



NEW YORK
STATE OF
OPPORTUNITY

Department of
Environmental
Conservation

SPDES Compliance and Enforcement

SFY 2019/2020 ANNUAL REPORT

OCTOBER 1, 2020

Andrew M. Cuomo, Governor | Basil Seggos, Commissioner



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- This report details activities and accomplishments with corresponding data for the period April 1, 2019 through March 31, 2020 (State Fiscal Year 2019/20 or SFY 2019/20).
- For previous SPDES Compliance and Enforcement annual reports, visit:
www.dec.ny.gov/chemical/62557.html
- Information on other programs in the Division of Water can be found at:
www.dec.ny.gov/chemical/290.html
- For questions or other information, please email: dowinfo@dec.ny.gov

Cover photos:

Shown are representative site conditions DEC staff may encounter while conducting an inspection, site visit, or responding to a citizen complaint.

- Top left and top right photos show a permitted site in the final development phase. After trees fell due to hillside erosion, DEC inspected the site and issued a notice of violation for failure to adhere to conditions of the general permit. Corrective actions by the developer included slope stabilization and tree removal.
- Photo bottom left shows construction of a flow splitting unit. The ability to control flow to each treatment unit is crucial for an operator to respond to waste stream variations, optimize system performance, and remain compliant with the SPDES permit.
- Bottom right photo right shows shoreline conditions upon arrival by the DEC inspector following a citizen complaint. Adjacent to a waterbody with special protection, this activity lacked a DEC permit. Unpermitted activities may require remedial or corrective actions and often assess a financial penalty.

Executive Summary

The Division of Water (DOW), Bureau of Water Compliance is pleased to provide this latest update to our recurring SPDES Compliance and Enforcement annual report. Produced since 2007, this report summarizes the compliance and enforcement activities of the State Pollutant Discharge Elimination system (SPDES) for the 12 months ending March 31, 2020.

As for many, the end of the last state fiscal year and beginning of this fiscal year have been challenging due to the COVID-19 pandemic and resulting impacts. Considerable efforts continue to be made to provide clean water services and we acknowledge the efforts by those at the facility level throughout the state and in supportive roles.

Across New York and the nation, reducing the amount of untreated and undertreated wastewater released to waterways continues to be a priority, including those from combined sewer overflows (CSO). These releases create public health issues and can significantly impair the best uses assigned to a given waterbody.

This report includes the annual update on DOW's implementation of the Sewage Pollution Right to Know Act (SPRTK), which seeks to provide notification and better information to the public on these releases. Over the last year, DOW has worked with reporting municipal entities to fully transition to an updated reporting system via NY-Alert. These system upgrades, and registration of additional facilities, have provided improved reporting of these releases.

To learn more about SPRTK and these overflows, you can access the primary SPRTK webpage at the link below. That webpage provides additional data on releases from publicly owned treatment works (POTW) and publicly owned sewer systems (POSS).

Additional details on overflows and SPRTK can be found at:

- The DOW homepage for CSOs, policy, guidance, and CSO locations:
 - CSO - <https://www.dec.ny.gov/chemical/48595.html>
 - SPRTK - <https://www.dec.ny.gov/chemical/90315.html>
- The USEPA homepage for CSOs and sanitary sewer overflows:
 - <https://www.epa.gov/npdes/combined-sewer-overflows-csos>
 - <https://www.epa.gov/npdes/sanitary-sewer-overflows-ssos>

Regulatory Authority

Abundant surface and groundwater resources can be found in New York. [Article 17 of the Environmental Conservation Law \(ECL\)](#) entitled "Water Pollution Control" was enacted to protect and maintain these essential resources. Article 17, Title 8, authorized creation of the [State Pollutant Discharge Elimination System \(SPDES\)](#) program to maintain New York's waters with reasonable standards of purity.

Administered by DEC, the intent of the SPDES program is to eliminate the pollution of New York's waters while maintaining the highest quality of water possible, consistent with:

- Protection of public health and drinking water supplies
- Public enjoyment of the resource
- Protection and propagation of fish and wildlife
- Availability as a resource for industrial and commercial activities

In 1974, New York State's SPDES program was approved by the United States Environmental Protection Agency (USEPA) for the control of surface wastewater and stormwater discharges, consistent with the Clean Water Act (CWA). The SPDES program provides additional protection by regulating point source discharges to groundwater.

Using current water quality standards, SPDES permits establish stringent performance standards, effluent limitations, and operating conditions designed to protect the state's water resources. Regulations specific to the application for a SPDES permit, and proper operation of a SPDES-permitted facility, can be found in New York Codes, Rules, and Regulations ([NYCRR](#)) Part 750. The Part 750 regulations detail important requirements for the proper operation of a SPDES-permitted facility, including timely and complete reporting of:

- Operational issues
- Effluent quality and adherence to permit limits
- Discharge of untreated or partially treated wastewater

When conducting inspections at SPDES-permitted facilities, the Part 750 regulations guide inspectors on which processes of operations to focus upon. When occurrences of non-compliance are identified, these are addressed through both informal and formal enforcement action. Refer to the "SPDES Enforcement" section for details of DEC's water enforcement actions, and Appendix E for a full list of actions for SFY 2019/20.

For more serious non-compliance issues, DEC's DOW staff may coordinate enforcement actions with or through the Office of General Counsel (OGC) and/or the [Division of Law Enforcement](#) (DLE).

Water Quality Management

Under [Section 303\(d\)](#) of the federal Clean Water Act, states are required every two years to identify waters within their respective boundaries where current pollution control technologies alone cannot meet established water quality standard for that waterbody. States must submit a list of waters impaired by pollutants, in addition to any that may soon become impaired, to the USEPA for approval.

For waters found on the Section 303(d) list, the state must determine the pollutant(s) that are impairing the waterbody and develop a pollutant reduction plan, or [total maximum daily load](#) (TMDL). One recent example of a TMDL is that for the Chesapeake Bay, which identified nutrients and sediment as the primary reasons for impairment of this waterbody.¹

Placing waterbodies on the 303(d) list enhances opportunities for funding, scientific research, remedial actions, and public and political attention. It also holds identified polluters to account with deadlines for cleanup and restoration and prompts enactment of new laws and regulations.

Figure 1 illustrates the interaction of components for a water management cycle. This cycle is the basis for DOW's implementation of policies, helping to prioritize resources necessary to protect waters of the state.

This cycle consists of five basic activities, each dependent upon one another:

- **Monitoring**
DEC gathers information on the health of the state's waters from various monitoring efforts to examine important characteristics such as pH, dissolved oxygen, temperature, and numerous chemical and biological components in key locations. Additional data is acquired through aquatic organism sampling, since the type and concentration of these organisms assist in determining the health of a waterbody. DEC staff generally perform much of the sampling necessary to acquire these data, although citizens, having DEC training and approval, also collect samples and provide data². Collectively, these monitoring data become part of DEC's Waterbody Inventory.
- **Assessment**
A key element of assessment includes assigning a "best use" for a waterbody, such as swimming, fishing, or source of drinking water. Water quality standards establish criteria for defining the maximum level of pollutants allowable for a waterbody to still

¹ New York state is a party to the Chesapeake Bay TMDL, developed with USEPA and other states within the Bay's watershed. For details, go to: <https://www.epa.gov/chesapeake-bay-tmdl>

² www.dec.ny.gov/chemical/81576.html and www.dec.ny.gov/chemical/92229.html

meet its best-use designation. DEC maintains a [Priority Waterbodies List \(PWL\)](#) of the waters that do not meet standards or are unable to support their designated best uses, and a CWA Section [303d list](#) of those non-supporting waters that require the development of a TMDL.

DEC Water Management Cycle



Figure 1

- **Planning and Management**
Waters listed on the PWL have impairments attributable to different sources of pollution, such as operational upsets at sewage treatment plants; urban runoff during storm events; or contaminated stormwater from industrial, farming, or construction activities. DEC uses the PWL to manage water resources and plan staff assignments by developing a water quality management plan. A recent example is the [plan](#) that applies to waters flowing into the [Chesapeake Bay](#) from one of the tributaries originating in [New York state](#). This plan, in part, seeks to limit the amount of the nutrients phosphorus and nitrogen from entering the Chesapeake Bay. Excessive nutrients encourage undesirable plant growth and reduces oxygen available to aquatic life³.
- **Implementation and Permitting**
Monitoring, assessment, and management planning all contribute to implementation of the SPDES permit program. SPDES permits issued for discharges to waters of

³ Additional information on TMDLs, including plans for specific waterbodies in New York state, can be found at: <http://www.dec.ny.gov/chemical/23835.html>

the state contain performance standards (i.e., numerical limits) that protect water quality. They also may include schedules of activities that require the permittee to upgrade or install new treatment technology by a specific date to improve performance and achieve permit compliance. In addition, DEC works cooperatively with local governments and organizations to encourage control of non-point sources of pollution, such as runoff from commercial, industrial, or agriculture activities.

- **Compliance and Enforcement**

Compliance assurance and enforcement includes the evaluation of discharge monitoring reports that permittees submit as a condition of their SPDES permit. Facility inspections and other reports, such as monthly operating reports, also determine compliance status. Upon identifying a minor violation of a SPDES permit, DEC may initiate an informal enforcement action by sending a warning letter or a Notice of Violation (NOV) to prompt a return to compliance. When informal actions fail to achieve a return to compliance, or if conditions warrant, formal enforcement action is sought. Formal enforcement actions are a more compelling method to achieve compliance and may include a monetary penalty. These actions include Orders on Consent, Notices of Enforcement Hearing and Complaint, Cease and Desist Directives, Commissioner's Orders, or tickets issued by an Environmental Conservation Officer (ECO).

SPDES Program Overview

The federal Water Pollution Control Act, also known as the Clean Water Act⁴ authorized development of the [National Pollutant Discharge Elimination System](#) (NPDES) to regulate discharges to surface waters of the United States. The USEPA authorizes New York state's SPDES permit program to regulate discharge activities covered by the federal program, with additional protection for groundwater resources through the SPDES program.

Implementation of the SPDES program occurs through the issuance of wastewater discharge permits, which establish stringent standards and operating conditions designed to protect the state's waters. Currently there are two types of SPDES permits: individual and general.

- An **individual** SPDES permit applies to a single facility, in one location, possessing unique discharge characteristics, among other factors.
- A **general** SPDES permit applies to a category of dischargers with similar operations or pollutants. A general permit requires that each permit issued contains similar effluent limits, operating conditions, and the same or similar monitoring. Facilities qualifying for a general SPDES permit are likely to have less significant impact on the environment when in compliance with permit provisions than a facility issued an individual SPDES permit.

⁴<http://www.epa.gov/laws-regulations/summary-clean-water-act>

A SPDES permit requires the owner and operator to comply with specific conditions in the operation and reporting of facility performance. For more complex facilities, these typically include limits on physical, chemical and/or biological characteristics of the discharge. Facilities deemed 'significant' must submit discharge monitoring reports (DMRs) for DEC review. The facility may also be required to submit various additional reports for DEC review and approval. For smaller facilities, including those discharging to groundwater, the permit may specify that any required data and information be kept at the facility site for review by DEC during an inspection or submitted annually.

In addition to specific conditions found in the permit document itself, a SPDES permit also references 'general conditions' required by [6 NYCRR Part 750-2](#). Part 750 details requirements that each SPDES permittee must comply with. Examples include inspection access for DEC staff, records retention, proper operation and maintenance of equipment, and notifying DEC (via NY-Alert) of permit non-compliance or overflows.

SPDES Program Permits in Effect

The number of authorized SPDES permits on March 31, 2020 was 21,933, an increase of 507 from the previous year. Figure 2 presents the recent history of authorized SPDES permits at the end of each state fiscal year. See Appendix C for more detail of authorized permits.

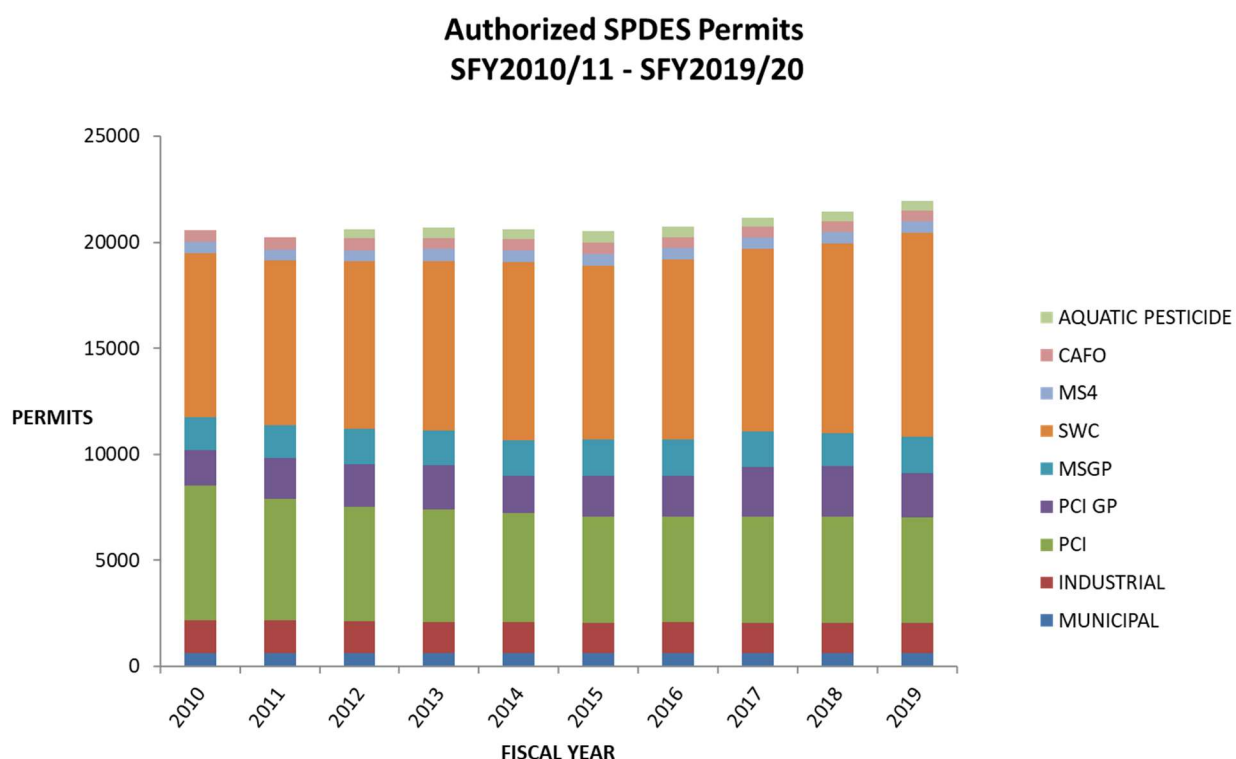


Figure 2

SPDES Individual Permits

DEC authorizes individual SPDES permits for three discharge categories:

- **Municipal**

A municipal discharge includes those from a publicly owned treatment works (POTW), as defined by Section 201 of the CWA. A POTW is classified by USEPA as either major or minor, based on the facility's design flow, population served, or potential for significant water quality impacts.

- In SFY 2019/20, there were 635 SPDES permitted POTWs

- **Industrial**

Industrial discharges are those resulting from industrial, manufacturing, trade or business processes. Industrial treatment facilities are classified as major, minor, or non-significant, based on characteristics of the wastewater, complexity of treatment processes, and the facility's design flow.

- In SFY 2019/20, there were 1,436 SPDES permitted industrial facilities

- **Private, Commercial, or Institutional**

Private, commercial, or institutional (PCI) facilities discharge domestic sewage with no addition of an industrial waste flow. PCI discharges generally refer to wastewater from a single facility or building complex under single ownership and may or may not be under public ownership. Examples include restaurants, schools, apartment complexes, mobile home parks, and campgrounds. PCI facilities discharging less than 30,000 gallons per day of treated sanitary waste to groundwater may not require an individual SPDES permit and instead may obtain coverage under the PCI general permit. PCI facilities requiring individual SPDES permits are classified as either significant minor or non-significant based on waste stream flow characteristics.

- In SFY 2019/20, there were 4,972 SPDES permitted PCI facilities

SPDES General Permits

DEC also issues general permits covering the following categories of dischargers:

- **Stormwater Discharges from Construction Activities (SWC)**

The [SWC general permit](#) covers stormwater discharges resulting from construction activities involving soil disturbances of one or more acres. The owner/operator must obtain coverage under this general permit prior to beginning construction activity.

- In SFY 2019/20, there were 9,605 sites covered under a SWC permit

- **Multi-Sector General Permit (MSGP)**

The [MSGP general permit](#) covers stormwater discharges associated with 31 different categories of industrial activities. Examples of some activities

designated under this permit include asphalt manufacturing, vehicle dismantling, scrap metal recycling, sand quarries, and sawmills.

