NPDES Electronic Reporting Rule
Phase 2 Implementation Plan

Iowa Department of Natural Resources
5/15/2017

Implementation Plan Purpose

On October 22, 2015, EPA published the final National Pollutant Discharge Elimination System (NPDES) Electronic Reporting Rule. This regulation requires the electronic reporting and sharing of Clean Water Act NPDES program information instead of the current paper-based reporting of this information.

The NPDES Electronic Reporting Rule allows states to determine what electronic reporting tools and systems work best for them and whether they would like to be the initial recipient of NPDES compliance monitoring data. EPA does not dictate the electronic reporting tools that a state may use. Rather, EPA sets performance requirements for states that wish to build their own electronic reporting tools. States also have the option of using and, if desired, customizing electronic reporting tools developed and maintained by EPA. A state, tribe, or territory that is designated by EPA as the initial recipient for an NPDES data group must submit an implementation plan to EPA for review to ensure that the authorized NPDES program will meet the Phase 2 electronic reporting deadline. This plan must provide enough details (e.g., tasks, milestones, roles and responsibilities, necessary resources) to clearly describe how the program will successfully implement electronic reporting of Phase 2 data. This plan does not include electronic reporting of Discharge Monitoring Reports (DMRs).

In accordance with the final rule [40 CFR 127.26(h)], authorized NPDES programs must submit an Implementation Plan (IP) to EPA by December 21, 2016, for EPA's review. EPA will inform the authorized NPDES program if the implementation plan has enough detail to ensure successful implementation of electronic reporting for Phase 2 data. Completed IPs can be emailed to EPA at: NPDESeReporting@epa.gov.

1. **Overview/Executive Summary**

   In this section, give a brief overview of the agency's current data systems and e-reporting capabilities. (Details will be provided elsewhere in this template.) Summarize the key tasks for updating or building the agency's data systems and include estimated timelines. (i.e., Indicate what data you will act as initial recipient, brief description of current or planned eReporting tools, title of executive sponsors and main personnel involved with implementation, current or planned databases and data transfer to EPA capabilities.) This section should provide the primary contact for this IP and the approximate date when the agency expects to successfully implement electronic reporting for Phase 2 data.

   The Iowa Department of Natural Resources (Iowa DNR) currently uses six databases to manage our NPDES permit program, as detailed in Question Three below. One of these databases (NPDS) currently allows for the electronic upload of discharge monitoring reports (DMRs), and one (SW DB) allows for the electronic submittal of some general permit NOIs. Two of these six databases (NPDS and FOCD) currently transfer NPDES permit data (including DMRs) to EPA's ICIS-NPDES database (ICIS) using the Iowa DNR's Exchange Network Node. The majority of the Phase 1 data is already captured in Iowa DNR's databases, and much of it is electronically transferred to ICIS. We are currently in the process of upgrading NPDS, SW DB, GP5 DB, and FOCD to accept and electronically transmit the Phase 1 data that we have not already captured or are not currently sending to ICIS. Planning has begun for the electronic acceptance of the Phase 2 data using our six NPDES permit program databases.

The Iowa DNR plans to act as the initial recipient for all NPDES data elements for which we have program delegation. Iowa does not have delegation for the biosolids program, so EPA will act as the initial recipient for biosolids data from Iowa facilities.

The main contact at the Iowa DNR for NPDES electronic reporting is Courtney Cswercko, Environmental Specialist Senior in the NPDES Section, and the author of this document. Eric Wiklund is her direct supervisor. Kim Breese is the main IT contact for NPDES electronic reporting. These staff are all located in the Wallace State Office Building, 502 E 9th St, Des Moines, IA 50319. Their titles, email and phone numbers are listed below.

Courtney Cswercko, Environmental Specialist Senior Courtney.cswercko@dnr.iowa.gov 515-725-8411
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The Iowa DNR will complete the database upgrades necessary to receive all of the Phase 2 electronic reports (except biosolids) sometime in 2020, so that we will have time to inform and train our permittees ahead of the December 2021 deadline. As several decisions regarding the databases to be used for electronic reporting and the funding available for database upgrades have yet to be made, we do not have a specific timeline available.

