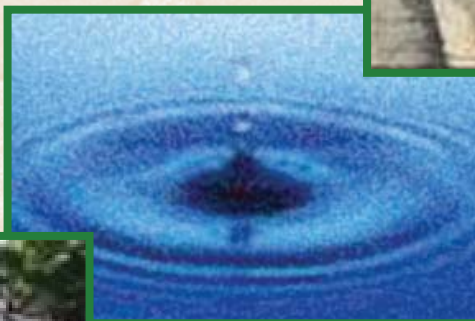


Stormwater Management Plan

*Construction
Compliance Evaluation Plan*



Construction Compliance Evaluation Plan

Errata 11/17/2008

1. Page 16, fourth bullet item under C Rating:
Replace “dated June 2007,”
With “dated June 2003,”
2. Page 27, last paragraph under section 10.1:
Replace “Preparation Manual dated June 2007 the Stormwater Management Plan (SWMP),
and”
With “Preparation Manual dated March 2007, the Stormwater Management Plan (SWMP)
dated June 2003, and”

Stormwater Management Plan

Construction

Compliance Evaluation Plan



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LIST OF ACRONYMS

BMP	Best Management Practice
CCEP	Construction Compliance Evaluation Plan
CPSRF	Construction Project Stormwater Report Form
CPSRP	Construction Project Stormwater Review Plan
CSBMPAE	Construction Stormwater Best Management Practices Adequacy Evaluation
CSWAT	Construction Stormwater Advisory Team
DCSWC	District Construction Stormwater Coordinator
DEA	Division of Environmental Analysis
EPA	Environmental Protection Agency (United States)
IA	Independent Assurance
NPDES	National Pollutant Discharge Elimination System
QA I	Level I Quality Assurance
QA II	Level II Quality Assurance
QC	Quality Control
RWQCB	Regional Water Quality Control Board
SCAPE	Stormwater Contract Administration Process Evaluation
SWMP	Stormwater Management Plan
SWPPP	Stormwater Pollution Prevention Plan
SWRCB	State Water Resources Control Board
WPCP	Water Pollution Control Plan

PREFACE

Since 1990 several construction project stormwater review plans have been developed to evaluate Caltrans projects for their overall adequacy to implement stormwater pollution prevention measures and compliance with the requirements of Caltrans National Pollutant Discharge Elimination System Permit and the Construction General Permit. The most recent evaluation plan, Annual Construction Compliance Review Plan (ACCRP), was adopted in August 2003 and was revised later in August 2005.

In response to concerns from district and headquarters management regarding the ratings process outlined in the ACCRP, a decision document was produced in May 2005. The document stated, “The current Annual Construction Compliance Review Plan and its application may not result in ratings that accurately represent the Caltrans’ level of water quality protection.” The decision document directed the Division of Environmental Analysis to use the recommendations listed in the document as a guide to deliver a revised compliance evaluation plan. Consequently, a committee was formed and a revised ACCRP was submitted to headquarters Divisions of Construction and Environmental Analysis in May 2006. However, the revised ACCRP did not fully address the concerns identified in the decision document such as:

- A rating system that places too much weight on excessive minor deficiencies, resulting in poor scores for projects that are otherwise substantially compliant.
- Large and complex projects with substantial disturbed soil area were at a disadvantage because of the higher probability of stormwater pollution prevention plan deficiencies occurring.
- With only four possible scores, not enough variation exists within the ratings system to specifically determine the project’s level of compliance. For example, two projects that both receive ratings of “3” may appear to be vastly different in the level of compliance.
- The relationship between low ratings and contract administration actions is unclear to district construction personnel, which results in contract administration challenges.

As a result, a panel made up of headquarters Divisions of Construction and Environmental Analysis was formed to revisit problems identified in the decision document and formulate a new Construction Compliance Evaluation Plan.

This Construction Compliance Evaluation Plan supersedes the ACCRP dated August 2005.



EXECUTIVE SUMMARY

The Construction Compliance Evaluation Plan (CCEP) describes the activities implemented by Caltrans for evaluating construction project stormwater compliance with the statewide National Pollutant Discharge Elimination System permit, Construction General Permit, Caltrans guidance documents and the construction stormwater program. It also monitors the level of compliance in the field, evaluates trends, and recommends improvements. The CCEP has been prepared in accordance with Caltrans's statewide Stormwater Management Plan (SWMP) dated June 2003, and complies with the self-auditing requirements of Caltrans' statewide National Pollutant Discharge Elimination System (NPDES) permit (CAS000003) (Order No. 99-06-DWQ), provision K, 3, d, "Overall Management Program Effectiveness."

Unlike previous compliance evaluation plans developed by Caltrans, this plan provides a process for evaluating the potential threat to water quality. A dual rating system is used that separates water quality compliance from stormwater contract administration and is sensitive to forecasted storm events and contractor preparedness. This plan also incorporates a quality control quality assurance program to ensure consistency in the use of rating criteria developed for CCEP. An internal element to this CCEP, referred to as the Construction Project Stormwater Review Plan, provides guidance for consistently implementing, conducting, and reporting construction project stormwater compliance reviews by all district construction stormwater coordinators.

The CCEP provides an independent assurance process for collecting data from project reviews. It includes processes for stormwater contract administration process evaluation, and a Construction Stormwater Best Management Practices Adequacy Evaluation.

Finally, the CCEP provides a method for evaluating stormwater program for construction effectiveness and feedback for its improvement.



1.0 INTRODUCTION

This Construction Compliance Evaluation Plan (CCEP) describes the activities implemented by Caltrans for evaluating construction project stormwater compliance with the permits, guidance documents and the stormwater program for construction. This plan has been prepared in accordance with Caltrans's Statewide Stormwater Management Plan (SWMP) dated June 2003, and complies with the self-auditing requirements of the statewide NPDES Permit (CAS000003)(ORDER NO. 99-06-DWQ), Provision K, 3., d, "Overall Management Program Effectiveness," in Appendix A of this document.

This Construction Compliance Evaluation Plan provides significant improvements from previous plans, including the following components:

- A process for evaluating the potential threat to water quality; this process will be implemented when best management practices (BMPs) are determined through the project reviews to be inadequate.
- A review rating criteria sensitive to forecasted storm events and contractor preparedness; this new review rating criteria will be used to downgrade project reviews when a precipitation event has been forecasted and the contractor is not actively implementing water pollution control practices where appropriate.
- A dual rating system that separates water quality compliance and stormwater contract administration; this system will use a numerical rating to assess compliance with water quality and an alphabetical rating to evaluate stormwater contract administration.

In addition to these new components, this CCEP also includes the following:

- A prescribed project selection process for randomly selecting projects for review.
- A Construction Project Stormwater Review Plan (CPSRP) providing procedures for conducting project reviews
- An independent assurance process for the data collected from project reviews

Finally, this CCEP provides feedback procedures and a process for program improvement as follows:

- A Stormwater Contract Administration Process Evaluation (SCAPE) to evaluate contract administration processes based upon the observed trends detected in the data collected from project reviews.
- A Construction Stormwater Best Management Practices Adequacy Evaluation (CSBMPAE) to evaluate BMP adequacy based upon the observed trends detected in the data collected from project reviews.

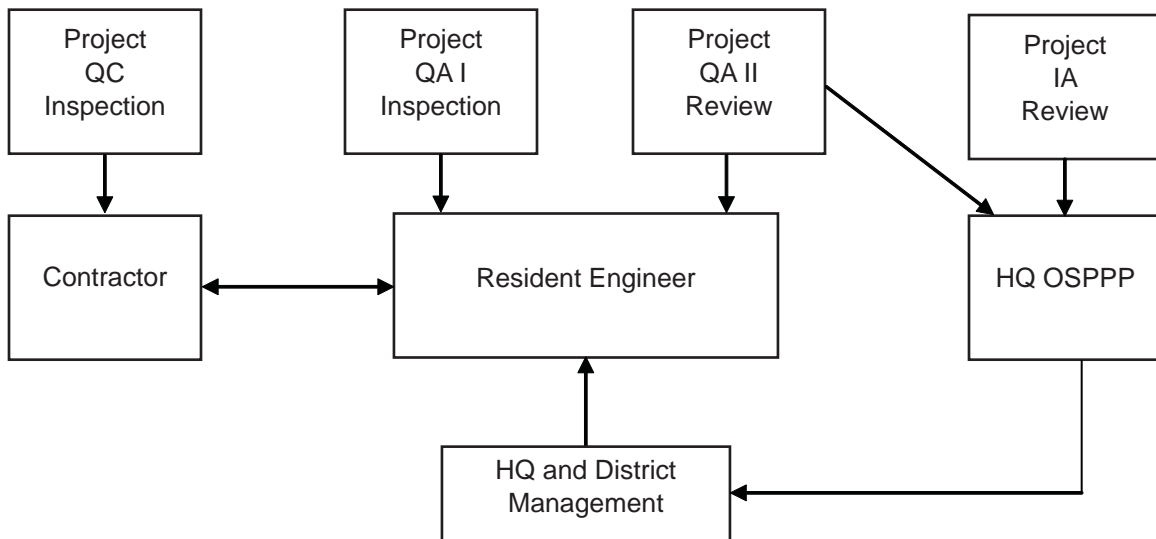
Construction Compliance Evaluation Plan

To enact an effective stormwater program for construction, this CCEP is designed to answer the following questions:

- Are resident engineers enforcing effective water pollution Water Pollution Control Program (WPCP) or Stormwater Pollution Prevention Program (SWPPP)?
- Are construction BMPs adequate to protect the waters of California and the United States? This question will be answered by focusing on the following:
 1. Are BMPs properly selected?
 2. Are BMPs located in accordance with WPCP or SWPPP?
 3. Are BMPs correctly installed?
 4. Are BMP's properly maintained?
- Do construction contractors properly implement and maintain effective WPCP or SWPPP?
- Does the Caltrans' stormwater program provide adequate support and training for resident engineers and Caltrans staff to satisfactorily administer effective construction site stormwater compliance?
- Are contractors adequately trained to implement, maintain and inspect best management practices that provide effective WPCP or SWPPP?

To ensure an effective construction site water pollution control program, Caltrans will follow the water pollution control quality process as shown on the diagram below.

Water Pollution Control Quality Process



QC: Quality Control inspection is done by the contractor

QA I: Quality Assurance Level I inspection is done by the resident engineer or designee (assistant resident engineer or Caltrans construction inspector).

QA II: Quality Assurance Level II review is done by the district construction stormwater coordinator (DCSWC) or designee.

IA: Independent Assurance review is done under the direction of Division of Environmental Analysis, Stormwater IA Reviewer.

The CCEP only defines the QAII and IA steps of the WPCP. Quality assurance level II is performed by the district construction stormwater coordinator following the procedure described in CPSRP. The independent assurance step of the process is conducted under the direction of Division of Environmental Analysis, Office of Stormwater Policy, Planning and Permitting. Results for the reviews conducted at QA II and IA steps will be analyzed to determine project review consistency.

2.0 DEFINITIONS

BMP Adequacy

Approved BMP, listed in the Caltrans's *Construction Site Best Management Practices (BMPs) Manual* dated March 2003, that are located correctly, installed properly and maintained are considered adequate. The term BMP adequacy does not quantify the level of reduction in pollutant loading provided by the BMP.

Threat to Water Quality

A determination of a threat to water quality is performed by visually observing the following three elements: source, path, and receiving water. All three elements are necessary for a credible determination that there is a threat to water quality; that is, there must be a pollutant source, there must be a path that could reasonably convey the source material to a discharge point, and there must be unprotected receiving water.

- **Source**

A source is a repository of material that has potential for being mobilized by stormwater flow. A source could be any of a variety of products or features of a construction project site, such as a bare graded slope (sediment), debris from removal of thermoplastic striping (metals), or potential non-stormwater discharge of portland cement concrete grindings. If the potential source is protected from being discharged into a receiving water by stormwater flow or by direct discharge, it is considered stabilized; therefore, there is no threat to water quality. Generally, whether a product or feature is a source depends upon the protection received by the BMP.

- ***Path***

A path is a course that a pollutant follows from its source of origin to a point of discharge such as receiving water. If there is no path then stormwater flow is considered contained and there is no threat to water quality.

- ***Receiving Waters***

Receiving waters are the waters of the State of California or of the United States and are generally named water bodies, but may include unnamed streams, gullies, ditches and so on that ultimately discharge to named water bodies. Risk of pollution is related to the proximity to receiving water. Discharges are considered to be high risk for transporting pollutants to receiving water if they are in close proximity (generally within 1/4 of a mile) to receiving waters.

Water Quality Compliance

Compliance with the permit is achieved when BMPs are determined adequate or the threat to water quality assessment proves no potential threat to water quality.

Stormwater Contract Administration

Project is in compliance with statewide NPDES permit, guidance documents, and contract specifications.

Quality Control

Contractors perform or conduct all operations, activities, and inspections to fulfill contract requirements for water pollution control.

Quality Assurance

Quality assurance provides confidence with checks and reviews that the plan when implemented will satisfy given requirements for quality.

Independent Assurance

An independent and unbiased evaluation of the quality assurance procedures or activities performed by individuals other than those who conduct Quality Control Level II (district construction stormwater coordinators or designee.)

3.0 CONSTRUCTION COMPLIANCE EVALUATION PLAN PURPOSE

The purpose of this CCEP is to describe an effective procedure for evaluating Caltrans's stormwater program and Stormwater Management Plan (SWMP) for construction in accordance with the requirements of Section 14, "Program Evaluation," of the SWMP and provision K, 3., d of Caltrans statewide NPDES permit.

4.0 ELEMENTS OF CONSTRUCTION COMPLIANCE EVALUATION PLAN

The following seven elements form the basis of this evaluation plan.

- Review of the level of compliance of selected construction projects with the requirements of the NPDES Construction General Permit (Permit No. CAS000002) or applicable Lahonton Regional Water Quality Control Board permit, Caltrans Statewide NPDES Permit (NPDES No. CAS000003), and the statewide SWMP.
- Review of the level of compliance of selected construction projects with the contract specifications and guidance documents (project stormwater contract administration).
- Identify sources, and causes of observed inadequacies.
- Provide the process for evaluating trends.
- Evaluate the adequacy of guidance documents, and contract specifications through Construction Stormwater Advisory Team (CSWAT).
- Evaluate effectiveness of the stormwater program for construction.
- Recommend program improvements, including SWMP improvements, training, research, updates to guidance documents, updates to specifications, and updates to CCEP.

5.0 CONSTRUCTION STORMWATER PROGRAM EVALUATION METHOD

In order to evaluate the effectiveness of the stormwater program for construction, individual projects will be reviewed using Section 6, "Construction Project Stormwater Compliance Rating Criteria." Projects will be selected for review using a standardized procedure as described in Section 7.0 later in this publication. Individual project ratings generated using the Construction Project Stormwater Review Plan (CPSRP) will be compiled and analyzed by districts and regions statewide to determine overall status of the stormwater program for construction. Data collected from the review will be analyzed to identify trends that will be the basis for further investigation via SCAPE, or CSBMPAE. Based upon findings of these in depth evaluations, CSWAT will take appropriate actions including making recommendations for program improvement.

6.0 CONSTRUCTION PROJECT STORMWATER REVIEW RATING CRITERIA

The review of construction project stormwater will be conducted by using two separate rating criteria: water quality compliance and stormwater contract administration.

The water quality compliance rating is numerical beginning with number one (1) representing compliance and going to number four (4) representing noncompliance.

The water quality compliance rating is an assessment of BMP adequacy. If BMPs are found to be inadequate, a secondary level of analysis is done to confirm if a potential threat to water quality exists. This assessment is referred to as, “The Test for Potential Threat to Water Quality,” or simply, threat to water quality. It must identify the following three elements: source, path, and receiving water. All three elements are necessary for a credible determination of a potential threat to water quality; that is, there must be a pollutant source available, there must be a path that could reasonably convey the pollutant to a discharge point, and there must be unprotected receiving water. As an example, if the pollutant source is an unprotected disturbed soil area, and there are no sediment controls in the path to prevent the flow of sediment from the source, and drainage inlets into the receiving water are unprotected, then the site poses a potential threat to water quality. If precipitation begins and there are still no BMPs in place, the site poses an increased risk for a potential threat to water quality and the project rating will reflect the increased risk.

The numeric component of the rating represents the potential threat to water quality in terms of implementation and maintenance of construction site BMPs on a project.

The water quality compliance rating could be affected by different factors such as, percentage of inadequate BMPs, or when a precipitation event is forecasted. For example, a project reflecting a numerical rating of 2 based on the compliance rating criteria described in this section that does not pose a threat to water quality, will be downgraded to a rating of 3 when a 30 percent chance of rain is forecasted and there is no evidence that the contractor is actively mobilizing resources and materials to protect the site.

Stormwater contract administration is assessed based on the existence of contract required documentation, amendments to the same, timely review and approval of document submittals and processing requirements.

The stormwater contract administration rating goes from A for compliance to D for noncompliance. This alpha rating represents compliance with the permits and the quality of stormwater contract administrative activities in accordance with contract specifications, and guidance documents.

6.1 Automated Process for Creating the Project Alpha and Numeric Rating

Checklists have been designed to evaluate the adequacy of BMPs and to determine if the implemented BMPs eliminate or minimize stormwater runoff pollution. The checklists are submitted in the automated process called the Construction Project Stormwater Review Tool. It processes information gathered in the checklists and generates a rating and a report form.