- In SFY 2019/20, there were 1,712 sites covered under a MSGP
- **Municipal Separate Storm Sewer System (MS4)**
The [MS4 general permit](#) covers separate storm sewer systems that discharge to surface waters of the state and carry stormwater and runoff from a city, town, village, or other designated entity that is not part of a combined sewage system.
 - In SFY 2019/20, there were 543 sites with a MS4 permit
- **Concentrated Animal Feeding Operation (CAFO)**
The [CAFO general permit](#) covers discharges that originate from facilities where animals are raised and kept in confined situations and that meet threshold animal population criteria.
 - In SFY 2019/20, sites operating under a CAFO permit totaled 489

(Note: During SFY 2019/20, DEC completed the transition to permit all CAFO sites under authority of the state ECL, including those sites that were permitted under the federal CWA. Coverage under the ECL is more protective of the environment and public health by not permitting a discharge of process wastewater from production.)
- **Private, Commercial, and Institutional (PCI-GP)**
The [PCI-GP general permit](#) is issued for a discharge to groundwater of 1,000 to 30,000 gallons per day of treated sanitary waste from on-site treatment works serving a PCI facility.
 - In SFY 2019/20, there were 2,081 sites covered under a PCI general permit
- **Aquatic Pesticide Applicator (PA)**
The [PA general permit](#) is required for point source discharges resulting from any application of a pesticide labeled for aquatic use directly to, in, or over a surface water of New York state.
 - In SFY 2019/20, there were 460 permitted aquatic pesticide applicators

Other classifications:

- The USEPA issues the [vessel general permit](#) in New York state. This permit regulates incidental discharges from the normal operation of commercial vessels and implements Section 402 of the Clean Water Act.
- In 2019 DEC created a new discharge class to enable registration of publicly owned sewer systems (POSS). Registration of these systems is a requirement of the Sewage Pollution Right-to-Know Act and necessary for effective public reporting of sewage releases. While POSS are not issued SPDES permits, DEC monitors these systems and provides a summary of activities in the appendices.

For more information regarding the SPDES permitting program, visit <http://www.dec.ny.gov/permits/6054.html>

Figure 3 shows the distribution of authorized permits in effect on March 31, 2020.

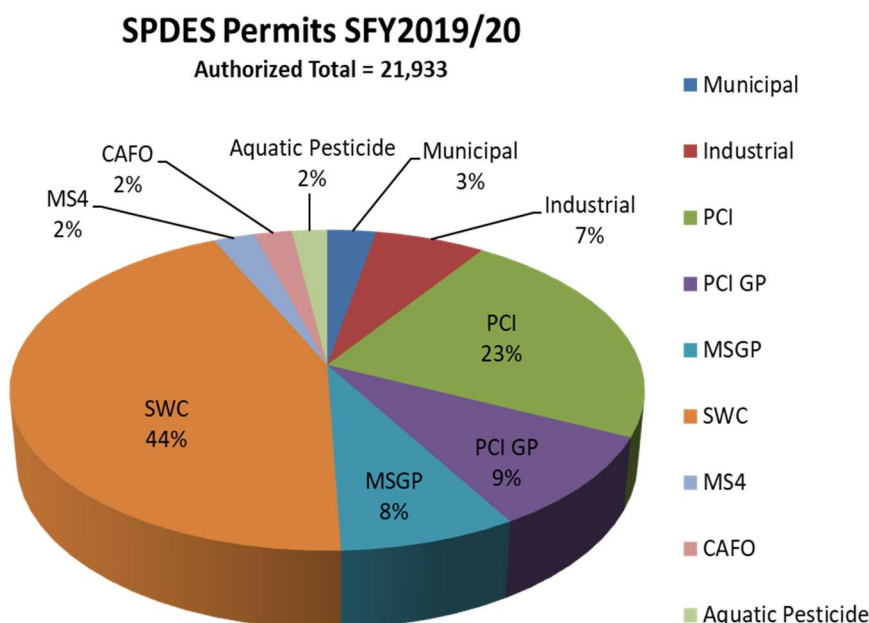


Figure 3

SPDES Program Monitoring and Compliance

DEC monitors SPDES-permitted facilities through various activities, including:

- Analyzing periodic discharge monitoring reports (DMR) from permitted facilities^{5 6}
- Conducting periodic facility inspections
- Responding to citizen complaints
- Managing the wastewater treatment plant operator certification program
- Analyzing facility specific reports (i.e., monthly operating data, and those required as a condition of the SPDES permit or an Order on Consent)

⁵ 6 NYCRR Part 750 requires that samples collected at SPDES-permitted facilities and reported to DEC be analyzed at a state-approved laboratory. Visit www.wadsworth.org/labcert/elap/elap.html for details on this program.

⁶ Many SPDES-permitted facilities are required to submit periodic effluent quality data reports. Generally, larger, and more complex facilities report monthly, with many others required to report annually. All permittees are to maintain records and monitoring data for periodic DEC review.

Discharge Monitoring Reports (DMRs)

The cornerstone of DEC's oversight program involves receiving DMRs on a recurring basis. SPDES-permitted facilities designated as 'significant' are required to periodically submit analytical data that are representative of the discharge from that facility. Each month DEC receives over 1,600 DMRs. For SFY 2019/20 this resulted in 516,439 reported data points, which reflects the effluent quality discharged by SPDES-permitted entities. DMR data is also required to be submitted semi-annually for facilities covered under the MSGP program.

Data provided by these DMRs enable DEC to determine the compliance status of a facility by comparing actual effluent sample results to SPDES permit limits. For several years permittees have been required to submit these data electronically, which is stored in the Integrated Compliance Information System (ICIS) that is owned and maintained by USEPA. DEC uses this data system to detect violations, identify trends, and support compliance and enforcement activities.

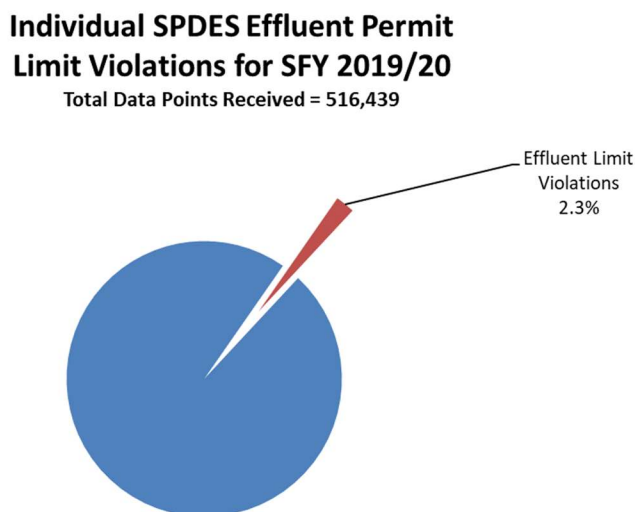


Figure 4

During SFY 2019/20 nearly 98% of data reported to DEC was compliant with the respective permit limit values. Data from DMR reporting for SPDES-permitted facilities are available to the public through USEPA's [ECHO](https://echo.epa.gov/) website⁷. Figure 4 illustrates the proportion of DMR-reported data that are violations in relation to the total submitted during SFY 2019/20. Among the violations reported are those for:

- Exceeding a SPDES permit effluent limit
- Not meeting a compliance or permit schedule due date
- Failure to submit a DMR, or submitting one that is either incomplete or late

⁷ <https://echo.epa.gov/>

Inspections

DEC maintains a field presence through nine regional and five sub-regional offices, with additional support from staff at its Albany headquarters. Each year, DEC develops and implements a SPDES oversight and inspection work plan that reflects current priorities, availability of staff and resources, and goals established with USEPA.

In past years, DEC's field presence was primarily determined by a neutral surveillance policy. Except for complaint response and critical situations, facility inspections occurred on a pre-determined basis, such as conducting an annual comprehensive inspection at each USEPA major-class SPDES permitted facility.

In response to staff and resource limitations, DEC utilizes a risk-based strategy. This approach targets unpermitted entities and those SPDES-permitted facilities deemed to pose an elevated potential threat to the environment or public health. Determining factors include:

- Current or past wastewater treatment system performance
- Adherence to established deadlines and commitments
- Compliance status with established effluent permit limits
- Permitted discharges into sensitive waterbodies
- Date of last inspection

Given the diversity of SPDES-permitted facilities, managers in regional offices can further refine oversight activities to reflect local factors, such as ecologically sensitive waterbodies or a predominance of certain permitted activities.

Like much of society, COVID-19 impacts resulted in DEC staff unable to meet inspection goals. The month of March is often when many inspections occur and was when the pandemic and closures took hold. To ensure effective oversight during this time and respect the operational challenges of essential staff at these sites, DEC temporarily adjusted its inspection regimen and sought details otherwise. For example, staff reviewed operational data during a conference call with facility staff, while another requested photos of each unit process in a facility, including all discharge points. Another inspector viewed a live stream video feed as an operator toured key process components at the site.

Figure 5 presents SPDES permit inspection activities by DEC and its partners since 2009⁸. Refer to Appendices C and D for additional detail on inspection activities.

⁸ DEC partners include county departments of health and soil and water conservation districts. Data for SFY 2012/13 and earlier include inspections completed by the Interstate Environmental Commission.

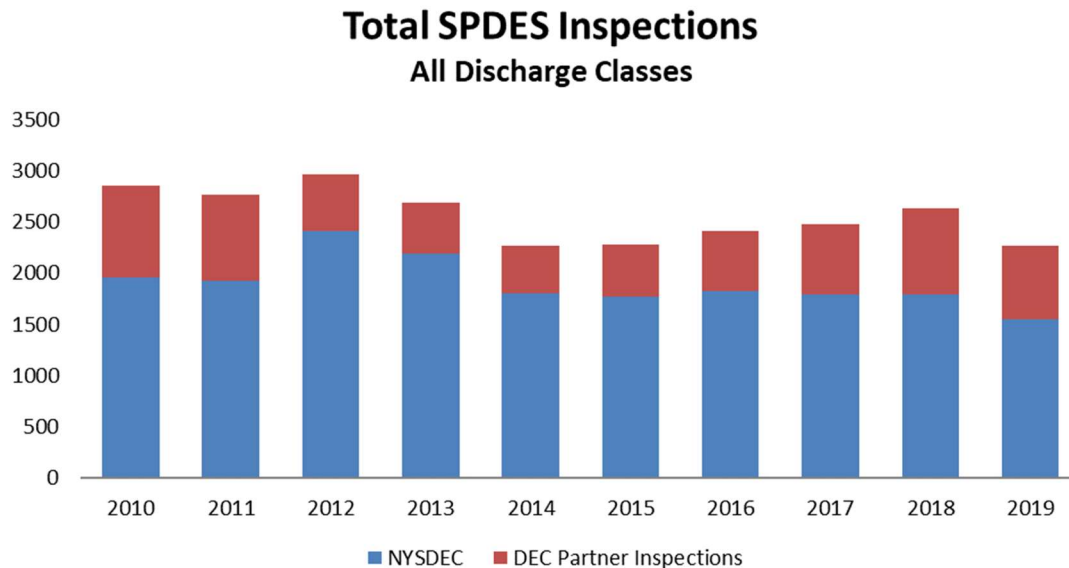


Figure 5

Citizen Complaints

Inquiries and complaints by citizens assist DEC's SPDES compliance efforts. DEC investigates these complaints to determine any impact upon the environment or public health. If staff determine there is a violation, DEC seeks corrective action to minimize negative impacts and, if necessary, pursues enforcement through the Office of General Counsel or Division of Law Enforcement.

Wastewater Operator Certification and Training⁹

Competent and credentialed operators serve as frontline defenders of public health in their own communities. Since 1937, New York State has required certification of municipal wastewater treatment plant operators. [Part 650](#) of Title 6 of NYCRR details requirements of the wastewater operator certification program. Prior to receiving this certificate, an individual must complete DEC-approved training, possess hands-on operational experience at a treatment facility, and pass a certification exam.

Each operator certificate is valid for a five-year period. During this period the operator must complete DEC-approved training that is necessary to renew the certificate. Training events typically focus on safety, operation and maintenance of mechanical equipment, and optimizing the treatment process. Over 3,000 individuals currently possess DEC-issued certificates to serve as wastewater

⁹ Beginning September 1, 2011, DEC transferred administration of operator certification and certificate renewal applications to the New York Water Environment Association (NYWEA). NYWEA now processes all applications while DEC approves qualifications. DEC continues to review all applications for training events utilized by certified operators to Part 650 renewal requirements.

treatment plant operators in New York state.

SFY 2019/20 Wastewater Operator Certification Program Summary

Activity	Number
Applications approved to take the operator certification exam	215
Operators passing the certification exam	182
Operators failing one or more certification exams	229
Applications approved for renewal of an operator certificate	380
Certificates suspended or revoked	1

Figure 6

Reflecting a national trend, during SFY 2019/20 there were fewer operators applying for certification, including both initial applicants and those expanding upon existing certification. A positive trend noted for a second consecutive year was the rise in the overall exam passing rate. One reason for this may be due to DEC involving members of the operator Governance Council to select exam questions rather than continue use of a standardized exam. This change will ensure operators are tested on instructional material presented during the required pre-certification training.

Exacerbating the national workforce trends in New York are the considerable numbers of POTWs of all size completing or continuing process upgrades. The POTW rating system DEC utilizes assigns points for each treatment process, unit, or permit requirement. With recent upgrades, numerous POTWs score higher, requiring a corresponding increase in the minimum level of certification for each the chief and assistant operator.

Separately, operators seeking to renew their existing certification rose. With impacts from COVID-19 still evolving, DEC expects web-based training to continue providing a valuable option in the absence of in-person events.

For more information on the core competencies required of a wastewater treatment operator, visit the Association of Boards of Certification website at:

www.abccert.org/testing_services/need_to_know_criteria.asp

More information on the operator certification program is available at:

- NYWEA – Wastewater Treatment Plant Operator Certification Program
 - <http://nywea.org/OpCert/>
- NYSDEC – Wastewater Treatment Plant Operation
 - www.dec.ny.gov/chemical/8464.html

Details on New York's and national wastewater workforce challenges can be found at:

- NYWEA – Operator of the Future white paper, January 2016
 - www.nywea.plexhosted.net/DocsOpCert/OperatorFuture02016.pdf#search=operator%20of%20the%20future
- United States Government Accountability Office - Report
 - <https://www.gao.gov/products/GAO-18-102>
- United States Department of Labor - Employment Statistics
 - <https://www.bls.gov/oes/current/oes518031.htm>

SPDES Program Enforcement

Upon discovery of a SPDES or water quality violation, the primary goals of DEC are to end the violation, restore compliance, and achieve measures to prevent recurrence of conditions that led to the violation. While DEC can pursue criminal and/or civil action, depending upon the violation, most formal enforcement actions taken are civil, primarily through use of a negotiated Order on Consent.

Using a graduated approach in most situations, DEC staff will first use informal strategies to restore compliance. These strategies include issuing a notice of violation (NOV), holding a compliance conference with permitted facility representatives, or requesting specific actions be taken to cease the non-compliance. Should informal actions by DEC prove unsuccessful, or if there is a public health threat or risk of environmental damage, formal enforcement is available to satisfactorily resolve the violation and restore compliance.

Various formal enforcement options are available to DEC. The most common options are the Order on Consent and environmental conservation officer (ECO) issued tickets. An Order on Consent is a legally binding document issued by DEC and agreed to by the SPDES permit holder, or responsible party if the discharge is unpermitted. DEC routinely uses Orders on Consent to restore compliance and enhance future compliance. An ECO-issued ticket may require payment of a penalty by the legally responsible party and may impose remedial actions.

Common requirements of an Order on Consent include:

- Payable penalty and suspended and/or stipulated penalties
- Compliance schedule for corrective action
- Progress reporting and/or meetings
- [Environmental Benefit Project \(EBP\)](#)¹⁰

¹⁰ An EBP is an action that a respondent agrees to undertake in partial settlement of a wider enforcement action. Generally, an EBP must improve, restore, protect, and/or reduce risks to public health and/or the environment. For the DEC policy regarding an EBP, visit www.dec.ny.gov/regulations/64596.html

Figure 7 presents a 10-year summary of formal enforcement actions (ECO tickets, Orders on Consent, and Consent Decrees), along with assessed and collected penalty amounts. Corresponding data is found in Appendix C, and a full list of SPDES-related formal enforcement actions for SFY 2019/20 is found in Appendix E.

