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Rule 1. NPDES and Pretreatment Programs; General Provisions

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327 IAC 5-1-1 Purpose

Authority: [IC 13-14-8](#); [IC 13-15-2-1](#); [IC 13-18-3-1](#); [IC 13-18-4-1](#)

Affected: [IC 13-18-3](#)

Sec. 1. This article prescribes policies, procedures, and technical criteria for the following programs:

- (1) The issuance of discharge permits under the National Pollutant Discharge Elimination System (NPDES).
- (2) The implementation of a program for the pretreatment of industrial wastewater to be discharged into municipal sewage treatment facilities.

The provisions of this rule are generally applicable to all other rules of this article. (*Water Pollution Control Division; 327 IAC 5-1-1; filed Sep 24, 1987, 3:00 p.m.: 11 IR 614; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1734; filed Nov 13, 1995, 5:00 p.m.: 19 IR 660; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#);*

readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); filed Sep 6, 2018, 11:50 a.m.: [20181003-IR-327170278FRA](#))

327 IAC 5-1-1.5 Prohibitions

Authority: [IC 13-11-2-99](#); [IC 13-13-5-1](#); [IC 13-22-2-3](#)

Affected: [IC 13-18-3](#)

Sec. 1.5. Except as provided in 327 IAC 15-14, the discharge of sewage, treated or untreated, from a dwelling or its associated residential sewage disposal system, to the waters of the state is prohibited. (*Water Pollution Control Division; 327 IAC 5-1-1.5; filed Nov 13, 1995, 5:00 p.m.: 19 IR 660; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; filed Dec 18, 2003, 10:39 a.m.: 27 IR 1563; readopted filed Nov 21, 2007, 1:16 p.m.: 20071219-IR-327070553BFA; readopted filed Jul 29, 2013, 9:21 a.m.: 20130828-IR-327130176BFA; filed Oct 9, 2015, 4:07 p.m.: 20151104-IR-327100659FRA; readopted filed May 18, 2021, 1:04 p.m.: 20210609-IR-327210118BFA*)

327 IAC 5-1-2 Definitions (Repealed)

Sec. 2. (*Repealed by Water Pollution Control Division; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1479*)

327 IAC 5-1-3 Department requests for data

Authority: [IC 13-14-4-3](#); [IC 13-15-1-2](#); [IC 13-18-3](#)

Affected: [IC 13-14-4-1](#); [IC 13-18-3](#)

Sec. 3. (a) Whenever necessary to carry out the provisions of this article, any person who is or may be reasonably expected to be subject to such regulatory provisions shall:

- (1) establish and maintain such records;
- (2) make such reports;
- (3) install, use, and maintain such monitoring equipment or methods (including, where appropriate, biomonitoring methods);
- (4) sample such effluents, internal wastestreams, where appropriate, or other material; and
- (5) provide such other data, including, but not limited to:
 - (A) raw materials;
 - (B) catalysts;
 - (C) intermediate products;
 - (D) by-products;
 - (E) production rates; and
 - (F) related process information;

at such locations, at such times, and in such a manner as the commissioner may reasonably prescribe.

(b) Sampling of internal wastestreams under subsection (a)(4) and the provision of data under subsection (a)(5) shall not be required by the commissioner unless:

- (1) such data is reasonably expected to facilitate the identification or quantification of pollutants which may be released to the environment from facilities owned or operated by the person to whom the request is made; and
 - (2) the identification or quantification of such pollutants could not reasonably be made by the commissioner in the absence of the requested information.
- (c) The commissioner, upon presentation of proper credentials:
- (1) shall have a right of entry to, upon, or through any premises, public or private, in which records, reports, monitoring or treatment equipment or methods, samples, or other data required to be maintained or provided under subsection (a) are located; and
 - (2) may at reasonable times have access to and copy any records, inspect any monitoring or treatment equipment or method, or sample any effluent, internal wastestream, or other material required under subsection (a).

(d) For purposes of subsection (c), the commissioner may authorize, as his representative, any employee of the Indiana department of environmental management or any person under contract with the Indiana department of environmental management whereby such person has agreed, in writing under oath, not to disclose any information collected in performance of his contact to any person except as specified by the contract. (*Water Pollution Control Division; 327 IAC 5-1-3; filed Sep 24, 1987, 3:00 p.m.:*

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11 IR 617; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1738; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

Rule 1.5. Definitions

327 IAC 5-1.5-1	Definitions (Repealed)
327 IAC 5-1.5-2	"Administrator" defined
327 IAC 5-1.5-3	"Ambient intake concentration" defined
327 IAC 5-1.5-4	"Ambient upstream concentration" defined
327 IAC 5-1.5-5	"Applicable effluent standards and limitations" defined
327 IAC 5-1.5-6	"Best management practices" defined
327 IAC 5-1.5-6.5	"Clean Water Act" or "CWA" defined
327 IAC 5-1.5-7	"Combined sewer" defined
327 IAC 5-1.5-8	"Controlled discharge" defined
327 IAC 5-1.5-9	"Conventional pollutants" defined
327 IAC 5-1.5-10	"Discharge" or "direct discharge" defined
327 IAC 5-1.5-11	"Discharge of a pollutant" defined
327 IAC 5-1.5-12	"Draft permit" defined
327 IAC 5-1.5-13	"Effluent limitation" defined
327 IAC 5-1.5-14	"Effluent limitations guideline" defined
327 IAC 5-1.5-15	"Effluent standard or prohibition" defined
327 IAC 5-1.5-16	"Environmental Management Act" or "EMA" defined
327 IAC 5-1.5-17	"Environmental Protection Agency" or "EPA" defined
327 IAC 5-1.5-18	"EPA water management division director" defined
327 IAC 5-1.5-19	"Existing Great Lakes discharger" defined
327 IAC 5-1.5-19.5	"Existing source" defined
327 IAC 5-1.5-19.7	"Facilities or equipment" defined
327 IAC 5-1.5-20	"General permit" defined
327 IAC 5-1.5-21	"General permit boundary" or "GPB" defined
327 IAC 5-1.5-22	"Hazardous substance" defined
327 IAC 5-1.5-23	"Hazardous waste" defined
327 IAC 5-1.5-24	"Indigenous" defined
327 IAC 5-1.5-25	"Indirect discharger" defined
327 IAC 5-1.5-25.5	"Individual NPDES permit" or "individual permit" defined
327 IAC 5-1.5-26	"Limit of detection" or "LOD" defined
327 IAC 5-1.5-27	"Limit of quantitation" or "LOQ" defined
327 IAC 5-1.5-28	"Load allocation" or "LA" defined
327 IAC 5-1.5-29	"Loading capacity" defined
327 IAC 5-1.5-30	"Major discharger" defined
327 IAC 5-1.5-31	"Method detection level" or "MDL" defined
327 IAC 5-1.5-32	"Minimum level" or "ML" defined
327 IAC 5-1.5-33	"Minor discharger" defined
327 IAC 5-1.5-34	"National Pollutant Discharge Elimination System" or "NPDES" defined
327 IAC 5-1.5-35	"New discharger" defined
327 IAC 5-1.5-36	"New Great Lakes discharger" defined
327 IAC 5-1.5-37	"New source" defined
327 IAC 5-1.5-38	"Outfall" defined
327 IAC 5-1.5-39	"Permit" defined
327 IAC 5-1.5-40	"Point source" defined
327 IAC 5-1.5-41	"Pollutant" defined

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327 IAC 5-1.5-42	"Population equivalent" or "PE" defined
327 IAC 5-1.5-43	"POTW treatment plant" defined
327 IAC 5-1.5-44	"Preliminary wasteload allocations" or "preliminary WLA" defined
327 IAC 5-1.5-45	"Primary industrial category" defined
327 IAC 5-1.5-46	"Process wastewater" defined
327 IAC 5-1.5-47	"Proposed permit" defined
327 IAC 5-1.5-48	"Publicly owned treatment works" or "POTW" defined
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327 IAC 5-1.5-50	"Recommencing discharger" defined
327 IAC 5-1.5-51	"Regional administrator" defined
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327 IAC 5-1.5-62	"SIC" defined
327 IAC 5-1.5-62.5	"Site" defined
327 IAC 5-1.5-63	"Sludge" defined
327 IAC 5-1.5-63.5	"Source" defined
327 IAC 5-1.5-64	"Storm sewer" defined
327 IAC 5-1.5-64.2	"Storm water" defined
327 IAC 5-1.5-65	"Termination" defined
327 IAC 5-1.5-66	"Total maximum daily load" or "TMDL" defined
327 IAC 5-1.5-67	"Toxic pollutant" defined
327 IAC 5-1.5-68	"UIC" defined
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327 IAC 5-1.5-70	"Wastewater" defined
327 IAC 5-1.5-71	"Water pollution treatment or control facility" defined
327 IAC 5-1.5-72	"Waters of the state of Indiana" or "waters of the state" defined

327 IAC 5-1.5-1 Definitions (Repealed)

Sec. 1. (Repealed by Water Pollution Control Division; filed Sep 6, 2018, 11:50 a.m.: [20181003-IR-327170278FRA](#))

327 IAC 5-1.5-2 "Administrator" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 2. "Administrator" means the administrator of the United States Environmental Protection Agency or an authorized representative. (Water Pollution Control Division; 327 IAC 5-1.5-2; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1412; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-3 "Ambient intake concentration" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 3. "Ambient intake concentration" means the concentration of a substance occurring in the intake, which is present, or likely to be present, in the absence of upstream point source contributions. (*Water Pollution Control Division; 327 IAC 5-1.5-3; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1413; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-4 "Ambient upstream concentration" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 4. "Ambient upstream concentration" means the concentration of a substance occurring immediately upstream of the point of discharge, which is present, or likely to be present, in the absence of upstream point source contributions. (*Water Pollution Control Division; 327 IAC 5-1.5-4; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1413; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-5 "Applicable effluent standards and limitations" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 5. "Applicable effluent standards and limitations" means all federal, state, and interstate standards and limitations to which a discharge is subjected under the Clean Water Act and Indiana law. (*Water Pollution Control Division; 327 IAC 5-1.5-5; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1413; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-6 "Best management practices" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 6. (a) "Best management practices" or "BMPs" means the following measures to prevent or reduce the pollution of waters of the state:

- (1) Schedules of activities.
- (2) Prohibitions of practice.
- (3) Treatment requirements.
- (4) Operation and maintenance procedures.
- (5) Use of containment facilities.
- (6) Other management practices.
- (b) BMPs may be employed, for example, to control:
 - (1) plant site run-off;
 - (2) spillage or leaks;
 - (3) sludge or waste disposal; or
 - (4) drainage from raw materials storage resulting from:
 - (A) manufacturing;
 - (B) commercial;
 - (C) mining; or
 - (D) silvicultural;
 activities.