6.2 Water Quality Compliance—Numeric Rating

1 Rating

The project poses no threat to water quality, and review observations support the following criteria:

- Temporary soil stabilization and sediment control BMPs are implemented in accordance with the project's SWPPP or WPCP requirements, rainy season, non-rainy season, active and non-active areas.
- There is no evidence of wind erosion BMPs in place.
- Sediment tracking is minimal to non-existent.
- Non-stormwater and waste management BMPs are properly implemented.
- Treatment control(s) for dewatering operations meet(s) the requirements of the project's dewatering permit and or dewatering plan.

It is expected that construction sites will reflect 100 percent compliance at all times. However, it is recognized construction methods and operations are dynamic in nature and project sites are subject to occasional occurrences of less than the expected level of compliance. Therefore this plan assigns a rating of 1 for projects:

- Having less than 10 percent inadequate BMPs due to:
 1. Missing BMP
 2. Improper location
 3. Incorrect installation
 4. Lack of maintenance
 5. Improper selection
- Less than 30 percent chance of precipitation within 48 hours

2 Rating

The project poses no threat to water quality and review observations support the following criteria:

- Between 20 to 50 percent of the BMPs are inadequate based on:
 1. Missing BMP
 2. Improper location
 3. Incorrect installation
 4. Lack of maintenance
 5. Improper selection

Specific examples are:

- Sediment control or soil stabilization BMPs are not installed correctly.
- Sediment control or soil stabilization BMPs are not maintained.
- Sediment control or soil stabilization BMPs are not located correctly.
- Evidence of active wind erosion.
- Non-stormwater and waste management BMPs are not properly maintained.
- Hazardous materials or waste is stored within project limits without implementation of BMPs for hazardous material and waste or secondary containment. •

3 Rating

This project poses a potential threat to water quality and review observations support the following criteria:

At least 50 percent of the BMPs are inadequate based on:

- Missing BMP
- Improper location
- Incorrect installation
- Lack of maintenance
- Improper selection

Specific examples are:

- Sediment control or soil stabilization BMPs are not installed correctly.
- Sediment control or soil stabilization BMPs are not maintained.
- Sediment control or soil stabilization BMPs are not located correctly.

- Non-stormwater and waste management BMPs are not properly maintained.
- DSAs not protected with erosion and sediment controls as required.
- Lack of soil stabilization or sediment control materials on site to protect DSAs when required.
- There are identified drainage inlets or receiving waters within or adjacent to the project site in close proximity to DSAs without control measures in place that pose a potential threat of untreated stormwater discharges.
- Dust caused from construction activities visibly blowing off the site and into drainage conveyances or adjacent water bodies without implementation of appropriate BMPs.

Projects receiving a rating of 2 will be down graded to a rating of 3 when all of the following apply:

- The threat to water quality assessment identifies a potential threat to the quality of receiving water.
- At the time of review there is a greater than or equal to a 30 percent chance of rain within the next 48 hours.
- There is no evidence the contractor is actively mobilizing resources and materials to protect the site.

4 Rating

This project poses a threat to water quality or has a high risk of posing a threat to water quality and the review observations support the following criteria:

- Uncontrolled discharge
- Evidence of uncontrolled discharge

Note: Reviewers should check project files for notice of discharge or the documentation describing the requirements for allowable discharges. If notice is not on file then proceed with notification in accordance with the district's regional work plan.

Specific examples are:

- Any actual discharge of stormwater or non-stormwater to a receiving water or active drainage inlet from the project that is uncontrolled.
- Working in an active stream channel when permitted or other water body when permitted without proper implementation of required best management practices (BMPs).
- Any discharge of sediment or other deleterious substances resulting from dewatering operations conducted without implementation of required BMPs for dewatering.

Projects receiving a rating of 2 or 3 rating will be down graded to a rating of 4 if all of the following apply:

- The threat to water quality assessment identifies a potential threat to the quality of receiving water.
- There is a greater than or equal to 50 percent chance of rain within the next 24 hours at the time of review.
- The contractor is not actively implementing water pollution control practices where appropriate before precipitation or a failure of a water pollution control practice is not corrected before precipitation.

6.3 Stormwater Contract Administration—Alpha Rating

A Rating

A project is assigned an A rating when there are no project document deficiencies and the review of project documentation supports each and every one of the following:

- The approved WPCP or SWPPP appropriately addresses current operations.
- SWPPP or WPCP or amendments are on file and signed.
- Site inspections by the contractor are conducted in accordance with expected frequencies.
- Site inspections by project staff are conducted in accordance with expected frequencies.
- Sampling and analysis plans as required have been properly documented, filed, and reflect current field conditions.
- Sampling results have been properly logged and are up to date.
- If applicable, dewatering plan is approved by the Regional Water Quality Control Board and is on file.
- A preconstruction meeting to review SWPPP or WPCP requirements is on file.

In addition to the above requirements, the A rating is still assigned to the project, when 20 percent or less of the following contract *Standard Specifications* and special provisions requirements (if applicable) are not met.

1. Disturbed soil area is either within the contract specified limit or resident engineer's approval for expansion is on file.
2. Material Safety Data Sheets have been supplied to the resident engineer.
3. The construction site has been regularly inspected for evidence of illicit connection, illegal dumping or discharge. The perimeter has also been checked for evidence or potential of illicitly discharged or illegally dumped material..

4. When illicit connections or illegal dumping or discharges were discovered, the resident engineer was immediately notified, who in turn notified the district construction stormwater coordinator and construction hazmat coordinator.
5. Contractor employees and subcontractors trained on proper material delivery and storage practices.
6. All employees, contractors, and subcontractors have completed a safety training program that meets the requirements of title 29 Code of Federal Regulations. It covers the potential hazards identified either in the project plans and specifications or by the contractor's additional investigation.
7. Temporary storage areas are located away from vehicle traffic.
8. An accurate and up-to-date inventory of materials delivered and stored on site.
9. Storage areas are kept clean, well organized, and equipped with ample cleanup supplies as appropriate for materials being stored.
10. In the material delivery and storage area, the perimeter controls, containment structures, covers, and liners are maintained properly and will function as intended.
11. The storage areas are inspected before and after rainfall events and at least weekly during other times.
12. All employees, contractors and subcontractors are properly trained to identify and properly dispose of solid waste and hazardous waste.
13. Regular meetings are held (incorporated into regular safety meetings) to discuss and reinforce disposal procedures.
14. Construction material visible to the public is stored or stacked in an orderly manner.
15. Nonhazardous materials such as useful vegetation debris, packaging and surplus construction materials are salvaged or recycled.
16. Hazardous waste is disposed of only at authorized disposal areas
17. Hazardous wastes stored in sealed containers constructed of suitable materials and labeled as required by California Code of Regulation Title 22.
18. Hazardous waste is disposed of in accordance with the procedures outlined in Construction Site Best Management Practices (BMPs) Manual (Hazardous Waste Management WM-06).
19. Spill prevention and control plan is addressed in SWPPP and WPCP.
20. Appropriate contacts (Licensed Hazardous Waste Cleanup Specialist & Local County Caltrans of Health) including phone numbers are listed in the spill prevention and control plan.
21. Spill prevention and control plan is up-to-date and appropriate to minimize or prevent the discharge of spilled material

22. Spill control clean up material is located near material storage, unloading, use area, and in mobile fuel trucks
23. Dewatering operation is in accordance with the project SWPPP or WPCP.
24. Dewatering activities comply with the Field Guide for Construction Dewatering, available at
www.dot.ca.gov/jq/construc/stormwater/manuals.htm
25. Any required dust control plan, is kept on site.
26. For paving, sealing, sawcutting, and grinding operations, all applicable BMPs are in place in accordance with SWPPP or WPCP.

B Rating

A project is assigned a B rating when at least one of these deficiencies is documented or when 20 percent to 50 percent of contract specification requirements are not met.

- The approved SWPPP or WPCP does not reflect current operations and amending of the document is needed.
- SWPPP or WPCP or amendment (s) are not on file or signed.
- On file documentation of site inspections performed by the contractor are not up to date.
- On file documentation of site inspections performed by project staff are not up to date.
- Contractor's yard, staging area, material or waste storage sites directly related to the project are not addressed in the SWPPP or WPCP.
- The contractor does not have a copy of the approved SWPPP or WPCP on site.
- A record of the preconstruction meeting to review SWPPP or WPCP requirements is not on file.

C Rating

There are project documentation deficiencies that require immediate correction. The project receives a C rating when 4 or fewer of the following is documented or between 50 percent and 80 percent of the contract specification requirements listed above are not met.

- SWPPP or WPCP or amendments are not on file or signed and are more than two weeks past due.
- Annual recertification of the project SWPPP is not on file or signed and is more than two weeks past due.
- File documentation of site inspections performed by the contractor do not support the contract specified minimum frequency and are more than two weeks past due.
- File documentation of site inspections by Caltrans staff are not in accordance with expected frequencies in Section 6.4.2, "Caltrans Inspections," of the SWMP, dated June 2007, and

are more than two weeks past due.

- Expansion beyond the contract specified limit for active disturbed soil areas without resident engineer's written approval.
- Sampling was conducted but proper documentation is not on file.
- A required dewatering plan has not been submitted or approved.

D Rating

A project receives a D rating when at least one of the following conditions exist:

- Work started without an approved or conditionally approved SWPPP or WPCP.
- A Notice of Discharge not submitted to the RWQCB within 14 days when required.
- When more than 4 items under a C rating are observed.
- When 80 percent or more of the contract specification requirements listed above are not met.

7.0 PROJECT SELECTION

An annual evaluation of 100 construction sites for stormwater compliance is a measurable objective, C.3.a, of the statewide SWMP. Caltrans has decided to increase the number of projects to be reviewed to a level that will result in a 95 percent confidence in conclusions drawn from the information collected. The number of projects to be reviewed for the 95 percent confidence level will be determined in accordance with Appendix B, “Project Selection Process.”

Caltrans will review WPCP and SWPPP projects based on a random selection from projects listed in the Caltrans’ Statement of Going Contracts. Projects will be randomly selected by the Caltrans’s Division of Environmental Analysis, Office of Stormwater Policy, Planning and Permitting.

Stratified sampling is used to ensure that groups or stratum in the population that have a small size, relative to other stratum are properly represented. In this project selection method, the list of all going contracts (sampling frame) is stratified by district which divides the sampling frame into non-overlapping subgroups. Samples are then selected randomly within the strata. Projects will be stratified by district and randomly selected for each district on a monthly basis. The list of stratified and randomly selected projects will be furnished to the district construction stormwater coordinators. The district construction stormwater coordinator performs field reviews for the selected projects and forwards the review results to the Office of Stormwater Policy, Planning, and Permitting upon completion of the review. The random project selection process is described in Appendix B of this publication.

8.0 CONSTRUCTION PROJECT STORMWATER REVIEW PLAN

8.1 Construction Project Stormwater Review Plan Organization

The CPSRP consists of the following sections:

- Purpose
- Goals
- Scope
- Project Review Procedure

8.2 Purpose

The purpose of this CPSRP is to have a formalized procedure for the Quality Assurance level II review component of the water pollution control quality process.

8.3 Goals

The goals of this CPSRP are to document a project's impact on receiving water quality and administration of construction contract provisions related to stormwater runoff management. These include:

- Proper selection of BMPs
- Proper placement of BMPs in accordance with WPCP or SWPPP
- Proper installation of BMPs
- Proper maintenance of BMPs
- Approval of WPCP or SWPPP•
- Amendment of WPCP or SWPPP as required
- Approval of Annual Compliance Certification
- Project inspection at expected frequencies
- Corrective actions taken to remedy observed deficiencies

8.4 Scope

The CPSRP provides a process for review of the selected construction projects using Section 6, "The Construction Project Stormwater Review Rating Criteria." The CPSRP lists the step-by-step procedures for reviewing implemented BMPs and documenting observed deficiencies. Moreover, the CPSRP lists step-by-step procedures for reviewing stormwater contract administrative activities in accordance with contract specifications, and guidance documents. The CPSRP analyzes the observed BMP inadequacies and their potential or real impact on receiving water quality resulting in a rating that reflects the level of project's compliance with the

applicable permits, regulations and guidelines and administration of construction contract related to stormwater runoff management.

In order to reach statistically valid conclusions, and to generate adequate data points for analysis of trends, a sufficient number of projects will be reviewed. Appendix B, “Project Selection Process,” provides instructions to determine the number of projects required to draw valid conclusions.

The CPSRP provides the following:

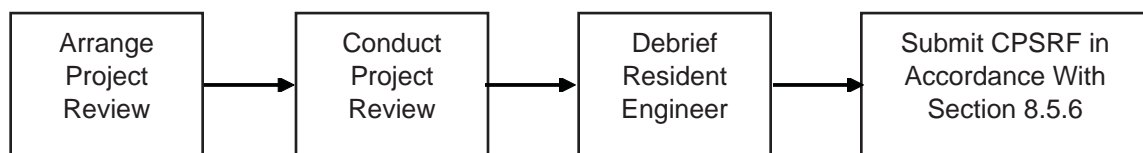
- Specific procedures for reviewers to follow when conducting construction project reviews.
- Consistency in data collection and reporting.
- Description of the method in which the reviewer reports on water quality impacts caused by a construction project.
- Description of the method in which the reviewer reports on administration of construction contract related to stormwater runoff management. •

8.5 Project Review Procedure

District construction stormwater coordinator (DCSWC) or a designee will be responsible for arranging and conducting project compliance reviews. The project compliance review process involves the following main steps:

- Arrange project review
- Conduct project review
 - 1 Project documentation review
 - 2 Project field review
- Complete Construction Project Stormwater Review Forms [also known as checklists (CPSRF)]
- Use the automated rating system to rate the project
- Debrief resident engineer
- Submit CPSRFs for entry to the CPSRP database.

Flow diagram for review process



8.5.1 Arrange Project Review

Contact the resident engineer to schedule a project review. It is okay to leave a message, but continue to call until contact is established. If contact is not established with the resident engineer communicate with the area construction engineer. Confirm the project review date and time with the project resident engineer, by phone or by electronic mail. Remind the resident engineer to provide a courtesy invitation to the contractor's water pollution control manager.

8.5.2 Conduct Project Documentation Review

The coordinator reads and signs the Code of Safe Practices for the project, at the resident engineer's request.

Use the Alpha Rating Checklist located in Appendix D to assess the adequacy of the following documentation, when applicable, for existence, completeness, and currency:

- WPCP or SWPPP and other pertinent project file documents or correspondence
- Approved amendments
- Annual certifications
- Up-to-date contractor inspection reports
- Up-to-date Caltrans inspection reports
- Active disturbed soil area is in compliance or a letter is on file to allow the disturbed soil area to exceed specified limits
- Sampling and Analysis Plan (including monitoring results for visible and non-visible)
- Dewatering Provisions
- Other permits for the job and their expiration dates
- Contractor water pollution control manager's current certification and training record and whether they meet quarterly update requirements

Before the project field review (Section 8.5.3) the following information needs to be gathered:

- Project percentage complete
- Rainy season dates from contract special provisions
- Weather forecast for percentage chance of rain
- Number and type of each BMP deployed as indicated in the WPCP or SWPPP for the current stage of construction

- Locations and numbers of BMPs to be reviewed for each type of BMP according to the table below.

No. of BMPs implemented by type	Minimum No. of BMPs to Review
1—3	1
4—10	2
10 –20	3
20—40	4
40 plus	5

8.5.3 Conduct Project Field Review

The field review will focus on the proper implementation and maintenance of BMP and the potential impact on receiving water quality from construction activities. The participants must include: resident engineer or a designee, and may include the contractor’s water pollution control manager or designee. Safety procedures must be followed as outlined in the Code of Safe Practices for the project.

Project field reviews include the following:

- Review the project and any contractor storage yards, on or off site, for proper implementation and maintenance of BMPs from the approved WPCP or SWPPP and amendments. Off site contractor storage yards, or other facilities including borrow pits, disposal sites, batch plants, aggregate and recycling operations are to be reviewed only if they are being used exclusively for a Caltrans construction project. Caltrans has the legal authority to enter and review these sites. Refer to Appendix E, “Right of Entry,” located at the end of this document.
- Track the number of BMPs reviewed. Document the reason for any inadequacies of those BMPs observed (such as, improper location, incorrect installation and inadequate maintenance).
- Document any deviations in BMP implementation. Document if the BMP is not addressed in the WPCP or SWPPP.
- Discuss with field review participants potential problems and potential inadequacies you observe so that there are no surprises on the report. This gives the reviewer the opportunity to collect information from the participants for a complete and accurate report.
- Take enough photos of both good and bad observations to accurately identify conditions. Always take more than one photo of an inadequacy as supporting documentation. Start with a close up shot of the deficiency and then show a more general picture of the surrounding area. Take enough photos to show the entire area, look for slopes, drainage areas or inlets, BMP’s installed or missing, redundancy of BMP’s, and anything else that could provide information for the report or the report reviewers. Photos need to show not

only the observed inadequacies, but also how that observed inadequacy potentially effects water quality. Provide a photo essay to document the potential threat to water quality assessment including shots of the source, the path, and the receiving water.

- Return to the office and review again the approved WPCP or SWPPP and compare it to your field observations. If amendments to WPCP or SWPPP are necessary, then document your recommendations.

The required checklists for the project in review are to be filled out as you are conducting the field review. The checklists are located in Appendix C of this document.

8.5.4 Construction Project Stormwater Review Form Preparation and Completion

- Take ample time to complete the Construction Project Stormwater Review Forms [also known as checklists, (CPSRF)]. Write captions for each photo that you include in the report. Make copies of the photos for the resident engineer.
- Fill out the CPSRF completely. Do not leave boxes blank.
- If there are problems provide a written description (that is describe the location, type of problem, how it may affect water quality, why it is a problem, whether the BMP is installed correctly or missing, and so on).
- If BMPs are inadequate due to lack of maintenance, describe and identify the observed maintenance deficiency (that is broken bags, torn silt fence, full washouts pits, spills with no BMPs installed in immediate or surrounding area, and so on). Observed BMP inadequacies must be documented with factual information. Avoid any personal opinions.
- Within 72 hours of the field review a completed CPSRF must be submitted.