Enforcement Actions SFY 2010/11 through SFY 2019/20

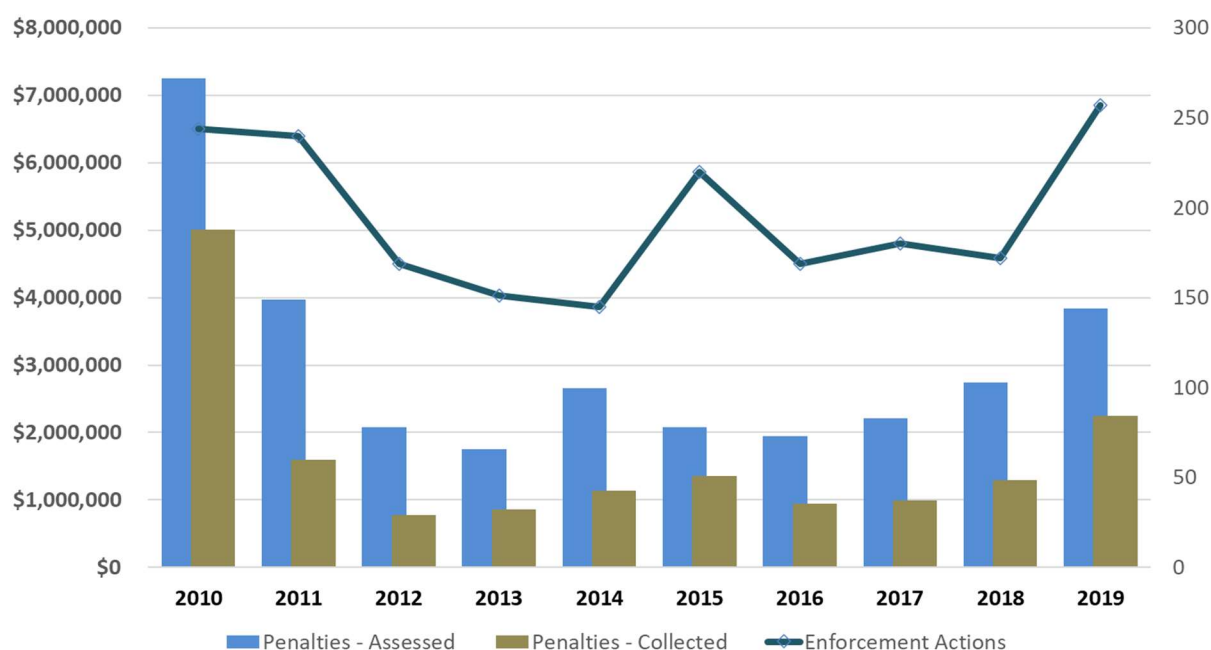


Figure 7

Shared Oversight of the SPDES Program DEC's Relationship with USEPA

In 1975 DEC was authorized by USEPA to manage water pollution control requirements of the 1972 CWA in New York state. A primary component of this authorization is implementation of the SPDES program, New York's equivalent to the federal NPDES program. While comparable, DEC regulations provide additional protection for groundwater resources.

Today, USEPA and DEC continue their cooperative relationship by establishing priority watershed activities, implementing annually revised work plans, and seeking community-based solutions. An important part of this relationship is the 1987 USEPA/DEC Enforcement Agreement. This agreement outlines DEC's [responsibilities](#) to maintain compliance of facilities permitted under the SPDES program. DEC's responsibilities include:

- Monitoring permit compliance

- Identifying facilities meeting significant non-compliance (SNC) criteria
- Identifying facilities requiring enforcement action to restore compliance
- Timely and appropriate enforcement in response to SNC and priority violations
- Maintaining and sharing compliance data and information with USEPA

This agreement also establishes procedures for USEPA oversight and review of DEC's SPDES program, primarily through the [state review framework process](#)^{11 12}. The SNC program, a key element of DEC's oversight activities, requires quarterly meetings with USEPA where causes of significant non-compliance at major-class SPDES permitted facilities are discussed and actions to restore compliance are identified. Persistent violation of a SPDES permit requires an enforcement action that assesses a financial penalty and/or the installation of new or replacement equipment or treatment systems.

A primary feature of the enforcement agreement is for USEPA and DEC to collectively seek to restore compliance at major-class facilities. Those identified as minor-class facilities or operating under a general permit are overseen primarily by DEC, with USEPA available to initiate action after consultation with DEC.

With priority given to major-class dischargers, USEPA and DEC apply criteria to identify those facilities with SNC violations. Examples of SNC violations include:

- DMR data exceeding a USEPA-defined threshold
- A facility's failure to provide a specific document or report required as a condition of a legally binding discharge permit, Order on Consent, or other enforcement action
- Completion of a major upgrade or meeting final effluent limits past an established deadline
- A discharge that threatens public health or the environment

Facilities meeting these criteria become the focus of quarterly meetings where DEC provides details on the cause, frequency, and severity of violations. DEC is then responsible to seek a return to compliance or, if violations continue, to pursue enforcement. Common enforcement actions include issuing a NOV, or executing an Order on Consent with DEC.

The rate of SNC represents those USEPA designated and major-class permittees that met the SNC criteria *at least once* during a given period. For SFY 2019/20, the SNC rate for these 337 major-class facilities in New York State was 24% (see Figure 10).

¹¹ Although New York has an authorized program, USEPA reserves authority for oversight and enforcement actions under the CWA. Separately, USEPA has retained and not delegated both the pretreatment and biosolids programs in New York.

¹² The State Review Framework (SRF) assesses USEPA and state enforcement of the CWA, the Clean Air Act (CAA), and Resource Conservation and Recovery Act (RCRA). Designed by USEPA and the Environmental Council of the States, USEPA works in partnership with each state to create a periodic SRF report. SRF reports allow USEPA to identify recommendations for improvement to ensure fair and consistent enforcement and compliance programs across the nation.

The facilities on this list change from quarter to quarter, as some return to compliance while others join the list.

Rate of Significant Non-Compliance (SNC) for major-class SPDES permittees

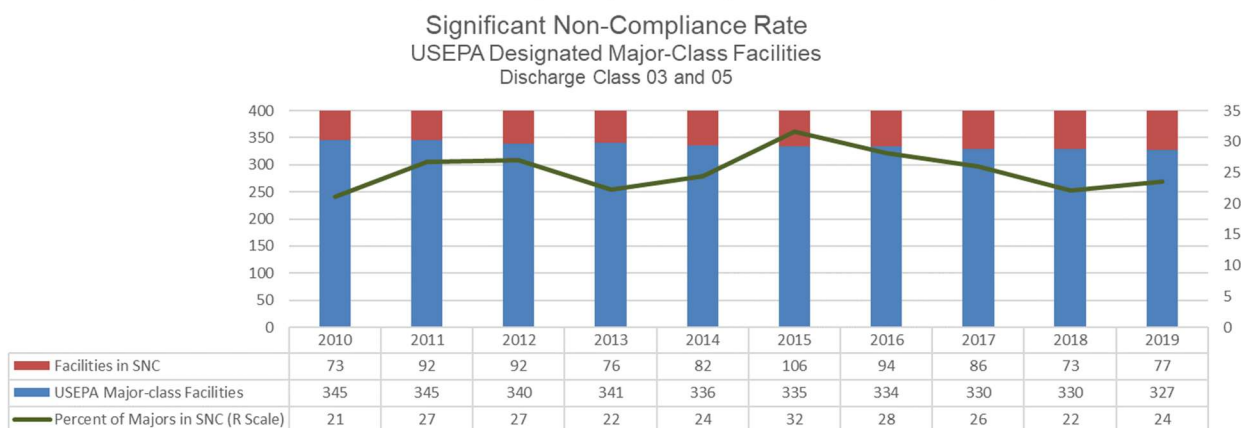


Figure 10

USEPA/DEC Work Sharing Agreement for Clean Water Act Inspections and Enforcement

To facilitate compliance monitoring across core programs of the Clean Water Act, USEPA and DEC annually develop an inspection work plan to identify USEPA inspections in New York State that address program priorities while recognizing available resources. The goal of this plan is to maximize the environmental benefit of the USEPA inspection program at facilities identified by USEPA and DEC as high priority.

For this plan, DEC provides information that is necessary for USEPA to prioritize and select facilities to inspect. Depending on DEC requests and national priorities, USEPA will conduct inspections at facilities where they may or may not have program primacy. This plan also establishes protocol for the coordination of each inspection and any ensuing compliance and/or enforcement actions and identifies which agency will assume a lead role should an enforcement action be necessary.

Under this work planning approach, DEC can provide input into inspections for programs that USEPA administers, such as pretreatment and biosolids, while sharing resources to enable USEPA to focus on areas that DEC may devote fewer inspection resources to. This teamwork approach allows for an exchange of experience and institutional knowledge, while ensuring a consistent approach to an inspection regardless of which agency is participating or providing a leadership role.

Appendix A

Definition of Terms

Agricultural Environment Management (AEM) certified planner – A professional who provides services to CAFO-regulated farms in New York State, including development of comprehensive nutrient management plans (CNMPs).

Animal Feeding Operation (AFO) – A lot or facility (other than an aquatic animal production facility) where the following conditions exist:

- Animals (other than aquatic animals) have been, are, or will be stabled or confined and fed or maintained for a total of 45 days or more in any 12-month period.
- Crops, vegetation, forage growth, or post-harvest residues are not sustained in the normal growing season over any portion of the lot or facility.

AFOs are agricultural operations where animals are kept and raised in a confined situation. In this space the animals may feed, generate manure and urine, and produce eggs, milk, or other desirable outputs. Feed is brought to the animals rather than the animals grazing or otherwise seeking feed in pastures, fields, or on rangeland.

Annual Compliance Report – Applicable to CAFO permitted sites, this is a report that is due annually to DEC. The report is to detail facility information, type and number of confined animals, manure and wastewater production and transfer data, and other details relevant to the environmental management of the site. A copy of this form can be found at www.dec.ny.gov/docs/water_pdf/gp01401acr.pdf

Best Management Practices (BMP) – BMP consist of various technical or managerial strategies that intend to address a specific problem or guide an activity while being efficient and cost effective.

CAFO Permit – A SPDES permit that covers all applicable CAFOs statewide with generic requirements for wastewater discharges, including surface water and groundwater. A CNMP, required for all CAFO permitted sites, details site-specific requirements for each CAFO and becomes an enforceable condition of this permit.

Clean Water Act (CWA) – The primary federal law governing water pollution control. Passed in 1972, this act relies upon the Federal Water Pollution Control Act amendments of 1972 for much of its authority.

Combined Sewer Overflow (CSO) – A discharge of untreated wastewater from a combined sewer system at a point before the headworks of a publicly owned treatment works (POTW). CSOs generally occur during wet weather (rainfall or snowmelt) and combine a mixture of stormwater runoff and untreated sewage.

Compliance Schedule – A schedule of remedial measures included in a permit or legally enforceable action, with a sequence of interim requirements (e.g., actions, operations, or milestone events) leading to compliance with the CWA and regulations.

Comprehensive Nutrient Management Plan (CNMP) – A conservation plan, unique to animal feeding operations, designed to evaluate all aspects of farm production and offer conservation practices that help achieve production and natural resource conservation goals. The New York State Soil and Water Conservation Committee, with guidance from other partner agencies, established a comprehensive certification process to ensure certified planners from both the public and private sectors are available and qualified to meet the high standards for CNMP development and implementation.

Concentrated Animal Feeding Operation (CAFO) – An animal feeding operation (AFO) further defined as a large or medium CAFO meeting either one of the following conditions:

- Pollutants are discharged into waters of the United States through a human-made ditch, flushing system, or other similar human-made device.
- Pollutants originating outside of and passing over, across, or through the facility or that otherwise come into direct contact with the animals confined in the operation are discharged directly into waters of the United States.

Construction Stormwater Permit – Stormwater Discharges from Construction Activity General Permit (GP-0-10-001), issued pursuant to Article 17, Title 7, 8 and Article 70 of the Environmental Conservation Law, authorizes stormwater discharges from eligible construction activities under the terms and conditions of the permit.

Demonstration Approach – One of two (2) permissible strategies for CSO communities to consider when evaluating CSO control options. Under this approach, the CSO community would develop and implement a long-term control plan that meets applicable water quality standards.

Discharge Monitoring Report (DMR) – A self-monitoring report that permitted facilities submit to NYSDEC, typically on a monthly basis, which detail facility effluent data.

Drainage Basin – The land area from which all precipitation runs off into streams, rivers, lakes, and reservoirs.

ECHO – Enforcement and Compliance History Online. ECHO is the USEPA-owned website that provides details of the compliance and enforcement history of facilities permitted under the Clean Water Act.

ECL – Environmental Conservation Law. The body of law that established NYSDEC and authorizes its programs, often abbreviated as ECL. The full text of New York's ECL is found on the [New York State Legislative Information System](#).

ECO – Environmental Conservation Officer. ECOs are members of the NYSDEC Division of Law Enforcement and enforce New York State's Environmental Conservation Law.

Environmental Benefit Project (EBP) - A project that an administrative respondent or judicial defendant (“respondent”) agrees to undertake as part of the settlement of an enforcement matter. NYSDEC may suspend the obligation to pay a portion of a penalty where a respondent agrees to undertake an EBP. Generally, an EBP must improve, restore, protect, or reduce risks to public health or the environment beyond that achieved by a respondent's full compliance with applicable laws and regulations. Examples of EBPs include those that do the following:

- Conserve, improve, and/or protect the state's natural resources and environment
- Prevent, control or reduce water, land and air pollution
- Enhance the health, safety and welfare of the people of the state
- Enhance the overall economic and social well being of the people of the state
- Achieve significantly early compliance with environmental laws and regulations or go significantly beyond minimum compliance in performance commitments
- Promote compliance with environmental requirements by providing practical and effective education to the public, regulated persons, stakeholders, and others as to the improvement, restoration, protection, or reduction of risks to public health, the environment, or natural resources

Gray Infrastructure – Most commonly refers to conventional infrastructure: pipes, tanks, sewage collection systems, and drinking water systems. While not always grey in color, these infrastructure assets typically provide underlying support to a modern and economically developed society.

Green Infrastructure – Represents an approach to wet weather management that is cost effective, sustainable, and environmentally friendly. This approach commonly involves the use of permeable pavement, rain barrels, or “green” roofs. Often these devices intend to divert stormwater runoff from a sanitary sewer, where it can cause an overflow and result in a public health or environmental situation.

Infiltration – Refers to seepage of groundwater into a sewer system, including service connections. Seepage frequently occurs through defective or cracked pipes, pipe joints, or manhole walls.

Infiltration and Inflow (“I & I”) – this is the total quantity of water from both infiltration and inflow.

Inflow – This water enters a sewer system from roof leaders, foundation drains, storm sewers, leaky manhole covers, and numerous other sources.

Industrial Discharge Permit – This permit applies to facilities that conduct industrial activities but are not municipal or private, commercial, and institutional (PCI) class facilities.

Large CAFO – An AFO that stables or confines as many as or more than the numbers of animals specified in any of the following categories:

- 700 mature dairy cows, whether milked or dry
- 1,000 veal calves
- 1,000 cattle, other than mature dairy cows or veal calves. Cattle include, but are not limited to, heifers, steers, bulls and cow/calf pairs
- 2,500 swine, each weighing 55 pounds or more
- 10,000 swine, each weighing less than 55 pounds
- 500 horses
- 10,000 sheep or lambs
- 55,000 turkeys
- 30,000 laying hens or broilers, if the AFO uses a liquid manure handling system
- 125,000 chickens (other than laying hens), if the AFO uses other than a liquid manure handling system
- 82,000 laying hens, if the AFO uses other than a liquid manure handling system
- 30,000 ducks, if the AFO uses other than a liquid manure handling system
- 5,000 ducks, if the AFO uses a liquid manure handling system

Long Term Control Plan (LTCP) – A LTCP is a phased approach for control of combined sewer overflows that requires the permittee to develop and submit an approvable plan that will ultimately result in compliance with New York state water quality standards and Clean Water Act requirements.

Major Industrial Facility – An industrial facility with a discharge that is relatively large in volume, has “toxicity potential” as defined by the *USEPA NPDES Permit Writers’ Manual* and meets certain rating criteria developed by USEPA, in conjunction with NYSDEC.

Major Municipal Facility – A publicly owned treatment facility that treats wastewater flows of 1.0 million gallons per day (MGD) or greater and has an USEPA or state-approved industrial pre-treatment program. This may also include publicly owned treatment facilities with a design flow of 0.5 to 1.0 million gallons per day that USEPA or NYSDEC designate as being a major-class facility.

Medium CAFO – An AFO that stables or confines animals falling within any of the following ranges:

- 200 to 699 mature dairy cows, whether milked or dry
- 300 to 999 veal calves
- 300 to 999 cattle, other than mature dairy cows or veal calves. Cattle include, but are not limited to, heifers, steers, bulls and cow/calf pairs
- 750 to 2,499 swine, each weighing 55 pounds or more
- 3,000 to 9,999 swine, each weighing less than 55 pounds
- 150 to 499 horses
- 3,000 to 9,999 sheep or lambs
- 16,500 to 54,999 turkeys

- 9,000 to 29,999 laying hens or broilers, if the AFO uses a liquid manure handling system
- 37,500 to 124,999 chickens (other than laying hens), if the AFO uses other than a liquid manure handling system
- 25,000 to 81,999 laying hens, if the AFO uses other than a liquid manure handling system
- 10,000 to 29,999 ducks, if the AFO uses other than a liquid manure handling system
- 1,500 to 4,999 ducks, if the AFO uses a liquid manure handling system

Minor Industrial Facility – An industrial facility that is neither a major industrial facility nor a non-significant facility.