(*Water Pollution Control Division; 327 IAC 5-1.5-6; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1413; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3378; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.:*)

[20190710-IR-327190246BFA](#))

327 IAC 5-1.5-6.5 "Clean Water Act" or "CWA" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 6.5. "Clean Water Act" or "CWA" means the following:

(1) 33 U.S.C.1251 et seq.

(2) Regulations adopted under 33 U.S.C.1251 et seq.

(Water Pollution Control Division; 327 IAC 5-1.5-6.5; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-7 "Combined sewer" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 7. "Combined sewer" means a sewer designed and employed to receive both:

(1) water-carried or liquid wastes; and

(2) storm or surface water.

(Water Pollution Control Division; 327 IAC 5-1.5-7; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1413; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-8 "Controlled discharge" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 8. "Controlled discharge" means a discharge of wastewater from a wastewater treatment plant which is designed and operated to control the volume of discharge, either by manual adjustment or by an automated control mechanism, such that the discharge rate does not exceed a prescribed fraction of the stream flow rate at any given time. *(Water Pollution Control Division; 327 IAC 5-1.5-8; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1413; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))*

327 IAC 5-1.5-9 "Conventional pollutants" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 9. "Conventional pollutants" includes the following:

(1) Biochemical oxygen demanding pollutants.

(2) Suspended solids.

(3) Fecal coliform.

(4) pH.

(5) Oil and grease.

(Water Pollution Control Division; 327 IAC 5-1.5-9; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1413; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-10 "Discharge" or "direct discharge" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 10. "Discharge" or "direct discharge", when used without qualification, means a discharge of a pollutant. (*Water Pollution Control Division; 327 IAC 5-1.5-10; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1413; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-11 "Discharge of a pollutant" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 11. "Discharge of a pollutant" means any addition of any pollutant, or combination of pollutants, into any waters of the state from a point source in Indiana. The term includes, without limitation, additions of pollutants into waters of the state from the following:

(1) Surface run-off collected or channeled by man.

(2) Discharges through pipes, sewers, or other conveyances that do not lead to treatment works.

(*Water Pollution Control Division; 327 IAC 5-1.5-11; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1414; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-12 "Draft permit" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 12. "Draft permit" means a document prepared prior to the public comment period by the commissioner indicating the commissioner's tentative decision to:

(1) issue or deny;

(2) modify;

(3) revoke and reissue;

(4) terminate; or

(5) reissue;

a permit. (*Water Pollution Control Division; 327 IAC 5-1.5-12; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1414; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-13 "Effluent limitation" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 13. "Effluent limitation" means any restriction established by the commissioner on quantities, discharge rates, and concentrations of pollutants that are discharged, or will be discharged, from point sources into waters of the state. (*Water Pollution Control Division; 327 IAC 5-1.5-13; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1414; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-14 "Effluent limitations guideline" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 14. "Effluent limitations guideline" means a regulation adopted by the administrator of the EPA, under Section 304(b) of the CWA, for use in establishing effluent limitations for specific point sources within a particular industrial class or category. (*Water Pollution Control Division; 327 IAC 5-1.5-14; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1414; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21*

a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-15 "Effluent standard or prohibition" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 15. "Effluent standard or prohibition" means a regulation adopted by the administrator of the EPA, under Section 307(a) of the Clean Water Act, which restricts or prohibits the discharge of a toxic pollutant, based on the toxic qualities of that pollutant, and does not mean an effluent limitations guideline. (*Water Pollution Control Division*; 327 IAC 5-1.5-15; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1414; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-16 "Environmental Management Act" or "EMA" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13](#); [IC 13-18-4](#)

Sec. 16. "Environmental Management Act" or "EMA" means [IC 13-13](#). (*Water Pollution Control Division*; 327 IAC 5-1.5-16; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1414; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-17 "Environmental Protection Agency" or "EPA" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 17. "Environmental Protection Agency" or "EPA" means the United States Environmental Protection Agency. (*Water Pollution Control Division*; 327 IAC 5-1.5-17; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1414; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-18 "EPA water management division director" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 18. "EPA water management division director" means the director of the water management division of the regional office of the EPA having jurisdiction over Indiana or this person's delegated representative. (*Water Pollution Control Division*; 327 IAC 5-1.5-18; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1414; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-19 "Existing Great Lakes discharger" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 19. "Existing Great Lakes discharger" means any building, structure, facility, or installation from which there is or may be a discharge of a pollutant to the Great Lakes system that is not a new Great Lakes discharger. (*Water Pollution Control Division*; 327 IAC 5-1.5-19; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1414; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-19.5 "Existing source" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 19.5. "Existing source" means any source that is not a new source or a new discharger. (*Water Pollution Control Division; 327 IAC 5-1.5-19.5; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-19.7 "Facilities or equipment" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 19.7. "Facilities or equipment" means buildings, structures, or process or production equipment or machinery that form a permanent part of the new source and that will be used in its operation, provided that the facilities or equipment are of such value as to represent a substantial commitment to construct. The term does not include facilities or equipment used in connection with feasibility, engineering, and design studies regarding the source or water pollution treatment for the source. (*Water Pollution Control Division; 327 IAC 5-1.5-19.7; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-20 "General permit" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 20. "General permit" means an authorization to discharge under the NPDES rules, that is applicable to all owners and operators of point sources of a particular category located within a designated general permit boundary (GPB), other than owners and operators of such sources to whom individual NPDES permits have been issued. (*Water Pollution Control Division; 327 IAC 5-1.5-20; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1415; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-21 "General permit boundary" or "GPB" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 21. "General permit boundary" or "GPB" means the designated geographic area within which a particular general permit is applicable. (*Water Pollution Control Division; 327 IAC 5-1.5-21; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1415; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-22 "Hazardous substance" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 22. "Hazardous substance" means, for purposes of NPDES, any substance designated under 40 CFR 116 pursuant to Section 311 of the Clean Water Act. (*Water Pollution Control Division; 327 IAC 5-1.5-22; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1415; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-23 "Hazardous waste" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2-99](#); [IC 13-18-4](#); [IC 13-22-2-3](#)

Sec. 23. "Hazardous waste" means a waste having the characteristics described in [IC 13-11-2-99](#)(a) and specifically a waste listed under [IC 13-22-2-3](#). (*Water Pollution Control Division; 327 IAC 5-1.5-23; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1415; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-24 "Indigenous" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 24. "Indigenous" means, generally, an organism native to and growing and reproducing in a particular region. The term also includes historically nonnative species introduced by the Indiana department of natural resources as part of a program of wildlife management whether such species reproduce or not. (*Water Pollution Control Division; 327 IAC 5-1.5-24; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1415; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-25 "Indirect discharger" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 25. "Indirect discharger" means a nondomestic discharger introducing pollutants into a POTW. (*Water Pollution Control Division; 327 IAC 5-1.5-25; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1415; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-25.5 "Individual NPDES permit" or "individual permit" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 25.5. "Individual NPDES permit" or "individual permit" means an NPDES permit issued to one (1) facility that contains requirements specific to that facility. An individual NPDES permit is not a general permit. (*Water Pollution Control Division; 327 IAC 5-1.5-25.5; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-26 "Limit of detection" or "LOD" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 26. "Limit of detection" or "LOD" means the minimum concentration of a substance that can be measured and reported with ninety-nine percent (99%) confidence that the analyte concentration is greater than zero (0) for a particular analytical method and sample matrix. (*Water Pollution Control Division; 327 IAC 5-1.5-26; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1415; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-27 "Limit of quantitation" or "LOQ" definedAuthority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 27. "Limit of quantitation" or "LOQ" means a measurement of the concentration of a contaminant obtained by using a specified laboratory procedure calibrated at a specified concentration above the method detection level. It is considered the lowest concentration at which a particular contaminant can be quantitatively measured using a specified laboratory procedure for monitoring of the contaminant. This term is also sometimes called limit of quantification or quantification level. (*Water Pollution Control Division; 327 IAC 5-1.5-27; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1415; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-28 "Load allocation" or "LA" definedAuthority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 28. "Load allocation" or "LA" means the portion of a receiving water's loading capacity that is attributed either to one (1) of its existing or future nonpoint sources of pollution or to natural background sources. Load allocations are best estimates of the loading, which may range from reasonably accurate estimates to gross allotments, depending on the availability of data and appropriate techniques for predicting the loading. Wherever possible, natural and nonpoint source loads should be distinguished. Nonpoint sources include any discharge of a pollutant that is not a point source, such as the following:

- (1) In-place contaminants.
- (2) Direct wet and dry deposition.
- (3) Ground water inflow.
- (4) Overland run-off.

(*Water Pollution Control Division; 327 IAC 5-1.5-28; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1415; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-29 "Loading capacity" definedAuthority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 29. "Loading capacity" means the greatest amount of loading that a water can receive without violating water quality criteria. The loading capacity shall be determined in accordance with the procedure contained in 327 IAC 5-2-11.4(a)(12). (*Water Pollution Control Division; 327 IAC 5-1.5-29; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1416; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-30 "Major discharger" definedAuthority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 30. "Major discharger" means any point source discharger designated as such annually by agreement between the commissioner and the U.S. EPA. Classification of a discharger as major generally involves consideration of factors relating to the significance of the discharge's impact on the environment, such as:

- (1) nature and quantity of pollutants discharged;
- (2) character and assimilative capacity of the receiving waters;
- (3) presence of toxic pollutants in the discharge; and
- (4) compliance history of the discharger.