8.5.5 Debrief the Resident Engineer

It is important to debrief the resident engineer in person. If the resident engineer is unavailable at the completion of the CPSRF, call and tell them you would like to debrief them in person. If they are not available, offer to return the next morning for a debriefing and find out with who the CPSRF can be discussed. If the resident engineer indicates they are returning the day of your review make every possible effort to remain at the project site or return to debrief them.

- Provide an electronic copy of the completed CPSRF and all digital photos to the resident engineer or designee.
- Debrief the resident engineer or designee about what you observed in the field. Discuss the problems or deficiencies; make amendment recommendations and also what was good.
- Review the CPSRF with the resident engineer or designee and explain the project conditions that determined the rating. Answer any questions or concerns the construction staff may have.

8.5.6 Document Compliance Review and Submittal of Construction Project Stormwater Review Forms

- Submit completed review forms for entry into the CPSRP database.
- Send an electronic copy of completed CPSRFs reflecting a 3, C or D rating to the following:
 1. District NPDES stormwater coordinator
 2. District construction division chief
 3. Others as determined by the DCSWC
- Send an electronic copy of the completed Construction Project Stormwater Review Form reflecting a 4 rating to the following:
 1. District NPDES stormwater coordinator
 2. District construction division chief
 3. Others as determined by the DCSWC
 4. Division of Environmental Analysis, Office of Stormwater Policy, Planning and Permitting
 5. Division of Construction, Office of Construction Engineering
- Others as determined by the DCSWC for projects receiving a 3, 4, C, or D rating provide feedback in accordance with Section 10, “Feedback and Program Improvement.” in accordance with Section 10, “Feedback and Program Improvement.”

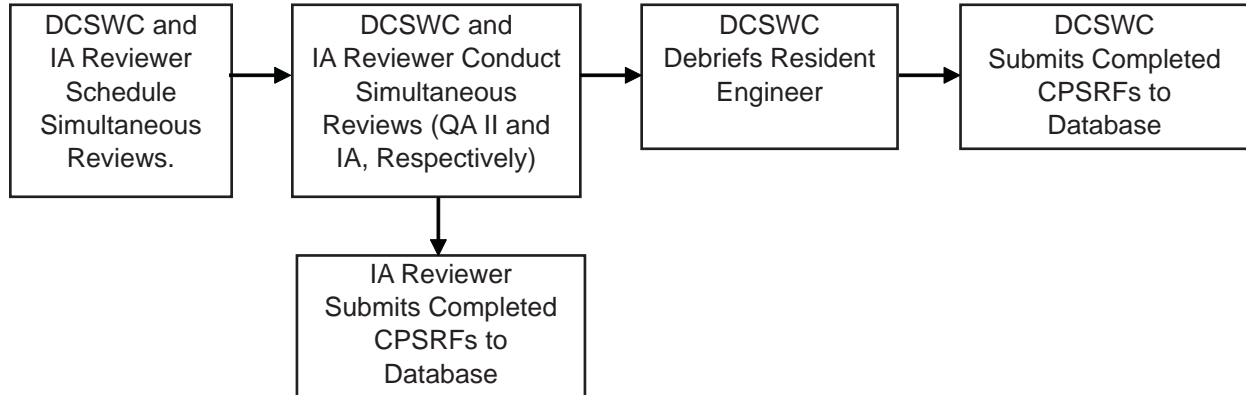
9.0 CONSTRUCTION COMPLIANCE EVALUATION PLAN— INDEPENDENT ASSURANCE PROCEDURE

The purpose of this independent assurance section of the CCEP is to have a formalized procedure for the evaluation of the water quality pollution control process. The procedure will examine the quality and consistency of data collected and ratings generated by the DCSWC and compiled in the CPSRP database. Implementing this procedure will ensure the detection of inconsistencies in project ratings. It will help ensure a uniform and consistent approach. All DCSWCs using the same method and rating criteria, when reviewing similar projects will produce similar results.

To evaluate the degree of consistency in reviews performed by DCSWCs, a sufficient number of projects will be randomly selected to provide a 95 percent confidence level for data assurance. The projects will be selected according to the procedure described in Section 7.0, “Project Selection,” and Appendix B, Project Selection Process.”

The district construction stormwater coordinator will contact the IA reviewer and arrange for simultaneous project reviews using the same procedure as described in Section 8.5, “Project Review Procedure.” Upon completion of the field reviews the data will be submitted for input into the CPSRP database.

Shown below is a flow diagram of the Independent Assurance project review procedure:



It is expected that the ratings reported from QA II review of a project and IA review of the same project to be similar. When the IA review results in a rating of 4 and QA level II review results in a rating of 1 or 2 then an investigation is triggered to determine the causes for the discrepancy between these two ratings for that particular review. Some degree of variability between the IA review results and QA level II review results are expected and will not trigger an immediate investigation for the causes of minor discrepancies.

Division of Environmental Analysis, Office of Stormwater Policy, Planning and Permitting will periodically conduct a comparison between ratings reported by DCSWCs (QA level II) and those reported by IA reviewers using the paired *t*-test analysis to determine whether the reviewers rate the projects differently in a significant way. If the analysis indicates a significant difference, a panel consisting of Division of Construction staff, and Division of Environmental Analysis staff (Construction Compliance Evaluation Plan Panel) will convene to determine the reasons for the observed differences. The panel will make recommendations for corrective actions that may include, training for reviewers, revision of the CPSRF or revisions to the CPSRP.

Appendix G, “Paired-*t*-Test Statistical Analysis,” of this Construction Compliance Evaluation Plan provides step-by-step instructions to perform a paired *t*-test statistical analysis of the results using a Microsoft Excel software program.

10.0 FEEDBACK AND PROGRAM IMPROVEMENT

10.1 Project Level

The DCSWC or designee will debrief the resident engineer or their designee after completion of each review. The DCSWC will work directly with the resident engineer to resolve or correct project level deficiencies to ensure an effective stormwater program is in place at project level. The DCSWCs will assist the resident engineer in identifying immediate corrective action to be taken for projects receiving a rating of 3, 4, C, or D. Projects reflecting a rating of 4 will be acted upon within 24 hours upon receipt of the project review report. The resident engineer submits a copy of the Stormwater Action Plan Implementation Schedule and Evaluation document, Appendix H that describes the action to be taken to the DCSWC for review. If the district construction stormwater coordinator disagrees with the proposed action plan, they will notify the district construction management. The coordinator will submit the proposed action plan into the CPSRP database.

The DCSWC will document the action plan has been implemented per the schedule identified by signing where specified. If appropriate action has not been taken the DCSWC will notify district construction management.

In addition to immediate corrective action, the DCSWC and the resident engineer will identify whether there is a need for construction stormwater training or the need for project construction stormwater assistance.

The purpose of short term construction project stormwater assistance is to provide expert water pollution control assistance to district construction projects. Water pollution control assistance is provided to ensure compliance with the NPDES General Permit for construction, the Statewide NPDES permit, construction project's Stormwater Pollution Prevention Plan (SWPPP), *Construction Site Best Management Practices (BMPs) Manual* dated March 2003, *Stormwater Pollution Prevention Plan (SWPPP) and Water Pollution Control Program (WPCP) Preparation Manual* dated June 2007 the Stormwater Management Plan (SWMP), and RWQCB's special requirements. Appendix I, "Short Term Assistance Request," describes the process for requesting short-term assistance.

10.2 District Level

Projects receiving a rating of 3, 4, C, or D will be reported to the district construction division chief (deputy district director for construction) and the district stormwater NPDES coordinator.

The district construction division chief should identify deficiencies common to project ratings of 3, 4, C, or D and create a district wide corrective action plan.

The resident engineer documents the action that was taken in response to the project's rating of 3, 4, C, or D. Projects reflecting a rating of 3, C, or D will be acted upon within one week (5 working days) upon receipt of the project review report. Projects reflecting a rating of 4 will

be acted upon within 24 hours upon receipt of the project review report. The resident engineer submits a copy of the Stormwater Action Plan Implementation Schedule and Evaluation document (See Appendix H) that describes the action to be taken to the DCSWC for review. If the DCSWC disagrees with the proposed action plan, they will notify the district construction management. The DCSWC will submit the proposed action plan into the CPSRP database.

The DCSWC will document the action plan has been implemented per the schedule identified by signing where specified. If appropriate action has not been taken the coordinator will notify district construction management.

Long-term district stormwater assistance can be provided by preparing a Task Order for expert water pollution control assistance. See Appendix J, “Long Term District Construction Task Order for Assistance,” for additional information.

10.3 Statewide Level

The DCSWC will report within 24 hours at completion of the CPSRF to Division of Environmental Analysis Office of Stormwater Policy, Planning and Permitting for projects reflecting a rating of 4. The Division of Environmental Analysis, Office of Stormwater Policy, Planning and Permitting maintains the CPSRP database that is used to collect and store data on a statewide level; the data collected in this database will be used to prepare the construction stormwater program quarterly report. This report provides a statewide assessment of the effectiveness of the stormwater program for construction.

10.4 Trends Evaluation

The Division of Environmental Analysis, Office of Stormwater Policy Planning and Permitting will analyze the data to identify trends for occurrence of reported inadequacies by type and by district. The causes of inadequacies such as; missing, improperly located, incorrectly installed, improperly maintained, or improperly selected BMPs will be included in the data analysis. In addition, data will be analyzed for identification of stormwater contract administration deficiencies such as; missing documents including approved SWPPP, SWPPP amendments, contractor inspection forms, Sampling and Analysis Plan, notice of discharge, and the annual certification of compliance forms.

Monthly, during the fiscal year reporting period, BMP inadequacies will be ranked by district and statewide. Monthly reports will be reviewed semiannually and annually to identify trends in reported BMP inadequacies. A CSBMPAE will be conducted for inadequacies trending toward a higher frequency. The evaluation will be conducted to identify the cause(s) for recurrence of inadequacies and will be a basis for determining if the BMP requires improvement, training or if guidance documents require updating.

On a monthly basis during the fiscal year reporting period, construction contract administration deficiencies will be ranked by district and statewide. Monthly reports will be reviewed semiannually and annually to identify trends in stormwater contract administration deficiencies.

For those deficiencies that are trending toward a higher frequency a SCAPE will be conducted. The SCAPE collects project level noncompliance information that appropriately allocates responsibilities to resident engineers, construction contractors, Caltrans stormwater program's support and training efforts, or availability of appropriate BMPs.

The information gathered through the CSBMPAE and SCAPE will identify the source(s) and cause(s) for deficiencies and will provide a solid basis for redirecting or refining stormwater program for construction activities. The information gathered will also provide critical data about strengths and weaknesses of the stormwater program for construction, current and future resource needs to administer an effective and stable program.

The two evaluation processes will answer the following questions:

- Do BMPs need functional improvement?
- Are BMPs too difficult to install?
- Are BMPs too difficult to maintain?
- Has adequate training been provided?
- Do resident engineers effectively enforce terms of the WPCP or SWPPP?
- Do construction contractors properly implement and maintain effective WPCP or SWPPP?
- Does Caltrans's stormwater program provide adequate support and training for resident engineers and Caltrans staff to satisfactorily administer effective construction site stormwater compliance?
- Are contractors trained to implement, maintain and inspect BMPs for effective WPCP or SWPPP?

Results from the two evaluation processes will be reviewed by the Construction Stormwater Advisory Team in accordance with its charter which is located in Appendix K of this document, and the Caltrans's statewide Stormwater Management Plan. The Construction Stormwater Advisory Team will provide recommendations to the chief environmental engineer for stormwater program improvements.

10.5 Annual Report

The annual report will include the following:

- An assessment of statewide and district-by-district construction compliance, including a compilation of all ratings received during the reporting period by the DCSWCs, and an evaluation of the different types of BMP adequacy.
- An analysis of negative trends and recommendations to improve the stormwater program for construction.
- A list of challenges for construction stormwater contract administration and recommendations for corrective actions.



Construction Compliance Evaluation Plan

*Appendixes
and Checklists*



Appendix A

Requirements of NPDES Permit CAS000003) (ORDER No. 99-06-DWQ), Provision K, 3., d, “Overall Management Program Effectiveness,” are quoted below:

K. PROGRAM EVALUATION AND REPORTING

Caltrans shall implement the program specified in the SWMP. Caltrans shall also implement any additional requirements contained in this Provision K.

3. Compliance Monitoring and Evaluation

d. Overall Management Program Effectiveness:

Caltrans shall perform a self-audit of the stormwater program each year to determine (1) if the program is being implemented as required by this NPDES Permit, the SWMP, and the guidance documents prepared by Caltrans; and (2) if the program specified by the SWMP and the guidance documents is adequate.

The results of this SELF-AUDIT shall be submitted by April 1, 2000, and as a part of the Annual Report thereafter to the SWRCB Executive Director.

Caltrans may use any method to evaluate program effectiveness and shall identify the direct and indirect measurements that will be used to track the long-term effectiveness. An outline of the proposed audit is to be submitted by February 1 of each year so that the SWRCB and RWQCBs can evaluate the measures to be used.

Appendix B Project Selection Process

The following section provides instructions on how to randomly select projects from the statement of going contracts for review. These instructions provide assurance that each district is proportionately represented and a satisfactory number of projects is selected from each district. To determine the number of projects selected for review in each district, follow the steps below:

1. Determine the total number of going contracts by referring to the following website and downloading the available information (FileMaker Pro software program is required).
<http://www.dot.ca.gov/hq/construc/statement.html>
2. Determine the number of going contracts in each district.
3. Determine the total number of contracts to be reviewed in the state during the review period (see table below).
4. Calculate the percentage of projects that need review within the going construction projects (number of projects to inspect divided by total projects).
5. Finally, calculate the number of projects to review from each district that are needed to achieve this same ratio (multiply the percentage from step 4 by the number of going contracts in each district). This determines the number of projects to inspect within each district.

To randomly select projects for review in each district, follow the instructions below. Once it is determined how many projects will be selected from each district, the following instructions will be used to identify the individual projects for review. These instructions incorporate the use of Microsoft Excel to ensure that projects are selected at random.

1. Create a table.
2. Copy and paste the list of every going project in the district into a single column. Use project names, EA number, and so on.
3. In a second column, fill the entire column with Microsoft Excel's "Randomize" function. The exact value of each cell should be "= rand ()". Fill only the cells next to where you pasted the group information in step 1.
4. Sort both columns by the "Randomize" column in either ascending or descending order.
5. Scroll down to the row number of the group size (number of projects needed to be inspected). Every project from this row up is a part of your sample.

<p>Number of Projects to Review</p>	<p>Three criteria will usually need to be specified to determine the appropriate sample size: the level of precision, the level of confidence, and the degree of variability in the attributes being measured. These criteria are briefly discussed below.</p>
<p>Level of Precision</p>	<p>The level of precision, sometimes called the sampling error, is the range in which the true value of the population is estimated to be. This range is often expressed in percentage points (for example, ± 5 percent). Thus, if it is found that, for example, 60 percent of projects in the sample have received a 2 rating with a precision level of ± 5 percent, then we can conclude that between 55 and 65 percent of all construction projects in the state would have scored a 2 rating.</p>
<p>Level of Confidence</p>	<p>The level of confidence occurs when a population is repeatedly sampled and the average value of the attribute obtained by those samples is equal to the true population value. Furthermore, the values obtained by these samples are distributed, normally about the true value. In other words, if a 95 percent confidence level is selected, 95 out of 100 samples will have the true population value within the range of precision specified earlier.</p>
<p>Degree of Variability</p>	<p>The degree of variability in the attributes being measured refers to the distribution of attributes in the population. The more heterogeneous a population, the larger the sample size required to obtain a given level of precision. The less variable (more homogeneous) a population, the smaller the sample size. Note that a proportion of 50 percent indicates a greater level of variability than either 20 percent or 80 percent. This is because 20 percent and 80 percent indicates that a large majority do not or do score, respectively, for example a 2 rating (attribute of interest). Because a proportion of 0.5 indicates the maximum variability in a population, it is often used in determining a more conservative sample size. That is, the sample size may be larger than if the true variability of the population attribute were used.</p>

This CPSRP applies the following formula to calculate the number of projects selected to review annually:

$$N_1 = N_0 / \{1 + [(N_0 - 1) / N]\}$$

Where:

N_1 = Number of projects to review annually

N = Number of projects or contracts statewide (population size)

N_0 = Initial sample size

Where:

$$N_0 = ([Z^2 * (p) * (1-p)] / c^2)$$

Z = Z value from the standard normal distribution table (z value table). For example, 1.96 for 95 percent confidence level or 2.58 for 99 percent confidence level

p = Probability of getting a particular rating, expressed as a decimal (use 0.5 for a conservative [larger] sample size)

c = Level of confidence (or confidence interval), expressed as a decimal (for example, .05 = +/- 5)

Determination of Number of Projects

This formula is used to calculate the sample size (the number of projects to review annually) in the following table.

Sample Size for ± 5 percent Precision Levels where Confidence Level is 95 percent and $p = 0.5$.