Minor Municipal Facility – A POTW that is neither a major municipal facility nor a non-significant facility.

MS4 Permit – This general permit, issued pursuant to Article 17, Title 7, 8 and Article 70 of the Environmental Conservation Law, authorizes operators of an MS4 in New York State to discharge to waters of the United States in accordance with the conditions and requirements set forth in the permit.

Multi-Sector General Permit (MSGP) – This permit covers facilities with stormwater discharges to waters of the state from a point source that conducts industrial activities within 40 CFR Part 122.26(b)(14)(I) through (ix) and (xi), as well as other miscellaneous industrial activities designated by NYSDEC on an individual basis.

Municipal Discharge Permit – This permit applies to publicly owned wastewater treatment plants discharging municipal sewage. Municipal sewage is wastewater composed of residential sewage, with or without the admixture of industrial wastewater.

Municipal Separate Storm Sewer System (MS4) – A conveyance, or system that is:

- Owned or operated by a state, county, or other public body created by state law, having jurisdiction over disposal of sewage, industrial wastes, stormwater, or other wastes
- Designed or used for collecting or conveying stormwater
- Not a combined sewer
- Not part of a publicly owned treatment works

National Pollutant Discharge Elimination System (NPDES) – The federal Clean Water Act authorized development of NPDES to regulate all discharges to surface waters of the United States (NPDES does not cover discharges to ground water). Under New York State Environmental Conservation Law, NYSDEC administers the state's program for meeting the requirements of NPDES (see "SPDES" below).

Non-Significant Facility – A facility that NYSDEC determines poses a minimal water quality risk and possesses a SPDES permit that does not contain limitations for the discharge of priority pollutants or other toxic constituents.

Notice of Violation (NOV) – A written notification of non-compliance from NYSDEC. This should be the minimum department response to all significant non compliance (SNC) and is often the last informal enforcement activity prior to commencement of formal enforcement.

Order on Consent – A legally binding agreement negotiated by NYSDEC and a SPDES permittee, which addresses specific violations and includes provisions for a payable penalty. An Order on Consent may also include suspended and/or stipulated penalties, interim effluent limitations, and a compliance schedule for corrective action.

Presumption Approach – One of two (2) permissible strategies for CSO communities to consider when evaluating CSO control options. Under this approach, certain performance criteria (i.e. 4-6 untreated overflow events or 85 percent by volume capture) would be presumed to provide an adequate level of control to attain water quality standards.

Priority Pollutants – Chemical pollutants that USEPA regulates and for which it has published analytical test methods.

Private, Commercial, and Institutional (PCI) Permit – This class of permit regulates the discharge of wastewater from a facility meeting the criteria of a PCI facility.

Publicly Owned Sewer System (POSS) – A municipal sewage collection system owned by one or more municipalities. Generally, this includes interceptors, force mains, and pump stations, while excluding lateral piping that serves to connect the wider system to an individual residence, or commercial or industrial properties.

Publicly Owned Treatment Works (POTW) – A municipal wastewater treatment facility owned by a state or municipality.

Sanitary Sewer Overflow (SSO) – The occasional, unintentional discharge of raw sewage from municipal sanitary sewers. These discharges can occur at sewage pump stations or manholes, or in home basements.

Secondary Treatment – The technology-based requirement for direct discharging by a POTW. Secondary treatment consists of a combination of physical and biological processes typical for the treatment of pollutants in sewage.

Sewage Pollution Right to Know Act – This is a New York state law that went into effect May 1, 2013. This law requires the reporting of untreated or partially treated sewage discharges, also known as bypasses, from publicly owned treatment works (POTWs). The law imposes new reporting requirements for publicly owned sewer systems (POSSs) and combined sewer overflows (CSOs). The first phase of the SPRTKA provides a system for collecting reports of these discharges. The second phase, currently under development, will provide regulations to require POTWs and POSSs to directly notify the public of discharges of untreated or partially treated sewage.

Short-form Order on Consent – This is a formal enforcement document that is similar to the longer version of an order on consent. A short-form order on consent is appropriate in cases of non-compliance when:

- Remedial action is not necessary or complete
- Only minor compliance activity is required
- It is approved by NYSDEC's regional attorney and relevant program supervisors
- The assessed penalty amount is \$10,000 or less

Significant Non Compliance (SNC) – The compliance status of a significant-class facility that has at least one unresolved, significant, non-compliance occurrence during the report period. Examples of such an occurrence include submitting a permit or compliance schedule milestone after the deadline, failure to submit a discharge monitoring report, or effluent discharge violations that exceed the threshold outlined in the NYSDEC/USEPA enforcement agreement.

State Pollutant Discharge Elimination System (SPDES) – The state program that administers the federally delegated program (see “NPDES” above) for the regulation of wastewater discharges to surface waters. In addition, state law regulates discharges to groundwater, which are not part of the federal delegation. The minimum threshold for a SPDES permit for groundwater discharges is 1,000 gallons per day for sanitary wastewater, while discharges including any industrial wastewater have no minimum threshold. The New York State Department of Health regulates discharges of less than 1,000 gallons per day, consisting of only sanitary wastewater.

Stormwater Construction (SWC) Permit – This permit covers all applicable stormwater discharges relating to eligible construction activities.

Stormwater Pollution Prevention Plan (SWPPP) – This document, based on sound engineering practices, details erosion and sediment controls during construction and post-construction stormwater control practices.

Total Maximum Daily Load (TMDL) – A calculation of the maximum amount of a pollutant or multiple pollutants that a waterbody can receive and still meet water quality standards.

Total Suspended Solids (TSS) – Listed as a conventional pollutant in the Clean Water Act of 1972, TSS is a measurement of solids that are visible and/or in suspension of a water sample. SPDES permits extensively require this analysis as an effective means to measure the quality of water discharged.

Uniform Ticket (UT-50) – A ticket issued by an ECO that initiates formal judicial proceedings of a civil, rather than criminal, nature. Conversely, ECO NOVs are administrative tickets issued and resolved by ECOs with assistance from DOW staff.

Unpermitted Discharge – A discharge not authorized by, or in violation of, a permit.

Vegetated Treatment Area (VTA) – A component of an agricultural waste management system consisting of a strip or area of herbaceous vegetation for the treatment of contaminated

Water Quality Based Effluent Limit (WQBEL) – This value is determined by selecting the most stringent of the effluent limits calculated using all applicable water quality criteria (e.g. aquatic life, human health, and wildlife) for a specific point source to a specific receiving water for a given pollutant

Wet Weather Operating Plan – A document used by wastewater collection and/or treatment staff to provide guidance on operational changes to make during wet weather conditions. These changes allow for the highest degree of treatment when flows exceed design standards.

Appendix B

Sewage Pollution Right to Know Summary Report



N.Y.S. PERMITTED DISCHARGE POINT
(wet weather discharge)
SPDES PERMIT No.: NY _____

OUTFALL No. : _____

For information about this permitted discharge contact:

Permittee Name: _____

Permittee Contact: _____

Permittee Phone: () - ### - ####

OR:

NYSDEC Division of Water Regional Office Address : _____

NYSDEC Division of Water Regional Phone: () - ### - ####

Sewage Pollution Right to Know SFY 2019/20 Annual Summary Bureau of Water Compliance

Appendix B



Examples of the signs required by 6 NYCRR Part 750-1.12 for permitted discharges

Introduction

The Sewage Pollution Right to Know Act (SPRTKA) requires the reporting of sewage releases from publicly owned treatment works (POTW) and publicly owned sewer systems (POSS). The SPRTKA modified the timeframe and required details for reporting sewage discharges under 6 NYCRR Part 750.

Through regulatory changes in November 2016, the SPRTKA required discharges to be reported immediately, but no later than two hours after discovery of a discharge, by a POTW or POSS to both the New York State Department of Environmental Conservation (DEC) and the state or local Department of Health (DOH) office with the following information:

- Volume of discharge
- Discovery date and time of discharge
- Expected duration of discharge
- Location of discharge
- Reason for the discharge
- Steps taken to contain discharge

As soon as possible, but no later than four hours after discovery of a discharge, a POTW or POSS must also notify the chief elected official of the discharging municipality and any adjoining municipalities; and the general public about discharges that reach a surface water and may present a threat to public health. DEC, in consultation with the New York State DOH, has determined that discharges directly to surface waters or one that may reach surface waters should be avoided by the public. DEC approved modifications to the NY-Alert system to enable these notifications, which requires use of this system by the discharger during such events.

The SPRTKA also requires DEC to annually publish a summary of reports submitted by the municipalities. This appendix summarizes the information on reports submitted from April 1, 2019 through March 31, 2020 (SFY 2019/20).

Status Update

As of March 31, 2020, there were 937 facilities, with over 1300 notifiers, registered with DEC to use the NY-Alert system. This includes 647 POTWs, in addition to 290 POSSs. DEC staff ensure that all POTWs and POSSs become registered to use NY-Alert and have sufficient notifiers to meet SPRTK requirements. Recent changes to the SPDES permit application for POTWs will assist in the process of identifying a POSS that did not previously require registration with DEC.

Future Work

DEC continues to work with New York State Office of Information of Information Technology Services (OITS) to automate the process of storing the alerts in a DEC database and improve reporting abilities. Once the database is available, a web-based

search engine will be created for the public to access the alerts using certain criteria. As updates and fixes are applied to NY-Alert, DEC will inform notifiers and the public about the changes and upgrades, including through this summary.

Summary of NY-Alert Reports

This summary is based on the reports received by DEC and not only those sent to the public through NY-Alert due to a release into surface water. Data provided in these reports are the best estimates at the time the notifiers for the municipality created the alerts. Additionally, DEC requires daily updates and termination notifications for ongoing discharges which creates multiple records for a single event, except for permitted Combined Sewer Overflows (CSO). Reports that did not meet the statutory requirement to report were removed, including those determined to be privately owned systems or permitted effluent limit violations. A Microsoft Excel spreadsheet of all discharges reported under SPRTKA, is available at: <http://www.dec.ny.gov/chemical/90321.html>

During the SFY 2019/20 reporting period, approximately 6,500 NY-Alert reports were received by DEC. This reflects both initial reports for each sewage discharge and any updates to these events. This is an increase in the number of reports issued and is attributable to a gain in registered facilities and an NY-Alert system upgrade in 2018.

Through this updated NY-Alert system, municipalities are issuing updates and closing incidents more efficiently. Data for SFY 2019/20 provides the first 12 consecutive months of information while using the updated system.

With the system update, there have been extra reports submitted as the notifiers learn the new system. A closer review of these reports reveals that there were about 4,200 unique overflow events, originating from 246 different treatment facilities or collection systems. Approximately 4,000 discharges had the potential to or did reach a waterbody.

The estimated volume of all statewide discharges during SFY 2019/20 is 4 billion gallons. This estimated volume is calculated from the 96% of reports that included:

- a volume (estimated or actual) on the report
- data to calculate the volume from the duration and the rate of discharge
- the volume from the final report of a multi-day discharge.

The remaining 4% of reports either detail zero for the volume/rate, entered the end time of the discharge incorrectly causing a negative volume, or had other errors with the data and were not included in the calculation. Data entry issues were reviewed, and corrections were made to the data when discrepancies were noted. DEC has instructed notifiers to provide the best estimate of volume that can be provided while complying with the 2- hour reporting rule. Notifiers are not required to enter in actual volumes

which typically are not able to be measured from flow measurement devices. Notifiers are also not required to update their initial best estimate if overflow ends the same day, so the estimated volume discharged may be over/under reported.

For CSO communities, calculating an estimated volume per discharge is especially difficult since most outfalls are not monitored. Models are not run for every rainfall or CSO discharge event as these can be expensive to repeatedly perform. For SSOs it is also difficult to estimate the volume of a discharge from an overflowing manhole or a broken pipe.

The primary cause of untreated sewage discharges across the state remains rain and snow melt during winter months. Rainfall and the ensuing runoff often result in infiltration and inflow (I&I) into the sanitary sewer lines. High levels of I&I increase the flow through collection systems and treatment plants. When beyond system capacity, this can result in manhole surcharges and treatment plant bypasses. These types of overflow events are preventable and correctable by removing stormwater and other disreet connections to the sanitary sewers, separating combined sewers, sealing defective manholes, and replacing or rehabilitating broken sewer pipes.

Public Notification for CSOs to the Great Lakes

SPRTRK and NY-Alert are also the primary method for New York State permittees to comply with the EPA's Great Lakes basin CCSO public notification rule. Municipalities in New York state within the Great Lakes watershed have been reporting their CSO and SSO discharges through NY-Alert for the last 3 years to meet requirements under this EPA rule and the SPRTRKA. Also, Great Lakes CSO permittees in New York are required by permit to have outfall signage, submit an annual CSO status report, and implement a public participation plan.

Appendix C

SPDES Program Oversight Data

Appendix C: SPDES Oversight Data

01 Individual - Industrial Significant Minor	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Permitted Facilities	597	594	586	580	573	571	567	560	555	560
Facilities Inspected	287	252	232	248	264	227	251	288	232	197
Unsatisfactory	17	9	17	5	12	9	16	22	30	22
Marginal	51	32	52	29	29	21	18	35	44	32
Satisfactory	236	218	323	238	259	238	246	265	199	177
Not Rated	45	36	24	10	9	5	0	14	4	4
Inspections Conducted	349	295	416	282	309	273	280	336	277	235
No. in SNC for Year	120	132	105	120	127	157	142	140	93	93
DEC Enforcement Actions	27	15	11	13	8	20	15	18	21	12
Enf. Penalties - Assessed	\$3,163,000	\$683,500	\$127,750	\$124,350	\$104,250	\$405,603	\$101,137	\$285,750	\$240,835	\$273,287
Enf. Penalties - Collected	\$2,599,834	\$197,500	\$72,750	\$69,625	\$28,250	\$306,569	\$75,353	\$122,350	\$137,640	\$97,675
EBP Amount	\$3,015,000	\$0	\$0	\$0	\$0	\$0	\$0	\$60,000	\$9,000	\$0

02 Individual - PCI Non-Significant Minor	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Permitted Facilities	6057	5463	5105	5008	4846	4708	4700	4701	4691	4653
Facilities Inspected	126	128	109	154	67	81	80	72	50	54
Unsatisfactory	26	52	43	36	12	11	17	28	10	22
Marginal	46	31	29	38	18	29	26	24	16	8
Satisfactory	84	84	74	93	48	49	41	31	23	29
Not Rated	11	7	5	3	2	5	5	7	9	7
Total Inspections	167	174	151	170	80	94	89	90	58	66
DEC Enforcement Actions	14	6	7	7	3	9	3	24	16	10
Enf. Penalties - Assessed	\$148,750	\$174,575	\$76,875	\$54,113	\$96,000	\$72,550	\$102,175	\$210,830	\$286,475	\$325,190
Enf. Penalties - Collected	\$43,400	\$42,250	\$15,575	\$13,863	\$22,000	\$22,050	\$22,625	\$89,930	\$58,500	\$273,190
EBP Amount	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

03 Individual - Industrial USEPA Major	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Permitted Facilities	113	112	110	109	107	106	105	104	103	100
Facilities Inspected	70	69	69	76	85	68	74	72	55	58
Unsatisfactory	4	3	1	4	5	1	2	3	8	1
Marginal	5	11	13	6	6	2	12	3	5	8
Satisfactory	81	77	163	88	97	88	84	83	74	72
Not Rated	7	5	9	3	3	1	3	5	1	3
Total Inspections	97	96	186	101	111	92	101	94	88	84
No. in SNC for Year	17	11	14	20	14	22	18	18	18	16
DEC Enforcement Actions	8	7	5	2	4	4	5	2	8	6
Enf. Penalties - Assessed	\$1,083,000	\$103,750	\$35,625	\$76,000	\$121,000	\$186,321	\$127,125	\$57,000	\$5,420	\$426,480
Enf. Penalties - Collected	\$1,083,000	\$103,750	\$31,125	\$66,000	\$106,000	\$107,237	\$110,625	\$26,000	\$5,420	\$211,780
EBP Amount	\$3,000,000	\$0	\$0	\$0	\$25,000	\$60,000	\$0	\$0	\$0	\$0

