

---

**APPENDIX J**

**NPDES COMPLIANCE INSPECTION REPORT**  
**FORM 3560-3**

Revised April 2006



This page intentionally left blank.



United States Environmental Protection Agency  
Washington, D.C. 20460

# Water Compliance Inspection Report

## Section A: National Data System Coding (i.e., PCS)

Transaction Code 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/>	NPDES 4 <input type="text"/> 5 <input type="text"/> 6 <input type="text"/> 7 <input type="text"/> 8 <input type="text"/> 9 <input type="text"/> 10 <input type="text"/> 11 <input type="text"/> 12 <input type="text"/>	yr/mo/day 13 <input type="text"/> 14 <input type="text"/> 15 <input type="text"/> 16 <input type="text"/> 17 <input type="text"/>	Inspection Type 18 <input type="text"/>	Inspector 19 <input type="text"/>	Fac Type 20 <input type="text"/>
Remarks 21 <input type="text"/>					
Inspection Work Days 67 <input type="text"/> 68 <input type="text"/> 69 <input type="text"/>	Facility Self-Monitoring Evaluation Rating 70 <input type="text"/>	BI 71 <input type="text"/>	QA 72 <input type="text"/>	Reserved 73 <input type="text"/> 74 <input type="text"/> 75 <input type="text"/>	

## Section B: Facility Data

Name and Location of Facility Inspected (For industrial users discharging to POTW, also include POTW name and NPDES permit number)	Entry Time/Date	Permit Effective Date
	Exit Time/Date	Permit Expiration Date
Name(s) of On-Site Representative(s)/Title(s)/Phone and Fax Number(s)	Other Facility Data (e.g., SIC NAICS, and other descriptive information)	
Name, Address of Responsible Official/Title/Phone and Fax Number  <b>Contacted</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		

## Section C: Areas Evaluated During Inspection (Check only those areas evaluated)

<input type="checkbox"/> Permit	<input type="checkbox"/> Self-Monitoring Program	<input type="checkbox"/> Pretreatment	<input type="checkbox"/> MS4
<input type="checkbox"/> <b>Records/Reports</b>	<input type="checkbox"/> Compliance Schedules	<input type="checkbox"/> Pollution Prevention	
<input type="checkbox"/> Facility Site Review	<input type="checkbox"/> Laboratory	<input type="checkbox"/> Storm Water	
<input type="checkbox"/> Effluent/Receiving Waters	<input type="checkbox"/> Operations & Maintenance	<input type="checkbox"/> Combined Sewer Overflow	
<input type="checkbox"/> Flow Measurement	<input type="checkbox"/> Sludge Handling/Disposal	<input type="checkbox"/> Sanitary Sewer Overflow	

## Section D: Summary of Findings/Comments

(Attach additional sheets of narrative and checklists, including Single Event Violation codes, as necessary)

SEV Codes	SEV Description
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	_____
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	_____
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	_____
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	_____

Name(s) and Signature(s) of Inspector(s)	Agency/Office/Phone and Fax Numbers	Date
Signature of Management Q A Reviewer	Agency/Office/Phone and Fax Numbers	Date

INSTRUCTIONS

Section A: National Data System Coding (i.e., PCS)

Column 1: Transaction Code: Use N, C, or D for New, Change, or Delete. All inspections will be new unless there is an error in the data entered.

Columns 3-11: NPDES Permit No. Enter the facility's NPDES permit number - third character in permit number indicates permit type for U=unpermitted, G=general permit, etc.. (Use the Remarks columns to record the State permit number, if necessary.)

Columns 12-17: Inspection Date. Insert the date entry was made into the facility. Use the year/month/day format (e.g., 04/10/01 = October 01, 2004).

Column 18: Inspection Type\*. Use one of the codes listed below to describe the type of inspection:

- A Performance Audit
B Compliance Biomonitoring
C Compliance Evaluation (non-sampling)
D Diagnostic
F Pretreatment (Follow-up)
G Pretreatment (Audit)
I Industrial User (IU) Inspection
J Complaints
M Multimedia
N Spill
O Compliance Evaluation (Oversight)
P Pretreatment Compliance Inspection
R Reconnaissance
S Compliance Sampling
U IU Inspection with Pretreatment Audit
X Toxics Inspection
Z Sludge - Biosolids
# Combined Sewer Overflow-Sampling
\$ Combined Sewer Overflow-Non-Sampling
+ Sanitary Sewer Overflow-Sampling
& Sanitary Sewer Overflow-Non-Sampling
\ CAFO-Sampling
= CAFO-Non-Sampling
2 IU Sampling Inspection
3 IU Non-Sampling Inspection
4 IU Toxics Inspection
5 IU Sampling Inspection with Pretreatment
6 IU Non-Sampling Inspection with Pretreatment
7 IU Toxics with Pretreatment
! Pretreatment Compliance (Oversight)
@ Follow-up (enforcement)
{ Storm Water-Construction-Sampling
} Storm Water-Construction-Non-Sampling
: Storm Water-Non-Construction-Sampling
~ Storm Water-Non-Construction-Non-Sampling
< Storm Water-MS4-Sampling
- Storm Water-MS4-Non-Sampling
> Storm Water-MS4-Audit

Column 19: Inspector Code. Use one of the codes listed below to describe the lead agency in the inspection.

- A --- State (Contractor)
B ---- EPA (Contractor)
E --- Corps of Engineers
J --- Joint EPA/State Inspectors—EPA Lead
L ---- Local Health Department (State)
N --- NEIC Inspectors
O --- Other Inspectors, Federal/EPA (Specify in Remarks columns)
P --- Other Inspectors, State (Specify in Remarks columns)
R --- EPA Regional Inspector
S --- State Inspector
T --- Joint State/EPA Inspectors—State lead

Column 20: Facility Type. Use one of the codes below to describe the facility.

- 1 --- Municipal. Publicly Owned Treatment Works (POTWs) with 1987 Standard Industrial Code (SIC) 4952.
2 --- Industrial. Other than municipal, agricultural, and Federal facilities.
3 --- Agricultural. Facilities classified with 1987 SIC 0111 to 0971.
4 --- Federal. Facilities identified as Federal by the EPA Regional Office.
5 --- Oil & Gas. Facilities classified with 1987 SIC 1311 to 1389.

Columns 21-66: Remarks. These columns are reserved for remarks at the discretion of the Region.

Columns 67-69: Inspection Work Days. Estimate the total work effort (to the nearest 0.1 work day), up to 99.9 days, that were used to complete the inspection and submit a QA reviewed report of findings. This estimate includes the accumulative effort of all participating inspectors; any effort for laboratory analyses, testing, and remote sensing; and the billed payroll time for travel and pre and post inspection preparation. This estimate does not require detailed documentation.

Column 70: Facility Evaluation Rating. Use information gathered during the inspection (regardless of inspection type) to evaluate the quality of the facility self-monitoring program. Grade the program using a scale of 1 to 5 with a score of 5 being used for very reliable self-monitoring programs, 3 being satisfactory, and 1 being used for very unreliable programs.

Column 71: Biomonitoring Information. Enter D for static testing. Enter F for flow through testing. Enter N for no biomonitoring.

Column 72: Quality Assurance Data Inspection. Enter Q if the inspection was conducted as followup on quality assurance sample results. Enter N otherwise.

Columns 73-80: These columns are reserved for regionally defined information.

Section B: Facility Data

This section is self-explanatory except for "Other Facility Data," which may include new information not in the permit or PCS (e.g., new outfalls, names of receiving waters, new ownership, other updates to the record, SIC/NAICS Codes, Latitude/Longitude).

Section C: Areas Evaluated During Inspection

Check only those areas evaluated by marking the appropriate box. Use Section D and additional sheets as necessary. Support the findings, as necessary, in a brief narrative report. Use the headings given on the report form (e.g., Permit, Records/Reports) when discussing the areas evaluated during the inspection.

Section D: Summary of Findings/Comments

Briefly summarize the inspection findings. This summary should abstract the pertinent inspection findings, not replace the narrative report. Reference a list of attachments, such as completed checklists taken from the NPDES Compliance Inspection Manuals and pretreatment guidance documents, including effluent data when sampling has been done. Use extra sheets as necessary.

\*Footnote: In addition to the inspection types listed above under column 18, a state may continue to use the following wet weather and CAFO inspection types until the state is brought into ICIS-NPDES: K: CAFO, V: SSO, Y: CSO, W: Storm Water 9: MS4. States may also use the new wet weather, CAFO and MS4 inspections types shown in column 18 of this form. The EPA regions are required to use the new wet weather, CAFO, and MS4 inspection types for inspections with an inspection date (DTIN) on or after July 1, 2005.