2. **Agency NPDES Universe**
   This section is a "snapshot" in time and should include a date of when these numbers were calculated. Provide the names of your NPDES individual and master general permits (MGP) and counts of general permit authorizations for each MGP currently under the jurisdiction of your agency. Please also indicate the number of permits that are currently not in EPA's ICIS-NPDES database. Please mention anticipated large changes in these numbers (new or terminating MGPs). If you wish, electronic reporting counts or percentages may also be included in this section. The following list is for example purposes only and you should group your permits as you wish.
   A. *Number of Active and Administratively Continued Major Individual NPDES Permits:*
      Active: 100   Admin Continued: 36
   B. *Number of Active and Administratively Continued Minor Individual NPDES Permits:*
      Active: 923   Admin Continued: 496
   C. *Number of Active and Administratively Continued MS4 Permits:*
      Active: 47   Admin Continued: 0
   D. *List of Agency General NPDES Permits with number of authorizations for each:*
      The Iowa DNR has issued seven General NPDES Permits. They are as follows:
      - General Permit No. 1, Storm Water Discharge Associated with Industrial Activity – X authorizations
      - General Permit No. 2, Storm Water Discharge Associated with Industrial Activity for Construction Activities – X authorizations
      - General Permit No. 3, Storm Water Discharge Associated with Industrial Activity from Asphalt Plants, Concrete Batch Plants, Rock Crushing Plants and Construction Sand and Gravel Facilities– X authorizations
      - General Permit No. 4, Discharge from Private Sewage Disposal Systems – X authorizations
      - General Permit No. 5, Discharge from Mining and Processing Facilities – X authorization
      - General Permit No. 6, Discharge Associated with Well Construction Activities – coverage is automatic; no authorizations
      - General Permit No. 7, Pesticide General Permit (PGP) for Point Source Discharges to Waters of the United States From the Application of Pesticides – coverage is automatic; no authorizations

We are currently drafting two general permits, General Permit No. 8, for Hydrostatic Testing, Tank Ballasting, and Water Lines, and General Permit No. 9, for Dewatering Activities and Residential Geothermal Discharges. The Iowa DNR anticipates that these permits will be effective in early 2018.

3. **Current and/or Planned NPDES Data Systems and E-reporting Tools**
   In this section, detail the current NPDES data systems and/or e-reporting tools that your agency currently employs, or your planned e-reporting systems/tools. States that elect to use EPA's electronic reporting tools can cite that in this section.

   The six databases DNR currently uses to manage NPDES permits and electronic reporting are:
   - NPDS (not abbreviated; internal system for storing information, writing individual NPDES permits, and creating and uploading DMRs; electronically transfers data to ICIS using electronic transfer language (ETL) via Iowa DNR's Exchange Network Node),
   - WWPIE (Wastewater Permit Information Exchange, public view of the NPDS database for draft and final individual NPDES permits),
   - SW DB (Storm Water Database, for NOI submittal and public view of authorizations under storm water General Permits 1, 2, and 3; currently undergoing expansion to accommodate General Permit 5 and the proposed General Permits 8 and 9),
   - OWTS (Onsite Wastewater Database, for storage of information on facilities covered under General Permit 4 for onsite treatment systems),
   - GP5 DB (General Permit 5 Database, for storage of information on facilities covered under General Permit 5 for mining and quarry facilities; will be retired once current expansion of the SW DB is complete), and
   - FOCD (Field Office Compliance Database, for storage of field inspections and facility compliance information; electronically transfers data to ICIS using ETL via Iowa DNR's Exchange Network Node)

We utilize a seventh database for animal feeding operations in Iowa called the AFO DB. It may be upgraded to allow for the submittal of CAFO Annual Program reports, but the decision on whether these reports will be electronically submitted via the AFO DB or NPDS and WWPIE has not been made yet.

The Iowa DNR anticipates upgrading NPDS and WWPIE to allow for the submittal of program reports relating to individual NPDES permits, including MS4 Program Reports, Pretreatment Program Reports, and Significant Industrial User (SIU) Compliance Reports.