04 Individual - Industrial Non-Significant Minor	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Permitted Facilities	846	810	800	782	771	746	772	752	755	776
Facilities Inspected	130	76	80	150	70	60	69	79	130	110
Unsatisfactory	23	13	12	19	11	24	20	30	77	68
Marginal	24	17	13	28	11	8	11	7	12	11
Satisfactory	58	39	59	49	37	28	34	21	22	23
Not Rated	43	14	38	66	19	4	6	27	25	16
Total Inspections	148	83	122	162	78	64	71	85	136	118
DEC Enforcement Actions	3	4	0	1	3	7	1	4	16	11
Enf. Penalties - Assessed	\$11,000	\$16,500	\$0	\$4,000	\$12,250	\$38,700	\$22,080	\$14,500	\$180,000	\$202,800
Enf. Penalties - Collected	\$4,000	\$4,000	\$0	\$2,000	\$12,250	\$22,450	\$10,000	\$14,500	\$71,250	\$98,750
EBP Amount	\$0	\$25,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

Appendix C: SPDES Oversight Data

05 Individual - Municipal USEPA Major	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Permitted Facilities	232	233	230	232	229	229	229	226	227	227
Facilities Inspected	198	201	190	205	198	205	206	181	180	173
Unsatisfactory	22	16	15	18	27	24	24	25	23	19
Marginal	61	57	51	50	50	57	52	73	133	57
Satisfactory	362	321	313	279	268	255	238	213	206	191
Not Rated	73	89	110	68	39	48	77	33	55	21
Total Inspections	518	483	489	415	384	384	391	344	417	288
No. in SNC for Year	56	81	78	56	68	84	76	68	55	61
DEC Enforcement Actions	29	26	21	11	19	24	18	17	5	22
Enf. Penalties - Assessed	\$1,130,890	\$1,984,500	\$846,350	\$290,900	\$1,796,420	\$478,469	\$437,460	\$658,860	\$294,250	\$620,219
Enf. Penalties - Collected	\$513,178	\$704,800	\$235,600	\$183,800	\$643,600	\$383,395	\$253,000	\$194,280	\$128,350	\$250,890
EBP Amount	\$305,000	\$702,500	\$304,000	\$41,000	\$72,500	\$459,000	\$800,000	\$35,000	\$0	\$34,500

07 Individual - Municipal Significant Minor	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Permitted Facilities	401	411	408	406	407	409	404	407	406	408
Facilities Inspected	266	289	259	331	299	302	307	288	282	289
Unsatisfactory	37	64	26	23	28	34	36	40	35	36
Marginal	132	93	98	95	109	79	59	57	96	91
Satisfactory	263	258	253	299	268	271	294	291	275	256
Not Rated	4	14	12	16	3	5	5	7	8	6
Total Inspections	436	429	389	433	408	389	394	395	414	389
No. in SNC for Year	95	90	86	96	93	126	95	106	77	68
DEC Enforcement Actions	14	10	23	14	12	12	7	1	12	14
Enf. Penalties - Assessed	\$176,000	\$33,400	\$268,800	\$156,750	\$42,950	\$100,650	\$145,680	\$144,150	\$88,256	\$156,100
Enf. Penalties - Collected	\$53,200	\$10,750	\$84,115	\$41,150	\$11,750	\$31,000	\$31,300	\$26,750	\$43,256	\$43,700
EBP Amount	\$20,000	\$0	\$28,000	\$0	\$0	\$0	\$0	\$10,000	\$0	\$0

09 Individual - PCI Significant Minor	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Permitted Facilities	264	277	282	286	288	300	305	307	312	319
Facilities Inspected	195	197	209	217	213	161	212	217	212	217
Unsatisfactory	83	91	83	7	12	88	56	60	79	129
Marginal	325	212	157	248	218	217	178	257	329	312
Satisfactory	229	195	233	186	195	270	166	230	308	213
Not Rated	0	1	9	6	4	0	138	70	32	6
Total Inspections	637	499	482	447	429	575	538	617	748	660
No. in SNC for Year	115	119	92	97	97	123	72	73	67	65
DEC Enforcement Actions	2	9	4	4	7	17	14	7	10	11
Partner Enforcement Actions	23	1	0	6	17	12	25	9	7	12
Enforcement Actions	25	10	4	10	24	29	39	16	17	23
Enf. Penalties - Assessed	\$37,750	\$131,000	\$11,800	\$277,750	\$19,000	\$108,750	\$76,550	\$62,250	\$50,750	\$137,095
Enf. Penalties - Collected	\$24,750	\$14,500	\$11,800	\$71,750	\$18,000	\$70,750	\$64,550	\$33,750	\$30,750	\$113,095
EBP Amount	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

11 General - Construction Stormwater	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
No. of Permits Authorized	7763	7763	7911	8007	8393	8207	8467	8601	8969	9605
Sites. Inspected	192	230	248	219	167	141	165	186	155	153
Unsatisfactory	63	53	54	40	55	42	36	50	67	39
Marginal	98	144	180	133	69	61	67	55	43	60
Satisfactory	145	107	135	172	105	107	116	139	100	101
Not Rated	26	17	13	23	13	11	19	20	27	16
Total Inspections	332	321	382	368	242	221	238	264	237	216
DEC Enforcement Actions	28	18	16	15	9	7	6	4	13	13
Enf. Penalties - Assessed	\$473,425	\$332,500	\$191,700	\$199,000	\$148,000	\$106,200	\$74,700	\$84,000	\$211,650	\$590,840
Enf. Penalties - Collected	\$226,050	\$192,250	\$105,400	\$140,000	\$89,000	\$80,000	\$37,700	\$46,000	\$183,530	\$444,900
EBP Amount	\$0	\$25,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

Appendix C: SPDES Oversight Data

12 General - Industrial Stormwater	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
No. of Permits Authorized	1518	1580	1647	1613	1657	1690	1695	1694	1542	1712
Sites Inspected	40	36	67	33	50	43	47	36	41	38
Unsatisfactory	10	7	30	10	9	13	13	19	13	11
Marginal	10	18	28	10	9	10	13	8	15	10
Satisfactory	21	12	35	10	29	20	22	11	16	15
Not Rated	4	2	4	3	4	0	3	1	5	6
Total Inspections	45	39	97	33	51	43	51	39	49	42
DEC Enforcement Actions	46	85	38	43	39	26	31	29	9	88
Enf. Penalties - Assessed	\$617,750	\$214,650	\$118,250	\$200,750	\$70,575	\$92,450	\$103,223	\$44,500	\$87,750	\$314,303
Enf. Penalties - Collected	\$231,775	\$114,650	\$66,750	\$117,750	\$65,575	\$86,250	\$63,350	\$44,500	\$54,500	\$277,414
EBP Amount	\$0	\$2,500	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

14 General - CWA CAFO Large	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
No. of Permits Authorized	143	147	151	161	170	179	192	5	5	0
No. Inspected	30	26	46	42	46	43	61	43	6	1
Unsatisfactory	5	4	6	2	2	3	8	7	1	1
Marginal	6	6	14	8	11	16	16	7	3	0
Satisfactory	18	15	27	32	30	24	37	29	3	0
Not Rated	4	3	8	4	9	4	10	9	1	0
Total Inspections	33	28	55	46	52	47	71	52	8	1
DEC Enforcement Actions	2	5	2	3	3	4	3	7	7	3
Enf. Penalties - Assessed	\$10,500	\$25,500	\$25,250	\$6,000	\$64,000	\$20,000	\$31,200	\$41,000	\$122,785	\$6,000
Enf. Penalties - Collected	\$10,500	\$11,000	\$17,000	\$1,750	\$44,000	\$9,000	\$12,800	\$14,000	\$41,180	\$6,000
EBP Amount	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

15 General - CWA CAFO Medium	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
No. of Permits Authorized	131	109	109	81	74	72	56	17	16	0
No. Inspected	34	32	43	22	23	29	44	35	8	9
Unsatisfactory	6	4	3	2	5	2	8	1	8	2
Marginal	9	12	13	6	3	14	4	5	1	3
Satisfactory	22	19	30	14	11	15	31	28	0	3
Not Rated	3	3	2	2	6	1	5	1	2	1
Total Inspections	40	38	48	24	25	32	48	35	11	9
DEC Enforcement Actions	5	5	1	8	2	12	3	6	5	9
Enf. Penalties - Assessed	\$27,000	\$17,500	\$3,000	\$106,200	\$23,625	\$72,750	\$15,750	\$48,000	\$19,200	\$90,653
Enf. Penalties - Collected	\$15,000	\$16,500	\$3,000	\$20,950	\$12,000	\$31,450	\$4,750	\$13,000	\$14,700	\$42,600
EBP Amount	\$0	\$0	\$0	\$0	\$0	\$0	\$8,000	\$0	\$0	\$4,000

16 General - MS4 Stormwater	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
No. of Permits Authorized	514	513	524	559	560	544	543	544	544	543
No. Inspected	36	46	70	48	36	20	17	28	26	18
Unsatisfactory	4	7	5	6	8	4	0	4	7	0
Marginal	7	11	30	28	8	6	8	11	7	4
Satisfactory	25	24	38	14	14	10	9	14	10	7
Not Rated	0	5	3	2	9	0	0	0	3	8
Total Inspections	36	47	76	50	39	20	17	29	27	19
DEC Enforcement Actions	8	5	2	0	1	5	2	2	5	2
Enf. Penalties - Assessed	\$124,000	\$50,500	\$53,900	\$0	\$10,000	\$18,500	\$25,100	\$19,800	\$63,000	\$63,000
Enf. Penalties - Collected	\$57,000	\$32,500	\$22,000	\$0	\$2,000	\$14,500	\$4,000	\$19,800	\$52,500	\$37,125
EBP Amount	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

17 General - PCI Discharge to Groundwater	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
No. of Permits Authorized	1707	1907	2016	2092	1787	1934	1924	2338	2389	2081
No. Inspected		1	2	44	0	1	2	6	3	0
Unsatisfactory		0	0	0	0	2	0	1	0	0
Marginal		0	0	10	0	0	1	6	0	0
Satisfactory		1	2	33	0	1	0	0	2	0
Not Rated		0	0	0	0	1	1	0	1	2
Total Inspections		1	2	43	0	4	2	7	3	2
DEC Enforcement Actions		0	0	0	1	0	0	1	2	1
Enf. Penalties - Assessed		\$0	\$0	\$0	\$3,500	\$0	\$0	\$10,500	\$157,753	\$22,500
Enf. Penalties - Collected		\$0	\$0	\$0	\$500	\$0	\$0	\$7,500	\$52,000	\$8,500
EBP Amount		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

Appendix C: SPDES Oversight Data

18 General - ECL CAFO Large	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
No. of Permits Authorized	10	11	18	21	23	24	24	232	230	238
No. Inspected	4	2	3	1	2	2	2	20	77	66
Unsatisfactory	0	0	0	0	0	0	0	0	12	8
Marginal	0	0	0	0	0	1	0	0	13	15
Satisfactory	3	2	3	2	2	1	2	19	59	38
Not Rated	1	0	0	0	0	0	2	1	9	10
Total Inspections	4	2	3	2	2	2	4	20	93	71
DEC Enforcement Actions	2	1	1	0	0	1	0	1	0	5
Enf. Penalties - Assessed	\$0	\$3,000	\$0	\$0	\$0	\$5,000	\$0	\$10,000	\$0	\$35,850
Enf. Penalties - Collected	\$0	\$1,500	\$0	\$0	\$0	\$2,500	\$0	\$5,000	\$0	\$14,300
EBP Amount	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

19 General - ECL CAFO Medium	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
No. of Permits Authorized	285	297	284	271	258	257	234	245	244	251
No. Inspected	19	39	60	58	53	85	71	69	69	60
Unsatisfactory	2	7	1	5	2	16	6	3	3	9
Marginal	8	21	14	13	12	24	17	11	17	9
Satisfactory	8	14	44	43	36	48	45	57	44	41
Not Rated	0	3	6	3	4	1	4	2	6	13
Total Inspections	18	45	65	64	54	89	72	73	70	72
DEC Enforcement Actions	1	4	3	7	1	30	8	9	2	13
Enf. Penalties - Assessed	\$0	\$42,150	\$7,000	\$114,500	\$16,000	\$191,250	\$44,250	\$56,250	\$13,900	\$124,300
Enf. Penalties - Collected	\$0	\$16,250	\$4,000	\$43,000	\$6,000	\$65,250	\$14,000	\$18,500	\$4,900	\$66,500
EBP Amount	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

20 General - Aquatic Pesticide	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
No. of Permits Authorized			410	484	475	528	497	428	438	460
No. Inspected			0	0	0	0	0	0	0	0
Unsatisfactory			0	0	0	0	0	0	0	0
Marginal			0	0	0	0	0	0	0	0
Satisfactory			0	0	0	0	0	0	0	0
Not Rated			0	0	0	0	0	0	0	0
Total Inspections			0	0	0	0	0	0	0	0
DEC Enforcement Actions			0	0	0	0	0	0	0	0
Enf. Penalties - Assessed			\$0	\$0	\$0	\$0	\$0	0	\$0	\$0
Enf. Penalties - Collected			\$0	\$0	\$0	\$0	\$0	0	\$0	\$0
EBP Amount			\$0	\$0	\$0	\$0	\$0	0	\$0	\$0

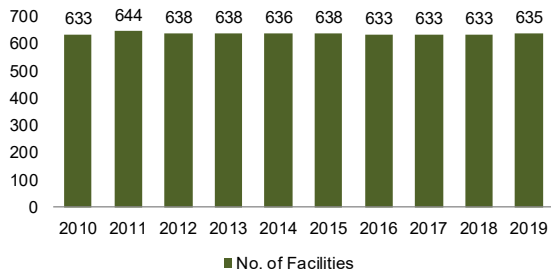
21 Publicly Owned Sewer Systems	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Registered Systems								273	283	284
No. Inspected										3
Unsatisfactory										0
Marginal										1
Satisfactory										1
Not Rated										1
Total Inspections										3
DEC Enforcement Actions								1	0	1
Enf. Penalties - Assessed								\$4,050	\$0	\$40,000
Enf. Penalties - Collected								\$4,050	\$0	\$15,000

Unpermitted	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Enforcement Actions	32	39	35	17	16	30	28	38	34	24
Enf. Penalties - Assessed	\$287,475	\$294,575	\$329,050	\$145,040	\$124,100	\$180,187	\$633,900	\$461,875	\$914,347	\$409,080
Enf. Penalties - Collected	\$172,975	\$147,275	\$115,050	\$85,040	\$71,350	\$125,187	\$239,950	\$319,175	\$418,442	\$246,096
EBP Amount	\$10,000	\$102,500	\$0	\$250,000	\$55,000	\$22,000	\$242,250	\$350,000	\$120,228	\$0

Appendix D

Monitoring and Oversight Activities

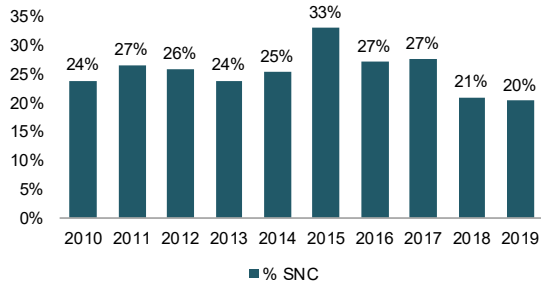
Municipal Wastewater Treatment Facilities



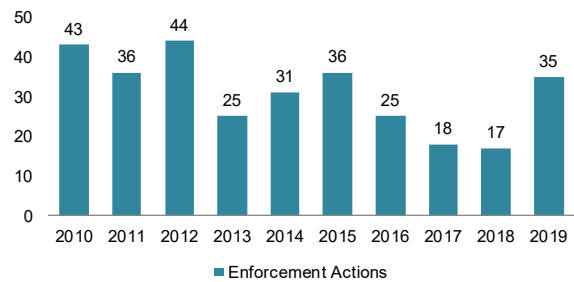
Municipal Wastewater Treatment Facility Inspections



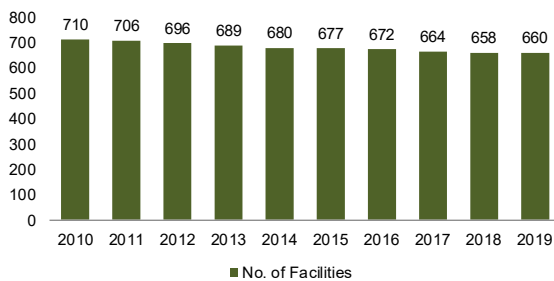
% of Municipal Wastewater Treatment Facilities in SNC



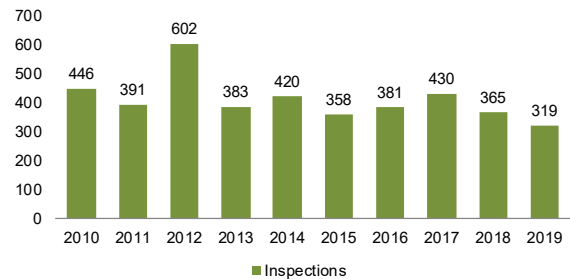
Municipal Wastewater Treatment Facility Enforcement Actions