(*Water Pollution Control Division; 327 IAC 5-1.5-30; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1416; readopted filed Jan 10, 2001,*

3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-31 "Method detection level" or "MDL" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 31. "Method detection level" or "MDL" means the minimum concentration of an analyte (substance) that can be measured and reported with a ninety-nine percent (99%) confidence that the analyte concentration is greater than zero (0) as determined by the procedure set forth in 40 CFR 136, Appendix B. (*Water Pollution Control Division*; 327 IAC 5-1.5-31; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1416; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-32 "Minimum level" or "ML" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 32. "Minimum level" or "ML" means the concentration at which the entire analytical system must give a recognizable signal and acceptable calibration point. The ML is the concentration in a sample that is equivalent to the concentration of the lowest calibration standard analyzed by a specific analytical procedure, assuming that all the method-specified sample weights, volumes, and processing steps have been followed. (*Water Pollution Control Division*; 327 IAC 5-1.5-32; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1416; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-33 "Minor discharger" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 33. "Minor discharger" means all dischargers not designated as major dischargers. (*Water Pollution Control Division*; 327 IAC 5-1.5-33; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1416; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-34 "National Pollutant Discharge Elimination System" or "NPDES" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 34. "National Pollutant Discharge Elimination System" or "NPDES" means the national program for:

- (1) issuing;
- (2) modifying;
- (3) revoking and reissuing;
- (4) terminating;
- (5) denying;
- (6) monitoring; and
- (7) enforcing;

permits for the discharge of pollutants from point sources and imposing and enforcing pretreatment requirements by the EPA or an authorized state under Sections 307, 318, 402, and 405 of the Clean Water Act. (*Water Pollution Control Division*; 327 IAC 5-1.5-34; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1416; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed

Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-35 "New discharger" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 35. (a) "New discharger" means any building, structure, facility, or installation:

- (1) from which there is or may be a discharge of pollutants;
- (2) that did not commence the discharge of pollutants at a particular site prior to August 13, 1979;
- (3) is not a new source; and
- (4) that has never received a finally effective NPDES permit for discharges at that site.

(b) The term includes an indirect discharger that commences discharging into waters of the state after August 13, 1979. It also includes any existing mobile point source that begins discharging at a site for which it does not have a permit. (*Water Pollution Control Division; 327 IAC 5-1.5-35; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1416; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: 20071219-IR-327070553BFA; readopted filed Jul 29, 2013, 9:21 a.m.: 20130828-IR-327130176BFA; readopted filed Jun 14, 2019, 1:59 p.m.: 20190710-IR-327190246BFA*)

327 IAC 5-1.5-36 "New Great Lakes discharger" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 36. "New Great Lakes discharger" means any building, structure, facility, or installation from which there is or may be a discharge of a pollutant to the Great Lakes system, the construction of which commenced after March 23, 1997. (*Water Pollution Control Division; 327 IAC 5-1.5-36; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1417; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: 20071219-IR-327070553BFA; readopted filed Jul 29, 2013, 9:21 a.m.: 20130828-IR-327130176BFA; readopted filed Jun 14, 2019, 1:59 p.m.: 20190710-IR-327190246BFA*)

327 IAC 5-1.5-37 "New source" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 37. "New source" means any building, structure, facility, or installation from which there is or may be a discharge of pollutants, the construction of which commences:

- (1) after promulgation of standards of performance under Section 306 of the Clean Water Act which are applicable to such source; or
- (2) after publication of proposed standards of performance in accordance with Section 306 of the Clean Water Act that are applicable to such source if the standards subsequently are promulgated in accordance with Section 306 of the Clean Water Act.

(*Water Pollution Control Division; 327 IAC 5-1.5-37; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1417; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: 20071219-IR-327070553BFA; readopted filed Jul 29, 2013, 9:21 a.m.: 20130828-IR-327130176BFA; readopted filed Jun 14, 2019, 1:59 p.m.: 20190710-IR-327190246BFA*)

327 IAC 5-1.5-38 "Outfall" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 38. "Outfall" means the point of discharge from a point source. (*Water Pollution Control Division; 327 IAC 5-1.5-38; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1417; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: 20071219-IR-327070553BFA; readopted filed Jul 29, 2013, 9:21 a.m.: 20130828-IR-327130176BFA; readopted filed Jun 14, 2019, 1:59 p.m.: 20190710-IR-327190246BFA*)

327 IAC 5-1.5-39 "Permit" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 39. "Permit" means any written authorization, license, or equivalent document issued to regulate the discharge of pollutants, the construction of water pollution treatment or control facilities, or land application of sludge or waste products. (*Water Pollution Control Division; 327 IAC 5-1.5-39; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1417; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: 20071219-IR-327070553BFA; readopted filed Jul 29, 2013, 9:21 a.m.: 20130828-IR-327130176BFA; readopted filed Jun 14, 2019, 1:59 p.m.: 20190710-IR-327190246BFA*)

327 IAC 5-1.5-40 "Point source" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 40. (a) "Point source" means any discernible, confined, and discrete conveyance, including, but not limited to, any of the following from which pollutants are or may be discharged:

- (1) Pipe.
- (2) Ditch.
- (3) Channel.
- (4) Tunnel.
- (5) Conduit.
- (6) Well.
- (7) Discrete fissure.
- (8) Container.
- (9) Rolling stock.
- (10) Concentrated animal feeding operation.
- (11) Landfill leachate collection system.
- (12) Vessel.
- (13) Other floating craft.

(b) The term does not include return flows from irrigated agriculture or agricultural storm run-off. See 327 IAC 5-2-1.8 for other exclusions. (*Water Pollution Control Division; 327 IAC 5-1.5-40; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1417; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: 20071219-IR-327070553BFA; readopted filed Jul 29, 2013, 9:21 a.m.: 20130828-IR-327130176BFA; errata filed Sep 22, 2017, 11:46 a.m.: 20171004-IR-327170437ACA; readopted filed Jun 14, 2019, 1:59 p.m.: 20190710-IR-327190246BFA*)

327 IAC 5-1.5-41 "Pollutant" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 41. "Pollutant" means, but is not limited to:

- (1) dredged spoil;
- (2) incinerator residue;
- (3) filter backwash;
- (4) sewage;
- (5) garbage;
- (6) sewage sludge;
- (7) munitions;
- (8) chemical wastes;
- (9) solid wastes;
- (10) toxic wastes;
- (11) hazardous substances;

- (12) biological materials;
- (13) radioactive materials (except those regulated under the Atomic Energy Act of 1954, as amended; 42 U.S.C. 2011, et seq.);
- (14) heat;
- (15) wrecked or discarded equipment;
- (16) rock;
- (17) sand;
- (18) cellar dirt; and
- (19) other industrial, municipal, and agricultural waste;

discharged into water. (*Water Pollution Control Division; 327 IAC 5-1.5-41; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1417; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-42 "Population equivalent" or "PE" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 42. "Population equivalent" or "PE" means the calculated population that would contribute a particular amount of biochemical oxygen demand (BOD) per day, using the base of seventeen-hundredths (0.17) pound of five (5) day BOD per capita per day. A different conversion factor may be used in the calculation when approved by the commissioner on the basis of site-specific technical information. (*Water Pollution Control Division; 327 IAC 5-1.5-42; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1418; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-43 "POTW treatment plant" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 43. "POTW treatment plant" means that portion of the POTW designed to provide treatment (including recycling and reclamation) of municipal sewage and industrial waste. (*Water Pollution Control Division; 327 IAC 5-1.5-43; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1418; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-44 "Preliminary wasteload allocations" or "preliminary WLA" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 44. "Preliminary wasteload allocations" or "preliminary WLAs" means wasteload allocations developed for the purpose of determining the need for water quality-based effluent limitations under 327 IAC 5-2-11.5. (*Water Pollution Control Division; 327 IAC 5-1.5-44; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1418; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-45 "Primary industrial category" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 45. "Primary industrial category" means any industrial category listed in 327 IAC 5-2-23. (*Water Pollution Control Division; 327 IAC 5-1.5-45; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1418; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-](#)*

[327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-46 "Process wastewater" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 46. "Process wastewater" means any water that, during manufacturing or processing, comes into direct contact with or results from the production or use of any raw material, intermediate product, finished product, byproduct, or waste product. (*Water Pollution Control Division*; 327 IAC 5-1.5-46; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1418; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-47 "Proposed permit" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 47. "Proposed permit" means an NPDES permit prepared after the close of the public comment period (and, when applicable, any public hearing and administrative appeals) that is sent to EPA for review before final issuance by the state. A proposed permit shall be distinguished from a draft permit. A denial of a request for modification, revocation and reissuance, or termination is neither a draft permit nor a proposed permit. (*Water Pollution Control Division*; 327 IAC 5-1.5-47; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1418; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-48 "Publicly owned treatment works" or "POTW" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 48. "Publicly owned treatment works" or "POTW" means a treatment works as defined by Section 212(2) of the Clean Water Act owned by the state or a municipality (as defined by Section 502(4) of the Clean Water Act), except that it does not include pipes, sewers, or other conveyances not connected to a facility providing treatment. The term includes any devices and systems used in the storage, treatment, recycling, and reclamation of municipal sewage or compatible industrial wastes. It also includes sewers, pipes, and other conveyances only if they convey wastewater to a POTW treatment plant. The term also means the municipality, as defined by Section 502(4) of the Clean Water Act, that has jurisdiction over the indirect discharges to and the discharges from such a treatment works. (*Water Pollution Control Division*; 327 IAC 5-1.5-48; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1418; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-49 "RCRA" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5](#); [IC 13-18-4](#)

Sec. 49. "RCRA" means the Resource Conservation and Recovery Act as defined in [IC 13-13-5](#). (*Water Pollution Control Division*; 327 IAC 5-1.5-49; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1418; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-50 "Recommencing discharger" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 50. "Recommencing discharger" means a source that recommences discharge after terminating operations. (*Water Pollution Control Division; 327 IAC 5-1.5-50; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1419; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-51 "Regional administrator" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 51. "Regional administrator" means the Region 5 administrator of the EPA. (*Water Pollution Control Division; 327 IAC 5-1.5-51; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1419; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-52 "Revocation and reissuance" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 52. "Revocation and reissuance" means the revocation of an NPDES permit prior to the express expiration date thereof accompanied by the concurrent issuance of a new permit to supersede the revoked permit. (*Water Pollution Control Division; 327 IAC 5-1.5-52; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1419; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-53 "Sanitary sewer" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 53. "Sanitary sewer" means a sewer, to which storm, surface, and ground waters are not intentionally allowed to enter, that conveys liquid and water-carried wastes from:

- (1) residences;
- (2) commercial buildings;
- (3) industrial plants; and
- (4) institutions.