4. **Key Tasks for Updating Agency Data Systems and Data Transmission Systems for Phase 2 Data Groups**
   In this section, if you have a current system, describe key tasks for updating the agency NPDES data systems to manage and share the data in each of the Phase 2 Data Groups with EPA's ICIS–NPDES (e.g., adding new data elements to state NPDES data systems, updating the state's electronic data transmission capabilities, including incorporating new data schemas and Environmental Information Exchange Network node plug-ins). If you do not have a current system, describe your development and/or purchasing process and timelines. If multiple state agencies administer these programs, this can be a combined plan or each agency may submit a plan. Please indicate if you plan to use the EPA NeT system for any of these items. Timelines will then be as NeT becomes available. For either scenario, describe the roles and responsibilities for agency staff, contractors (if needed), and EPA (if needed). Include estimated completion timelines for each of the key tasks for each data group in this section. Clearly state if data system updates will cover more than one data group (data group subsections may be combined as needed). Indicate if your plan is to direct enter data into ICIS rather than electronically flow data. As an example, data groups have been listed below. Your agency may have different names for these groups. These are for example purposes only. The following table summarizes the major milestones for each NPDES Data Group.

Each section below details which agency will be accepting the reports electronically, which database(s) we anticipate using, the key tasks for developing e-reporting capability, and the anticipated timelines for implementation. The Iowa DNR does not have planned milestones at this time, other than those described as key tasks below.

The Iowa DNR does not plan to have our permittees use the EPA NeT system for any of the data groups at this time, nor do we plan to directly enter data into ICIS. CROMERR applications for the data groups will be combined where appropriate so that only one application will be submitted for each database.

A. General Permit Reports - *Including NOIs, NOTs, NOEs, and LEWs; see 40 CFR 122.26(b)(15), 122.28, and 124.5*
     Agency/Contractor/EPA Roles and Responsibilities: The Iowa DNR will accept all general permit reports in our upgraded SW DB which will allow for the submittal of all general permit reports electronically in one system. Key tasks include: development of webpages in the current database by program and IT staff to allow for submittal of NOTs, NOEs, and LEWs for the different general permits; submittal of a CROMERR application for this portion of the SW DB, and training of permittees on the use of the new webpage.
     Task Completion Timeline: This task will be completed sometime in 2020, so the Iowa DNR will have time to inform and train our permittees ahead of the December 2021 deadline.

B. Concentrated Animal Feeding Operation (CAFO) Annual Program Reports - *See 40 CFR 122.42(e)(4)*
Agency/Contractor/EPA Roles and Responsibilities: The Iowa DNR is still discussing the potential location for CAFO annual program reports, but we will accept all CAFO annual reports using either NPDS and WWPIE or our AFO database. We anticipate a decision on where e-reporting of CAFO Annual Program reports will occur will be made in 2018. Key tasks include: decision on which database(s) will accommodate the e-reporting for CAFO reports, development of a webpage in either WWPIE or the AFO database by program and IT staff to allow for the electronic submittal of CAFO program reports; submittal of a CROMERR application for this portion of WWPIE or AFO, and training of permittees on the use of the new webpage.
     Task Completion Timeline: This task will be completed sometime in 2020, so the Iowa DNR will have time to inform and train our permittees ahead of the December 2021 deadline.

C. Municipal Separate Storm Sewer System (MS4) Program Reports - *See 40 CFR 122.34(g)(3) and 122.42(c)*
     Agency/Contractor/EPA Roles and Responsibilities: The Iowa DNR is still discussing the potential location for MS4 Program Reports, but we will accept all MS4 reports using either NPDS and WWPIE or our SW DB. Key tasks include: decision on which database(s) will accommodate the e-reporting for MS4 reports, development of a webpage in the SW DB or WWPIE by program and IT staff to allow for submittal of MS4 reports; submittal of a CROMERR application for this portion of the SW DB or WWPIE, and training of permittees on the use of the new webpage.
     Task Completion Timeline: This task will be completed sometime in 2020, so the Iowa DNR will have time to inform and train our permittees ahead of the December 2021 deadline.

D. Pretreatment Program Reports - *See 40 CFR 403.12(i)*
     Agency/Contractor/EPA Roles and Responsibilities: The Iowa DNR will accept all Pretreatment Program Reports using NPDS and WWPIE. Key tasks include: development of a webpage in WWPIE by program and IT staff to allow for submittal of pretreatment reports; submittal of a CROMERR application for this portion of WWPIE, and training of permittees on the use of the new webpage.
     Task Completion Timeline: This task will be completed sometime in 2020, so the Iowa DNR will have time to inform and train our permittees ahead of the December 2021 deadline.