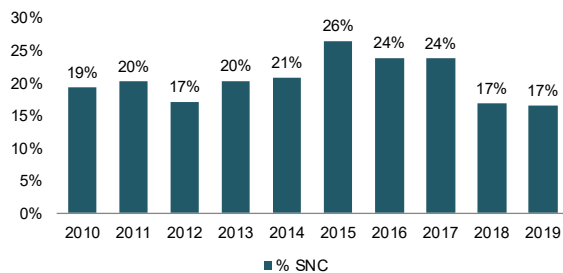
Significant Industrial Facilities



Significant Industrial Facility Inspections

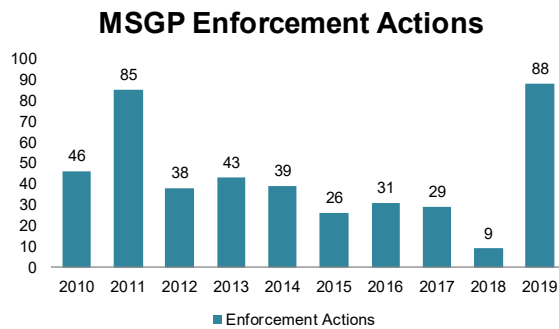
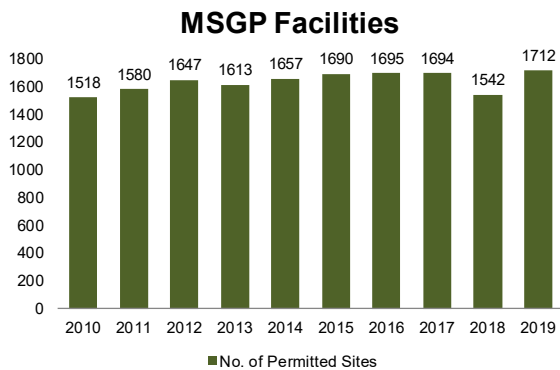
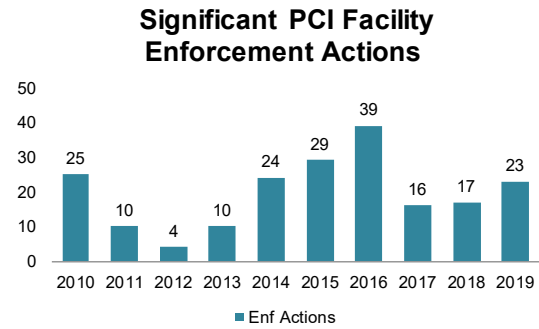
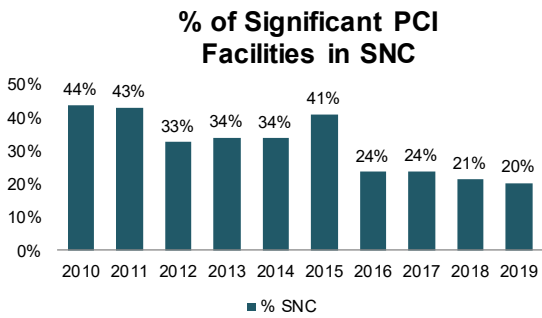
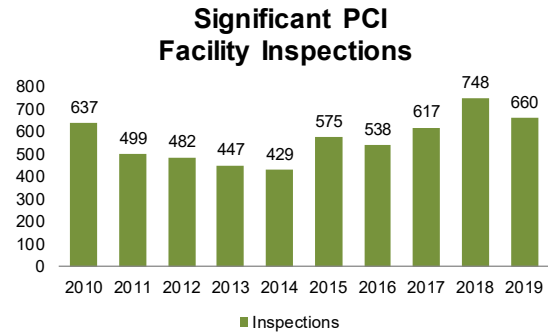
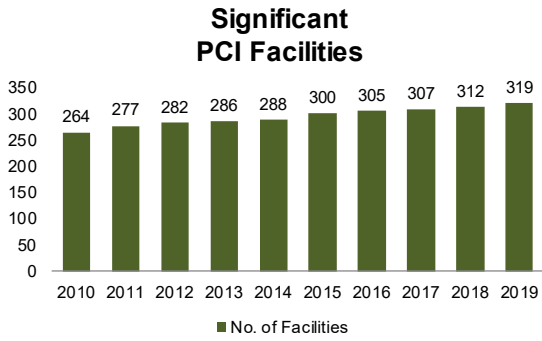


% of Significant Industrial Facilities in SNC



Significant Industrial Facility Enforcement Actions

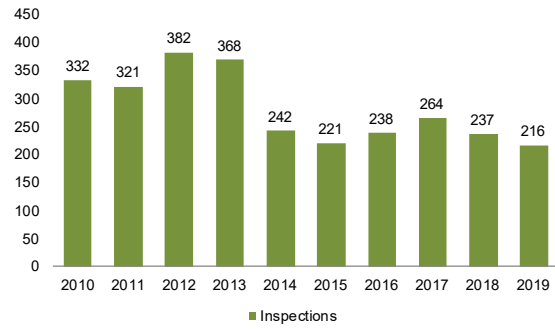




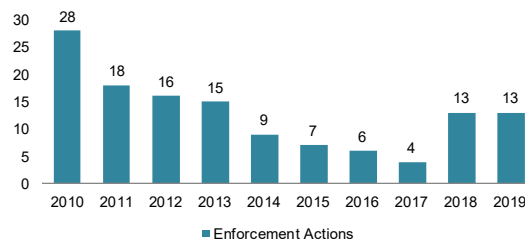
SW-Construction Sites



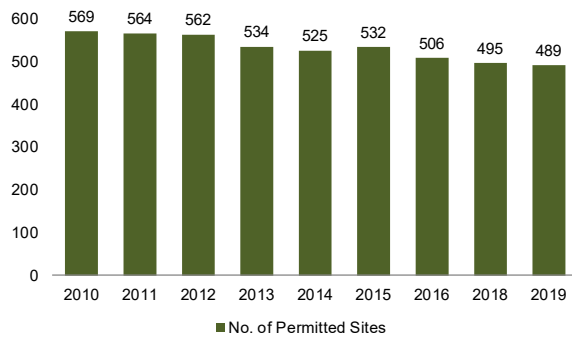
SW-Construction Inspections



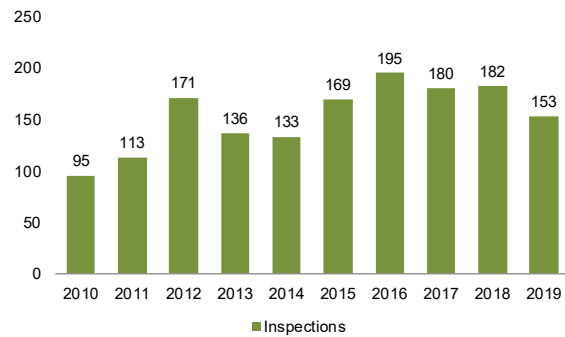
SW-Construction Enforcement Actions



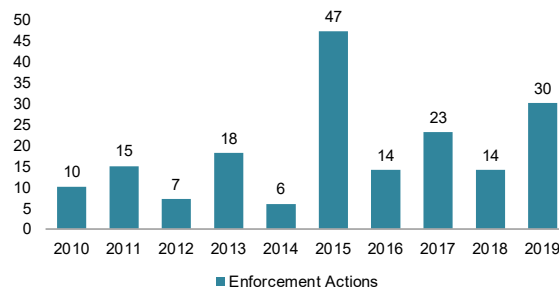
CAFO Sites

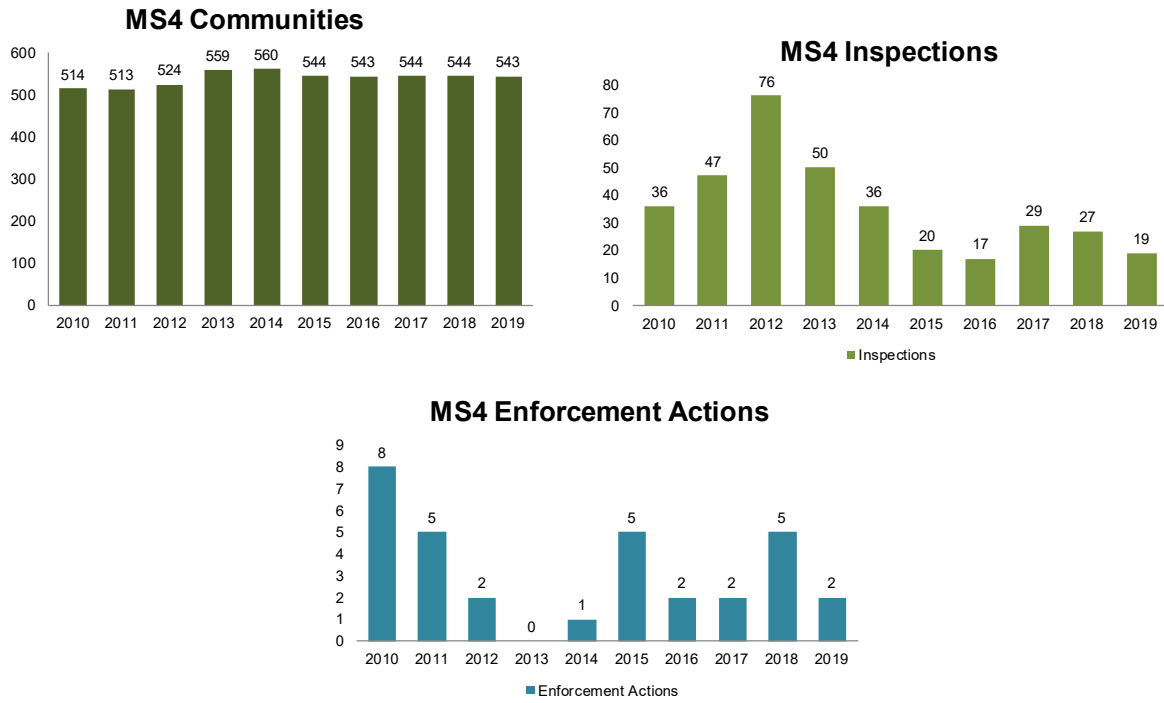


CAFO Inspections



CAFO Enforcement Actions





Appendix E

Enforcement Action Summary

Appendix E: SPDES Enforcement Actions

Facility Name	Region	Discharge Class	SPDES ID	Penalty Collected	Penalty Assessed	Enforcement Action ID	Date	EBP Amount	Environmental Benefit Project (EBP) Description
INTERNATIONAL WIRE GROUP	06	01	NY0001490	\$2,280	\$2,280	NY-CO62019040811	5/3/2019		
YRC FREIGHT - MAYBROOK TERMINAL	03	01	NY0108472	\$1,140	\$1,140	NY-CO2019040866	5/10/2019		
MOUNTAINSIDE FARMS, INC	4W	01	NY0084590	\$600	\$600	NY-CO42019020108	5/23/2019		
ULTIMATE WISHY WASH CAR WASH	04	01	NY0122891	\$2,280	\$2,280	NY-CO42019020109	5/23/2019		
DEB-EL FOODS	03	01	NY0272779	\$20,000	\$35,150	NY-R320181105194	5/23/2019		
VON ROLL USA, INC	04	01	NY0074489	\$3,000	\$3,000	NY-CO42019040821	6/3/2019		
KIRKWOOD (T) WATER DISTRICT #4 - WELL #3	07	01	NY0231088	\$1,000	\$1,000	NY-CO72018040503	6/3/2019		
ISLAND CAR WASH	01	01	NY0227196	\$14,680	\$74,397	NY-R120181231276	6/12/2019		
ROBO AUTOMATIC CAR WASH	01	01	NY0227200	\$3,420	\$3,420	NY-CO12018102304	8/5/2019		
AMERICAN ROCK SALT - TROY STORAGE FACILITY	04	01	NY0260843	\$4,275	\$21,375	NY-R42019090565	11/13/2019		
JOHN P BUCKLEY WATER FILTRATION PLANT	04	01	NY0205401	\$17,000	\$84,645	NY-R420181010186	12/19/2019		
CLINTON POINT QUARRY	03	01 12	NY0005649 NYR00B032	\$28,000	\$45,000	NY-R320181005164	8/27/2019		
Discharge Class 01 - Industrial Significant Minor				\$97,675	\$274,287				
CAMP YESHIVA OF STATEN ISLAND	03	02	NY0235601	\$4,500	\$4,500	NY-R32017040459	4/17/2019		
RIVER'S EDGE CO-OP	03	02	NY0099961	\$5,200	\$10,200	NY-NY0099961	4/30/2019		
CAMP REV TOV CHERRYTOWN	03	02	NY0149632	\$5,000	\$20,000	NY-R320180813140	5/13/2019		
SAMARITAN VILLAGE INC	03	02	NY0150363	\$3,750	\$13,750	NY-CO320170710137	6/13/2019		
RAINDANCER STEAK PARLOUR INC	05	02	NY0130541	\$12,000	\$27,000	NY-LER518008233	6/24/2019		
BRENTWOOD LAUNDROMAT	01	02	NY0104671	\$1,000	\$5,000	NY-R120190517125	8/13/2019		
THE POINT RESORT	05	02	NY0201804	\$200,000	\$200,000	NY-R5201903072307	9/3/2019		
CHAUTAUQUA HEIGHTS, INC.	09	02	NY0128163	\$3,000	\$6,000	NY-R92019022722	9/23/2019		
MAHOPAC VILLAGE CENTER WWTP	3W	02	NY0090646	\$1,140	\$1,140	NY-CO320191010233	11/21/2019		
GREEN OAK BLUE BARNS APARTMENTS, LLC AND WILLIAM EICHENGRUN	05	02	NY0252085	\$37,600	\$37,600	NY-2018134	1/23/2020		
Discharge Class 02 - PCI Non-Significant Minor				\$273,190	\$325,190				
CAYUGA OPERATING COMPANY, LLC	07	03	NY0001333	\$42,000	\$92,000	NY-R72016120284	4/26/2019		
EVANS CHEMETICS FACILITY	08	03	NY0001406	\$1,140	\$1,140	NY-CO820191010126	11/12/2019		
NORLITE LLC	04	03	NY0004880	\$65,000	\$154,700	NY-R42019073148	11/23/2019		
FMC CORP - PEROXYGENS DIV	09	03	NY0000337	\$2,500	\$2,500	NY-R920191121145	1/10/2020		
RED-ROCHESTER LLC @ EASTMAN BUSINESS PARK	08	03	NY0001643	\$100,000	\$175,000	NY-R82019040847	1/17/2020		
MPM SILICONES LLC	05	03	NY0008605	\$1,140	\$1,140	NY-CO52019121989	3/5/2020		
Discharge Class 03 - Industrial USEPA Major				\$211,780	\$426,480				
BAYPORT LAUNDROMAT	01	04	NY0209589	\$5,000	\$10,000	NY-R12019031979	4/16/2019		
SUNBURST LAUNDROMAT	01	04	NY0195308	\$1,000	\$5,000	NY-R120190604132	7/24/2019		
CLASSIC TRANSPORTATION	01	04	NY0227269	\$2,500	\$8,550	NY-R120190710172	9/10/2019		
THE FOUNTAINS - BUILDING A2	02	04	NY0276839	\$27,000	\$27,000	NY-R220190507169	12/12/2019		
NYCDOT - HARLEM RIVER DR 127TH ST VIADUCT RECONSTR.	02	04	NY0276774	\$26,000	\$26,000	NY-R220181011370	12/30/2019		
LAUNDRY PALACE - CENTRAL ISLIP LAUNDRY PALACE - HUNTINGTON STATION LAUNDRY PALACE - HUNTINGTON STATION	01	04	NY0211591 NY0226734 NY0226327	\$24,000	\$98,000	NY-R120190710176	1/24/2020		
CENTER MORICHES WASH & FOLD	01	04	NY0266817	\$1,000	\$5,000	NY-R120191028267	1/27/2020		
RONKONKOMA LAUNDROMAT INC	01	04	NY0279927	\$1,300	\$5,000	NY-R120190820207	1/27/2020		
HUNTER'S POINT S PARCEL REDEVELOPMENT - N TOWER	02	04	NY0276961	\$8,250	\$8,250	NY-R220191209396	1/28/2020		
ROCKY POINT LAUNDROMAT INC	01	04	NY0266825	\$1,700	\$5,000	NY-R120191218297	3/10/2020		
BOHEMIA LAUNDRY INC	01	04	NY0209996	\$1,000	\$5,000	NY-R120191218296	3/12/2020		
Discharge Class 04 - Industrial Non-Significant Minor				\$98,750	\$202,800				