(*Water Pollution Control Division; 327 IAC 5-1.5-53; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1419; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-54 "Sanitary wastewater" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 54. "Sanitary wastewater" (commonly called sewage) means the liquid and water-carried waste from residences, commercial buildings, industrial plants, institutions, and other places of human occupancy that is transported by sewers and is primarily composed of human and household waste. Sanitary wastewater, as received by a POTW, may contain a component of industrial waste. (*Water Pollution Control Division; 327 IAC 5-1.5-54; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1419; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-55 "Schedule of compliance" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 55. "Schedule of compliance" means a schedule of remedial measures, including an enforceable sequence of actions or operations, including construction, leading to compliance with an effluent limitation, other limitation, prohibition, standard, or another permit condition. (*Water Pollution Control Division; 327 IAC 5-1.5-55; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1419; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-56 "SDWA" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 56. "SDWA" means the Safe Drinking Water Act as defined in [IC 13-13-5-1](#). (*Water Pollution Control Division; 327 IAC 5-1.5-56; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1419; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-57 "Secondary industrial category" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 57. "Secondary industrial category" means any industrial category that is not a primary industrial category. (*Water Pollution Control Division; 327 IAC 5-1.5-57; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1419; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-58 "Secretary" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 58. "Secretary" means the Secretary of the Army, acting through the Chief of Engineers. (*Water Pollution Control Division; 327 IAC 5-1.5-58; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1419; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-59 "Semipublic facilities" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 59. "Semipublic facilities" means those persons or any entity who provide sewage disposal services for entities that are not POTWs, are not state or federally owned, or are not individual industrial sites, including, but not limited to, the following:

- (1) Trailer or mobile home parks.
- (2) Commercial or shopping centers.
- (3) Housing developments.
- (4) Truck stops.
- (5) Restaurants.
- (6) Schools.
- (7) Campgrounds.

(Water Pollution Control Division; 327 IAC 5-1.5-59; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1419; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-60 "Sewage from vessels" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 60. "Sewage from vessels" means human body wastes and the wastes from toilets and other receptacles intended to receive or retain body wastes that are discharged from vessels and regulated under Section 312 of the Clean Water Act, except that with respect to commercial vessels on the Great Lakes, this term includes graywater. As used in this section, "graywater" means galley, bath, or shower water. *(Water Pollution Control Division; 327 IAC 5-1.5-60; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1420; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))*

327 IAC 5-1.5-61 "Sewer" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 61. "Sewer" means a pipe or conduit that carries wastewater or drainage water. *(Water Pollution Control Division; 327 IAC 5-1.5-61; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1420; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))*

327 IAC 5-1.5-62 "SIC" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 62. "SIC" means the standard industrial classification applicable to a particular industrial activity in accordance with the Standard Industrial Classification Manual published by the Office of Management and Budget of the Executive Office of the President of the United States. *(Water Pollution Control Division; 327 IAC 5-1.5-62; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1420; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))*

327 IAC 5-1.5-62.5 "Site" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 62.5. "Site" means the land or water area upon which a source and its water pollution control facilities are physically located, including, but not limited to, adjacent land used for utility systems, repair, storage, shipping or processing areas, or other areas incident to the industrial, manufacturing, or water pollution treatment processes. *(Water Pollution Control Division; 327 IAC 5-1.5-62.5; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))*

327 IAC 5-1.5-63 "Sludge" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 63. "Sludge" means any solid, semisolid, or liquid waste generated from:

- (1) municipal, industrial, commercial, mining, or agricultural operations;
- (2) water pollution treatment or control facilities;
- (3) air pollution control facilities; or
- (4) water supply treatment plants;

exclusive of the treated effluent from a water pollution treatment facility. (*Water Pollution Control Division; 327 IAC 5-1.5-63; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1420; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-63.5 "Source" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 63.5. "Source" means any building, structure, facility, or installation from which there is or may be a discharge of pollutants. (*Water Pollution Control Division; 327 IAC 5-1.5-63.5; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-64 "Storm sewer" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 64. "Storm sewer" means a sewer:

- (1) designed to transport only storm and surface water; and
- (2) does not lead to a wastewater treatment facility.

(*Water Pollution Control Division; 327 IAC 5-1.5-64; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1420; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-64.2 "Storm water" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 64.2. "Storm water", as defined in 40 CFR 122.26(b)(13), means storm water runoff, snow melt runoff, and surface runoff and drainage. (*Water Pollution Control Division; 327 IAC 5-1.5-64.2; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-65 "Termination" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-15-3-2](#); [IC 13-18-4](#)

Sec. 65. "Termination" means the revocation of an NPDES permit prior to its express expiration date where a new permit is not proposed by the commissioner in place of the revoked permit. The term also applies to those permits continued in force after their express expiration date under the terms of [IC 13-15-3-2](#) that are then terminated. (*Water Pollution Control Division; 327 IAC 5-1.5-65; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1420; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-66 "Total maximum daily load" or "TMDL" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 66. "Total maximum daily load" or "TMDL" means the sum of the individual wasteload allocations for point sources and load allocations for nonpoint sources and natural background minus the sum of a specified margin of safety and any capacity reserved for growth. If a receiving water has only one (1) point source discharger, the TMDL is the sum of that point source WLA plus the LAs for any nonpoint sources of pollution and natural background sources, tributaries, or adjacent segments minus the sum of a specified margin of safety and any capacity reserved for growth. TMDLs can be expressed in terms of either mass per time, toxicity, or other appropriate measure. If best management practices (BMPs) or other nonpoint source pollution controls make more stringent load allocations practicable, then wasteload allocations may be made less stringent. Thus, the TMDL process provides for nonpoint source control tradeoffs. A TMDL sets and allocates the maximum amount of a pollutant that may be introduced into a waterbody and still assure attainment and maintenance of water quality standards. (*Water Pollution Control Division; 327 IAC 5-1.5-66; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1420; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-67 "Toxic pollutant" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 67. "Toxic pollutant" means any pollutant listed as toxic under Section 307(a)(1) of the Clean Water Act. (*Water Pollution Control Division; 327 IAC 5-1.5-67; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1421; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-68 "UIC" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 68. "UIC" means the Underground Injection Control program under Part C of the SDWA. (*Water Pollution Control Division; 327 IAC 5-1.5-68; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1421; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-69 "Wasteload allocation" or "WLA" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 69. "Wasteload allocation" or "WLA" is the portion of a receiving water's loading capacity that is allocated to one (1) of its existing or future point sources of pollution. In the absence of a TMDL approved by EPA under 40 CFR 130.7 or an assessment and remediation plan developed and approved in accordance with 327 IAC 5-2-11.4(a), a WLA is the allocation for an individual point source, that ensures that the level of water quality to be achieved by the point source is derived from and complies with all applicable water quality standards. (*Water Pollution Control Division; 327 IAC 5-1.5-69; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1421; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-1.5-70 "Wastewater" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 70. "Wastewater" means liquid or water-carried wastes from industrial, municipal, agricultural, or other sources. (*Water Pollution Control Division; 327 IAC 5-1.5-70; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1421; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.:*

[20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-71 "Water pollution treatment or control facility" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 71. "Water pollution treatment or control facility" means any equipment, device, unit, or structure that is used to control, prevent, pretreat, or treat any discharge or threatened discharge of pollutants into any waters of Indiana, including surface and subsurface waters and public or private sewerage systems. The term includes, but is not limited to, the following:

- (1) Treatment facilities.
- (2) Combined sewers.
- (3) Sanitary sewers.
- (4) Disposal well systems.
- (5) Animal feeding operation treatment facilities.
- (6) Land application treatment facilities.
- (7) Cyanide isolation facilities.

(Water Pollution Control Division; 327 IAC 5-1.5-71; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1421; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-1.5-72 "Waters of the state of Indiana" or "waters of the state" defined

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2-265](#); [IC 13-18-4](#)

Sec. 72. "Waters of the state of Indiana" or "waters of the state" has the meaning set forth in [IC 13-11-2-265](#). (Water Pollution Control Division; 327 IAC 5-1.5-72; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1421; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; filed Feb 14, 2005, 10:05 a.m.: 28 IR 2097; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

Rule 2. Basic NPDES Requirements

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327 IAC 5-2-11	Considerations in the calculation and specification of effluent limitations
327 IAC 5-2-11.1	Establishment of water quality-based effluent limitations for dischargers not discharging to waters within the Great Lakes system
327 IAC 5-2-11.2	Public notice of comment period and public meetings for site-specific modification of water quality criteria and values; an antidegradation demonstration; a water quality

<u>327 IAC 5-2-11.3</u>	improvement project; an alternate mixing zone demonstration; a variance
<u>327 IAC 5-2-11.4</u>	Great Lakes system dischargers antidegradation implementation procedures (Repealed)
<u>327 IAC 5-2-11.5</u>	Great Lakes system dischargers total maximum daily loads; wasteload allocations for point sources; load allocations for nonpoint sources; preliminary wasteload allocations
<u>327 IAC 5-2-11.6</u>	Great Lakes system dischargers determination of reasonable potential to exceed water quality standards
<u>327 IAC 5-2-11.7</u>	Great Lakes system dischargers establishment of water quality-based effluent limitations (WQBELs)
<u>327 IAC 5-2-12</u>	Great Lakes system dischargers interim antidegradation implementation procedures for outstanding state resource waters (Repealed)
<u>327 IAC 5-2-12.1</u>	Schedules of compliance
<u>327 IAC 5-2-13</u>	Great Lakes systems dischargers; schedules of compliance
<u>327 IAC 5-2-14</u>	Monitoring
<u>327 IAC 5-2-15</u>	Recording of monitoring results
<u>327 IAC 5-2-16</u>	Reporting requirements
<u>327 IAC 5-2-17</u>	Permit modification, revocation and reissuance, and termination
<u>327 IAC 5-2-18</u>	New sources and new dischargers
<u>327 IAC 5-2-19</u>	Basic NPDES requirements; public access to information
<u>327 IAC 5-2-20</u>	Transmission of information to EPA
<u>327 IAC 5-2-21</u>	Enforcement
<u>327 IAC 5-2-22</u>	Fees (Repealed)
<u>327 IAC 5-2-23</u>	Signatories to permit applications and reports
	Primary industrial point source categories

327 IAC 5-2-1 Purpose and scope

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 1. This rule defines the general programmatic requirements of a pollutant discharge permit system to be administered by the commissioner consistent with the NPDES requirements set forth in Sections 118, 318, 402, and 405 of the Clean Water Act and federal regulations adopted pursuant thereto. (*Water Pollution Control Division; 327 IAC 5-2-1; filed Sep 24, 1987, 3:00 p.m.: 11 IR 617; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1421*)

327 IAC 5-2-1.5 Incorporation by reference

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 1.5. (a) The following are incorporated by reference:

- (1) 40 CFR 125*, Criteria and Standards for the National Pollutant Discharge Elimination System.
- (2) 40 CFR 130*, Water Quality Planning and Management.
- (3) 40 CFR 133*, Secondary Treatment Regulation.
- (4) 40 CFR 136*, Guidelines Establishing Test Procedures for the Analysis of Pollutants.
- (5) 40 CFR 403*, General Pre-Treatment Regulations for Existing and New Sources of Pollution.
- (6) 40 CFR 405*, Dairy Products Processing.
- (7) 40 CFR 406*, Grain Mills.
- (8) 40 CFR 407*, Canned and Preserved Fruits and Vegetables Processing.
- (9) 40 CFR 408*, Canned and Preserved Seafood (Seafood Processing).
- (10) 40 CFR 409*, Sugar Processing.
- (11) 40 CFR 410*, Textile Mills.
- (12) 40 CFR 411*, Cement Manufacturing.