E. Significant Industrial User Compliance Reports in Municipalities Without Approved Pretreatment Programs - *See 40 CFR 403.12(e) and (h)*

Agency/Contractor/EPA Roles and Responsibilities: The Iowa DNR will accept all SIU Compliance Reports using NPDS and WWPIE. Key tasks include: development of a webpage in WWPIE to allow for submittal of SIU compliance reports; submittal of a CROMERR application for this portion of WWPIE, and training of permittees on the use of the new webpage.

Task Completion Timeline: This task will be completed sometime in 2020, so the Iowa DNR will have time to inform and train our permittees ahead of the December 2021 deadline.

F. Sewer Overflow/Bypass Event Reports - *See 40 CFR 122.41(l)(4), (l)(6) and (7), and (m)(3)*
Agency/Contractor/EPA Roles and Responsibilities: The Iowa DNR is still discussing the potential location and submittal option for Sewer Overflow/Bypass Event Reports, but we will accept all these reports using either NPDS and WWPIE or FOCD. Key tasks include: decision on which database(s) will accommodate the e-reporting for these reports, development of a webpage in the FOCD or WWPIE by program and IT staff to allow for submittal of these reports; submittal of a CROMERR application for this portion of the FOCD or WWPIE, and training of permittees on the use of the new webpage.

Task Completion Timeline: This task will be completed sometime in 2020, so the Iowa DNR will have time to inform and train our permittees ahead of the December 2021 deadline.

G. CWA section 316(b) Annual Reports - *See 40 CFR 125, subpart J*
Agency/Contractor/EPA Roles and Responsibilities: The Iowa DNR is currently considering accepting all 316(b) Annual Reports using NPDS and WWPIE. However, we will continue to discuss options for having our permittees use an EPA e-reporting system for the submittal of the 316(b) Annual Reports and the data elements associate with these reports.

Key tasks include: determination of whether or not the Iowa DNR will be the initial recipient for this data group; if Iowa DNR is the initial recipient, development of a webpage in WWPIE by program and IT staff to allow for submittal of these reports, submittal of a CROMERR application for this portion of WWPIE, and training of permittees on the use of the new webpage. If we determine that EPA will be the initial recipient, the Key tasks will include: coordination with EPA on what system will be used for the submittal of 316(b) Annual Reports and informing our permittees that they will need to submit these reports directly to EPA.

Task Completion Timeline: The Iowa DNR anticipates that we will decide who will be the initial recipient (Iowa DNR or EPA) sometime in 2018. If we are the initial recipients, this task will be completed sometime in 2020, so the Iowa DNR will have time to inform and train our permittees ahead of the December 2021 deadline. If EPA is the initial recipient, this task will be completed whenever EPA develops the capability for the electronic submittal of 316(b) Annual Reports.

H. Sewage Sludge/Biosolids Annual Program Reports - *Complete this subsection only if the agency is the authorized NPDES program for biosolids; see 40 CFR 503*
Agency/Contractor/EPA Roles and Responsibilities: The Iowa DNR is not the authorized NPDES program for biosolids.

Task Completion Timeline: NA

5. **CROMERR Compliance Status for Agency Electronic Reporting Systems**
In this section, describe Cross-Media Electronic Reporting Rule (CROMERR) compliance status for the agency's e-reporting systems (e.g., anticipated application dates, approval dates or anticipated approval dates) for each Phase 2 NPDES data group. Clearly state if CROMERR approval dates will cover more than one data group (data group subsections may be combined as needed or there can be one date that applies to all categories). States that elect to use EPA's electronic reporting tools can cite that in this section as these CROMERR approvals can be expedited.

A to G. General Permit Reports, CAFO Annual Program Reports, MS4 Program Reports, Pretreatment Program Reports, SIU Compliance Reports, Sewer Overflow/Bypass Event Reports, and 316(b) Annual Reports

CROMERR Approval Date: The Iowa DNR anticipates obtaining CROMERR approval for the electronic submittal options for all of these reports in 2020.