Appendix E: SPDES Enforcement Actions

Facility Name	Region	Discharge Class	SPDES ID	Penalty Collected	Penalty Assessed	Enforcement Action ID	Date	EBP Amount	Environmental Benefit Project (EBP) Description
BELGRAVE WPCP	01	05	NY0026841	\$1,000	\$23,000	NY-R12019021560	4/28/2019	\$4,500	Support the USGS Long Island Groundwater Study
YORKTOWN HEIGHTS SD WWTP	3W	05	NY0026743	\$30,000	\$82,000	NY-R320180912159	5/20/2019		
AMSTERDAM (C) WWTP	04	05	NY0020290	\$3,750	\$15,030	NY-R4201901225	6/13/2019		
NYCDEP - HUNTS POINT WPCP	02	05	NY0026191	\$10,000	\$10,000	NY-R22018030144	6/19/2019		
GLOVERSVILLE-JOHNSTOWN JOINT WWTP	05	05	NY0026042	\$12,600	\$63,000	NY-R5201801162275	7/15/2019		
AMSTERDAM (C) WWTP	04	05	NY0020290	\$11,400	\$57,000	NY-R42019052231	7/22/2019		
OGDENSBURG SECONDARY WWTP	06	05	NY0029831	\$8,300	\$41,500	NY-R62017060228	7/24/2019		
WHITEHALL (V) WWTP	05	05	NY0024929			NY-R520060314576-1	8/15/2019		
CARTHAGE/WEST CARTHAGE WPCF	06	05	NY0025151	\$6,000	\$28,000	NY-R62018052420	5/28/2019		
METROPOLITAN SYRACUSE WWTP	07	05	NY0027081	\$5,300	\$5,300	NY-R72018052222	9/11/2019	\$30,000	Support restoration efforts in Onondaga Lake and its watershed
DOLGEVILLE (V) WWTP	06	05	NY0024554	\$700	\$700	NY-CO62019081225	9/19/2019		
SCHENECTADY (C) STP	04	05	NY0020516			NY-R420121218117	9/3/2019		
NYCDEP - CONEY ISLAND WPCP	02	05	NY0026182	\$75,000	\$125,000	NY-R220190807251	9/26/2019		
SENECA FALLS WWTP	08	05	NY0033308	\$1,140	\$1,140	NY-CO820191010128	10/30/2019		
NISKAYUNA (T) SD#6 WWTP	04	05	NY0023973	\$8,700	\$34,799	NY-R42019082054	11/13/2019		
HORNELL (C) WPCP	08	05	NY0023647	\$250	\$250	NY-CO820191010127	11/15/2019		
SARATOGA CO SD#1 WWTP	05	05	NY0028240	\$30,000	\$30,000	NY-CO52019071543	11/25/2019	\$1,300,000	Install on-site solar panels to provide operational energy
OSWEGO (C) WEST SIDE WWTF	07	05	NY0029106	\$40,000	\$80,000	NY-R72018082138	12/2/2019		
MONTGOMERY CO SD#1 STP	04	05	NY0107565			NY-R420160627122	12/18/2019		
GREENPORT (V) WWTP	01	05	NY0020079	\$3,750	\$15,000	NY-R120190620150	1/24/2020		
CATSKILL (V) WWTP	04	05	NY0020389	\$1,000	\$1,000	NY-R42020012410	2/21/2020		
COOPERSTOWN (V) WWTP	04	05	NY0023591	\$2,000	\$7,500	NY-R4202001249	3/3/2020		
Discharge Class 05 - Municipal USEPA Major				\$250,890	\$620,219				
NARROWSBURG SD STP	03	07	NY0110205	\$3,420	\$3,420	NY-CO32018102302	5/3/2019		
MINETTO SD WPCP	07	07	NY0036749	\$1,000	\$1,000	NY-R72019040514	6/20/2019		
CARMEL HILLSDALE ESTATES STP	03	07	NY0030678	\$10,000	\$33,000	NY-R320151120112	7/3/2019		
HEUVELTON (V) WPCP	06	07	NY0027146	\$5,500	\$27,500	NY-R62019062017	7/24/2019		
SLEEPY HOLLOW SD	07	07	NY0029238	\$1,000	\$1,000	NY-R72019052223	7/30/2019		
BLOOMFIELD (V) WWTF	08	07	NY0024007	\$5,000	\$5,000	NY-R82019032035	8/7/2019		
BUCHANAN (V) WWTP	03	07	NY0029971	\$5,000	\$10,870	NY-R32018050483	8/26/2019		
MACEDON (T) WTP	08	07	NY0023612	\$1,500	\$10,000	NY-R82019052361	9/19/2019		
COLUMBIA CO COM CTR WATER & SEWER DISTR.	04	07	NY0240401	\$2,500	\$7,410	NY-R42016010805	9/30/2019		
SHARON SPRINGS (V) STP	04	07	NY0033588			NY-R42015071386	10/8/2019		
WADHAMS SD #1 WWTF	05	07	NY0217760	\$2,500	\$15,500	NY-R5201708142259	6/19/2019		
WEST SENECA (T) SANITARY OVRF	09	07	NY0203734			NY-R92003062533	10/28/2019		
DARIEN (T) WWTF	08	07	NY0228346	\$4,000	\$30,000	NY-R820191015125	1/10/2020		
BROOKHAVEN (T) SD#2	01	07	NY0277827	\$2,280	\$11,400	NY-R120191031271	1/27/2020		
Discharge Class 07 - Municipal Significant Minor				\$43,700	\$156,100				

Appendix E: SPDES Enforcement Actions

Facility Name	Region	Discharge Class	SPDES ID	Penalty Collected	Penalty Assessed	Enforcement Action ID	Date	EBP Amount	Environmental Benefit Project (EBP) Description
NET ZERO APARTMENTS	04	09	NY0282316	\$4,000	\$12,000	NY-R42019022614	4/15/2019		
DEERFIELD ESTATE MOBILE HOME PARK	05	09	NY0130630	\$72,575	\$72,575	NY-R5201901102300	4/19/2019		
VILLAGE IN THE WOODS	01	09	NY0078123			NY-UPG2019001	5/22/2019		
WAVERLY PARK CONDOMINIUM	01	09	NY0077381	\$1,140	\$1,140	NY-CO12018102302	5/31/2019		
CAMP RAMAH IN THE BERKSHIRES STP	03	09	NY0280356	\$990	\$990	NY-CO32019020135	6/14/2019		
MEDFORD MULTICARE CENTER	01	09	NY0253383	\$2,000	\$2,000	NY-ETP1904	7/3/2019		
MEMORIAL SLOAN-KETTERING CANCER CENTER	01	09	NY0266353	\$2,000	\$2,000	NY-ETP1907	7/19/2019		
SADDLE COVE APARTMENTS	01	09	NY0253529	\$2,000	\$2,000	NY-ETP1909	8/2/2019		
EMERALD GREENS APARTMENTS	01	09	NY0077453	\$2,000	\$2,000	NY-ETP1908	8/16/2019		
HAMPTONS CENTER FOR REHAB AND NURSING	01	09	NY0253138	\$2,000	\$2,000	NY-ETP1910	10/21/2019		
ROCKY POINT APARTMENTS	01	09	NY0065382			NY-UPG2014008	10/28/2019		
VILLAS @ PINE HILLS	01	09	NY0079405	\$4,000	\$4,000	NY-ETP1903	10/28/2019		
MONTAUK MANOR	01	09	NY0195952	\$2,000	\$2,000	NY-ETP1916	11/4/2019		
CONNETQUOT RIVER STATE PARK RESERVE	01	09	NY0008222			NY-CO12013100901	11/8/2019		
GURWIN JEWISH GERIATRIC CTR	01	09	NY0197777	\$2,000	\$2,000	NY-ETP1914	11/15/2019		
HILTON GARDEN INN & OFF BLDG	01	09	NY0253219	\$750	\$750	NY-CO120191010255	11/21/2019		
BEDFORD HILLS CORRECTIONAL FAC	3W	09	NY0101885	\$4,000	\$20,000	NY-R320190715133	11/22/2019		
MEDICAL OFFICES @ MEDFORD	01	09	NY0266418	\$2,000	\$2,000	NY-ETP1902	12/19/2019		
ST. CABRINI HOME	03	09	NY0100064	\$500	\$500	NY-R320191223294	12/30/2019		
ATRIA EAST NORTHPORT	01	09	NY0209325	\$2,000	\$2,000	NY-ETP1915	12/30/2019		
TOWNE HOUSE VILLAGE SOUTH	01	09	NY0077241	\$1,140	\$1,140	NY-CO120191010252	1/3/2020		
MIRROR POND	01	09	NY0253308	\$4,000	\$4,000	NY-ETP1905	2/27/2020		
ISLANDIA SHOPPING CENTER	01	09	NY0220493	\$2,000	\$2,000	NY-ETP2001	3/6/2020		
Discharge Class 09 - PCI Significant Minor				\$113,095	\$137,095				
Facility Name	Region	Discharge Class	SPDES ID	Penalty Collected	Penalty Assessed	Enforcement Action ID	Date	EBP Amount	Environmental Benefit Project (EBP) Description
GREENS AT CHESTER	03	11	NYR11D113	\$25,000	\$38,980	NY-R32019011114	4/1/2019		
FLUSHING POINT PLAZA	02	11	NYR11E589	\$5,000	\$5,000	NY-R22019021482	4/15/2019		
LEGOLAND NEW YORK LLC	03	11	NYR11D087	\$228,050	\$228,050	NY-R320181211212	4/16/2019		
SMITH FARM	03	11	NYR10T509	\$44,000	\$60,500	NY-R320181204207	7/3/2019		
EXECUTIVE ESTATES - EISDORFER DEVELOPMENT	03	11	NYR10P452	\$12,500	\$12,500	NY-R32019052183	9/16/2019		
HERITAGE AT GOSHEN HOUSING DEVELOPMENT	03	11	NYR11A389	\$24,000	\$45,000	NY-R32019010710	9/30/2019		
AL SIGL	08	11	NYR11E490	\$10,000	\$44,460	NY-R82019062575	10/24/2019		
NOB HILL COUNTRY CLUB	03	11	NYR11E296	\$40,000	\$75,000	NY-R320190626116	10/28/2019		
WOODBURY JUNCTION PHASES 1 & 6	03	11	NYR11B520	\$10,000	\$10,000	NY-R320190903176	10/29/2019		
VEYOEL MOSHE GARDENS	03	11	NYR11C632	\$34,000	\$44,000	NY-R32019011113	10/29/2019		
VETERANS ROAD SPE, LLC - PROPOSED SELF STORAGE FAC.	02	11	NYR11D317	\$2,850	\$2,850	NY-R220190925306	11/5/2019		
HYLAN PLAZA	02	11	NYR11C908	\$4,500	\$4,500	NY-R220191023344	11/14/2019		
GLENE COVE (C) - HERB HILL RD SITE	01	11	NYR11B683	\$5,000	\$20,000	NY-R120190711173	8/13/2019		
Discharge Class 11 - Construction Stormwater				\$444,900	\$590,840				

Appendix E: SPDES Enforcement Actions

Facility Name	Region	Discharge Class	SPDES ID	Penalty Collected	Penalty Assessed	Enforcement Action ID	Date	EBP Amount	Environmental Benefit Project (EBP) Description
ORANGE COUNTY IRONWORKS	03	12	NYR00G277	\$5,454	\$5,454	NY-R320190701123	7/3/2019		
MIDLAND FARMS, INC.	04	12	NYR00G307	\$25,700	\$25,700	NY-R42019052230	7/8/2019		
J. BASS & SONS SCRAP METAL FACILITY	03	12	NYR00B439	\$24,000	\$30,000	NY-R32019041068	8/26/2019		
HEADZUP, INC.	03	12	NYR00G311	\$5,450	\$5,450	NY-R320190724138	8/26/2019		
ANCHOR AN OLDCASTLE COMPANY - FISHERS	08	12	NYR00A692	\$1,140	\$1,140	NY-CO820190904105	10/11/2019		
JAYNE'S USED AUTO PARTS	08	12	NYR00D871	\$750	\$750	NY-CO820190904119	10/11/2019		
HARLEM VALLEY SAND & GRAVEL MINE	03	12	NYR00F586	\$300	\$300	NY-CO320190904205	10/11/2019		
UNIFRAX I LLC TONAWANDA MFG FACILITY	09	12	NYR00C159	\$600	\$600	NY-CO920190904113	10/21/2019		
UNIFRAX I LLC SANBORN	09	12	NYR00D434	\$600	\$600	NY-CO920190904114	10/21/2019		
YRC FREIGHT LONG ISLAND	01	12	NYR00E058	\$1,140	\$1,140	NY-CO120190904228	10/21/2019		
DEYO QUARRY	05	12	NYR00E148	\$1,140	\$1,140	NY-CO52019090461	10/21/2019		
LYME ADIRONDACK TIMBER SALES LLC	05	12	NYR00E933	\$750	\$750	NY-CO52019090467	10/21/2019		
EDGAR CIVIL & UTILITY, LLC - PALL/BUCH PIT	08	12	NYR00F754	\$1,140	\$1,140	NY-CO820190904107	10/21/2019		
PECKHAM MATERIALS - ATHENS FACILITY	04	12	NYR00A754	\$1,140	\$1,140	NY-CO42019090462	10/23/2019		
PECKHAM MATERIALS - GREENFIELD PLANT	05	12	NYR00D450	\$1,140	\$1,140	NY-CO52019090466	10/23/2019		
DUTCHESS QUARRY	03	12	NYR00E264	\$1,140	\$1,140	NY-CO320190904201	10/23/2019		
ASK CHEMICALS LLC - PLANT 2	09	12	NYR00E293	\$600	\$600	NY-CO920190904116	10/23/2019		
ASK CHEMICALS LLC - PLANT 1	09	12	NYR00E294	\$600	\$600	NY-CO920190904117	10/23/2019		
THE HARBOR MARINA OF EAST HAMPTON, INC	01	12	NYR00F029	\$1,140	\$1,140	NY-120190904222	10/23/2019		
THREE MILE HARBOR MARINA	01	12	NYR00F046	\$600	\$600	NY-CO120190904223	10/23/2019		
PECKHAM MATERIALS - NEW WINDSOR	03	12	NYR00F263	\$1,140	\$1,140	NY-CO320190904204	10/23/2019		
XPO LOGISTICS FREIGHT INC	02	12	NYR00C341	\$1,140	\$1,140	NY-CO220190904289	10/24/2019		
INTERNATIONAL PAPER	06	12	NYR00C424	\$1,140	\$1,140	NY-CO62019090433	10/24/2019		
XPO LOGISTICS FREIGHT, INC	03	12	NYR00D065	\$1,140	\$1,140	NY-CO320190904198	10/24/2019		
XPO LOGISTICS FREIGHT INC	01	12	NYR00D160	\$1,140	\$1,140	NY-CO120190904227	10/24/2019		
XPO LOGISTICS FREIGHT, INC.	08	12	NYR00D266	\$1,140	\$1,140	NY-CO820190904116	10/24/2019		
AW SCRAP PROCESSORS INC	03	12	NYR00E162	\$1,140	\$1,140	NY-CO320190904200	10/24/2019		
MARK & SON METAL PRODUCTS INC	3W	12	NYR00F465	\$2,280	\$2,280	NY-CO320190904192	10/24/2019		
NEW PENN MASPETH	02	12	NYR00C469	\$1,140	\$1,140	NY-CO2220190904290	10/25/2019		
LARRY'S LIGHTHOUSE MARINA	01	12	NYR00A520	\$1,140	\$1,140	NY-CO120190904226	10/28/2019		
EAST PARK AUTO RECYCLING INC	03	12	NYR00B369	\$600	\$600	NY-CO320190904181	10/28/2019		
JOHN HUGHES USED AUTO PARTS INC	03	12	NYR00E049	\$750	\$750	NY-CO320190904199	10/28/2019		
W W CUSTOM CLAD INC	04	12	NYR00B863	\$600	\$600	NY-CO42019090456	10/29/2019		
TRANSELCO DIVISION OF FERRO CORPORATION	08	12	NYR00B866	\$1,140	\$1,140	NY-CO820190904114	10/29/2019		
THE A JOHNSON CO LLC PRATT YARD	05	12	NYR00E179	\$750	\$750	NY-CO52019090463	10/29/2019		
BYRNE DAIRY FLUID MILK PLANT	07	12	NYR00E675	\$32,000	\$32,000	NY-R72018120563	11/4/2019		
GRANDPA'S BUS COMPANY INC	02	12	NYR00D826	\$5,700	\$5,700	NY-20150226106	11/5/2019		
ENVIRONMENT ONE CORPORATION	04	12	NYR00E982	\$600	\$600	NY-CO42019090458	11/8/2019		
R-L CARRIERS NEWBURGH	03	12	NYR00F241	\$750	\$750	NY-CO320190904203	11/12/2019		
SILK ROAD TRANSPORT INC	08	12	NYR00B099	\$750	\$750	NY-CO820190904112	11/15/2019		
XPO LOGISTICS FREIGHT INC	07	12	NYR00D673	\$1,140	\$1,140	NY-CO72019090442	11/19/2019		
ALL CITY AUTO PARTS	08	12	NYR00D430	\$1,140	\$1,140	NY-CO820190904117	11/27/2019		
UNITED STATES POSTAL SERVICE	03	12	NYR00E283	\$1,140	\$1,140	NY-CO320190904202	11/27/2019		
FRITO LAY - MT. KISCO DISTR. CENTER	3W	12	NYR00D639	\$10,000	\$10,000	NY-CO42019102272	12/13/2019		
FERRARA BROS - MASPETH	02	12	NYR00D698	\$9,800	\$14,800	NY-R220181221453	1/6/2020		
GCT NEW YORK LP	02	12	NYR00D136	\$2,280	\$2,280	NY-CO220190904285	1/22/2020		
STILLWELL READY-MIX AND BUILDING MATERIALS, LLC	02	12	NYR00G206	\$35,000	\$50,000	NY-R220061215536	1/30/2020		
A&T AUTO PARTS	03	12	NYR00B244	\$14,000	\$17,551	NY-2019-51984	2/3/2020		
COEYMANS RECYCLING CENTER LLC	04	12	NYR00F372	\$3,000	\$3,000	NY-R420181218210	2/4/2020		
A & P AUTO PARTS INC	07	12	NYR00B606	\$1,140	\$1,140	NY-CO72020011519	2/13/2020		
TOTTENVILLE MARINA LLC	02	12	NYR00A509	\$1,140	\$1,140	NY-CO22020011538	2/25/2020		
HARBOUR PLACE MARINE SALES INC	09	12	NYR00A546	\$1,140	\$1,140	NY-CO92020011515	2/25/2020		