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- (13) 40 CFR 412*, Concentrated Animal Feeding Operations (CAFO).
- (14) 40 CFR 413*, Electroplating.
- (15) 40 CFR 414*, Organic Chemicals, Plastics and Synthetic Fibers.
- (16) 40 CFR 415*, Inorganic Chemicals Manufacturing.
- (17) 40 CFR 417*, Soap and Detergent Manufacturing.
- (18) 40 CFR 418*, Fertilizer Manufacturing.
- (19) 40 CFR 419*, Petroleum Refining.
- (20) 40 CFR 420*, Iron and Steel Manufacturing.
- (21) 40 CFR 421*, Nonferrous Metals Manufacturing.
- (22) 40 CFR 422*, Phosphate Manufacturing.
- (23) 40 CFR 423*, Steam Electric Power Generating, as amended by 82 FR 43500.
- (24) 40 CFR 424*, Ferroalloy Manufacturing.
- (25) 40 CFR 425*, Leather Tanning and Finishing.
- (26) 40 CFR 426*, Glass Manufacturing.
- (27) 40 CFR 427*, Asbestos Manufacturing.
- (28) 40 CFR 428*, Rubber Manufacturing.
- (29) 40 CFR 429*, Timber Products Processing.
- (30) 40 CFR 430*, Pulp, Paper and Paperboard.
- (31) 40 CFR 432*, Meat and Poultry Products.
- (32) 40 CFR 433*, Metal Finishing.
- (33) 40 CFR 434*, Coal Mining Point Source Category BPT, BAT, BCT Limitations and New Source Performance Standards.
- (34) 40 CFR 435*, Oil and Gas Extraction.
- (35) 40 CFR 436*, Mineral Mining and Processing.
- (36) 40 CFR 437*, Centralized Waste Treatment.
- (37) 40 CFR 438*, Metal Products and Machinery.
- (38) 40 CFR 439*, Pharmaceutical Manufacturing.
- (39) 40 CFR 440*, Ore Mining and Dressing.
- (40) 40 CFR 442*, Transportation Equipment Cleaning.
- (41) 40 CFR 443*, Effluent Limitations Guidelines for Existing Sources and Standards of Performance and Pretreatment Standards for New Sources for the Paving and Roofing Materials (Tars and Asphalt).
- (42) 40 CFR 444*, Waste Combustors.
- (43) 40 CFR 445*, Landfills.
- (44) 40 CFR 446*, Paint Formulating.
- (45) 40 CFR 447*, Ink Formulating.
- (46) 40 CFR 449*, Airport Deicing.
- (47) 40 CFR 450*, Construction and Development.
- (48) 40 CFR 451*, Concentrated Aquatic Animal Production (Aquaculture).
- (49) 40 CFR 454*, Gum and Wood Chemicals Manufacturing.
- (50) 40 CFR 455*, Pesticide Chemicals.
- (51) 40 CFR 457*, Explosives Manufacturing.
- (52) 40 CFR 458*, Carbon Black Manufacturing.
- (53) 40 CFR 459*, Photographic.
- (54) 40 CFR 460*, Hospitals.
- (55) 40 CFR 461*, Battery Manufacturing.
- (56) 40 CFR 463*, Plastics Molding and Forming.
- (57) 40 CFR 464*, Metal Molding and Casting.
- (58) 40 CFR 465*, Coil Coating.
- (59) 40 CFR 466*, Porcelain Enameling.
- (60) 40 CFR 467*, Aluminum Forming.

- (61) 40 CFR 468*, Copper Forming.
- (62) 40 CFR 469*, Electrical and Electronic Components.
- (63) 40 CFR 471*, Nonferrous Metals Forming and Metal Powders.
- (64) 40 CFR 501*, State Sludge Management Program Regulations.
- (65) 40 CFR 503*, Standards for the Use or Disposal of Sewage Sludge.

(b) Federal regulations that have been incorporated by reference do not include any later amendments than those specified in this section.

(c) Where exceptions to materials incorporated by reference are necessary, these exceptions will be noted in section 1.8 of this rule or otherwise identified in this article.

(d) The incorporation of federal regulations as state rule does not negate the requirement to comply with federal provisions that may be effective in Indiana but that are not incorporated in this article or are retained as federal authority.

*These documents are incorporated by reference. Copies may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, 100 North Senate Avenue, Thirteenth Floor, Indianapolis, Indiana 46204. (*Water Pollution Control Division; 327 IAC 5-2-1.5; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1421; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3378; filed Feb 14, 2005, 10:05 a.m.: 28 IR 2097; errata filed Feb 6, 2006, 11:15 a.m.: 29 IR 1936; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); filed Sep 6, 2018, 11:50 a.m.: [20181003-IR-327170278FRA](#))*

327 IAC 5-2-1.6 Consistency with federal references

Authority: [IC 13-14-8](#); [IC 13-18-10-4](#)
Affected: [IC 13-11-2](#); [IC 13-14-12](#); [IC 13-18](#); [IC 13-30](#)

Sec. 1.6. The department shall issue NPDES permits consistent with the following:

- (1) 40 CFR 122*, EPA Administered Permit Programs: The National Pollutant Discharge Elimination System.
- (2) 40 CFR 123*, State Program Requirements.
- (3) 40 CFR 124*, Procedures for Decisionmaking.
- (4) 40 CFR 131*, Water Quality Standards.

*These documents are incorporated by reference. Copies may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, 100 North Senate Avenue, Thirteenth Floor, Indianapolis, Indiana 46204. (*Water Pollution Control Division; 327 IAC 5-2-1.6; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); filed Sep 6, 2018, 11:50 a.m.: [20181003-IR-327170278FRA](#); errata filed Nov 19, 2018, 11:10 a.m.: [20181212-IR-327170278ACA](#))*

327 IAC 5-2-1.7 Conversion of federal terms

Authority: [IC 13-14-8-1](#); [IC 13-18-10-4](#)
Affected: [IC 13-11-2](#); [IC 13-14-12](#); [IC 13-18](#); [IC 13-30](#)

Sec. 1.7. When used in 40 CFR, as incorporated by reference in this article, substitute the following unless otherwise indicated:

- (1) "Administrator" means the commissioner of the Indiana department of environmental management.
- (2) "Agency" means the Indiana department of environmental management.
- (3) "Director" means the commissioner of the Indiana department of environmental management.
- (4) "Environmental protection agency" or "EPA" means the Indiana department of environmental management.
- (5) "Water management division director" means the commissioner.
- (6) "State", "authorized state", "approved state", and "approved program" means Indiana.
- (7) "United States" means the state of Indiana.

(*Water Pollution Control Division; 327 IAC 5-2-1.7; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#)*)

327 IAC 5-2-1.8 Exceptions

Authority: [IC 13-14-8-1](#); [IC 13-18-10-4](#)
Affected: [IC 13-11-2-38.3](#); [IC 13-14-12](#); [IC 13-18](#); [IC 13-30](#); [IC 14-37](#)

Sec. 1.8. (a) When used in a document incorporated by reference in section 1.5 of this rule:

(1) delete 40 CFR 122.3; and

(2) substitute the language in subsection (b).

(b) The following discharges do not require an NPDES permit:

(1) Any discharge of sewage from vessels, effluent from properly functioning marine engines, laundry, shower, and galley sink wastes, or any other discharge incidental to the normal operation of a vessel. This exclusion does not apply to rubbish, trash, garbage, or other such materials discharged overboard; nor to other discharges when the vessel is operating in a capacity other than as a means of transportation such as when a vessel is being used as an energy or mining facility, a storage facility, or a seafood processing facility, or is secured to the bed of the waters of the state for the purpose of mineral or oil exploration or development.

(2) Discharges of dredged or fill material into waters of the state and regulated under Section 404 of the Clean Water Act (33 U.S.C. 1344), except where the commissioner determines, on a case-by-case basis, that the discharge threatens to violate state water quality standards concerning toxic pollutants.

(3) The introduction of sewage, industrial wastes, or other pollutants into publicly owned treatment works by indirect dischargers. However, all applicable pretreatment standards promulgated under Section 307(b) and 307(c) of the Clean Water Act (33 U.S.C. 1317(b) and 33 U.S.C. 1317(c)) must also be complied with, and may be included in the permit to the publicly owned treatment works. This exclusion does not apply to discharges through pipes, sewers, or other conveyances owned by a public entity not leading to treatment works.

(4) Any introduction of pollutants from nonpoint source agricultural and silvicultural activities, including runoff from orchards, cultivated crops, pastures, range lands, and forest lands, except that this exclusion shall not apply to discharges from:

(A) concentrated animal feeding operations as defined in [IC 13-11-2-38.3](#) and 40 CFR 122.23; or

(B) silvicultural point sources, as defined in 40 CFR 122.27, that are point sources subject to the NPDES permit program.

(5) Any discharge in compliance with the instructions of an on-scene coordinator pursuant to 40 CFR 300 or 33 CFR 153.10(e) or of a state employee acting in a similar capacity.

(6) Discharges into a privately owned treatment works, except as the commissioner may otherwise require under section 10(a)(4) of this rule.

(7) Any discharge by underground injection of salt or sulfur-bearing water or waste liquids associated with the recovery of oil and natural gas, if the discharge is pursuant to a valid permit issued by the natural resources commission under [IC 14-37](#).

(8) Any discharge consisting entirely of return flows from irrigated agriculture.

(9) Deep injection wells, except in accordance with 327 IAC 5-4-2.