Size of Population (N)	Number of Projects to Review (N ₁)	Size of Population (N)	Number of Projects to Review (N ₁)
100	80	400	196
110	86	425	202
120	92	450	208
130	98	475	213
140	103	500	218
150	108	525	222
160	113	550	227
170	118	575	231
180	123	600	235
190	127	625	239
200	132	650	242
210	136	675	245
220	140	700	249
230	144	725	252
240	148		
250	152		
275	161		
300	169		
325	176		
350	183		
375	190		

Appendix C Construction Project Stormwater Review Checklists

BMP Names and Corresponding Checklists

BMP Name	BMP ID	Checklist Number
Temporary Soil Stabilization		
Scheduling	SS-01	7
Preservation of Existing Vegetation	SS-02	6
Hydraulic Mulch	SS-03	1
Hydroseeding	SS-04	1
Soil Binders	SS-05	1
Straw Mulch	SS-06	1
Geotextiles, Mats, Plastic Covers and Erosion Control Blankets	SS-07	1
Wood Mulching	SS-08	1
Earth Dikes/Drainage Swales and Lined Ditches	SS-09	1
Outlet Protection/Velocity Dissipation Devices	SS-10	1
Slope Drains	SS-11	1
Streambank Stabilization	SS-12	1
Temporary Sediment Control		
Silt Fence	SC-01	1
Sediment/Distilling Basin	SC-02	1
Sediment Trap	SC-03	1
Check Dams	SC-04	1
Fiber Rolls	SC-05	1
Gravel Bag Berm	SC-06	1
Sandbag Barrier	SC-08	1
Straw Bale Barrier	SC-09	1
Storm Drain Inlet Protection	SC-10	1
Wind Erosion Control		
Wind Erosion Control	WE-01	15
Tracking Control		
Stabilized Construction Entrance/Exit	TC-01	1
Stabilized Construction Roadway	TC-02	1
Entrance/Outlet Tire Wash	TC-03	1
Street Sweeping and Vacuuming	SC-07	2
Non-stormwater Management		
Water Conservation Practices	NS-01	10
Dewatering Operations	NS-02 (1)	11

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Paving and Grinding Operations	NS-03 (2)	12
Temporary Stream Crossing	NS-04	1
Clear Water Diversion	NS-05	1
Illicit Connection/Illegal Discharge		
Detection and Reporting	NS-06	16
Potable Water/Irrigation	NS-07	3
Vehicle and Equipment Cleaning	NS-08	4
Vehicle and Equipment Fueling	NS-09	23
Vehicle and Equipment Maintenance	NS-10	25
Pile Driving Operations	NS-11	1
Concrete Curing	NS-12	1
Material and Equipment Use Over Water	NS-13	1
Concrete Finishing	NS-14	1
Structure Demolition/Removal Over or Adjacent to Water	NS-15	1
Waste Management and Pollution Control		
Material Delivery and Storage	WM-01	17
Material Use	WM-02	13
Stockpile Management	WM-03 (3)	14
Spill Prevention and Control	WM-04	8
Solid Waste Management	WM-05	18
Hazardous Waste Management	WM-06	19
Contaminated Soil Management	WM-07	21
Concrete Waste Management	WM-08 (4)	9
Sanitary/Septic Waste Management	WM-09	1
Liquid Waste Management	WM-10	1
Footnotes		
(1) Requires supplemental checklists A & B		
(2) Requires supplemental checklist E		
(3) Requires supplemental checklists D & E		
(4) Requires supplemental checklist E		
Additional Checklists		
Checklist Name		Checklist Number
Supplemental		A
Supplemental		B
Supplemental		D
Supplemental		E
Alpha Rating		20
Action Plan		22
Exit Review		24

Checklist 1

Review of BMPs SS-03, SS-04, SS-05, SS-06, SS-07, SS-08, SS-09, SS-10, SS-11, SS-12, SC-01, SC-02, SC-03, SC-04, SC-05, SC-06, SC-08, SC-09, SC-10, TC-01, TC-02, TC-03, NS-04, NS-05, NS-11, NS-12, NS-13, NS-14, NS-15, WM-09, WM-10

1. Is the BMP in place in accordance with the SWPPP or WPCP?
Yes (Proceed to next question.)
No (Proceed to next question.)
2. Is the BMP properly selected?
 Yes (Proceed to next question.)
 No (Proceed to next question.)
3. Is the BMP in the right location?
 Yes (Proceed to next question.)
 No (Proceed to next question.)
4. Is the BMP installed correctly?
 Yes (Proceed to next question.)
 No (Proceed to next question.)
5. Is the BMP maintained?
 Yes (Proceed to next question.)
 No (Proceed to next question.)
6. Have you answered “Yes” to all of the questions above?
 Yes (BMP receives an X. Stop here.)
 No (Proceed to next question.)
7. Is there a pollutant source?
 Yes (Proceed to next question.)
 No (BMP receives nothing. Stop here.)
8. Is there a path to receiving water?
 Yes (Proceed to next question.)
 No (BMP receives nothing. Stop here.)
9. Is there a redundant BMP in the path?
 Yes (BMP receives a Y. Stop here and begin review for the redundant BMP.)
 No (Proceed to next question.)
10. Is there receiving water within one-quarter mile from state right-of-way?
 Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 No (BMP receives nothing. Stop here.)

11. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
12. Is the contractor able to fix the inadequacy in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
13. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
14. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 2

BMP SC-07 Review

Street Sweeping and Vacuuming

1. Are sweeping and vacuuming done properly where sediment is tracked or could be tracked onto the paved roads (at ingress and egress)?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
2. Is the sweeping frequency schedule adequate?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
3. Have you answered “Yes” to questions 1 and 2?
 - Yes (BMP receives an X. Stop here.)
 - No (Proceed to next question.)
4. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
5. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
6. Is there a redundant BMP in the path?
 - Yes (BMP receives a Y. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
7. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
(No BMP receives nothing. Stop here.)
8. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
8. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project receives a 3. Proceed to next question.)
9. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)

10. Is there evidence that the contractor is actively implementing water pollution control practices?
- Yes (No additional impact to project rating. Stop here.)
 - No (Project receives a 4, and stop here.)

Checklist 3

BMP NS-07 Review

Potable Water and Irrigation

1. Is there evidence of potable water from line flushing, hydrant flushing, or landscape irrigation water discharges (broken lines, flushing, or excess watering) occurring or has occurred at the construction site or entered the construction site?
 - Yes (Proceed to next question.)
 - No (Review is not necessary [BMP receives nothing]. Stop here.)
2. Is there a BMP in place to manage the runoff?
 - Yes (Proceed to next question.)
 - No (Skip to question 8.)
3. Is the BMP in the right location?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
4. Is the BMP installed correctly?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
5. Is the BMP maintained?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
6. Is the BMP properly selected?
 - Yes ((Proceed to next question.)
 - No (Proceed to next question.)
7. Have you answered “Yes” to questions 3 through 6?
 - Yes (BMP receives an X. Stop here.)
 - No (Proceed to next question.)
8. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
9. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
10. Is there a redundant BMP in the path?
 - Yes (Receives a Y. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)

11. Is there receiving water within one-quarter mile from state right-of-way?
- Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)
12. Is there a chance that runoff will discharge into the receiving water?
- Yes (Project rating receives a 4. Stop here.)
 - No (No additional impact to project rating. Stop here.)

Checklist 4

BMP NS-08 Review

Vehicle and Equipment Cleaning

1. Where vehicle cleaning is performed on site, is there a BMP in place to minimize or eliminate the discharge of pollutants to receiving water?
 - Yes (Proceed to next question.)
 - No (Skip to question A.)
2. Is the BMP in the right location?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
3. Is the BMP installed correctly?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
4. Is the BMP maintained?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
5. Is the BMP properly selected?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
6. Have you answered “Yes” to all of the questions above?
 - Yes (BMP receives an X. Stop here.)
 - No (Proceed to next question.)
7. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
8. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
9. Is there a redundant BMP in the path?
 - Yes (BMP receives a Y. Stop here and begin review for the redundant BMP.)
 - No (Proceed to next question.)
10. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)

11. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
12. Is the contractor able to fix the inadequacy in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
13. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
9. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 6

BMP SS-02 Review

Preservation of Existing Vegetation

1. Is preservation of existing vegetation in compliance with the SWPPP or WPCP?
 Yes (Proceed to next question.)
 No (Proceed to next question.)
2. Is preservation of existing vegetation in compliance with ESA limits shown on the plans?
 Yes (Proceed to next question.)
 No (Proceed to next question.)
3. Is preservation of existing vegetation in compliance with project specific clearing and grubbing, and roadside clearing requirements?
 Yes (Proceed to next question.)
 No (Proceed to next question.)
4. Has the existing vegetation beyond the authorized DSA been preserved?
 Yes (Proceed to next question.)
 No (Proceed to next question.)
5. Is preservation of existing vegetation in compliance with scheduling requirements set forth in the project's Special Provisions?
 Yes (Proceed to next question.)
 No (Proceed to next question.)
6. Does it appear that construction materials, equipment storage, and parking areas for the project have had no negative impact (including root damage) on existing vegetation being preserved?
 Yes (Proceed to next question.)
 No (Proceed to next question.)
7. Have you answered "Yes" to all of the questions above?
 Yes (BMP receives an X. Stop here.)
 No (Proceed to next question.)
8. Is there a pollutant source?
 Yes (Proceed to next question.)
 No (BMP receives nothing. Stop here.)
9. Is there a path to receiving water?
 Yes (Proceed to next question.)
 No (BMP receives nothing. Stop here.)
10. Is there a redundant BMP in the path?
 Yes (BMP receives a Y. Stop here, and begin review for the redundant BMP.)
 No (Proceed to next question.)

11. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)
12. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
13. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
14. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
15. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 7

BMP SS-01 Review

Scheduling

1. Is there a schedule required for this project?
 - Yes (Proceed to next question.)
 - No (Review is not necessary. Stop here.)
2. Is there a schedule in place in accordance with the SWPPP or WPCP?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
3. Are the rainy season dates listed in the schedule?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
4. If a yearly certification will be needed, is it shown in the SWPPP schedule?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
5. Are project specific requirements from government agencies (such as Fish and Game or RWQCB 401) restrictions shown in SWPPP or WPCP schedule?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
6. Does the approved SWPPP or WPCP schedule follow the rainy season specified in the contract?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
7. Is the approved SWPPP or WPCP schedule being adhered to?
 - Yes (If you have answered “Yes” or “Not Applicable” to all the questions above, BMP receives an X. Stop here. Otherwise, BMP receives a Y for the first question between 2 and 7 answered “No.”)
 - No (Record one B for every question between 2 and 7 answered “No” [in project alpha rating checklist], and stop here.)

Checklist 8
BMP WM-04 Review
Spill Prevention

1. Is the spill prevention and control plan addressed in SWPPP or WPCP?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating, and proceed to next question.)
2. Are appropriate contacts (Licensed Hazardous Waste Cleanup Specialist and Local County Department of Health) and phone numbers listed in the spill prevention and control plan?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating, and proceed to next question.)
3. Is the spill prevention and control plan up-to-date and appropriate to minimize or prevent the discharge of spilled material?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating, and proceed to next question.)
4. Are the spill control clean up material located near material storage, unloading, use area, and in mobile fuel trucks?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating, and proceed to next question.)
5. Is secondary containment adequate?
 - Yes (BMP receives an X. Stop here.)
 - No (BMP receives a Y. Proceed to the next question to determine additional impact to project rating.)
6. Is there evidence that a spill (whether minor, semi-significant or significant) has occurred on site?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
7. Is the spill minor or semi-significant to significant?
 - Minor (Proceed to next question.)
 - Semi-significant (Skip to question 9.)
 - Significant (Skip to question 9.)
8. Are minor spills cleaned up weekly and prior to forecasted storms?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Skip to question 10.)
9. Is the spill contained and potential runoff contamination prevented?
 - Yes (BMP maintains the Y received in question 5. No additional impact to project rating. Stop here.)
 - No (Proceed to question 10.)

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10. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP maintains the Y received in question 5. No additional impact to project rating. Stop here.)
11. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP maintains the Y received in question 5. No additional impact to project rating. Stop here.)
12. Is there a redundant BMP in the path?
 - Yes (BMP maintains the Y received in question 5. Stop here and begin review for the redundant BMP.)
 - No (Proceed to next question.)
13. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (Proceed to next question to determine additional impact to project rating.)
 - No (BMP maintains the Y received in question 5. No additional impact to project rating. Stop here.)
14. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
15. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
16. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
17. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 9

BMP WM-08 Review

Concrete Washout and Concrete Management

1. Is the contractor using portable concrete washout service?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
2. Is the contractor using above ground stationary concrete washout?
 - Yes (Proceed to next question.)
 - No (If you have answered “No” to both questions above, review is not necessary. Stop here. Otherwise, proceed to next question.)
3. Is the above ground stationary concrete washout built correctly?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
4. Are the washouts properly placed?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
5. Are the washouts being properly maintained?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
6. Is concrete slurry being properly managed?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
7. Does the project special provisions require transport of portland cement concrete slurry to an approved facility?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
8. Have you answered “Yes” to questions 3 through 6?
 - Yes (BMP receives an X. Stop here.)
 - No (Proceed to next question.)
9. Is there evidence that portland cement concrete slurry is being or will be transported to an approved facility?
 - Yes (If you have answered “Yes” to questions 3 through 8, BMP receives an X. Stop here.)
 - No (Proceed to next question.)

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10. As a result of the inadequacy(s) observed above, is there a potential threat to the receiving water quality or ground water quality?
- Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
11. Is the potential threat to the receiving water or groundwater or both?
- Receiving water (Complete Supplemental Checklist D. Stop here.)
 - Groundwater (BMP receives a Y. Stop here.)
 - Both (BMP receives a Y. Complete Supplemental Checklist D. Stop here.)

Checklist 10
BMP NS-01 Review
Water Conservation Practices

1. On the list below, identify all water sources present on the project requiring water conservation, and circle the appropriate choice(s) if any of them leaks.

	Present?		Leaking?	
Hydrant (s)	Yes	No	Yes	No
Water Truck	Yes	No	Yes	No
Drop Tank	Yes	No	Yes	No
Pumping Station	Yes	No	Yes	No
Irrigation System (s)	Yes	No	Yes	No
Sweeper	Yes	No	Yes	No
Other	Yes	No	Yes	No

Describe Other

If none of the above sources is present, review is not necessary. Stop here.

If none of the above sources leaks, BMP receives an X. Stop here.

Otherwise, proceed to next question.

2. Is there a pollutant source?
 Yes (Proceed to next question.)
 No (BMP receives nothing. Stop here.)
3. Is there a path to receiving water?
 Yes (Proceed to next question.)
 No (BMP receives nothing. Stop here.)
4. Is there a BMP in the path?
 Yes (BMP receives a Y. Stop here, and begin review for the BMP.)
 No (Proceed to next question.)
5. Is there receiving water within one-quarter mile from state right-of-way?
 Yes (BMP maintains the “Y” received above. Proceed to next question to determine additional impact to project rating.)
 No (BMP receives nothing. Stop here.)
6. Is there a chance that the pollutant laden non-stormwater run-off discharges into the receiving water?
 Yes (Project rating receives a 4. Stop here.)
 No (Proceed to next question.)

Construction Compliance Evaluation Plan

7. Is the contractor able to stop the non-stormwater leak in 24 hours?
- Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 3. Stop here.)

Checklist 11

BMP NS-02 Review

Dewatering Operations

1. Is the dewatering operation in accordance with the project SWPPP or WPCP?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating. Proceed to next question.)
 - Not Applicable (Proceed to next question.)
2. Does the project require a dewatering and discharge plan?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
3. Does the project have a dewatering and discharge plan in conformance with the provisions in Section 5-1.02 of the *Standard Specifications* and “Water Pollution Control” of the special provisions?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
4. Does the dewatering and discharge plan comply with applicable local permits, project-specific permits, and regulations?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating. Proceed to next question.)
 - Not Applicable (Proceed to next question.)
5. List below the dewatering activities identified in the project.
 - a. Sediment or Desilting Basin (SC-02).
 - Yes (Fill out Supplemental Checklist A, and proceed to next question.)
 - No (Proceed to next question.)
 - b. Sediment Trap (SC-03)
 - Yes (Fill out Supplemental Checklist A, and proceed to next question.)
 - No (Proceed to next question.)
 - c. Mobil Settling Technologies (Weir Tank)
 - Yes (Fill out Supplemental Checklist B, and proceed to next question.)
 - No (Proceed to next question.)
 - d. Dewatering Tank
 - Yes (Fill out Supplemental Checklist B, and proceed to next question.)
 - No (Proceed to next question.)

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- e. Gravity Bag Filter
 - Yes (Fill out Supplemental Checklist B, and proceed to next question.)
 - No (Proceed to next question.)
- f. Sand Media Particulate Filter
 - Yes (Fill out Supplemental Checklist B, and proceed to next question.)
 - No (Proceed to next question.)
- g. Pressurized Bag Filter
 - Yes (Fill out Supplemental Checklist B, and proceed to next question.)
 - No (Proceed to next question.)
- h. Cartridge Filter
 - Yes (Fill out Supplemental Checklist B, and proceed to next question.)
 - No (Proceed to next question.)
- i. Other
 - Yes
 - No

If you have not selected “Yes” for any of the questions a through i, review your answers and select a “Yes” for at least one. Otherwise this review is not necessary. Stop here.

Checklist 12

BMP NS-03 Review

Paving and Grinding Operations

1. What operation is being reviewed during this visit?
 - Paving, surfacing, resurfacing (Proceed to next question.)
 - Grinding, Grooving (Proceed to next question.)
 - Saw cutting (Proceed to next question.)
2. Are all applicable BMP(s) in place in accordance with the SWPPP or WPCP?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating and proceed to next question.)
3. Are there any indications or evidence that these BMPs do not or will not prevent the discharge of pollutants into storm drains, streets, and creeks?
 - Yes (Proceed to next question.)
 - No (BMP receives an X. Stop here.)
4. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
- 5- Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
6. Is there a redundant BMP in the path?
 - Yes (BMP receives a Y. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
7. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)
8. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
9. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
10. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)

Construction Compliance Evaluation Plan

11. Is there evidence that the contractor is actively implementing water pollution control practices?
- Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

**Checklist 13:
BMP WM-02 Review
Material Use**

1. On the list below, identify the material being used. If multiple materials are used, complete additional checklists for each. Then proceed to next question.

