. You can access the website by typing "immsreports" into your Internet Explorer address bar and clicking the "Go" button. I have also provided a link below.

http://immsreports:7782/discoverer/app/directPartialConnect?password=reports&databaselfidentifier=irpt&userName=reports&connectionLocale=browser_selected&event=connect&partial=&source=&clientType=viewer&connectionAccessType=RELATIONAL&partialTargets=

Exhibit 24. Until recently, the individual Caltrans Districts maintained slope inspection documentation.

10/21/09
SL

State of California Department of Transportation
HQ Office of Roadside Stormwater Information Sheet
October 2009



Division of Maintenance
Roadside Slope Inspection and Remediation
NPDES Permit I.1.a.3 SWMP Section 5.3.4

Department/District Roadside Slope Inspection Protocol

The Department of Transportation Division of Maintenance is mandated by the Statewide NPDES Permit Section I to identify road segments with slopes that are prone to erosion and discharge of sediment and stabilize these slopes to the extent possible and to implement the program identified in the Statewide Storm Water Management Plan (SWMP). In accordance with the SWMP, the Division of Maintenance periodically inspects roadside vegetated slopes to determine the need for remedial measures. Inspections are conducted along all roadsides at least once during an established five year cycle. Since these slope inspections and slope stabilizations are required by the NPDES Permit, they have been incorporated as part of the Division of Maintenance F Family environmental compliance activities. The Division's Integrated Maintenance Management System (IMMS) database allows for the direct input of slope inspection information. The Division has also developed a slope inspection form (CT-MAINT-NPDE-S005) for field use which can be used to document information for future download. This statewide information is provided to the Division of Environmental Analysis for inclusion in the Annual Report to the State Water Resource Control Board.

Who Conducts the Inspections

The NPDES slope inspection program is coordinated by the District Maintenance Storm Water Coordinator and implemented by District staff. Slope inspections required by the SWMP are conducted by Department staff. For slope inspections with special considerations such as safety (loose soil, rock on roadway), landscape degradation and structural instability, District Maintenance engineers, the District NPDES Coordinator and landscape and geotechnical specialists may be called to the site depending on the situation. Minor roadside slope repairs for stabilization are completed by District Maintenance crews. When complex slope stabilization requirements are identified, the Maintenance Storm Water Coordinator refers the project to a District multi-disciplinary slope team for review and development of remediation options. These projects are then forwarded to the State Highway Operation and Protection Program (SHOPP) or other appropriate program for funding and repair.

Maintenance Slope Inspection and Remediation Page 1

Exhibit 25. Excerpt from an October 2009 document that describes how Maintenance complies with the slope stabilization provisions of the Permit