(Water Pollution Control Division; 327 IAC 5-2-1.8; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); errata filed Sep 22, 2017, 11:46 a.m.: [20171004-IR-327170437ACA](#); filed Nov 18, 2021, 11:08 a.m.: [20211215-IR-327180238FRA](#))

327 IAC 5-2-2 Requirement to have a permit

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-15](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 2. Any discharge of pollutants into waters of the state as a point source discharge, except for exclusions in section 1.8 of this rule, is prohibited unless in conformity with a valid NPDES permit obtained prior to the discharge. *(Water Pollution Control Division; 327 IAC 5-2-2; filed Sep 24, 1987, 3:00 p.m.: 11 IR 618; errata filed Sep 22, 2017, 11:46 a.m.: [20171004-IR-327170437ACA](#); filed Nov 18, 2021, 11:08 a.m.: [20211215-IR-327180238FRA](#))*

327 IAC 5-2-3 Permit application

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 3. (a) A person required to have an NPDES permit, except for a person covered by a general NPDES permit under 327 IAC 15, shall submit a complete application to the commissioner in accordance with this section, 327 IAC 5-3, and 40 CFR 122.21*, as amended by 83 FR 730*, using the:

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- (1) forms specified in this section; or
- (2) equivalent state forms provided by the commissioner.

(b) An application for a permit must be submitted to the commissioner according to the time requirement in one (1) of the following:

- (1) 327 IAC 5-3-2.
- (2) 327 IAC 5-3-4 for an application for either of the following:
 - (A) A statutory modification of an effluent limitation.
 - (B) A variance from an effluent limitation.

(c) The application must be submitted and a permit obtained by the:

- (1) owner of the facility or operation from which a discharge of pollutants occurs; or
- (2) operator of the facility or operation from which a discharge of pollutants occurs, if the facility or operation is operated by a person other than an employee of the owner.

(d) An applicant for an NPDES permit, other than a POTW, shall submit to the commissioner a completed Application Form 1, General Information EPA Form 3510-1, revised August 1990**.

(e) Existing industrial facilities, including a:

- (1) manufacturing;
- (2) commercial;
- (3) mining; or
- (4) silvicultural;

operation, applying for an NPDES permit shall provide the commissioner with the additional information specified in Application Form 2C, Wastewater Discharge Information, EPA Form 3510-2C, revised August 1990**.

(f) A new or existing concentrated animal feeding operation or a concentrated aquatic animal production facility shall provide the commissioner with the additional information specified in Form 2B NPDES, Applications for Permit to Discharge Wastewater, Concentrated Animal Feeding Operations and Aquatic Animal Production Facilities, EPA Form 3510-2B, revised November 2008**.

(g) A new or existing POTW shall provide the additional information specified by 40 CFR 122.21(j)*, as amended by 83 FR 730*, on NPDES Form 2A, Application Overview, EPA Form 3510-2A, revised January 1999**. Under 40 CFR 122.21(j)*, as amended by 83 FR 730*, the commissioner may waive any requirement of Form 2A** that is not of material concern for a specific permit, if approved by U.S. EPA. The following POTWs shall provide the results of valid whole effluent biological toxicity testing to the commissioner:

- (1) A POTW with a design influent flow equal to or greater than one million (1,000,000) gallons per day.
- (2) A POTW with an approved pretreatment program or a POTW required to develop a pretreatment program.

(h) In addition to a POTW listed in subsection (g), the commissioner may require other POTWs to submit the results of toxicity tests with their permit applications, based on consideration of the following factors:

- (1) The variability of the pollutants or pollutant parameters in the POTW effluent based on chemical-specific information and the type of industrial contributors.
- (2) The dilution of the effluent in the receiving water as the ratio of effluent flow to receiving stream flow.
- (3) Existing controls on a point or nonpoint source, including:
 - (A) TMDL calculations for the waterbody segment; and
 - (B) the relative contribution of load from the POTW.
- (4) Receiving stream characteristics, including:
 - (A) possible or known water quality impairments; and
 - (B) a determination whether the POTW discharges to:
 - (i) one (1) of the Great Lakes; or
 - (ii) a water designated as an outstanding state resource.
- (5) Other considerations that the commissioner determines could cause or contribute to adverse water quality impacts, including, at a minimum, a history of:
 - (A) toxic impact from the POTW; or
 - (B) compliance problems at the POTW.

(i) For a POTW required under subsection (g) or (h) to conduct toxicity testing, the POTW shall:

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- (1) use U.S. EPA's methods or other established protocols that are:
 - (A) scientifically defensible; and
 - (B) sufficiently sensitive to detect aquatic toxicity; and
- (2) perform the toxicity testing more recently than the last NPDES permit:
 - (A) reissuance; or
 - (B) modification;

under 40 CFR 122.62(a)*, whichever occurred later.

(j) A POTW with an approved pretreatment program shall provide, to the commissioner, a written technical evaluation of the need to revise local limits under 40 CFR 403.5(c)(1)*.

- (k) Except for stormwater discharges, an existing industrial facility engaged in a:
- (1) manufacturing;
 - (2) commercial;
 - (3) mining; or
 - (4) silvicultural;

operation shall provide the additional information specified in Application Form 2C, Wastewater Discharge Information, EPA Form 3510-2C, revised August 1990**.

- (l) Except for stormwater discharges, a new industrial facility engaged in a:
- (1) manufacturing;
 - (2) commercial;
 - (3) mining; or
 - (4) silvicultural;

operation shall provide the additional information specified in Application Form 2D, New Sources and New Dischargers: Application for Permit to Discharge Process Wastewater, EPA Form 3510-2D, revised August 1990**.

- (m) Except for stormwater discharges, a discharger engaged in a:
- (1) manufacturing;
 - (2) commercial;
 - (3) mining; or
 - (4) silvicultural;

operation that is applying for an NPDES permit that discharges only nonprocess wastewater not regulated by an effluent limitations guideline or new source performance standard shall provide the commissioner with the additional information specified in Application Form 2E, Facilities Which Do Not Discharge Process Wastewater, revised August 1, 1990**.

(n) A discharger of stormwater associated with new or existing industrial activity as defined in 40 CFR 122.26(b)(14)* shall provide additional information specified in NPDES Form 2F, Application for Permit to Discharge Storm Water Discharges Associated with Industrial Activity, EPA Form 3510-2F, revised January 1992**.

- (o) An applicant shall keep records of:
- (1) data used to complete permit applications; and
 - (2) supplemental information;

submitted under this section for a period of at least three (3) years from the date the application is signed.

(p) In the case of an application for permit reissuance by a manufacturing, commercial, mining, or silvicultural discharger who has previously submitted an application in accordance with subsection (e) or (l), the permittee may request a waiver of the submission of analytical data for toxic pollutants that may be required as part of the application if:

- (1) analyses reported in the previous application or applications of at least two (2) samples of the effluent did not detect the presence of the toxic pollutants; and
- (2) the permittee certifies that, to the best of his or her knowledge, no change in the operation has occurred since the previous application or applications that would give reason to believe the previous results would no longer be applicable.

The commissioner may grant or deny, at the commissioner's discretion, a request for a waiver under this subsection.

(q) For discharges to waters within the Great Lakes system, in addition to the other requirements of this section, the following must be met:

- (1) Applicants requesting a permit renewal shall complete the following:
 - (A) Submit valid, representative receiving waterbody monitoring data for every metal monitored or limited in the

applicant's existing permit.

(B) Submit receiving waterbody monitoring data for:

(i) hardness, if the existing permit contains monitoring for:

- (AA) cadmium;
- (BB) chromium (III);
- (CC) copper;
- (DD) lead;
- (EE) nickel; or
- (FF) zinc; and

(ii) additional substances, if the commissioner requires the information because the data are necessary to process the permit application.

If valid, representative, monitoring data in the waterbody for these parameters are already available, the applicant may request that this existing data substitute for the monitoring required under this subdivision. The commissioner may require the submission of this additional receiving waterbody monitoring data for applicants requesting a new, renewal of, or modification of an NPDES permit if these additional data are necessary to draft an NPDES permit.

(2) A permittee authorized to discharge a combined sewer overflow to the Great Lakes Basin as defined in 40 CFR 122.2*, as amended by 83 FR 730*, shall submit a public notification plan as part of its permit application that:

(A) is developed in accordance with 327 IAC 5-2.2 and 40 CFR 122.38*, as added by 83 FR 730*; and

(B) describes any significant updates to the plan that may have occurred since the last plan submission.

*These documents are incorporated by reference. Copies may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, Thirteenth Floor, 100 North Senate Avenue, Indianapolis, Indiana 46204.

**The permit application forms described in this section are available by contacting the IDEM Office of Water Quality, Indiana Government Center North, 100 North Senate Avenue, Room N1255, Indianapolis, Indiana 46204 or owqwwper@idem.in.gov. (*Water Pollution Control Division; 327 IAC 5-2-3; filed Sep 24, 1987, 3:00 p.m.: 11 IR 618; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1738; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1422; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3378; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); filed Aug 9, 2019, 11:58 a.m.: [20190904-IR-327180271FRA](#); errata filed Sep 10, 2019, 9:11 a.m.: [20190925-IR-327190461ACA](#))*

327 IAC 5-2-4 Exclusions (Repealed)

Sec. 4. (*Repealed by Water Pollution Control Division; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#)*)

327 IAC 5-2-5 Effect of permit issuance

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-15](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 5. (a) Compliance with a permit during its term constitutes compliance with all applicable standards and limitations of the CWA and state law, except for any standard or prohibition imposed under section 307 of the CWA for a toxic pollutant injurious to human health.

(b) The issuance of a permit does not:

- (1) convey any property rights of any sort, or any exclusive privileges;
- (2) authorize any injury to persons or private property or invasion of other private rights, or any infringement of federal, state, or local laws or regulations; or
- (3) preempt any duty to obtain state or local assent required by law for the discharge or for construction or operation of the facility from which the discharge is made.

(*Water Pollution Control Division; 327 IAC 5-2-5; filed Sep 24, 1987, 3:00 pm: 11 IR 619*)

327 IAC 5-2-6 Duration of permits and transferability of permits

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-15](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 6. (a) A permit shall be issued for a fixed term not to exceed five (5) years. Permits of less than five (5) years duration may be issued in appropriate circumstances at the discretion of the commissioner. A permit may be modified, revoked and reissued, or terminated prior to the expiration of the term for cause, as specified in section 16 of this rule, or in accordance with conditions set forth in the permit (as in a reopening clause). In no event may the term of a permit be extended beyond five (5) years from its original effective date by modification, extension, or other means, except as provided in subsection (b).

(b) The terms and conditions of an expired permit are automatically extended in full force and effect until the effective date of a new permit, if:

(1) the permittee has submitted a timely and sufficient application for a new permit under section 3 of this rule and 327 IAC 5-3-2; and

(2) the commissioner, through no fault of the permittee, does not issue a new permit prior to the expiration date of the previous permit.

