



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 4
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MEMORANDUM

SUBJECT: Roles and Responsibilities for Region 4’s Usage of the NPDES Electronic Reporting Tool (“NeT”) for Direct Implementation of the NPDES program in EPA Region 4

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This memorandum documents the roles and responsibilities for developing and maintaining the National Pollutant Discharge Elimination System (NPDES) Electronic Reporting Tool (or “NeT”) for direct implementation of the NPDES program in EPA Region 4. NeT is EPA’s tool for electronically collecting NPDES general permit and program report data in support of the NPDES Electronic Reporting Rule (40 CFR part 127) (“NPDES eRule”).

The NPDES eRule requires the electronic reporting and sharing of NPDES program data. Specifically, the rule requires regulated entities to report information electronically, instead of filing written paper notices and reports. These notices and reports include:

- Discharge Monitoring Reports (DMRs)
- Notices of Intent (NOI) to discharge in compliance with a general permit
- Other specified program reports

These notices and reports will collect the minimum set of data found in Appendix A of the NPDES eRule, as well as additional data required by EPA Region 4. EPA Region 4 will work with the Enforcement Targeting and Data Division (ETDD) to determine the most viable solution to collect and record data not included in Appendix A of the NPDES eRule.

This memorandum outlines the roles and responsibilities for different aspects of NeT development and maintenance.

EPA Region 4 Roles and Responsibilities

EPA Region 4 intends to provide adequate resources and staff to deliver or perform the following for each activity area listed below:

Permit Review

- Identify data to be included in each electronic submission, dependencies between form questions or sections and the related rules, dependencies between general permit forms and permit requirements (e.g., effluent limits), and schedules or dates for each submission.
- Ensure any new permit has clear, well described reporting requirements.
- Make any minor modifications to already issued permits necessary to adopt the electronic reporting solution.
- Work with ETDD to clearly describe the permit requirements and review process (if any) for permit coverage approval.
- Identify cases where a permit requires non-appendix A data elements for a discussion on the best approach on capturing these data elements.
- Specify any events that may result in a modification of monitoring requirements. This is not limited to, instances where the monitoring requirements should be changed through an NOI or other electronic submission.
- Identify where a paper submission should be sent from facilities.
- Ensure the general permit specifies clear authority to collect each data element on the NOI or program report.
- Consult with ETDD early in the permit modification or development process if any questions or concerns arise regarding electronic reporting.

NPDES Electronic Reporting Requirements Development

- Participate in teleconferences or meetings with ETDD staff to describe, document, and confirm requirements for general permit forms [e.g., NOIs] (WD), and compliance monitoring reports (e.g., DMRs) (ECAD).
- Identify requirements for the electronic reporting of any other information for individually permitted facilities.
- Assist ETDD, as needed, with the development and review of user stories, which are used by IT developers to implement the requirements.

Electronic Reporting Solution

- Complete testing as requested by ETDD, which might include soliciting for testers, and providing feedback.
- Report all NPDES direct implementation data that supports electronic reporting (e.g., permit application data (WD) [inspections and investigations, compliance determinations, and enforcement activities] (ECAD)) to EPA's national NPDES data system three months prior to the electronic reporting start dates in Table 1 in 40 CFR 127.16(a) and maintain updates thereafter. Reporting will be timely, accurate, complete, and consistent. (See 40 CFR 127.23)