Hazardous Chemicals	Yes	No
Soil Stabilizers and Binders	Yes	No
Fertilizers	Yes	No
Detergents	Yes	No
Plaster	Yes	No
Latex Paint	Yes	No
Petroleum Products	Yes	No
Asphalt and Concrete Components	Yes	No
Pesticides	Yes	No
Other	Yes	No

2. Has Material Safety Data Sheet (MSDS) been supplied to the resident engineer?

- Yes (Proceed to next question.)
- No (Record one B for project alpha rating. Proceed to next question.)

3. Is there ample supply of spill clean up material kept near use areas?

- Yes (Proceed to next question.)
- No (Proceed to next question.)

4. Is material only used only where and when it is needed to complete the construction activity?

- Yes (Proceed to next question.)
- No (Proceed to next question.)

5. Are all applicable BMP(s) in place in accordance with the SWPPP or WPCP to reduce or minimize the discharge of this material to the storm drain system or to watercourses?

- Yes (Proceed to next question.)
- No (Proceed to next question.)

6. Have you answered “Yes” to questions 3 through 5?

- Yes (BMP receives an X. Stop here.)
- No (Proceed to next question.)

7. Is there a pollutant source?

- Yes (Proceed to next question.)
- No (BMP receives nothing. Stop here.)

8. Is there a path to receiving water?

- Yes (Proceed to next question.)
- No (BMP receives nothing. Stop here.)

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9. Is there a redundant BMP in the path?
 - Yes (BMP receives a Y. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
10. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)
11. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
12. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
13. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes, (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
14. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 14
BMP WM-03 Review
Stockpile Management

1. On the list below, identify the stockpile type present, its location on or off site, whether it is active or non-active, and its proximity to concentrated flow. Select only one stockpile type per checklist. If multiple stockpile types are present, complete an additional checklist for each.

Stockpile Type	On Project Site	Outside Project Limit	Active	Non-Active	Located at least 50 feet from concentrated flow?
a. Soil					Yes, No
b. Portland Cement Concrete Rubble					Yes, No
c. Asphalt Concrete					Yes, No
d. Hot Mix Asphalt					Yes, No
e. Asphalt Concrete Rubble					Yes, No
f. Aggregate Base					Yes, No
g. Aggregate Sub-base					Yes, No
h. Cold Mix					Yes, No
i. Pressure Treated Wood					Yes, No
j. Other					Yes, No

2. Does SWPPP or WPCP require a wind erosion control operation (WE-01) on the stockpiles?
- Yes (Complete checklist 15 about wind erosion control, and proceed to next question.)
 - No (Proceed to next question.)
3. Is this review occurring in a rainy season?
- Yes
 - No

If you have checked “Yes” and selected “Non-Active” for stockpile a, b, c, e, f, or g, skip to question 4.

Otherwise, if you have checked “Yes” and selected “Non-Active” for stockpile h, skip to question 6.

Or, if you have checked “Yes” and selected “Non-Active” for stockpile i, skip to question 7.

Or, if you have checked “No” and selected “Non-Active” for stockpile a, b, c, e, f, or g, then skip to question 8.

Or, if you have checked “No” and selected “Non-Active” for stockpile h, skip to question 7.

Or, if you have checked “No” and selected “Non-Active” for stockpile i, skip to question 9.

Or, if you have selected “Active” for stockpile a, b, c, e, f, g, or i, skip to question 10.

Or, if you have selected “Active” for stockpile h, then skip to question 11.

Or, skip to question 12.

4. Are the stockpiles covered or otherwise protected?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
5. Are the temporary perimeter sediment barrier in place at all times?
 - Yes (If you answered “Yes” to both 4 and 5, BMP receives an X. Proceed to question 12.)
 - No (BMP receives a Y, complete Checklist E, and proceed to question 12.)
6. Are the cold mix stockpiles placed on and covered with plastic or comparable material at all times?
 - Yes (BMP receives an X. Proceed to question 12.)
 - No (BMP receives a Y, complete Checklist E. Proceed to question 12.)
7. Is the pressure treated wood stockpile or storage covered with plastic or comparable material at all times?
 - Yes (BMP receives an X. Proceed to question 12.)
 - No (BMP receives a Y, complete Checklist E. Proceed to question 12.)
8. Are the stockpiles covered AND protected with a temporary perimeter sediment barrier before the onset of precipitation?
 - Yes (BMP receives an X. Proceed to question 12.)
 - No (BMP receives a Y, complete Checklist E. Proceed to question 12.)
9. Is the pressure treated wood stockpile or storage covered with plastic or comparable material and placed on pallets prior to the onset of precipitation?
 - Yes (BMP receives an X. Proceed to question 12.)
 - No (BMP receives a Y, complete Checklist E. Proceed to question 12.)

10. Are the stockpiles covered, stabilized, or protected with linear sediment barrier prior to the onset of precipitation?
- Yes (BMP receives an X. Proceed to question 12.)
 - No (BMP receives a Y, complete Checklist E. Proceed to question 12.)
11. Are the cold mix stockpiles placed on and covered with plastic or comparable material before the onset of precipitation?
- Yes (BMP receives an X. Proceed to question 12.)
 - No (BMP receives a Y, complete Checklist E. Proceed to question 12.)
12. Is the stockpile type selected a, b, c, e, f, g, h, or i and within 50 feet of concentrated flow?
- Yes (Complete Checklist D instead of Checklist E if indicated previously. The result of checklist D overrides any previous X received for the BMP.)
 - No (Stop here.)

Checklist 15

BMP WE-01 Review

Wind Erosion Control BMP,

1. Is there a dust control plan required for this project?
 - Yes (Proceed to next question.)
 - No (Skip to question 3.)
2. Is the plan kept on site?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating. Proceed to next question.)
3. If non-potable water is used, are tanks, pipes and other conveyance marked “NON-POTABLE WATER. DO NOT DRINK”?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating, and proceed to next question.)
 - Not Applicable (Proceed to next question.)
4. Is there enough wind to generate wind erosion today?
 - Yes (Proceed to next question.)
 - No (BMP receives an X. Stop here.)
5. Are water and/or other dust palliatives applied in accordance with the SWPPP or WPCP?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
6. Is this practice implemented on the exposed soils subject to wind erosion?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
7. Is water applied uniformly to ensure effective wind erosion and dust control?
 - Yes (If you have answered “Yes” to questions 5, 6 and 7, BMP receives an X. Stop here. Otherwise, proceed to next question.)
 - No (Proceed to next question.)
8. Have you answered “Yes” to questions 5, 6, and 7?
 - Yes (BMP receives an X. Stop here.)
 - No (Proceed to next question.)
9. Is there a redundant BMP that can control wind erosion and control dust?
 - Yes (BMP receives a Y. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
10. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)

11. Does the type of soil, temperature, humidity, and wind velocity allow soil erosion and deposition of dust particles onto the receiving water?
- Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
12. Is there evidence that contractor actively implementing wind erosion control practices?
- Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 16

BMP NS-06 Review

Illicit Connection and Illegal Discharge Detection and Reporting

1. Since last visit, has the construction site been regularly inspected for evidence of illicit connections or illegal dumping or discharge?
 - Yes (Proceed to next question.)
 - No (Record one B in project alpha rating.)
2. Since last visit, has the site perimeter been observed for evidence or potential of illicitly discharged or illegally dumped material, which may enter the job site?
 - Yes (Proceed to next question.)
 - No (Record one B in project alpha rating, and proceed to next question.)
3. Since last visit, has there been any illicit connection or illegal dumping or discharge?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
4. Was the resident engineer immediately notified when illicit connections or illegal dumping or discharges were discovered?
 - Yes (Proceed to next question.)
 - No (Record one B in project alpha rating, and skip to question 6.)
5. Did resident engineer notify the District Construction Stormwater Coordinator and Construction Hazmat Coordinator for reporting?
 - Yes (Proceed to next question.)
 - No (Record one B in project alpha rating, and skip to question 6.)
6. Is temporary stockpiling necessary?
 - Yes (Proceed to next question.)
 - No (If you answered “Yes” to 4 and 5, then go to 7. Otherwise, BMP receives nothing. Stop here.)
7. Is the stockpile covered with plastic sheeting or traps?
 - Yes (BMP receives an X. Stop here.)
 - No (Proceed to next question.)
8. Is a berm installed around the stockpile to prevent run-off from leaving the area?
 - Yes (BMP receives an X , and stop here.)
 - No (BMP receives another Y, and go to next question.)
9. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)

10. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
11. Is there a redundant BMP in the path?
 - Yes (BMP maintains the Y received in question 8. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
12. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)
13. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
14. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
15. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
16. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 17

BMP WM-01 Review

Material Delivery and Storage

1. Mark the materials currently being delivered or stored on site (at the time of review).

- Hazardous Chemicals
- Soil Stabilizers and Binders
- Fertilizers
- Detergents
- Plaster
- Latex Paint
- Petroleum Products
- Asphalt and Concrete Components
- Pesticides
- Other

Proceed to next question.

2. Have Material Safety Data Sheets (MSDSs) been supplied to the resident engineer?

- Yes (Proceed to next question.)
- No (Record one B for project alpha rating, and proceed to next question.)

3. Are contractor employees and sub-contractors trained on proper material delivery and storage practices?

- Yes (Proceed to next question.)
- No (Record one B for project alpha rating, and proceed to next question.)

4. Is an accurate and up-to-date inventory of material delivered and stored kept on site?

- Yes (Proceed to next question.)
- No (Record one B for project alpha rating, and proceed to next question.)

5. Are storage areas kept clean, well organized, and equipped with ample clean up supplies as appropriate for materials being stored?

- Yes (Proceed to next question.)
- No (Record one B for project alpha rating, and proceed to next question.)

6. Are the perimeter controls, containment structures, covers, and liners maintained properly and will function as intended?

- Yes (Proceed to next question.)
- No (Record one B for project alpha rating, and proceed to next question.)

7. Are the storage areas inspected before and after rainfall events and at least weekly during other times?

- Yes (Proceed to next question.)
- No (Record one B for project alpha rating, and proceed to next question.)

8. Are all the procedures and practices noted in Construction Site BMPs Manual for WM-01 being observed?
 - Yes (BMP receives an X. Stop here.)
 - No (Proceed to next question.)
9. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
10. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
11. Is there a redundant BMP in the path?
 - Yes (BMP receives a Y. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
12. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)
9. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating and BMP maintains the Y received in Supplemental Checklist D. Stop here.)
10. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
11. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
12. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 18

BMP WM-05 Review

Solid Waste Management

1. Are contractor employees and sub-contractors properly trained to identify solid waste and hazardous waste?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating, and proceed to next question.)
2. Are regular meetings held (incorporated into regular safety meetings) to discuss and reinforce disposal procedures?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating, and proceed to next question.)
3. Is construction material visible to the public stored or stacked in an orderly manner?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating, and proceed to next question.)
4. Are useful vegetation debris, packaging, and surplus building materials salvaged or recycled?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating, and proceed to next question.)
 - Not Applicable (Proceed to next question.)
5. Are provided dumpsters of sufficient size and number to contain the solid waste generated by the project?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
6. Is solid waste storage areas located more than 15 m (50 ft) from drainage facilities and watercourses or in areas that are not prone to flooding and ponding?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
7. Is construction and highway planting waste stored in watertight dumpsters and securely covered from wind and rain with tarps or plastic sheeting?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
8. Is non-hazardous construction site waste segregated from potentially hazardous waste?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)

9. Is solid waste, trash, and debris gathered weekly and removed every two weeks or when needed?
- Yes (Proceed to next question.)
 - No (Proceed to next question.)
10. Have you answered “Yes” or “Not Applicable ”to questions 4 through 9?
- Yes (BMP receives an X. Stop here.)
 - No (Proceed to next question.)
11. Is there a pollutant source?
- Yes (Proceed to next question.)
 - No (BMP receives nothing, and stop here.)
12. Is there a path to receiving water?
- Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
13. Is there a redundant BMP in the path?
- Yes (BMP receives a Y. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
14. Is there receiving water within one-quarter mile from state right-of-way?
- Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)
15. Is the chance of precipitation greater than 30 percent within the next 48 hours?
- Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
16. Is the contractor able to fix the deficiency in 24 hours?
- Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
17. Is the chance of precipitation greater than 50 percent within the next 24 hours?
- Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
18. Is there evidence that the contractor is actively implementing water pollution control practices?
- Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 19

MP WM-06 Review

Hazardous Waste Management

1. Are hazardous wastes stored in sealed containers constructed of suitable materials and labeled as required by Title 22CCR?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating. Proceed to next question.)
 - Not Applicable (Proceed to next question.)
2. Is hazardous waste disposed of within 90 days of being generated by a licensed hazardous waste transporter using uniform hazardous waste manifest forms and taken to a Class I Disposal Site?
 - Yes (Proceed to next question.)
 - No (Record one B for project alpha rating. Proceed to next question.)
 - Not Applicable (Proceed to next question.)
3. Are the hazardous waste containers stored in temporary containment facilities that comply with the requirements stated in Construction Site BMPs Manual for (Hazardous Waste Management WM-06)?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
4. Are containers of dry waste stored on pallets?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
5. Are waste paints, thinners, solvents, residues and sludges that cannot be recycled or reused disposed of as hazardous waste?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
6. Is liquid or semi-liquid hazardous waste in appropriate containers and under cover?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
7. Are Hazardous waste containers in secondary containment?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)

8. Is adequate hazardous waste storage volume available?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
9. Are designated hazardous waste storage areas on site away from storm drains or watercourses and away from moving vehicles and equipment to prevent accidental spills?
 - Yes (If you have answered “Yes” or “Not applicable” to questions 3 through 9, BMP receives an X. Stop here.)
 - No (Proceed to next question.)
10. Have you answered “Yes” or “Not Applicable” to questions 3 through 9?
 - Yes (BMP receives an X. Stop here.)
 - No (Proceed to next question.)
11. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
12. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
13. Is there a redundant BMP in the path?
 - Yes (BMP receives a Y. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
14. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)
15. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
16. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
17. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
18. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 20

Alpha Rating

(This checklist is located in Appendix D.)

Checklist 21

BMP WM-07 Review

Contaminated Soil Management

1. Have contractor’s employees and subcontractors completed a safety training program that meets Code of Regulations Title 29, “Labor,” covering the potential hazards as identified either in the project plans and specifications or by the contractor by further investigation?
 - Yes (Proceed to next question.)
 - No (Record one B for Alpha Rating, and proceed to next question.)
2. Are hazardous waste receptacles and areas inspected regularly by the contractor?
 - Yes (Proceed to next question.)
 - No (Record one B for Alpha Rating, and proceed to next question.)
 - Not Applicable (Proceed to next question.)
3. Are procedures for handling the soil contaminated with aerially deposited lead (ADL) followed?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
4. Are procedures for handling contaminated soil followed in accordance with those specified in the *Construction Site BMPs Manual* (Contaminated Soil Management, WM-07)?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
5. Are procedures for handling underground storage tank removals followed in accordance with those specified in the *Construction Site BMPs Manual* (Contaminated Soil Management, WM-07)?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
6. Are all necessary precautions taken to prevent the flow of water, including ground water, from mixing with hazardous substances?
 - Yes (If you have answered only “Yes” or “Not Applicable” to questions 3 through 6, BMP receives an X. Stop here.)
 - No (Proceed to next question.)
 - Not Applicable (If you have answered only “Yes” or “Not Applicable” to questions 3 through 6, BMP receives an X. Stop here.)
7. Have you answered “Yes” or “Not Applicable” to questions 3 through 6?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)

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8. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
9. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
10. Is there a redundant BMP in the path?
 - Yes (BMP receives a Y. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
11. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)
12. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
13. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
14. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
15. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 22

Action Plan

(This checklist is located in Appendix H.)