    H.   <u>Sewage Sludge/Biosolids Annual Program Reports</u>
        CROMERR Approval Date: NA; Iowa DNR does not have delegation

6. State Statutes, State Regulation/Administrative Rule, and NPDES Permit Update Estimated Completion Dates

Provide scheduled estimated end dates for updating state statutes, regulations, and NPDES permits. Note if these have already been completed or are not necessary. Discuss the status of required regulatory issues.

The Iowa DNR will begin the process of updating our rules to require the electronic submittal of NPDES reports by fall of 2017. The electronic submittal requirements will be contingent upon the availability of Iowa DNR databases that allow for the electronic submittal of the reports, so that when the upgraded database are available and training has been provided, electronic submittal will be required.

Our rulemaking process takes several months to complete. We anticipate that rules requiring electronic NPDES report submittal will be effective by the fall or winter of 2018. No changes will be required to the Iowa Code to facilitate the electronic submittal of NPDES reports.

7. Temporary and Permanent Waiver Approval Process (127.24c)

In this section, describe the agency's temporary and/or permanent waiver approval processes and criteria for granting waivers. Please include any current practices as well as future processes. If a waiver is granted, it is the responsibility of the regulatory agency to insure all Appendix A data received in paper format is shared with EPA in electronic format.

The Iowa DNR will incorporate a waiver process into the rules that will require the electronic submittal of NPDES reports. At this time, we do not know what the waiver process will look like, as we have not consulted our NPDES stakeholders. We anticipate that temporary waivers will be allowed where internet service is not readily available (as is the case in some of the rural areas of Iowa) and that emergency waivers will be allowed as necessary. The Iowa DNR will continue to electronically transmit any Appendix A data that we receive on paper currently to ICIS. We will transmit any paper data required in Appendix A that is currently not accepted by ICIS to EPA as soon as the electronic transfer protocols are available.

8. Outreach and Training

In this section, summarize the outreach and training necessary to alert and educate NPDES regulated entities on how to utilize the agency's planned electronic reporting systems. Please include past, present and future information.

The majority of individual NPDES permittees in Iowa already submit DMRs electronically via email, and training for this submittal has been ongoing as individual permits have been reissued over the past ten years. Those who do not submit DMRs electronically will receive training from Iowa DNR field staff when they begin submitting DMRs electronically, either voluntarily before the administrative rule regarding electronic submittal is effective, or as required once the rule is effective by the fall of 2018.

9. Alternative Options

In this section, summarize alternative options for converting to electronic reporting (e.g., utilization of EPA services and systems like NetDMR, NeT, or buying a Commercial Off-The-Shelf (COTS) system.) (This is a "Plan B" in case there are issues with implementing your "Plan A".)

The Iowa DNR does not currently have any plans to utilize EPA services or systems or for purchasing COTS systems for electronic reporting, as the majority of our permittees report electronically already and modifying our existing databases to allow for electronic reporting from the remaining permittees will be significantly easier and more cost-effective than pursuing the use of EPA or COTS systems.

10. **Obstacles to Rule Implementation**

In this section, describe any potential obstacles to e-reporting your agency anticipates, and discuss plans for overcoming these obstacles.

No obstacles to e-reporting are anticipated for NPDES permittees in Iowa, as the majority of our permittees report electronically already. The Iowa DNR anticipates that informing and training those permittees who are not currently e-reporting and training those who are e-reporting on the submittal of new electronic reports (annual reports, etc.) will be straightforward.

11. **Implementation Plan Reassessment**

In this section, identify the circumstances when the agency will contact EPA regarding a possible reassessment of this Implementation Plan. This cooperative discussion between EPA and the agency is intended to help evaluate all options for ensuring that the agency will be able to continue working towards complying with the E-Reporting Rule.

The Iowa DNR will contact EPA regarding possible reassessment if we have any difficulty with obtaining CROMERR approval. We did not establish our planned CROMERR Portal and discontinue email submittal of DMRs due to approval issues with our previous CROMERR application for our WWPIE system. If we experience additional difficulties with the CROMERR application and approval process for our planned database upgrades, the estimated completion dates in this plan could change, and we may need additional assistance in meeting the CROMERR requirements.