Customer Support and Training

- With ETDD training and assistance, develop and maintain expertise to support Region 4's permittees use of the reporting solution.
- ETDD will develop, with input from EPA Region 4, outreach and training materials that inform regulated entities of their obligation to report electronically, provide information on how to report electronically, and identify outlets for the material.
- Review and provide input on ETDD documentation, help content, FAQs, and any additional guidance specific to implementation of the permit or program report as it relates to electronic reporting.
- If necessary, coordinate training using material developed with ETDD to permittees.
- Identify the individuals (WD and ECAD) who will provide the Tier II support to DI facilities as defined below and provide their contact information to ETDD.
- Requests for Tier II support will be forwarded to EPA Region 4 in a timely manner by the NPDES eReporting Help Desk or ETDD staff using a customer relations management tool. Region 4 Tier II customer support is:
 - permit clarification or interpretation (refer to EPA Region 4 WD)
 - questions about application form content, (refer to EPA Region 4 WD)
 - provide support to DI facilities needed when filling out the DMRs or compliance reports (refer to Region 4 ECAD)
- Respond to Tier II NPDES eReporting Help Desk customer support requests by either updating the NPDES eReporting Help Desk ticket generated to capture the customers inquiry or responding via email, as appropriate, in a timely manner.
- EPA Region 4 ECAD will review and approve any requests as appropriate by a regulated entity for the necessary roles, permissions to access structures, features, permits and functions in the reporting application in an expedited manner.
- Communicate to ETDD as expeditiously as possible any issues identified with the electronic reporting tool that EPA Region 4 cannot address by documenting the issue via e-mail to the NPDES eReporting Help Desk using NPDESReporting@epa.gov.

Change Management.

- Provide notice to ETDD of any necessary changes to the electronic reporting tool six months prior to expected implementation (e.g., changing requirements during the general permit renewal, changes to program report submission requirements). If six months notification is not practicable, as soon as possible.

General

When requested by ETDD, make available EPA Region 4 staff contacts in the following areas:

NPDES Staff:

- NPDES permit writing
- Notice of Intent development and flow of information to support the application
- Customer relations management as it relates to understanding permit application and permit language

- Establish reporting requirement framework into the eReporting system

Water Enforcement and Compliance:

- Clean Water Act permits, compliance, and enforcement
- Information technology/data management

ETDD Roles and Responsibilities

It is our understanding that ETDD intends to provide adequate resources and competent staff to deliver or perform the following for each activity listed below:

Permit Review

- Advise EPA Region 4 permitting program on electronic reporting matters related to the permit or program report.
- Utilize a liaison between the EPA Region 4 subject matter experts and IT developers.
- Work collaboratively with EPA Region 4's enforcement program to clarify reporting requirements for the permit.
- Recommend permit minor modifications to the EPA Region 4 permitting program needed to utilize the national reporting solution.
- Provide model permit language that can be used to incorporate electronic reporting requirements into the general permit. See link below: <https://www.epa.gov/compliance/npdes-ereporting-information-and-resources-authorized-programs>.

NPDES Electronic Reporting Requirements Development

- Consult with EPA Region 4 permitting and enforcement programs to develop permit or program report requirements for electronic reporting to include both data and business requirements.
- Convert permit or program report requirements to user stories for IT development.
- Keep EPA Region 4 apprised of the development progress, including the completion of identified and agreed upon milestones.

Electronic Reporting Solution

- Work with EPA Region 4's permitting program to develop a schedule for deployment in line with EPA Region 4's permitting schedule (e.g., to have NeT available prior to the effective date of the general permit) and resource availability.
- Assign appropriate resources to meet the agreed upon deployment schedule. If ETDD is not able to meet the scheduled deployment date, EPA Region 4's permitting program should be notified sixty days prior to the scheduled deployment date, or, if sixty days' notice is not practicable an alternative schedule will be proposed as soon as practicable. ETDD will work with EPA Region 4 to finalize any alternative deployment schedules.
- Work with EPA Region 4 permitting and enforcement staff to develop a testing protocol. It should clearly identify any user acceptance criteria, the schedule for testing, how to test, coordinate with testers identified by EPA Region 4, and how to provide feedback to ETDD. At times, testing may occur concurrently with the tool development.

- Inform EPA Region 4 of any contingency plan in place to ensure regular and continuous operation of the electronic reporting solution. The contingency plan will address scenarios that could result in a disruption of operations. The plan is to include notification, recovery, and reconstitution phases.
- Secure the integrity of the electronic reporting tool through the maintenance of a firewall.
- Ensure that modules are CROMERR compliant and access to any Copy of Record (COR).
According to 40 CFR 3.3, a COR is a true and correct copy of an electronic document received by an electronic document receiving system, which can be viewed in a human-readable format that clearly and accurately associates all the information provided in the electronic document with descriptions or labeling of the information.