## **Attachment 3 -**

### **Single Event Violation Table**

# Single Event Violation Table - Codes and Descriptions\*

CODE	DESCRIPTION		CODE	DESCRIPTION
<b>Effluent Violations</b>			<b>CSO</b>	
A0018	Approved Bypass		A0C18	Approved Bypass
A0013	Failed Toxicity Test		A0024	Dry weather overflow
A0023	Industrial Spill		B0030	Failure to Develop Adequate LTCP
A0017	Inspection sample above historic DMR range		B0031	Failure to Implement LTCP
A0022	Narrative Effluent Violation		B0029	Failure to Implement Nine Minimum Controls (NMCs)
A0012	Numeric effluent violation		BC291	Failure to implement required NMC #1(Proper operation and maintenance)
A0016	Reported Fish Kill		BC292	Failure to implement required NMC #2 (Maximum use of the collection system)
A0011	Unapproved Bypass		BC293	Failure to implement required NMC #3 (Review pretreatment requirements)
A0015	Unauthorized Discharge of Brine		BC294	Failure to implement required NMC #4 (Maximization of flow)
<b>Management Practice Violations</b>			BC295	Failure to implement required NMC #5 (Elimination of dry weather flow)
B0019	Best Management Practice Deficiencies		BC296	Failure to implement required NMC #6 (Control of solids)
B0024	Biosolids/Sewage Sludge Violation (Part 503)		BC297	Failure to implement required NMC #7 (Pollution prevention programs)
B0026	Failure to Allow Entry		BC298	Failure to implement required NMC #8 (Public notification)
B0012	Failure to Conduct Inspections		BC299	Failure to implement required NMC #9 (Monitoring)
B0027	Failure to Develop Adequate SPCC Plan		B0C41	Failure to Maintain Records or Meet Record Keeping Requirements
B0017	Failure to develop any or adequate SWPPP/SWMP		C0C11	Failure to monitor
B0011	Failure to Develop/Enforce Standards		E0C16	Failure to submit required report (non-DMR)
B0028	Failure to Implement SPCC Plan		E0C13	Improper/Incorrect reporting
B0018	Failure to Implement SWPPP/SWMP		B0044	LTCP implementation schedule milestone missed
B0041	Failure to Maintain Records		A0C22	Narrative effluent violation
B0040	Improper Chemical Handling		E0C14	Noncompliance with section 308 Information Request
B0023	Improper Land Application (non-503, non-CAFO)		A0C12	Numeric effluent violation
B0020	Improper Operation and Maintenance		A0C11	Related Unapproved Bypass
B0025	Inflow/Infiltration (I/I)		A0021	Unauthorized CSO Discharge to Waters/Wet Weather
B0021	Laboratory Not Certified		A0025	Unauthorized overflow to dry land or building backup
B0022	No Licensed/Certified Operator		B0045	Violation of a milestone in a permit
B0042	Violation of a milestone in an order		B0C42	Violation of a milestone in an order
<b>Monitoring Violations</b>			<b>SSO</b>	
C0017	Analysis not Conducted		A0S18	Approved Bypass
C0011	Failure to Monitor for non-Toxicity Requirements		A0020	Discharge to Waters
C0021	Failure to Monitor for Toxicity Requirements		D0S11	Discharge without a valid permit (includes satellite systems)
C0015	Frequency of Sampling Violation		B0S41	Failure to Maintain Records or Meet Record Keeping Requirements
C0018	Improper Analysis or Lab Error		C0S11	Failure to monitor
C0014	Invalid/Unrepresentative Sample		E0018	Failure to report other violation
C0016	No Flow Measurement Device		E0019	Failure to report violation that may endanger public health 122.41(l)(7)
<b>Permitting Violations</b>			D0S12	Failure to submit required permit application info (includes satellite systems)
D0014	Application Incomplete		B0S20	Improper Operation and Maintenance
D0011	Discharge Without a Valid Permit		A0S22	Narrative effluent violation
D0012	Failure to Apply for a Permit		E0S14	Noncompliance with section 308 Information Request
D0015	Failure to Pay Fees		A0S12	Numeric effluent violation
D0016	Failure to Submit Timely Permit Renewal Application		A0026	Overflow to Dry Land or Building Backup
D0013	Unapproved Operation		A0S11	Related Unapproved Bypass
D0017	Violation Specified in Comment		BS42A	Violation of milestone in an administrative order
			BS42J	Violation of milestone in judicial decree
			B0046	Violation of sewer moratorium or restriction
<b>Reporting Violations</b>			<b>Storm Water Construction</b>	
E0017	Failure to Notify		D0R11	Discharge without a permit