(c) Except as provided in this subsection, a permit may be transferred by the permittee to a new owner or operator only if the permit has been modified or revoked and reissued under section 16(c)(1) or 16(e)(4) of this rule, to identify the new permittee and incorporate such other requirements as may be necessary under the CWA. A permit may be transferred to another person by a permittee, without modification or revocation and reissuance being required, if the following occurs:

(1) The current permittee notifies the commissioner at least thirty (30) days in advance of the proposed transfer date in subdivision (2).

(2) A written agreement containing a specific date for transfer of permit responsibility and coverage between the current permittee and the transferee (including acknowledgement that the existing permittee is liable for violations up to that date, and that the transferee is liable for violations from that date on) is submitted to the commissioner.

(3) The transferee certifies in writing to the commission intent to operate the facility without making such material and substantial alterations or additions to the facility as would significantly change the nature or quantities of pollutants discharged and thus constitute cause for permit modification under section 16(d) of this rule. However, the commissioner may allow a temporary transfer of the permit without permit modification for good cause, e.g., to enable the transferee to purge and empty the facility's treatment system prior to making alterations, despite the transferee's intent to make such material and substantial alterations or additions to the facility.

(4) The commissioner, within thirty (30) days, does not notify the current permittee and the transferee of the intent to modify, revoke and reissue, or terminate the permit and to require that a new application be filed rather than agreeing to the transfer of the permit.

(Water Pollution Control Division; 327 IAC 5-2-6; filed Sep 24, 1987, 3:00 p.m.: 11 IR 619; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1740)

327 IAC 5-2-7 Prohibitions

Authority: [IC 13-14-1-9](#); [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-310-1](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 7. No permit shall be issued in the following circumstances:

(a) Where the terms or conditions of the permit do not comply with the applicable guidelines and requirements of the CWA or effective regulations promulgated under the CWA or this article (327 IAC 5).

(b) Where the regional administrator has objected to issuance of the proposed permit under section 402(d) of the CWA.

(c) Where, in the judgment of the secretary of the Army, anchorage and navigation in or on any of the waters of the United States would be substantially impaired by the discharge.

(d) For the discharge of any radiological, chemical, or biological warfare agent or high-level radioactive waste.

(e) For any discharge from a point source substantially inconsistent with a plan or plan amendment approved under section 208(b) of the CWA.

(f) To a facility which is a new source or a new discharger, if the discharge from the construction or operation of the facility will cause or contribute to the violation of water quality standards in the receiving waters, unless:

(1) The commissioner has conducted a pollutant load allocation analysis for the pertinent segment of the receiving stream which will result in compliance with applicable water quality standards;

(2) Sufficient pollutant load allocations remain to accommodate the proposed discharge and the permit contains effluent limitations consistent with the remaining allocations.

(3) The commissioner has imposed schedules for compliance with the pollutant load allocation upon all existing dischargers into the segment.

(Water Pollution Control Division; 327 IAC 5-2-7; filed Sep 24, 1987, 3:00 pm: 11 IR 620)

327 IAC 5-2-8 Conditions applicable to all permits

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-7-1](#); [IC 13-30-10-1](#)

Sec. 8. The following conditions apply to all NPDES permits and shall be incorporated into the permits either expressly or by reference:

(1) The permittee must comply with all terms and conditions of the permit. Any permit noncompliance constitutes a violation of the Clean Water Act and the environmental management laws and is grounds for:

- (A) enforcement action;
- (B) permit termination, revocation and reissuance, or modification; or
- (C) denial of a permit renewal application.

A permittee may claim an affirmative defense to a permit violation if the circumstances of the noncompliance meet the criteria of an upset as defined in subdivision (13).

(2) If the permittee wishes to continue an activity regulated by a permit after the expiration date of this permit, the permittee must apply for and obtain a new permit.

(3) The permittee shall take all reasonable steps to minimize or correct any adverse impact on the environment resulting from noncompliance with the permit.

(4) The following permit actions:

- (A) Permits may be modified, revoked and reissued, or terminated for cause.
- (B) Any information that the permittee knows or has reason to believe would constitute cause for modification or revocation and reissuance of the permit, such as plans for physical alterations or additions to the permitted facility that:

- (i) could significantly change the nature of, or increase the quantity of, pollutants discharged; or
- (ii) the commissioner may request to evaluate whether such cause exists;

shall be submitted for the commissioner's evaluation at the earliest time such information becomes available.

(C) The filing by the permittee of:

- (i) a request for a permit modification, revocation and reissuance, or termination; or
- (ii) information specified in clause (B);

does not stay or suspend any permit term or condition.

(D) The permit may not be transferred to any person except in accordance with section 6(c) of this rule.

(5) If any applicable effluent standard or prohibition (including any schedule of compliance specified in such effluent standard or prohibition) is established under Section 307(a) of the Clean Water Act (33 U.S.C. 1317(a)) for a toxic pollutant injurious to human health and that standard or prohibition is more stringent than any limitation upon such pollutant in the permit, the commissioner shall institute proceedings to modify or revoke and reissue the permit to conform to the toxic effluent standard or prohibition. Effluent standards or prohibitions established under Section 307(a) of the Clean Water Act (33 U.S.C. 1317(a)) for toxic pollutants injurious to human health are effective and must be complied with, if applicable to the permittee, within the time provided in the implementing regulations, even absent permit modification.

(6) The permit does not convey any property rights of any sort or any exclusive privilege.

(7) The permittee shall furnish to the commissioner, within a reasonable time, any information that the commissioner may request to determine whether cause exists for modifying, revoking and reissuing, or terminating the permit or to determine compliance with the permit. The permittee shall also furnish to the commissioner, upon request, copies of records required to be kept by the permit and 40 CFR 122.41(h).

(8) The permittee shall allow the commissioner, or an authorized representative (including an authorized contractor acting as a representative of the commissioner), upon the presentation of credentials and such other documents as may be required by law to:

- (A) enter upon the permittee's premises where a regulated facility or activity is located or where any records must be kept under the terms and conditions of the permit;

(B) have access to and copy at reasonable times any records that must be kept under the terms and conditions of the permit;

(C) inspect, at reasonable times:

(i) any monitoring equipment or method;

(ii) any collection, treatment, pollution management, or discharge facilities; or

(iii) practices required or otherwise regulated under the permit; and

(D) sample or monitor, at reasonable times, any discharge of pollutants or internal wastestream (where necessary to ascertain the nature of a discharge of pollutants) for the purpose of evaluating compliance with the permit or as otherwise authorized.

(9) The permittee shall at all times maintain in good working order and efficiently operate all facilities and systems (and related appurtenances) for collection and treatment that are:

(A) installed or used by the permittee; and

(B) necessary for achieving compliance with the terms and conditions of the permit.

This subdivision does not act as an independent source of authority to set effluent limitations. Such limitations will be based on the design removal rates of installed treatment facilities only as required under this article. Nor should this subdivision be construed to require the operation of installed treatment facilities that are unessential for achieving compliance with the terms and conditions of the permit.

(10) The permittee shall comply with monitoring, recording, and reporting requirements established in accordance with sections 13 through 15 of this rule. Penalties include the following:

(A) Section 309(c)(4) of the Clean Water Act (33 U.S.C. 1319(c)(4)) provides that any person who falsifies, tampers with, or knowingly renders inaccurate any monitoring device or method required to be maintained under a permit shall, upon conviction, be punished by a fine of not more than ten thousand dollars (\$10,000) per violation, or by imprisonment for not more than one hundred eighty (180) days per violation, or by both.

(B) [IC 13-30-10-1](#) provides that a person who knowingly or intentionally renders inaccurate or inoperative a recording device or a monitoring device required to be maintained by a permit issued by the department commits a class B misdemeanor.

(11) The following are reporting requirements:

(A) Reports of compliance or noncompliance with, or any progress reports on, interim and final requirements contained in any compliance schedule of this permit shall be submitted no later than fourteen (14) days following each schedule date.

(B) The permittee shall give advance notice to the commissioner of any planned changes in the permitted facility, any activity, or other circumstances that the permittee has reason to believe may result in noncompliance with permit requirements.

(C) The permittee shall orally report information on any of the following types of noncompliance within twenty-four

(24) hours from the time the permittee becomes aware of such noncompliance:

(i) Any unanticipated bypass that exceeds any effluent limitation in the permit.

(ii) Violation of a maximum daily discharge limitation for any of the pollutants listed by the commissioner in the permit to be reported within twenty-four (24) hours.

(iii) Any noncompliance that may pose a significant danger to human health or the environment. Reports under this item shall be made as soon as the permittee becomes aware of the noncomplying circumstances to (888) 233-7745.

(iv) Any upset that exceeds any effluent limitation in the permit.

A written submission shall also be provided within five (5) days of the time the permittee becomes aware of the circumstances. The written submission shall contain a description of the noncompliance and its cause; the period of noncompliance, including exact dates and times, and if the noncompliance has not been corrected, the anticipated time it is expected to continue; and steps taken or planned to reduce, eliminate, and prevent recurrence of the noncompliance. The commissioner may waive the written report on a case-by-case basis if the oral report has been received within twenty-four (24) hours.