Checklist 23

BMP NS-09 Review

Vehicle and Equipment Fueling

1. Where fueling is performed on site, are appropriate measures in place to minimize or eliminate the discharge of pollutants to receiving water?
 - Yes (Proceed to next question.)
 - No (Skip to question 8.)
2. Are absorbent spill clean-up materials and spill kits available in fueling areas and on fueling trucks?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
3. Are drip pans or absorbent pads used during vehicle and equipment fueling (unless the fueling is performed over an impermeable surface in a dedicated fueling area)?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
4. Is dedicated fueling area protected from stormwater run-on and runoff and located 15 meters (50 ft) from downstream drainage facilities and watercourses?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
5. Are nozzles used in vehicle and equipment fueling equipped with an automatic shut-off to control drips?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
6. Is the fueling area protected with berms and/or dikes to prevent run-on, runoff, and to contain spills?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
7. Have you answered “Yes” or “Not Applicable” to all questions above?
 - Yes (BMP receives an X. Stop here.)
 - No (Proceed to next question.)
8. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
9. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)

10. Is there a redundant BMP in the path?
 - Yes (BMP receives an Y. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
11. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)
12. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
13. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
14. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
15. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist 24

Exit Review

1. What time did you start the review? _____
2. How long did it take to finish the office review? _____
3. How long did it take to finish the field review? _____
4. How long did it take to finish the report? _____
5. Did you observe any BMPs or activities in the field that were not specified in the SWPPP or WPCP?
Yes _____
No _____
6. Do you recommend an amendment to project SWPPP or WPCP as a result of your field observations?
Yes (Please explain.) _____
No _____

Checklist 25

BMP NS-10 Review

Vehicle and Equipment Maintenance

1. Where vehicle and equipment maintenance is performed on site, are appropriate measures in place to minimize or eliminate the discharge of pollutants to receiving water?
 - Yes (Proceed to next question.)
 - No (Skip to question 8.)
2. Are drip pans or absorbent pads used during vehicle and equipment maintenance work that involves fluids (unless the maintenance work is performed over an impermeable surface in a dedicated maintenance area)?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
3. Are spill kits and/or other spill protection devices kept in the maintenance areas?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
4. Are absorbent spill clean-up materials available in maintenance work areas and disposed of properly after use?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
5. Is dedicated maintenance work area protected from stormwater run-on and runoff and located 15 meters (50 ft) from downstream drainage facilities and watercourses?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
6. Are drip pans or plastic sheeting placed under all vehicles and equipment placed on docks, barges or other structures over water bodies when the vehicle or equipment is planned to be idle for more than one hour?
 - Yes (If you have answered “Yes” to all of the above questions, BMP receives an X. Stop here. Otherwise, proceed to next question.)
 - No (Proceed to next question.)
 - Not Applicable (Proceed to next question.)
7. Have you answered “Yes” or “Not Applicable” to questions 1 through 6?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
8. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)

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9. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here.)
10. Is there a redundant BMP in the path?
 - Yes (BMP receives a Y. Stop here, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
11. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here.)
12. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
13. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
14. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here.)
15. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here.)
 - No (Project rating receives a 4. Stop here.)

Checklist A
Supplemental BMP Review

1. Is the supplemental BMP in place in accordance with the dewatering plan?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
2. Is the supplemental BMP properly selected?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
3. Is the supplemental BMP in the right location?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
4. Is the supplemental BMP installed correctly?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
5. Is the supplemental BMP maintained?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
6. Have you answered “Yes” to questions 1 through 5?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
7. Is there a pollutant source?
 - Yes (Go to 8.)
 - No (Supplemental BMP receives nothing. Go to the main checklist.)
8. Is there a path to receiving water?
 - Yes (Go to 9.)
 - No (Supplemental BMP receives nothing. Go to the main checklist.)
9. Is there a redundant BMP in the path?
 - Yes (Supplemental BMP receives a Y. Begin BMP Review for the redundant BMP.)
 - No (Go to 10.)
10. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (Supplemental BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (Supplemental BMP receives nothing. Go to the main checklist.)

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11. Is there a chance that the pollutant laden non-stormwater run-off discharges into the receiving water?
- Yes (Project receives a 4 rating. Go to the main checklist.)
 - No (Go to 12.)
12. Is the contractor able to fix the inadequacy in 24 hours?
- Yes (Go to the main checklist.)
 - No (Project receives a 3 rating and Go to the main checklist.)

Checklist B

Supplemental BMP Review

Mobil Settling Technologies (Weir Tank), Dewatering Tank, Gravity Bag Filter, Sand Media Particulate Filter, Pressurized Bag Filter, Cartridge Filter

- A. Is there a pollutant source?
 - Yes (Go to 2.)
 - No (Supplemental BMP receives nothing. Go to the main checklist.)
- 2. Is there a path to receiving water?
 - Yes (Go to 3.)
 - No (Supplemental BMP receives nothing. Go to the main checklist.)
- 3. Is there a redundant BMP in the path?
 - Yes (Supplemental BMP receives a Y. Begin BMP Review for the redundant BMP.)
 - No (Go to 4.)
- 4. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (Supplemental BMP receives nothing. Go to the main checklist.)
- 5. Is there a chance that the pollutant laden non-stormwater run-off discharges into the receiving water?
 - Yes (Project receives a 4 rating. Go to the main checklist.)
 - No (Go to 6.)
- 6. Is the contractor able to fix the inadequacy in 24 hours?
 - Yes (Go to the main checklist.)
 - No (Project receives a 3 rating. Go to the main checklist.)

Checklist C is no longer in use.

Checklist D Supplemental BMP Review

1. Is the BMP in place in accordance with the SWPPP or WPCP?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
2. Is the BMP properly selected?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
3. Is the BMP in the right location?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
4. Is the BMP installed correctly?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
5. Is the BMP maintained?
 - Yes (Proceed to next question.)
 - No (Proceed to next question.)
6. Have you answered “Yes” to all the questions above?
 - Yes (BMP receives an X. Return to the main checklist.)
 - No (Proceed to next question.)
7. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here, and return to the main checklist.)
8. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here, and return to the main checklist.)
9. Is there a redundant BMP in the path?
 - Yes (BMP receives a Y. Stop here, return to the main checklist, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
10. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here, and return to the main checklist.)

11. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (No additional impact to project rating. Stop here, and return to the main checklist.)
12. Is the contractor able to fix the inadequacy in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
13. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record another Y, and proceed to next question.)
 - No (No additional impact to project rating. Stop here, and return to the main checklist.)
14. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. Stop here, and return to the main checklist.)
 - No (Rating receives a 4. Stop here, and return to the main checklist.)

Checklist E Supplemental BMP Review

1. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here, and return to the main checklist.)
2. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (BMP receives nothing. Stop here, and return to the main checklist.)
3. Is there a redundant BMP in the path?
 - Yes (BMP receives a Y. Stop here, return to the main checklist, and begin review for the redundant BMP.)
 - No (Proceed to next question.)
4. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (BMP receives a Y. Proceed to next question to determine additional impact to project rating.)
 - No (BMP receives nothing. Stop here, and return to the main checklist.)
5. Is the chance of precipitation greater than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (Rating receives a 4. Stop here, and return to the main checklist.)
6. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
7. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Record a Y, and proceed to next question.)
 - No (No additional impact to project rating, and stop here and return to the main checklist.)
8. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating, and stop here and return to the main checklist.)
 - No (Rating receives a 4. Stop here, and return to the main checklist.)

Appendix D
Alpha Rating (Checklist 20)
Construction Project Stormwater Contract Administration Evaluation Review

SWPPP/WPCP

1. Is there an approved SWPPP or WPCP on file?
 - Yes (Go to 2.)
 - No (Go to 9.)
2. Does the SWPPP or WPCP appropriately reflect current project operations?
 - Yes (Go to 3.)
 - No (Go to 5.)
3. Is the SWPPP or WPCP (or amendments) adequate and does it address the contractor's yard, staging area, storage of material, waste site directly related to the project?
 - Yes (Go to 4.)
 - No (Assign one B, and go to 4.)
4. Is an annual re-certification of the project SWPPP required?
 - Yes (Go to 7.)
 - No (Go to 10.)
5. Is there a SWPPP or WPCP Amendment on file?
 - Yes (Go to 3.)
 - No (Go to 6.)
6. Are the SWPPP or WPCP Amendments more than two (2) weeks past due?
 - Yes (Assign one C, and go to 3.)
 - No (Assign one B, and go to 3.)
7. Is the annual re-certification of the project SWPPP on file?
 - Yes (Assign one A, and go to 10.)
 - No (Go to 8.)
8. Is the annual re-certification of project SWPPP more than two weeks past due?
 - Yes (Assign one C, and go to 10.)
 - No (Assign one A, and go to 10.)
9. Did work start without a SWPPP or WPCP (or conditionally approved SWPPP or WPCP)?
 - Yes (Assign one D, and go to 10.)
 - No (Go to 10.)

Site Inspection Documentation

10. Do site inspections by the contractor meet the minimum inspection frequency specified in the contract?
 - Yes (Assign one A, and go to 13.)
 - No (Go to 11.)
11. Are the contractor site inspections more than two (2) weeks past due?
 - Yes (Assign one C, and go to 13.)
 - No (Go to 12.)
12. Are the contractor site inspections more than one (1) week past due?
 - Yes (Assign one B, and go to 13.)
 - No (Assign one A, and go to 13.)
13. Do site inspections by resident engineer staff meet the minimum inspection frequency specified in the SWMP?
 - Yes (Assign one A, and go to 16.)
 - No (Go to 14.)
14. Are the Caltrans staff site inspections more than two (2) weeks past due?
 - Yes (Assign one C, and go to 16.)
 - No (Go to 15.)
15. Are the Caltrans staff site inspections more than one (1) week past due?
 - Yes (Assign one B, and go to 16.)
 - No (Assign one A, and go to 16.)

Sampling and Analysis Plan

16. Is Sampling and Analysis Plan required for sediments per project water pollution control special provisions?
 - Yes (Go to 17.)
 - No (Go to 18.)
17. Are proper documentations for implementing sampling and analysis for sediments on file?
 - Yes (Assign one A, and go to 18.)
 - No (Assign one C, and go to 18.)
18. Is Sampling and Analysis Plan required for non-visible pollutants per project water pollution control special provisions?
 - Yes (Go to 19.)
 - No (Go to 20.)

19. Are proper documentations for implementing sampling and analysis for non-visible pollutants on file?
- Yes (Assign one A, and go to 20.)
 - No (Assign one C, and go to 20.)
 - Not Applicable (Go to 20.)

Dewatering Plan

20. Is Dewatering and Discharge Plan required?
- Yes (Go to 21.)
 - No (Go to 25.)
21. Is RWQCB approval required for the Dewatering and Discharge Plan?
- Yes (Go to 22.)
 - No (Go to 25.)
22. Is Dewatering and Discharge Plan submitted to RWQCB?
- Yes (Go to 23.)
 - No (Assign one C, and go to 25.)
23. Is Dewatering and Discharge Plan approved by RWQCB?
- Yes (Go to 24.)
 - No (Assign one D, and go to 25.)
24. Is the approved Dewatering and Discharge Plan on file?
- Yes (Assign one A, and go to 25.)
 - No (Assign one B, and go to 25.)

Preconstruction Meeting Records

25. Is there evidence that a preconstruction meeting to discuss SWPPP or WPCP requirements were conducted?
- Yes (Go to 26.)
 - No (Assign one C, and go to 27.)
26. Is the record of preconstruction meeting to discuss SWPPP or WPCP requirements on file?
- Yes (Assign one A, and go to 27.)
 - No (Assign one B, and go to 27.)

Active Disturbed Soil Area(s)

27. Is there expansion beyond the contract specified limit for active DSA(s)?
- Yes (Go to 28.)
 - No (Go to 29.)
28. Is there resident engineer's written approval on file?
- Yes (Assign one A, and go to 29.)
 - No (Assign one C, and go to 29.)

Hazardous Waste Management

29. Are contractor's employees and subcontractors properly trained to identify hazardous and solid waste and on hazardous waste and disposal procedures?
- Yes (Go to 30.)
 - No (Assign one B, and Go to 30.)
30. Are regular meetings held (incorporated into regular safety meetings) to discuss and reinforce disposal procedures?
- Yes (Go to 31.)
 - No (Assign one B, and go to 31.)
31. Is hazardous waste disposed of only at authorized disposal sites?
- Yes (Go to 32.)
 - No (Assign one B, and go to 32.)
 - Not Applicable (Go to 32.)

Other [Reference]

32. Is there a schedule in place in accordance with the SWPPP or WPCP? [Checklist 7, SS-01, Scheduling].
- Yes (Assign one A, and go to 33.)
 - No (Assign one B, and go to 33.)
 - Not Applicable (Go to 33.)
33. Are the rainy season dates listed in the schedule? [Checklist 7, SS-01 Scheduling].
- Yes (Assign one A, and go to 34.)
 - No (Assign one B, and go to 34.)
 - Not Applicable (Go to 34.)
34. If a yearly certification will be needed, is it shown in the SWPPP schedule? [Checklist 7, SS-01, Scheduling].
- Yes (Assign one A, and go to 35.)
 - No (Assign one B, and go to 35.)
 - Not Applicable (Go to 35.)
35. Are project specific requirements from government agencies (such as Fish and Game or RWQCB 401) restrictions shown in SWPPP or WPCP schedule? [Checklist 7, SS-01, Scheduling].
- Yes (Assign one A, and go to 36.)
 - No (Assign one B, and go to 36.)
 - Not Applicable (Go to 36.)

36. Are the contract required rainy season schedule and amendments listed in the SWPPP or WPCP schedule? [Checklist 7, SS-01, Scheduling].
- Yes (Assign one A, and go to 37.)
 - No (Assign one B, and go to 37.)
 - Not Applicable (Go to 37.)
37. Is the approved SWPPP or WPCP schedule being adhered to? [Checklist 7, SS-01, Scheduling].
- Yes (Assign one A, and go to 38.)
 - No (Assign one B, and go to 38.)
 - Not Applicable (Go to 38.)
38. Is the plan kept on site? [Checklist 15, WE-01, Wind Erosion Control].
- Yes (Assign one A, and go to 39.)
 - No (Assign one B, and go to 39.)
 - Not Applicable (Go to 39.)
39. If Non-potable water is used, are tanks, pipes and other conveyances marked “NON-POTABLE WATER—DO NOT DRINK?” [Checklist 15, WE-01, Wind Erosion Control].
- Yes (Assign one A, and go to 40.)
 - No (Assign one B, and go to 40.)
 - Not Applicable (Go to 40.)
40. Is there enough wind to generate wind erosion today? [Checklist 15, WE-01, Wind Erosion Control].
- Yes (Assign one A, and go to 41.)
 - No (Assign one B, and go to 41.)
 - Not Applicable (Go to 41.)
41. Is the dewatering operation in accordance with the project SWPPP or WPCP? [Checklist 11, NS-02, Dewatering Operations].
- Yes (Assign one A, and go to 42.)
 - No (Assign one B, and go to 42.)
 - Not Applicable (Go to 42.)
42. Does the dewatering and discharge plan comply with applicable local permits, project-specific permits, and regulations? [Checklist 11, NS-02, Dewatering Operations].
- Yes (Assign one A, and go to 43.)
 - No (Assign one B, and go to 43.)
 - Not Applicable (Go to 43.)
43. Are all applicable BMP(s) in place in accordance with the SWPPP or WPCP? [Checklist 12, NS-03, Paving and Grinding Operations].
- Yes (Assign one A, and go to 44.)
 - No (Assign one B, and go to 44.)
 - Not Applicable (Go to 44.)

Construction Compliance Evaluation Plan

44. Since last visit, has the construction site been regularly inspected for evidence of illicit connections or illegal dumping or discharge? [Checklist 16, NS-06, Illicit Connection and Illegal Discharge Detection and Reporting].
- Yes (Assign one A, and go to 45.)
 - No (Assign one B, and go to 45.)
 - Not Applicable (Go to 45.)
45. Since last visit, has the site perimeter been observed for evidence or potential of illicitly discharged or illegally dumped material, which may enter the job site? [Checklist 16, NS-06 Illicit Connection/Illegal Discharge Detection and Reporting].
- Yes (Assign one A, and go to 46.)
 - No (Assign one B, and go to 46.)
 - Not Applicable (Go to 46.)
46. Was the resident engineer immediately Notified when illicit connections or illegal dumping or discharges were discovered? [Checklist 16, NS-06, Illicit Connection and Illegal Discharge Detection and Reporting].
- Yes (Assign one A, and go to 47.)
 - No (Assign one B and go to 47.)
 - Not Applicable (Go to 47.)
47. Did resident engineer notify the District Construction Stormwater Coordinator and Construction Hazmat Coordinator for reporting? [Checklist 16, NS-06, Illicit Connection and Illegal Discharge Detection and Reporting].
- Yes (Assign one A, and go to 48.)
 - No (Assign one B, and go to 48.)
 - Not Applicable (Go to 48.)
48. Have Material Safety Data Sheets been supplied to the resident engineer? [Checklist 17, WM-01, Material Delivery and Storage].
- Yes (Assign one A, and go to 49.)
 - No (Assign one B, and go to 49.)
 - Not Applicable (Go to 49.)
49. Are Contractor employees and sub-contractors trained on proper material delivery and storage practices? [Checklist 17, WM-01, Material Delivery and Storage].
- Yes (Assign one A, and go to 50.)
 - No (Assign one B, and go to 50.)
 - Not Applicable (Go to 50.)
50. Is an accurate and up-to-date inventory of material delivered and stored kept on site? [Checklist 17, WM-01, Material Delivery and Storage].
- Yes (Assign one A, and go to 51.)
 - No (Assign one B, and go to 51.)
 - Not Applicable (Go to 51.)

51. Are storage areas kept clean, well organized, and equipped with ample clean up supplies as appropriate for materials being stored? [Checklist 17, WM-01, Material Delivery and Storage].
- Yes (Assign one A, and go to 52.)
 - No (Assign one B, and go to 52.)
 - Not Applicable (Go to 52.)
52. Are the perimeter controls, containment structures, covers, and liners maintained properly and will function as intended? [Checklist 17, WM-01, Material Delivery and Storage].
- Yes (Assign one A, and go to 53.)
 - No (Assign one B, and go to 53.)
 - Not Applicable (Go to 53.)
53. Are the storage areas inspected before and after rainfall events and at least weekly during other times? [Checklist 17, WM-01, Material Delivery and Storage].
- Yes (Assign one A, and go to 54.)
 - No (Assign one B, and go to 54.)
 - Not Applicable (Go to 54.)
54. Have Material Safety Data Sheets been supplied to the resident engineer? [Checklist 13, WM-02, Material Use].
- Yes (Assign one A, and go to 55.)
 - No (Assign one B, and go to 55.)
 - Not Applicable (Go to 55.)
55. Is the spill prevention and control plan addressed in SWPPP/WPCP? [Checklist 8, WM-04, Spill Prevention].
- Yes (Assign one A, and go to 56.)
 - No (Assign one B, and go to 56.)
 - Not Applicable (Go to 56.)
56. Are appropriate contacts (licensed hazardous waste cleanup specialist and local county department of health) and phone numbers listed in the spill prevention and control plan? [Checklist 8, WM-04, Spill Prevention].
- Yes (Assign one A, and go to 57.)
 - No (Assign one B, and go to 57.)
 - Not Applicable (Go to 57.)
57. Is the spill prevention and control plan up-to-date and appropriate to minimize or prevent the discharge of spilled material? [Checklist 8, WM-04 Spill Prevention].
- Yes (Assign one A, and go to 58.)
 - No (Assign one B, and go to 58.)
 - Not Applicable (Go to 58.)