E0012	Failure to Submit DMRs		D0R18	Failure to apply for a notice of termination
E0016	Failure to submit required report (non-DMR, non-pretreatment)		B0R12	Failure to Conduct Inspections
E0013	Improper/ Incorrect Reporting		B0C17	Failure to develop any or adequate SWPPP/SWMP
E0011	Late Submittal of DMRs		B0C18	Failure to Implement SWPPP/SWMP
E0014	Noncompliance with Section 308 Information Request		B0R41	Failure to Maintain Records
<b>Pretreatment</b>			C0R11	Failure to Monitor
C0012	Baseline Monitoring Report Violation		BR19A	Failure to properly install/implement BMPs
B0P12	Failure to Conduct Inspections		BR19B	Failure to properly operate and maintain BMPs
B0P11	Failure to Develop/Enforce Standards		D0R12	Failure to submit required permit application information
B0013	Failure to Enforce Against I/U		E0R16	Failure to submit required report (non-DMR)
B0015	Failure to Establish Local Limits		A0R22	Narrative effluent violation
C0013	Failure to Establish Self-Monitoring Requirements		E0R14	Noncompliance with section 308 Information Request
B0014	Failure to Issue SIU Permits		A0R12	Numeric Effluent Violation
B0016	Failure to Meet Inspection and Sampling Plan for SIUs		B0R42	Violation of a milestone in an order
E0015	Failure to submit required report (non-DMR)		<b>Storm Water MS4</b>	
B0P40	Improper Chemical Handling		D0M11	Discharge without a permit
A0014	IU Violation of Pretreatment Standards		D0M18	Failure to apply for a notice of termination
<b>CAFO</b>			B0M12	Failure to Conduct Inspections
B0A19	Best Management Practice Deficiencies		B0M17	Failure to develop any or adequate SWPPP/SWMP
B0038	Direct Animal Contact with Waters of US		B0M18	Failure to Implement SWPPP/SWMP
D0A11	Discharge without a permit		B0M41	Failure to Maintain Records or Meet Record Keeping
B0A12	Failure to Conduct Inspections		C0M11	Failure to Monitor
B0032	Failure to Develop any or adequate NMP		BM19A	Failure to properly install/implement BMPs
B0033	Failure to Implement NMP		BM19B	Failure to properly operate and maintain BMPs
B0A41	Failure to Maintain Records or Meet Record Keeping Requirements		D0M12	Failure to submit required permit application information
B0043	Failure to meet order final compliance date		E0M16	Failure to submit required report (non-DMR)
C0A11	Failure to Monitor		A0M22	Narrative effluent violation
D0A12	Failure to submit required permit application information		E0M14	Noncompliance with section 308 Information Request
C0019	Failure to Test Manure		A0M12	Numeric Effluent Violation
B0A40	Improper Chemical Handling		B0M42	Violation of a milestone in an order
B0A23	Improper Land Application		<b>Storm Water Non-Construction</b>	
B0039	Improper Manure Handling (not including land application)		D0N11	Discharge without a permit
B0037	Improper Mortality Management		D0N18	Failure to apply for a notice of termination
B0036	Improper O&M of Storage Facility		B0N12	Failure to Conduct Inspections
E0A13	Improper/Incorrect reporting		B0N17	Failure to develop any or adequate SWPPP/SWMP
B0034	Insufficient Buffers/Setbacks		B0N18	Failure to Implement SWPPP/SWMP
B0035	Insufficient Storage Capacity		B0N41	Failure to Maintain Records
A0A22	Narrative effluent violation		C0N11	Failure to Monitor
E0A16	No Annual Report Submitted		BN19A	Failure to properly install/implement BMPs
C0020	No Depth Marker		BN19B	Failure to properly operate and maintain BMPs
E0A14	Noncompliance with section 308 Information Request		D0N12	Failure to submit required permit application information
A0A12	Numeric effluent violation		E0N16	Failure to submit required report (non-DMR)
A0019	Production Area Runoff		A0N22	Narrative effluent violation
B0A42	Violation of a milestone in an order		E0N14	Noncompliance with section 308 Information Request
			A0N12	Numeric Effluent Violation
			B0N42	Violation of a milestone in an order

\* N. B. The codes and code names listed herein may change over time. Please consult ICIS-NPDES and PCS system documentation for updated lists.



This page intentionally left blank.