Customer Support and Training

- Train staff from EPA Region 4 to use NeT and the U.S. EPA's Central Data Exchange (CDX), to implement the role of the Regulatory Authority in the electronic reporting tool application, and to use the application from the perspective of the regulated entity. ETDD will provide webinar-based training for the authorized NPDES program on their roles. Additional support and training materials will be posted on the *NPDES eReporting Tool (NeT) Help Center* web portal.
- ETDD will develop and implement a testing protocol for the reporting solution.
- ETDD will engage external users (e.g., industry, states, other agencies), as appropriate, to assist with testing the reporting solution.
- Develop outreach material for regulated entities on their electronic reporting obligation and on how to electronically report.
- Develop training materials for regulated entities, including the format and delivery method. ETDD will support the authorized NPDES enforcement program on trainings for regulated entities as resources allow.
- Develop and make available documentation on IT and other technical/common system aspects.
- Make available a knowledgebase web portal for posting support materials available to the public, which is currently the *NPDES eReporting Tool (NeT) Help Center*.
- Staff the NPDES eReporting Help Desk Monday through Friday during normal business hours [8:00 a.m. to 5:00 pm (ET)] to provide timely Tier I customer support. Tier I support is generally the initial support level responsible for basic or routine customer issues like, for example, accessing and navigating the NeT application, checking on status of forms, and aiding with the signature process.
- Update and manage NPDES eReporting Help Desk tickets. Provide step by step guide to EPA Region 4 "How to update eReporting Help Desk tickets for Tier II DI tickets" delegated to the Region.
- Maintain a customer relationship management tool to assist with managing customer support requests and/or inquiries received.
- Direct the NPDES eReporting Help Desk to elevate certain Tier II DI customer support requests defined above to the permitting or enforcement staff identified by EPA Region 4 in accordance with standard operating procedures.
- Make available a user managed subscription service to be used to widely communicate information about the permit or electronic reporting tool.

Change Management

- Consult with EPA Region 4 on any plans to migrate, reconstitute, or otherwise significantly modify the structure of the information content, or access software for the electronic reporting solution, other than routine refreshing or updating of the resource.
- Maintain a list of desired changes identified by EPA Region 4 and users after the tool is in production.
- Review and prioritize the list of requested changes on an on-going basis. Keep the authorized NPDES program informed of any status changes and implement changes as resources are available.

Data Access

- Make all e-reported data received available to EPA Region 4 in a format defined by the project team that results in data access.

Limitations

- All roles and responsibilities in this memorandum are subject to the availability of appropriated funds and each party's budget priorities. Nothing in this memorandum obligates EPA Region 4 or ETDD to expend appropriations or to enter any contract, assistance agreement, interagency agreement, or other financial obligation.
- This memorandum is neither a fiscal nor a funds obligation document. Any endeavor involving reimbursement or contribution of funds will be handled in accordance with applicable laws, regulations, procedures, and will be subject to separate subsidiary agreements that will be affected in writing by representatives of both parties.
- This memorandum expresses the good-faith intentions of both EPA Region 4 and ETDD and is not legally binding, does not create any contractual obligations, and is not enforceable.
- This memorandum does not create any right or benefit, substantive or procedural, enforceable by law or equity, by persons who are not named in this memorandum, against EPA Region 4 or ETDD, their officers or employees, or any other person. This memorandum does not apply to any person outside of EPA Region 4 and ETDD.

Modification/Duration/Termination

- These roles and responsibilities outlined in this memorandum may be amended at any time by the mutual written consent of the persons named in this memorandum.
- These roles and responsibilities will be reviewed by EPA Region 4 and ETDD every five (5) years to determine whether they should be revised, renewed, or cancelled.
- The roles and responsibilities in this memorandum may be terminated in whole or in part by either party by notifying the other party in writing 90 days in advance of the termination date.
- In addition, the contents of this memorandum and/or the intent of this agreement may be superseded by other agreements, in which case, EPA Region 4 will notify ETDD that this agreement is nullified and can be terminated.