Construction Compliance Evaluation Plan

58. Are the spill control clean up material located near material storage, unloading, use area, and in mobile fuel trucks? [Checklist 8, WM-04 Spill Prevention].
- Yes (Assign one A, and go to 59.)
 - No (Assign one B, and go to 59.)
 - Not Applicable (Go to 59.)
59. Are Contractor employees and sub-contractors properly trained to identify solid waste and hazardous waste? [Checklist 18, WM-05 Solid Waste Management].
- Yes (Assign one A, and go to 60.)
 - No (Assign one B, and go to 60.)
 - Not Applicable (Go to 60.)
60. Are regular meetings held (incorporated into regular safety meetings) to discuss and reinforce disposal procedures? [Checklist 18, WM-05 Solid Waste Management].
- Yes (Assign one A, and go to 61.)
 - No (Assign one B, and go to 61.)
 - Not Applicable (Go to 61.)
61. Is construction material visible to the public stored or stacked in an orderly manner? [Checklist 18, WM-05 Solid Waste Management].
- Yes (Assign one A, and go to 62.)
 - No (Assign one B, and go to 62.)
 - Not Applicable (Go to 62.)
62. Are useful vegetation debris, packaging and surplus building materials salvaged or recycled? [Checklist 18, WM-05 Solid Waste Management].
- Yes (Assign one A and go to 63.)
 - No (Assign one B and go to 63.)
 - Not Applicable (Go to 63.)
63. Are hazardous wastes stored in sealed containers constructed of suitable materials and labeled as required by the Code of Federal Regulations, Title 22? [Checklist 19, WM-06 Hazardous Waste Management].
- Yes (Assign one A and go to 64.)
 - No (Assign one B and go to 64.)
 - Not Applicable (Go to 64.)
64. Is hazardous waste disposed of within 90 days of being generated by a licensed hazardous waste transporter using uniform hazardous waste manifest forms and taken to a Class I Disposal Site? [Checklist 19, WM-06 Hazardous Waste Management].
- Yes (Assign one A and go to 65.)
 - No (Assign one B and go to 65.)
 - Not Applicable (Go to 65.)

65. Have contractor's employees and subcontractors completed a safety training program which meets the Code of Federal Regulations, Title 29 covering the potential hazards as identified either in the project plans and specifications or by the contractor by further investigation? Checklist 21, WM-07 [Contaminated Soil Management].
- Yes (Assign one A, and go to 66.)
 - No (Assign one B, and go to 66.)
 - Not Applicable (Go to 66.)
66. Are hazardous waste receptacles and areas inspected regularly by the contractor? [Checklist 21, WM-07 Contaminated Soil Management].
- Yes (Assign one A, and stop here.)
 - No (Assign one B, and stop here.)
 - Not Applicable (Stop here.)

Project Rating:

- A. Project receives an A rating when only A's are assigned to the project or %B is less than 20. (Calculate the percentage of number of B's using the equation given below.*)
 - B. Project receives a B rating when only A's assigned AND only if the number of B's assigned to the project is between 20 and 50 percent. (Calculate the percentage of number of B's using the equation given below.*)
 - C. Project receives a C rating when 4 or fewer C's are assigned to the project or the number of B's assigned to the project is between 50 and 80 percent. (Calculate the percentage of number of B's using the equation given below.*)
 - D. Project receives a D rating when at least one D is assigned to the project or either of the following conditions exists:
 - a. When the number of B's assigned to the project is more than 80 percent. (Calculate the percentage of number of B's using the equation given below.*)
 - b. When more than 4 C's are assigned to the project.
- * $\% B = [(\# \text{ of B's}) / (\# \text{ of A's} + \# \text{ of B's})] \times 100$

Appendix E Right of Entry

Legal Authority.

The following NPDES permit provisions and *Standard Specifications* sections provide Caltrans with the authority to carry out the construction site inspections necessary to determine compliance or noncompliance with permit conditions or policies and with procedures set forth in the contract.

SWPPP Projects

Provision H.8.b of Caltrans Statewide NPDES permit (Order No. 99-06- DWQ, NPDES No. CAS000003) specifies that a site-specific SWPPP must be developed and implemented for each construction project as required by the state Construction General Permit (or the appropriate Lahontan RWQCB Permit). In addition, provision H.8.c of Caltrans Statewide NPDES permit (Order No. 99-06- DWQ, NPDES No. CAS000003) specifies that monitoring and inspection of the construction site must be done in accordance with the provisions of the Construction General Permit.

Section A.11 of the Construction General Permit (Order No. 99-08-DWQ, NPDES General Permit No. CAS000002) specifies that the SWPPP must include a discussion of the program to inspect and maintain all BMPs identified in the site plan or other narrative documents throughout the entire duration of the project. This section specifies that qualified persons will be assigned the responsibilities of conducting inspections. Further, section B of the Construction General Permit requires additional site inspections for monitoring and reporting requirements.

Lahontan RWQCB Construction General Permit (Board Order No. 6-00-03, NPDES General Permit No. CAG616002) requires that the dischargers comply with the monitoring and reporting program outlined in the Attachment G of that permit. Attachment G of the permit requires inspection of the construction site to document compliance with conditions of the general permit and the SWPPP and submission of a report at the end of each construction season.

WPCP Projects

Section 7-1.01G of the *Standard Specifications* specifies that before starting any work on the project, the contractor must submit a program to control water pollution effectively during construction of the project. This program must include all work performed under the contract and will apply to all non-commercially operated borrow or disposal sites used for the project.

Section 5-1.08 of the *Standard Specifications* specifies that the resident engineer must have access to all work during construction to inspect the workmanship to make sure that it is in accordance with the intentions of the specifications and the plans. All work done under the contract is subject to the engineer's inspection.

The contractors must allow the DCSWCs, their representatives, or stormwater consultant reviewers, when authorized by Caltrans and upon presentation of credentials, to enter any property, public or private, for the purpose of obtaining information or examination of records or conducting investigations to ensure compliance.

Appendix F Threat to Water Quality Assessment

1. Is there a pollutant source?
 - Yes (Proceed to next question.)
 - No (Stop here.)
2. Is there a path to receiving water?
 - Yes (Proceed to next question.)
 - No (Stop here.)
3. Is there a redundant BMP in the path?
 - Yes (Stop here.)
 - No (Proceed to next question.)
4. Is there receiving water within one-quarter mile from state right-of-way?
 - Yes (Proceed to next question to determine additional impact to project rating.)
 - No (Stop here.)
5. Is the chance of precipitation great than 30 percent within the next 48 hours?
 - Yes (Proceed to next question.)
 - No (There is no additional impact to project rating. (Stop here, and return to the main checklist.)
6. Is the contractor able to fix the deficiency in 24 hours?
 - Yes (Proceed to next question.)
 - No (Project rating receives a 3. Proceed to next question.)
7. Is the chance of precipitation greater than 50 percent within the next 24 hours?
 - Yes (Proceed to next question.)
 - No (There is no additional impact to project rating. (Stop here, and return to the main checklist.)
8. Is there evidence that the contractor is actively implementing water pollution control practices?
 - Yes (No additional impact to project rating. STOP (Stop here, and return to the main checklist.)
 - No (Project rating receives a 4. (Stop here, and return to the main checklist.)

Appendix G Paired-*t*-Test Statistical Analysis¹

The CCEP uses a paired-*t*-test to compare the project scores reported by the stormwater independent assurance (IA) reviewer against those reported by the DCSWCs.

Performing a *t*-test with Microsoft Excel. Arrange your data so that each sample is in its own column, as in the following example:

Contract No.	DCSWCs	Stormwater IA Reviewer
01-123004	1	1
10-456004	2	2
06-789104	1	2

To perform a *t*-test in the Excel spreadsheet, go to the “Tools” menu, and select the “Data Analysis” option. This will open the Analysis ToolPak. Select the paired-*t*-test option.

In the *t*-test window, select the ranges of each of your two variables. Select the significance level (alpha = 0.05 is the conventional value). In the “Output Options” section select “New Worksheet Ply.” This will create a new page with your results. Click “OK.”

¹ The paired *t*-test is generally used when measurements taken from the same subject (same project) are subjected to different conditions (scored by two different “groups”), provided the samples are identical otherwise.

Construction Compliance Evaluation Plan

On the results page, a table will be created with the following information:

t-Test: Two-Sample Assuming Equal Variances		
	DCSWCs	IA
1. Mean	aa	bb
2. Variance	vvvv	uuu
3. Observations	xx	ee
4. Pooled Variance	qqqq	
5. Hypothesized Mean Difference	0	
6. df	xxx	
7. t Stat	ttt	
8. P (T ≤ t) one-tail	0.000793	
9. t Critical one-tail	1.70113	
10. P (T ≤ t) two-tail	0.001587	
11. t Critical two-tail	2.048409	

Rows 1, 2, and 3 give the mean, variance, and number of observations for each variable.

Row 4 gives the “pooled” variance (that is, for both samples together) used to calculate the t statistic.

Row 5 gives the hypothesized mean difference (usually zero).

Row 6 gives the “degrees of freedom.”

Row 7 presents the t-statistic. The higher the absolute value, the less similar the means of the two samples are.

Row 8 gives the one-tailed probability that the t-statistic calculated for your data is lower than or equal to the critical t-value given in row 9.

Rows 10 and 11 give the probability and critical t-value for two tails. (Use the two-tailed test, since the hypothesis is that the means of the two samples differ, no matter which one is higher and which is lower.) In this example, the difference is statistically significant, since the two-tailed probability is 0.001587, much lower than alpha (that is, 0.05).

If the “probability (T ≤ t) two-tail” is less than 0.05, there is enough evidence to conclude that the means are different.

Appendix H

Action Plan Implementation Schedule and Evaluation

In order to specify the actions that will be taken to remedy the inadequacies observed during the construction project stormwater review and to set a timetable for each action, an action-plan template has been developed and is attached to this appendix. This template will assist the resident assistant in developing a strategy to operationally define the required actions by expressing them in terms of specific tasks. The action-plan template can help the resident engineer stay organized, coordinate the contractor's activities, and bring the project into compliance with the terms of the NPDES permit and other requirements within a specified time period. In addition, the action-plan template will allow the reviewer to follow the progress of the required actions and tasks and to evaluate their adequacies.

Construction Compliance Evaluation Plan

PROJECT INFORMATION:

Contract No:	CO/RTE/PM:	<input type="checkbox"/> SWPPP <input type="checkbox"/> WPCP
Resident Engineer:	Phone:	Contractor:
Project Description:		

PROJECT SW REVIEW:

Stormwater Reviewer:	Date of Review:	Compliance Rating:
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INADEQUACY CORRECTION PLAN:

Statement of Objectives:

IMPLEMENTATION SCHEDULE:

Task	Date: Month(s), Days:	1	2	3	4	5	6	7	8	9	10	11	12	13	14	Responsible Person
		1														
2																
3																
4																
5																
6																
7																
8																

By signing this form, resident engineers declare that, to the best of their knowledge, this plan will correct all the observed inadequacies. In addition, the resident engineer agrees to have all tasks completed by stated dates to bring the project into compliance with all applicable rules, regulations, and agreements.

RESIDENT ENGINEER SIGNATURE	DATE
-----------------------------	------

The action plan provided by the resident engineer has been reviewed and is considered adequate to remedy all inadequacies observed.

REVIEWER SIGNATURE	DATE
--------------------	------

EVALUATION:

Task	Evidence indicating compliance	Task	Evidence indicating compliance
1		5	
2		6	
3		7	
4		8	

The action plan provided by the resident engineer has been implemented per schedule above.

Comments:	
REVIEWER SIGNATURE	DATE



Appendix I Short-Term Assistance Request

Caltrans Stormwater Program has a contract in place so you can receive timely expert assistance in complying with stormwater requirements for construction projects.

Agreement No. 43A0175 (District Assistance–North)

Brown and Caldwell is the Consultant assigned for counties of Alameda, Alpine, Amador, Butte, Calaveras, Contra Costa, Del Norte, El Dorado, Glenn, Humboldt, Lake, Lassen, Marin, Mariposa, Mendocino, Merced, Modoc, Monterey, Napa, Nevada, Placer, Plumas, Sacramento, San Benito, San Francisco, San Joaquin, San Mateo, Santa Clara, Santa Cruz, Shasta, Sierra, Siskiyou, Solano, Sonoma, Sutter, Stanislaus, Tehama, Trinity, Tuolumne, Yolo, and Yuba.

Agreement No. 43A0176 (District Assistance–South)

RBF is the consultant assigned for counties of Fresno, Imperial, Inyo, Kern, Kings, Los Angeles, Madera, Mono, Riverside, San Bernardino, San Diego, Orange, San Luis Obispo, Santa Barbara, Tulare, and Ventura.

To obtain assistance, complete the Assistance Request form at the end of this appendix, and submit it to headquarters DEA–Stormwater Coordinator.

Instructions:

1) *Complete Part A*

Fill in the Request Date, Requested By (Name), Construction Office, and address information in the first section. A project description is required in the next section. In the third section, indicate the type of assistance being requested. The assistance must be related to complying with stormwater requirements but cannot be over and above what Caltrans needs to do to meet the requirements of a WPCP or SWPPP or of a NPDES Stormwater Permit and SWMP.

Provide project information in a one- to two-paragraph description of the problem in support of the assistance requested in the third section.

2) *Submit the Form to Caltrans Headquarters*

When part A is completed, submit the entire form by email or fax to:

Thomas Huff
Senior Landscape Architect
HQ DEA-SW Coordinator
(916) 653-4176 Office
(916) 653-6366 Fax
Tom_Huff@dot.ca.gov

Construction Compliance Evaluation Plan

If sending by fax, please also contact Tom Huff by phone or e-mail to alert him know that the Assistance Request has been transmitted via fax.

The consultant will contact you within 24 hours of receiving an approved Assistance Request. The consultant can provide initial assistance not to exceed five working days. A time extension up to a total of five additional working days (40 hours) may be granted upon written or email authorization from the headquarters DEA–Stormwater Coordinator. Any work performed by the consultant during a time extension must comply with the original project information described in the initial Assistance Request. In general, field assistance will be provided within one week of issuance of an approved request.

Longer-term assistance, if required, is also available by preparing a project-specific task order.

Sample Assistance Request

Part A. General Information

Request Date:	
Requested By:	Title
Office Address:	Office Phone:
Fax:	Cell Phone:
Project Description: (Include Contract No., County, Route, and Post Mile, if applicable.)	

The following list describes the types of stormwater assistance that can be provided under the District Assistance–North, Stormwater Task Order. Indicate which types of service you are requesting.

Request Type:	
SWPPP document review	SWPPP field review
FPPP document review	FPPP facility review
Other (Provide a brief description.)	
Project Information:	

Part B. General Information

I certify the assistance requested in Part A of this assistance request reflects the scope of services that can be provided, and I hereby authorize the consultant to perform this work. This assistance is limited to 40 hours, unless an authorized time extension is granted.

Assistance Request No:	Date:
------------------------	-------

Thomas Huff
 Senior Landscape Architect
 HQ DEA-SW Coordinator
 (916) 653-4176 Office
 (916) 653-6366 Fax
 Tom_Huff@dot.ca.gov

Part C. Assistance Completion (to be completed by the consultant)

Date(s) assistance was provided:	Total hours charged:
Was a site visit performed?	If so, who performed the site visit and on what date?

Were the assistance results documented in writing? If so name the title and date of this document.
Description of assistance performed:
Was the problem resolved?
What more specific task order might be recommended to solve the problem?
What problems might require changes to training, manuals, or other guidance provided by Caltrans?

Appendix J

Long-Term District Construction Assistance Task Order

I. Task Order Purpose

The purpose of this task order is to provide expert water pollution control assistance to the District 1 Division of Construction, the construction stormwater coordinator, and resident engineers. This assistance on multiple key projects will help ensure compliance with site National Pollutant Discharge Elimination System (NPDES) permits, project contract requirements and permits, approved Stormwater Pollution Prevention Plans (SWPPPs), Water Pollution Control Plans (WPCPs), any special requirements from the Regional Water Quality Control Board (RWQCB), and the Caltrans Stormwater Management Plan.

II. Scope of Services

This task order will require reviews by experts to verify proper implementation of the approved water pollution control plan and to identify and correct plan deficiencies associated with construction activities. The assigned person(s) will serve as the state's representative to provide water pollution control assistance on [insert name] projects, as well as provide assistance on other projects within District 1 regulated by NPDES or RWQCB permits. Personnel will report directly to the Caltrans task manager and submit all documentation (that is, review data and sampling results) electronically to the task manager and the appropriate resident engineer. Daily reports should be completed by the close of each business day and must include notes, observations, photographs, measurements, estimates, and other information as directed by the Caltrans task manager. Reports must be prepared for each project visited, document existing conditions and control measures, and make recommendations for corrective actions.

This task order will provide expert monitoring and sampling assistance in relation to construction-site dewatering operations, Sampling and Analysis Plan activities, and non-stormwater discharges. Assistance may include, but not be limited to, supporting Caltrans negotiations with RWQCB staff, developing reports or other technical information in response to pending enforcement actions, reviewing and interpreting analytical data, comparing it against effluent limitations, and estimating discharge quantities.