Appendix E: SPDES Enforcement Actions

E & V ENERGY - WOLCOTT	08	12	NYR00B003	\$1,140	\$1,140	NY-CO82020011517	2/25/2020		
COCHECTON MILLS INC	03	12	NYR00B252	\$1,140	\$1,140	NY-CO32020011540	2/25/2020		
MODERN YACHTS LLC	01	12	NYR00D677	\$1,140	\$1,140	NY-CO12020011513	2/25/2020		
STONWORKS ESTATES INC	03	12	NYR00D792	\$1,140	\$1,140	NY-CO32020011536	2/25/2020		
CITY OF AUBURN LANDFILL	07	12	NYR00D887	\$1,140	\$1,140	NY-CO72020011510	2/25/2020		
SOVENA USA INC	06	12	NYR00E004	\$1,140	\$1,140	NY-CO62020011555	2/25/2020		
YRC FREIGHT LONG ISLAND	01	12	NYR00E058	\$2,280	\$2,280	NY-CO12020011514	2/25/2020		
REISDORF BROS INC	09	12	NYR00E887	\$1,140	\$1,140	NY-CO92020011558	2/25/2020		
SEVILLE CENTRAL MIX CORP.	01	12	NYR00G011	\$1,140	\$1,140	NY-CO12020011523	2/25/2020		
KENT NUTRITION GROUP INC	09	12	NYR00B341	\$1,140	\$1,140	NY-CO92020011514	3/2/2020		
XPO LOGISTICS FREIGHT INC	02	12	NYR00C341	\$3,420	\$3,420	NY-CO22020011580	3/2/2020		
ANCHOR AN OLDCASTLE COMPANY-BATAVIA	08	12	NYR00E645	\$1,140	\$1,140	NY-CO82020011512	3/2/2020		
SOUTHARDS BOATYARD	01	12	NYR00E810	\$1,140	\$1,140	NY-CO2020011520	3/2/2020		
MCNEILLY WOOD PRODUCTS INC	03	12	NYR00F069	\$750	\$750	NY-CO32020011532	3/2/2020		
GRANDVIEW BLOCK & SUPPLY CO	04	12	NYR00F519	\$1,140	\$1,140	NY-CO42020011515	3/2/2020		
NEW DAWN - BROOKLYN	02	12	NYR00G018	\$1,140	\$1,140	NY-CO2202011552	3/2/2020		
CHESTER HILL HOLDING COMPANY INC	03	12	NYR00G050	\$1,140	\$1,140	NY-CO32020011518	3/2/2020		
FARM EAST, LLC - TACONIC YARD	04	12	NYR00G067	\$750	\$750	NY-CO42020151514	3/2/2020		
MANHASSET BAY MARINA	01	12	NYR00A483	\$1,140	\$1,140	NY-CO12020011559	3/5/2020		
ALLIED WASTE OF NA LLC	09	12	NYR00B396	\$1,140	\$1,140	NY-CO92020011513	3/5/2020		
MCLANE NORTHEAST	07	12	NYR00B755	\$1,140	\$1,140	NY-CO72020011518	3/5/2020		
ROADWAY OF ONEONTA LLC	04	12	NYR00C392	\$1,140	\$1,140	NY-CO42020011522	3/5/2020		
NEW PENN MASPETH	02	12	NYR00C469	\$2,280	\$2,280	NY-CO22020011581	3/5/2020		
TARGET REGIONAL DISTR. CENTER	04	12	NYR00D745	\$1,140	\$1,140	NY-CO42020011519	3/5/2020		
TROPICANA PRODUCTS INC	02	12	NYR00E185	\$1,140	\$1,140	NY-CO22020011540	3/5/2020		
MARINER'S COVE MARINE INC	01	12	NYR00E664	\$1,140	\$1,140	NY-CO12020011519	3/5/2020		
STOUT'S READY MIX LTD.	06	12	NYR00F161	\$1,500	\$1,500	NY-CO62019090434	3/5/2020		
R+L CARRIERS - NEWBURGH	03	12	NYR00F241	\$1,140	\$1,140	NY-CO32020011529	3/9/2020		
NORTHEAST TREATERS OF NY LLC	04	12	NYR00B991	\$1,140	\$1,140	NY-CO42020011523	3/11/2020		
CLARENDON QUARRY & RMC	08	12	NYR00D588	\$1,140	\$1,140	NY-CO82020011513	3/11/2020		
BLUE POINT BREWING COMPANY	01	12	NYR00G340	\$1,000	\$5,000	NY-R12020022856	3/13/2020		
PORT OF OGDENSBURG	06	12	NYR00A860	\$1,140	\$1,140	NY-CO62020011558	3/20/2020		
ESF TRANSPORT INC	02	12	NYR00F457	\$3,420	\$3,420	NY-CO22020011584	3/20/2020		
CRANESVILLE QUARRY	04	12	NYR00A967	\$20,000	\$23,338	NY-R42019120684	3/31/2020		
R & L CARRIERS - BUFFALO	09	12	NYR00F271	\$750	\$750	NY-CO92020011557	3/31/2020		
THE ADOLFE LE COMTE REVOCABLE TRUST	03	12	NYR00F487	\$1,140	\$1,140	NY-CO32020011527	3/31/2020		
Discharge Class 12 - Industrial Stormwater				\$277,414	\$314,303				
Facility Name	Region	Discharge Class	SPDES ID	Penalty Collected	Penalty Assessed	Enforcement Action ID	Date	EBP Amount	Environmental Benefit Project (EBP) Description
LANDVIEW FARM LLC	05	14	NYA001297	\$1,000	\$1,000	NY-CO420170619218	1/23/2020		
WALKER FARMS LLC	05	14	NYA000146	\$4,000	\$4,000	NY-CO52017060567	2/13/2020		
WOODY HILL FARMS, INC.	05	14	NYA001308	\$1,000	\$1,000	NY-CO52017061958	2/25/2020		
Discharge Class 14 - CWA CAFO Large				\$6,000	\$6,000				

Appendix E: SPDES Enforcement Actions

Facility Name	Region	Discharge Class	SPDES ID	Penalty Collected	Penalty Assessed	Enforcement Action ID	Date	EBP Amount	Environmental Benefit Project (EBP) Description
LEDUC'S GREEN ACRES	05	15	NYA000086	\$3,000	\$3,000	NY-CO52016021001	5/31/2019		
PINE RIDGE FARM	07	15	NYA000093	\$7,000	\$14,000	NY-CO72018111361	6/5/2019		
MONICA FARMS	05	15	NYA001321	\$8,600	\$8,600	NY-CO52017053056	7/22/2019		
HERITAGE HILL FARM	05	15	NYA000626	\$4,500	\$4,500	NY-CO52016021009	8/9/2019		
VINCE DEBOOVER FARM	08	15	NYA00C017	\$3,000	\$12,540	NY-CO82019081395	9/20/2019		
LENT HILL DAIRY	08	15	NYA000527	\$2,700	\$2,700	NY-CO82017053067	10/28/2019		
RED TOP FARM	05	15	NYA00C008	\$8,800	\$17,600	NY-CO5-2019061844	12/19/2019		
LAMBERTON FARMS	05	15	NYA00C012	\$4,000	\$26,713	NY-CO52019092481	2/27/2020	\$4,000	Supports a statewide effort to provide replacement drinking water where impaired by agricultural activities
HI-VUE ACRES	06	15	NYA000352	\$1,000	\$1,000	NY-CO62017051934	3/5/2020		
Discharge Class 15 - CWA CAFO Medium				\$42,600	\$90,653				
Facility Name	Region	Discharge Class	SPDES ID	Penalty Collected	Penalty Assessed	Enforcement Action ID	Date	EBP Amount	Environmental Benefit Project (EBP) Description
WESTCHESTER MS4 STORM SEWERS	03	16	NYR20A128	\$21,500	\$43,000	NY-R320170822159	7/22/2019		
CHESTER MS4 STORM SEWERS	03	16	NYR20A126	\$15,625	\$20,000	NY-R32019052185	7/23/2019		
Discharge Class 16 - MS4 Stormwater				\$37,125	\$63,000				
CHAUMONT RIVER RV PARK & CAMP GROUND	06	17	NYG003162	\$8,500	\$22,500	NY-R62017051822	5/20/2019		
Discharge Class 17 - PCI GP				\$8,500	\$22,500				
ADON FARMS	06	18	NYA00E048	\$6,000	\$12,000	NY-R62019030105	5/29/2019		
JOHN, MARK, MAUREEN J. TORREY PA	08	18	NYA00E192	\$500	\$3,750	NY-LER819004232	6/3/2019		
BAKER BROOK DAIRY, LLC	09	18	NYA00E015	\$3,300	\$6,600	NY-R92019070351	8/1/2019		
SPRUCE HAVEN FARM LLC	07	18	NYA00E008	\$3,000	\$10,500	NY-R72019040513	12/2/2019		
LINCOLN DAIRY, LLC.	07	18	NYA00E419	\$1,500	\$3,000	NY-R7202001021	2/24/2020		
Discharge Class 18 - ECL CAFO Large				\$14,300	\$35,850				
LEO DICKSON & SONS, INC.	08	19	NYAE00178	\$40,000	\$90,000	NY-R820181030119	5/17/2019		
VEIT FARMS	04	19	NYAE00286			NY-CO420170711222	6/28/2019		
BARNIAK FARMS	08	19	NYAE01421	\$4,000	\$8,000	NY-CO82016021001	7/11/2019		
SKELLKILL FARMS	05	19	NYAE01305	\$3,000	\$3,000	NY-CO52018010303	7/29/2019		
GLEN MEADOWS FARM	04	19	NYA00E506	\$3,000	\$4,300	NY-R42019071042	8/19/2019		
FULLERTON FARMS	05	19	NYAE01570	\$2,500	\$2,500	NY-CO52019100375	10/31/2019		
PASTURELAND DAIRY	07	19	NYAE01577	\$2,500	\$2,500	NY-CO72017072651	11/7/2019		
JORDAN FARMS	06	19	NYA00E300	\$3,000	\$3,000	NY-CO62019100438	12/4/2019		
FOBARE FARM	06	19	NYA00E455	\$3,000	\$3,000	NY-CO62019100441	12/4/2019		
JORDAN FARMS	06	19	NYA00E300	\$1,000	\$1,000	NY-R62019102432	12/18/2019		
TWIN MILL FARMS	06	19	NYA00E024			NY-R62017060126	2/4/2020		
GOTTIER FARMS	04	19	NYA00E070	\$2,000	\$2,000	NY-R4202001086	2/13/2020		
FOBARE FARM	06	19	NYA00E455	\$2,500	\$5,000	NY-R62019121135	3/14/2020		
Discharge Class 19 - ECL CAFO Medium				\$66,500	\$124,300				

Appendix E: SPDES Enforcement Actions

KENMORE (V) POSS	09	21	NYS900021	\$15,000	\$40,000	NY-R92016092378	12/27/2019		
Discharge Class 21 - Publicly Owned Sewer System				\$15,000	\$40,000				
TOWN OF MORIAH-SEWER SYSTEM	05	UNP	NYU500315			NY-R5201507212173	4/1/2019		
OVERDEVELOPMENT, LTD. & QUALITY PLUMBING 62-64 HOLLAND AVE. STATEN ISLAND	02	UNP	NYU200952	\$2,500	\$2,500	NY-R220180607188	4/3/2019		
TITAN CONCRETE, INC.	03	UNP	NYU300385	\$3,000	\$12,080	NY-R32019022654	4/10/2019		
SKANSKA KOCH, INC. KIEWIT - BAYONNE BRIDGE SITE	02	UNP	NYU200954	\$5,000	\$5,000	NY-R220190416153	4/17/2019		
TUSCARORA MOBILE VILLAGE - UNPERMITTED	07	UNP	NYU710687	\$3,000	\$28,000	NY-R72017051221	4/22/2019		
NYCHA CONEY ISLAND HOUSES	02	UNP	NYU200955	\$5,000	\$5,000	NY-R220181221454	5/2/2019		
MALU PROPERTIES - MASPETH AVE	02	UNP	NYU200953	\$2,000	\$2,000	NY-R220181022388	5/8/2019		
LEEWOOD GOLF CLUB, INC.	03	UNP	NYU300387	\$20,000	\$20,000	NY-R320180813141	5/31/2019		
PJP LAWRENCEVILLE GROUP - RT. 213 CONSTRUCTION SITE	03	UNP	NYU300388	\$6,000	\$10,200	NY-R32019020539	5/31/2019		
VAN LIESHOUT DAIRY	08	UNP	NYU800051	\$2,000	\$6,000	NY-R82019050148	5/31/2019		
WESTCHESTER COUNTY AIRPORT	03	UNP	NYU300386	\$10,000	\$37,500	NY-CO32018030844	6/7/2019		
WEIS VINEYARD	08	UNP	NYU800053	\$400	\$400	NY-LER819017871	7/22/2019		
TITAN DEMOLITION - 2725 ARTHUR KILL ROAD	02	UNP	NYR11A698			NY-R220160308101	8/7/2019		
QUEENSBURY (T) - HOVEY POND	05	UNP	NYU500339	\$500	\$500	NY-NYU500339	8/7/2019		
BRAWDY MARINE CONSTRUCTION	08	UNP	NYU800054	\$1,000	\$1,000	NY-LER819018460	8/12/2019		
RUSSELL R. PRAY	05	UNP	NYU500338	\$500	\$500	NY-LER519010965	8/20/2019		
ARCHER TOWER DEVELOPMENT	02	UNP	NYR11F219	\$4,700	\$4,700	NY-R2-20190603-197	9/23/2019		
WAY FONG LLC	02	UNP	NYU200945	\$7,500	\$15,000	NY-R220181009364	9/23/2019		
FULCRUM REAL ESTATE ADVISORS - BRIDGES AT WHITESTONE	02	UNP	NYU200956	\$5,700	\$5,700	NY-R220190731243	9/23/2019		
BRYAN AND KELLY DEANGELIS - UNPERMITTED	06	UNP	NYU600195	\$1,296	\$12,000	NY-R52019080622	10/24/2019		
NYC ECONOMIC DEVELOPMENT CORP - 2430 FDR DRIVE	02	UNP	NYU200932	\$20,000	\$20,000	NY-R220181109419	12/5/2019		
SMITH BOYS MARINE SALES	09	UNP	NYU900483	\$5,000	\$10,000	NY-R92019051539	2/18/2020		
GILBERT D. BISHOP - UNPERMITTED	06	UNP	NYU600196	\$1,000	\$1,000	NY-62020032713	3/27/2020		
TRIBOROUGH BRIDGE AUTHORITY AND TUTOR & PERINI CORP.	02	UNP		\$140,000	\$210,000	NY-R220190423161	8/7/2019		
Unpermitted Discharge				\$246,096	\$409,080				
Statewide total - All Discharge Classes				\$4,248,934	\$7,268,314			\$1,338,500	