The tasks defined below provide the general framework of the scope of services to be provided.

Task 1. Health and Safety Plan

The consultant must prepare a comprehensive Health and Safety Plan (H&SP) for all field activities related to this task order. The consultant must be an industrial hygienist certified in comprehensive practice by the American Board of Industrial Hygiene, or as otherwise required under the contract. The H&SP shall address the following key elements as cross-referenced to the *Caltrans Safety Manual*:

- Responsibilities (Chapter 1)
- Safety Meetings (Chapter 2)
- Workplace Violence (Chapter 6)
- General Health, Medical and Safety (Chapter 8)
- First Aid and Emergency Medical Treatment (Chapter 9)
- Reporting Personnel Injuries and Illness (Chapter 10)
- Code of Safe Practices (Chapter 11)
- Personnel Protective Equipment (Chapter 12)
- Confined Spaces (Chapter 13)
- Motor Vehicle Safety (Chapter 17)
- Cut Slope Safety (Chapter 21)
- Special Issues:
 1. Work over or near water
 2. Fall protection (work on elevated structures and bridges)
 3. Lead exposure (aerially deposited lead and painted surfaces)

Upon review and acceptance of the H&SP by the Caltrans task manager, the consultant must ensure that all consultant personnel engaged in field activities under this task order have read and become familiar with the requirements of the H&SP before engaging in field work. All employees will be issued a copy of the H&SP and have it available while conducting field activities.

Task 2. Project Construction Assistance

- Consultant personnel must:
- Conduct a review of the project's Category-20 files for required paperwork including, but not limited to, approved SWPPP and WPCPs, proper staff inspections, proper water pollution control schedules, sampling data, amendments, and certifications.
- Review and become familiar with the project contract water pollution control requirements (scope of work) and project schedule.
- Review project documentation (that is, daily diaries and reports) describing and evaluating the implementation of the project's approved SWPPP or WPCP.

Construction Compliance Evaluation Plan

- Provide notes, observations, photos, and measurements documenting the implementation of the water pollution control plan.
- Compare field implementation against the contract requirements, SWPPP or WPCP, and requirements included within the Caltrans stormwater handbooks.
- Provide confirmation field-testing of dewatering discharges to ensure that numeric discharge limitations are in compliance with the contract requirements and with the objectives listed in the appropriate RWQCB basin plan. Field-testing of dewatering discharges must be conducted on projects that discharge into receiving waters. Field-testing includes only those measurements of physical characteristics and other parameters (for example, pH, temperature, dissolved oxygen, and turbidity) that do not require the services of a laboratory. A log must be maintained of water quality data for projects that conduct dewatering operations. Note: This task order does not involve sampling that requires samples to be submitted to a laboratory.
- Attend preconstruction meetings to review and discuss the contract requirements related to water pollution control. It is anticipated that this may occur as many as four times every 20 working days. The assigned person shall provide a 10- to 20-minute discussion of the contract's water pollution control requirements including, but not limited to, submittal and review of required documents, proper erosion and sediment control requirements, dewatering requirements, training requirements, and other contract requirements relating to water pollution control.
- The resident engineer must provide a final closeout review for SWPPP-designated projects scheduled to be accepted by the state (that is, relinquish construction contractor obligations) during the term of this task order. The resident engineer also provides notes, observations, photos, and measurements that document the implementation of the final erosion control treatments implemented to comply with the NPDES permits final stabilization requirements.
- On occasion the Caltrans task manager may require the assigned persons to review and provide written comments on draft SWPPP or WPCP submittals. Typically, the construction stormwater coordinator or the assistant coordinator conducts document reviews. However, during peak workload periods, the assigned person may be required to support the office staff in completing necessary document reviews. It is estimated that this may occur once every 20 working days, and each review can last approximately 24 hours. All reviews shall be completed in the timeframe allocated in the contract special provisions for the project being reviewed.

III. Working Environment and Worker Requirements

- The normal work schedule under this task order is eight hours per weekday. The maximum work allowance under the task order is ten hours per weekday. Work may also be required on Saturdays. Any work required beyond eight hours per weekday or on Saturdays requires the approval of the Caltrans task manager.
- Consultant personnel must:
 - Work primarily in the field out of a vehicle. Personnel may use available common spaces and other common facilities available in Caltrans field offices with proper coordination and consent of the Caltrans task manager.
 - Drive to various construction projects within District [x], including [insert name of each county] Counties. This assignment requires work during adverse weather conditions, including rain, heat, and cold; walking long distances over steep and rugged terrain; and climbing structures. The Caltrans task manager may on occasion require consultant personnel to review other projects outside the assigned region. Proper field safety attire is required by the H&SP and includes a hard hat, safety vest, work boots, earplugs, eye protection, and rain gear.
 - Maintain favorable working relationships at all times with the public, Caltrans staff, contractors, other consultants, environmental regulatory agencies, and other local transportation agencies.
 - Be professional, courteous, and consistent with the Caltrans policies including, but not limited to, zero tolerance for sexual harassment, discrimination, drug policy, and violence in the workplace. The Caltrans task manager will provide copies of these policies prior to beginning work.

IV. Reports, Meetings, and Software

- A. The consultant shall submit a progress report to the Caltrans contract manager and task manager on or before the 15th day of each month the task order is active. This report must contain the following elements:
1. Timeframe of the reporting period.
 2. Work completed in the reporting period (activities and accomplishments).
 3. Work to be completed in the month after the reporting period.
 4. Total amount of task order authority.
 5. Expenditures in this progress report period.
 6. Total expenditures to date.

7. Total expended but not yet invoiced to the Caltrans.
8. Remaining task order authority.
9. For each milestone, task, and deliverable, the budgeted cost; the actual cost-to-date; the actual cost-to-date as a percentage of the budgeted cost; and the percent of each milestone, task, and deliverable completed.
 10. Projected travel costs for the month after the reporting period with detail about the staff involved, the purpose of the travel, and the cost.
 11. Comments about other issues that are important to the Caltrans contract manager and task manager or otherwise significantly impact the task order's services (for example, a staff shortage that could delay the timely completion of a deliverable).
- B. The consultant's project manager must meet with the Caltrans contract manager and task manager as needed to discuss progress on the project.
- C. The consultant must submit four copies of a compact or DVD disk containing electronic copies of pertinent files for all reports that the consultant has prepared on a computer. The electronic copies must meet the following criteria:
 1. Text-based documents must be submitted in Adobe Portable Document Format (PDF) file using Adobe Acrobat Professional version 6 or later software. Caltrans may post this file to its stormwater website. The PDF file must:
 - a. Include all graphics (page orientation, photographs, or other images, charts, and tables) and be suitable for printing in final form.
 - b. Contain functioning bookmarks, indexes, tables of contents, or other hyperlinks as directed in this task order.
 - c. Be configured (bookmarks, thumbnails, annotations, signatures, and security settings) as directed elsewhere in this task order.
 - d. Be optimized for use by Adobe Acrobat Reader 5.0.
 - e. Be formatted to be accessible to persons with visual impairments or hearing impairments. The consultant must use the "Full Check" feature of Adobe Acrobat Professional version 6 to accomplish this accessibility.
 2. Text-based documents shall also be submitted in Microsoft Word format, version 2000. Each document must include graphics such as photographs, image graphics, charts, and tables. Photographs must be in "jpg" file format and other image graphics in "gif" format, unless specified otherwise elsewhere in this task order.

3. All graphics such as photographs and engineering drawings must be submitted separately from the PDF and Microsoft Word documents and in their original resolution and file format. Caltrans will use these files for archive purposes.
 4. Spreadsheet files must be in Microsoft Excel format, version 2000.
 5. Database files must be in Microsoft Access format, version 2000. Caltrans may require the consultant to use the Microsoft Access version 97 format to allow department-wide compatibility.
 6. The consultant must provide appropriate documentation for the contents of all electronic media.
 7. The consultant must not format electronic files as “view only” or “read only,” unless so specified elsewhere in this task order.
- D. The consultant shall provide to Caltrans five copies of each report, study, and technical memorandum that the consultant prepares.
- E. All documents and reports that the consultant produces must include the following statement:
- “For individuals with sensory disabilities, this document is available in alternate formats upon request. Please call or write to Stormwater Liaison, Caltrans Division of Environmental Analysis, MS 27, P.O. Box 942874, Sacramento, CA 94274-0001. or call (916) 653-8896 (voice) or 711 to use a relay service.”
- F. The consultant must adhere to a prescribed document numbering system that Caltrans has developed for the stormwater program. The consultant must obtain and use the assigned document number(s) for each study, report, or technical memorandum and must either incorporate this number into the title or display this number on the document title page.
- G. A report (technical memorandum, project plans, and so forth) must include the following information on the document cover and spine, if appropriate:
- Caltrans logo
 - Title of report
 - Report date (month and year)
 - Report number (per item F above)
 - A prominent display of the following identifying information:
 - California Department of Transportation
 - Division of Environmental Analysis
 - Stormwater Program MS 27
 - 1120 N Street, Sacramento, CA 95814
 - <http://www.dot.ca.gov/hq/env/stormwater/index.htm>
- H. Consultant-prepared reports must not contain any references to the firm’s name, including logos, acknowledgments, or credits. The consultant may use an internal filing number

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system or other methodology while the document is in its draft stages and when distribution of the report is internal to the Caltrans Division of Environmental Analysis. When the consultant distributes a draft document beyond the Division of Environmental Analysis, the consultant must remove all reference numbers, other than the Caltrans alpha-numeric system, prior to distribution. All copyright interests will be assigned to Caltrans.

V. Period of Performance

This task order will begin on [Month Day, Year], contingent upon approval and execution and terminate on [Month Day, Year].

VI. Task Schedule and/or Deliverable Due Dates

The consultant must conduct work under this task order in accordance with the schedule presented below. Modification of this schedule requires written approval by Caltrans task manager but does not necessarily require an amendment of the task order.

Deliverable or Work Item	Date:
Task order executed	
Kick-off meeting	
Submit draft Health and Safety Plan	
Submit final Health and Safety Plan	
Begin site reviews	
Quarterly project meeting	
Quarterly project meeting	
Quarterly project meeting	
Assess need for continued effort	

Appendix K

Construction Stormwater Advisory Team Charter

Background

The Construction Stormwater Advisory Team (CSWAT) provides guidance for all aspects of the stormwater management relevant to Caltrans construction projects. The CSWAT is a technical body that evaluates current stormwater management efforts and proposed changes to improve the construction stormwater program. The CSWAT also ensures compliance with the applicable permits and ensures consistency with Caltrans standards, policies, and procedures.

The Division of Construction leads a team of experienced staff, providing the collective vision to strengthen the effectiveness and efficiency of the stormwater program. All districts and functional units work toward the goal of ensuring that the construction stormwater management program is successful.

This charter clarifies the goals, duties, and operating procedures for the CSWAT as envisioned in the statewide Stormwater Management Plan (SWMP). This charter is entered into by the headquarters chief, Division of Construction, and deputy district directors on behalf of their respective construction organizations.

Purpose

The purpose of the CSWAT is to bring together the unique strengths and experiences of the participating districts and, in cooperation with other headquarters divisions, to support and advise the construction stormwater management program. The CSWAT will develop and propose recommendations to the construction stormwater program to assure that construction stormwater management practices are effective and efficient. The CSWAT has no executive authority and recognizes that its purpose is to provide advice on technical and practical issues of interest relating to the construction stormwater program. The CSWAT accomplishes this purpose by:

- Promoting consistency in construction project site compliance by adhering to the terms of the Caltrans statewide National Pollution Discharge Elimination System (NPDES) and the SWMP.
- Providing guidance to the district construction staff to ensure effective implementation of the construction stormwater program.
- Encouraging communication among Caltrans districts and headquarters Division of Construction.
- Continuing to explore new or innovative measures to minimize potential pollutants in stormwater runoff at Caltrans construction sites.

Specific CSWAT activities include:

1. Evaluating proposed changes to the construction stormwater program to determine if the changes improve the program and are consistent with the direction Caltrans is going.
2. Ensuring that change proposals are fully developed and prepared for inclusion in the construction stormwater program.
3. Endorsing fully developed change proposals for approval by the appropriate authority.
4. Identifying opportunities for improvement as well as problems, weaknesses, inconsistencies, and so forth, in the construction stormwater program and initiating appropriate corrective actions.
5. Consulting and coordinating with other stormwater advisory teams, functional units, and management teams regarding change proposals.
6. Facilitating communication among all units impacted by the CSWAT change proposals.
7. Providing a focal point for discussion of construction stormwater policy and guidance topics.
8. Identifying CSWAT-related issues and facilitating resolution at the appropriate management level.
9. Soliciting the help of other individuals and groups by establishing working groups to develop recommendations for proposed changes.
10. Identifying and adopting new training material.
11. Developing specifications and special provisions in construction contracts to facilitate compliance with the terms of the Caltrans statewide NPDES permit.
12. Developing contract administration practices and field procedures that further enhance water pollution prevention compliance.
13. Continuously improving construction training efforts and development of staff in basic water pollution prevention compliance.
14. Identifying and adopting new best business practices (BMPs).
15. Approving SWMP and permit language prior to submission to State Water Resources Control Board or Regional Water Quality Control Boards for consideration.
16. Analyzing feedback from lessons learned.
17. Identifying useful seminars and conferences and arranging for member attendance.

Meeting Frequency

The CSWAT meets semi-annually and on an as-needed basis.

Membership

The CSWAT is a cross-functional body, chaired by the headquarters construction stormwater coordinator and the chief, Office of Construction Engineering. Membership is composed of all district construction stormwater coordinators (DCSWC) and headquarters construction stormwater groups. Representatives from other stormwater advisory teams and the Traffic Operations, Legal, Maintenance, and Right-of-Way Divisions attend meetings to ensure cross-functional consistency. Ad hoc members from Regional Water Quality Control Boards and other Caltrans divisions may be requested to participate if necessary to assist the CSWAT with issues pertaining to their functional responsibilities. CSWAT members are required to attend scheduled CSWAT meetings and to respond to all review requests. Current CSWAT members are listed at the end of this appendix.

Decision-Making Process

CSWAT members are responsible for reviewing and assisting with the development of a proposed change or recommendation from within their districts before a recommendation is submitted to the CSWAT Chair. Members will ensure that the proposed recommendation aligns with the district's needs and that it can be implemented.

Minor changes are processed by the CSWAT chair and sent directly to the chief, Division of Construction, for approval; with notification of such action to the CSWAT members. The CSWAT chair forwards significant change proposals to the CSWAT members. The CSWAT evaluates the proposals and, if necessary, establishes and directs work groups. The CSWAT also coordinates with the impacted functional unit representative to resolve issues and strives to achieve consensus. When consensus is reached, the CSWAT chair forwards the change to the chief, Division of Construction, for approval. Minor changes are those that do not alter the intent of existing policy or guidance and that are supportive of it. Significant changes are those that substantively alter construction stormwater program policy or guidance.

The CSWAT informs, solicits guidance, resolves issues, and facilitates consensus appropriate for the change proposal among the various units. When consensus is reached within the work group, the change is presented to the CSWAT for overall consensus. When overall consensus is reached, the change proposal is sent to the chief, Division of Construction, for approval.

If the CSWAT is unable to reach consensus, the CSWAT chair consults with the chief, Division of Construction who will make the final decision for the proposed change.

Documentation

Meeting notes are to be kept and distributed as the official record of recommendations made by the CSWAT.

The agenda for the CSWAT is developed by headquarters personnel following the submission of proposed topics by CSWAT members. Minutes from the CSWAT meetings are distributed to all members within two weeks after conclusion of the meetings. Action items are added to a master list. The status of action items is discussed at each meeting.

Following approval by the chief, Division of Construction, changes are incorporated into the construction stormwater program and are posted on the headquarters Construction Stormwater and Water Pollution Control website. In addition, the Annual Construction Compliance Review Plan is updated annually to reflect these changes.

Charter Approval

CSWAT Sponsor:

Date: _____
Mark Leja
Chief, Division of Construction

CSWAT Co-Sponsors:

Date: _____
John Rodrigues
North Region Division Chief

ate: _____
Bob Finney
Deputy District Director, District 4

Date: _____
Mark Der Matoian
Central Region Division Chief

Date: _____
Peter Chan
Deputy District Director, District 7

Date: _____
Hector Davila
Deputy District Director, District 8

Date: _____
Dennis Wilder
(Acting) Deputy District Director, District 11

Date: _____
Jim Beil
Deputy District Director, District 12

CSWAT MEMBERS

Chuck Suszko, Headquarters

Hamid Hakim, Headquarters

Ben Ghafghazi, Headquarters

Walt Dragaloski, D1

Brian Adams, District 2

Kirk Carrington, District 3

Dragomir Bogdanic, District 4

Anthony De Anda, District 5

Javid Shenasi, District 6

Rudy Chavez, District 6

Sheri West, District 6

James Burt, District 7

Dave Meress, District 8

Kerry Robinson, District 8

Walt Griffith, District 8

Richard Epler, District 10

Chuck Deyoe, District 11

Hamzeh Ramadan, District 11

Lon Ogdon, District 11

Thomas Blackwood, D11

Zia Moradi, District 11

Mark Doroudian, District 12

Tom Huff, DEA

Donna Clark, Headquarters Legal Division

Betty Louie, Headquarters–Division of Right-of-Way

Walter Kumin, Headquarters Division of Traffic Operations and Encroachment Permit

Dennis Cadd, Division of Landscape Architecture–Design

Frank Mele, Division of Maintenance

Robert Schott, Division of Stormwater Management–Design