(D) The permittee shall also report all instances of noncompliance not reported under clauses (A) through (C), at the time discharge monitoring reports (DMRs) are submitted. The reports shall contain the information listed in clause

- (C).
- (E) Where the permittee becomes aware that it failed to submit any relevant facts in a permit application, or submitted incorrect information in a permit application or in any report to the commissioner, it shall promptly submit such facts or corrected information.
- (F) The permittee shall give notice to the commissioner as soon as possible of any planned physical alterations or additions to the permitted facility. (As used in this clause, "permitted facility" refers to a point source discharge, not a wastewater treatment facility. See [IC 13-18-7-1](#).) Notice is required only when either of the following applies:
- (i) The alteration or addition to a permitted facility may meet one (1) of the criteria for determining whether a facility is a new source.
 - (ii) The alteration or addition could significantly change the nature of, or increase the quantity of, pollutants discharged. This notification applies to pollutants that are subject neither to effluent limitations in the permit nor to notification requirements under section 9 of this rule.
- (12) The following are requirements for bypass:
- (A) The following definitions:
- (i) "Bypass" means the intentional diversion of a waste stream from any portion of a treatment facility.
 - (ii) "Severe property damage" means substantial physical damage to property, damage to the treatment facilities which would cause them to become inoperable, or substantial and permanent loss of natural resources which can reasonably be expected to occur in the absence of a bypass. Severe property damage does not mean economic loss caused by delays in production.
- (B) The permittee may allow any bypass to occur that does not exceed any effluent limitations contained in the NPDES permit, but only if it also is for essential maintenance to assure efficient operation. These bypasses are not subject to clauses (C) and (D).
- (C) The permittee must provide the commissioner with the following notice:
- (i) If the permittee knows or should have known in advance of the need for a bypass (anticipated bypass), it shall submit prior written notice. If possible, such notice shall be provided at least ten (10) days before the date of the bypass for approval by the commissioner.
 - (ii) The permittee shall submit notice of an unanticipated bypass as required by subdivision (11)(C).
- (D) The following provisions are applicable to bypasses:
- (i) Bypass is prohibited, and the commissioner may take enforcement action against a permittee for bypass unless the following occur:
 - (AA) Bypass was unavoidable to prevent loss of life, personal injury, or severe property damage.
 - (BB) There were no feasible alternatives to the bypass, such as the use of auxiliary treatment facilities, retention of untreated wastes, or maintenance during normal periods of equipment down time. This condition is not satisfied if adequate back-up equipment should have been installed in the exercise of reasonable engineering judgment to prevent a bypass that occurred during normal periods of equipment down time or preventive maintenance.
 - (CC) The permittee submitted notices as required under clause (C).
 - (ii) The commissioner may approve an anticipated bypass, after considering its adverse effects if the commissioner determines that the anticipated bypass will meet the three (3) conditions listed in item (i). The commissioner may impose any conditions determined to be necessary to minimize any adverse effects.
- (13) The following are requirements for upset:
- (A) "Upset" means an exceptional incident in which there is unintentional and temporary noncompliance with technology-based permit effluent limitations because of factors beyond the reasonable control of the permittee. An upset does not include noncompliance to the extent caused by operational error, improperly designed treatment facilities, inadequate treatment facilities, lack of preventive maintenance, or careless or improper operation.
- (B) An upset shall constitute an affirmative defense to an action brought for noncompliance with such technology-based permit effluent limitations if the requirements of clause (C) are met.
- (C) A permittee who wishes to establish the affirmative defense of upset shall demonstrate, through properly signed, contemporaneous operating logs or other relevant evidence, that:
- (i) an upset occurred and the permittee has identified the specific cause of the upset;

- (ii) the permitted facility was at the time being operated in compliance with proper operation and maintenance procedures;
 - (iii) the permittee complied with any remedial measures required under subdivision (3); and
 - (iv) the permittee submitted notice of the upset as required in subdivision (11)(C).
- (14) It shall not be a defense for a permittee in an enforcement action that it would have been necessary to halt or reduce the permitted activity in order to maintain compliance with the conditions of the permit.
- (15) All applications, reports, or other information submitted to the commissioner shall be signed and certified as described under section 22 of this rule. Penalties include the following:
- (A) Section 309(c)(4) of the Clean Water Act (U.S.C. 1319(c)(4)) provides that any person who knowingly makes any false statement, representation, or certification in any record or other document submitted or required to be maintained under this permit, including monitoring reports or reports of compliance or noncompliance shall, upon conviction, be punished by a fine of not more than ten thousand dollars (\$10,000) per violation, or by imprisonment for not more than one hundred eighty (180) days per violation, or by both.
 - (B) [IC 13-30-10-1](#) provides that a person who knowingly or intentionally renders inaccurate or inoperative a recording device or a monitoring device required to be maintained by a permit issued by the department commits a class B misdemeanor.

(Water Pollution Control Division; 327 IAC 5-2-8; filed Sep 24, 1987, 3:00 p.m.: 11 IR 620; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1741; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1423; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); errata filed Dec 30, 2015, 12:37 p.m.: [20160113-IR-327150453ACA](#))

327 IAC 5-2-9 Notification requirements for toxic pollutants

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-2](#); [IC 13-18-4](#)
Affected: [IC 13-15-1-2](#); [IC 13-18-3](#)

Sec. 9. In addition to the reporting requirements of section 8(10) of this rule, permits issued to any manufacturing, commercial, mining, or silvicultural discharger shall contain conditions requiring the discharger to notify the commissioner as soon as the discharger knows or has reason to know the following:

- (1) That any activity has occurred or will occur that would result in the discharge of any toxic pollutant that is not limited in the permit if that discharge will exceed the highest of the following notification levels:
 - (A) One hundred (100) micrograms per liter.
 - (B) Two hundred (200) micrograms per liter for acrolein and acrylonitrile; five hundred (500) micrograms per liter for 2,4-dinitrophenol and for 2-methyl-4,6-dinitrophenol; and one (1) milligram per liter for antimony.
 - (C) Five (5) times the maximum concentration value reported for that pollutant in the permit application in accordance with 40 CFR 122.21(g)(7).
 - (D) A notification level established by the commissioner on a case-by-case basis, either at the commissioner's own initiative or upon a petition by the permittee. This notification level may exceed the levels specified in clause (A), (B), or (C) but may not exceed the level which can be achieved by the technology-based treatment requirements applicable to the permittee under the CWA (see 327 IAC 5-5-2).
- (2) That the discharger has begun or expects to begin to use or manufacture, as an intermediate or final product or byproduct, any toxic pollutant that was not reported in the permit application under 40 CFR 122.21(g)(9). However, this subdivision does not apply to the permittee's use or manufacture of a toxic pollutant solely under research or laboratory conditions.

(Water Pollution Control Division; 327 IAC 5-2-9; filed Sep 24, 1987, 3:00 p.m.: 11 IR 622; filed Apr 9, 2003, 2:55 p.m.: 26 IR 2613)

327 IAC 5-2-10 Applicable limitations, standards, and conditions

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-18-3-2.6](#)
Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 10. (a) Each NPDES permit must provide for and ensure compliance with all applicable requirements of the Clean

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Water Act (CWA), regulations promulgated under the CWA, and state law. For the purposes of this section, an applicable requirement is a statutory or regulatory requirement that takes effect under state law before final administrative disposition of a permit. In addition to the requirements of sections 6, 8, 9, and 12 of this rule, a permit must contain terms and conditions that ensure compliance with the following as applicable:

- (1) Effluent limitations and standards under CWA Sections:
 - (A) 301*;
 - (B) 304*;
 - (C) 307(a)*;
 - (D) 318*; and
 - (E) 405*.
- (2) Standards of performance for new sources under:
 - (A) Section 306* of the CWA; and
 - (B) 40 CFR 122.44(a)*.
- (3) In the case of a POTW that primarily is designed and utilized for the treatment of wastewater from an industry of a particular class or category, effluent limitations or standards that would apply under Section 301*, 304*, 306*, 307*, 318*, or 405* of the CWA to the industry if it were a direct discharger. If the POTW receives sewage from domestic sources as well as industrial wastewater, the permit must include composite (or hybrid) effluent limitations comprising the effluent limitations:
 - (A) or standards applicable to the industrial wastewater, as specified in this subdivision; and
 - (B) applicable to the domestic sewage under Sections 301* and 304* of the CWA.The composite limitations must be cumulative for mass limitations and weighted in proportion to respective flows for concentration limitations.
- (4) An effluent limitation or other requirement in addition to, or more stringent than, a promulgated effluent limitation guideline or standard under Section 301*, 304*, 306*, 307*, 318*, or 405* of the CWA where necessary to do the following:
 - (A) Achieve water quality standards established by the board or by U.S. EPA in accordance with Sections 118* and 303* of the CWA. Numeric water quality-based effluent limitations must be established in accordance with sections 11.1 and 11.4 through 11.6 of this rule.
 - (B) Attain or maintain a specified water quality through water quality related effluent limits established under Section 302* of the CWA.
 - (C) Incorporate, in accordance with Section 301(b)(1)(C)* of the CWA, more stringent limitations, treatment standards, or schedules of compliance requirements established under federal or state law or regulations, including those adopted under interstate agreements or compacts such as the Ohio River Valley Water Sanitation Commission (ORSANCO).
 - (D) Ensure consistency with the requirements of a water quality management plan approved by U.S. EPA under Section 208(b)* of the CWA.
 - (E) Incorporate alternative effluent limitations or standards where warranted by fundamentally different factors under 327 IAC 5-6.
- (5) The following requirements for toxic pollutant limitations:
 - (A) Limitations established under subdivision (1), (2), (3), or (4) to control pollutants meeting the criteria listed in clause (B). The limitations must be established in accordance with clause (C).
 - (B) Limitations must control all toxic pollutants that the:
 - (i) commissioner determines (based on information reported in a permit application or in a notification under section 9 of this rule or on other information) are or may be discharged at a level greater than the level that is allowed under the technology-based effluent limitations applicable to the permittee under the CWA (see 327 IAC 5-5-2(c)); or
 - (ii) discharger does or may use or manufacture as an intermediate or final product or byproduct; however, limitations are not required under this subdivision merely because the discharger does or may use or manufacture a toxic pollutant under research or laboratory conditions.
 - (C) The requirement that the limitations control the pollutants meeting the criteria of clause (B) must be satisfied by

limitations on:

- (i) those pollutants; or
 - (ii) other pollutants that, in the judgment of the commissioner, will ensure treatment of the pollutants specified under clause (B) to the levels required by the CWA.
- (D) As used in this subdivision, "toxic pollutant" means:
- (i) a pollutant listed as toxic under Section 307(a)(1)* of the CWA; or
 - (ii) a pollutant or a combination of pollutants determined by the commissioner to have significant toxic characteristics when discharged into the waters of the state for organisms reasonably expected to be exposed to the pollutant or pollutants.
- (6) For permits issued before the promulgation by the administrator of applicable effluent limitations and standards (including best management practices) under Sections 301*, 304*, 307*, 318*, and 405* of the CWA, limitations and other conditions as the commissioner determines to be necessary to carry out those provisions of the CWA under 327 IAC 5-5-2(b) and Section 402(a)(1)* of the CWA.
- (7) Best management practices to control or abate the discharge of pollutants where:
- (A) required under Section 304(e)* of the CWA for the control of toxic and hazardous pollutants from ancillary industrial activities;
 - (B) numeric effluent limitations are infeasible; or
 - (C) the practices are reasonably necessary to achieve effluent limitations and standards or to carry out the purposes and intent of the CWA.
- Examples of best management practices that may be appropriate under clause (B) include proper operation and maintenance criteria and sludge-handling requirements. Examples of best management practices that may be appropriate under clause (C) include the construction of sheds over material storage piles to prevent rainfall from leaching materials from these piles and creating a source of pollution, ditching and diversion of rainfall run-off to minimize or prevent contamination from a discharger's manufacturing operations, and the use of solid, absorbent materials for cleaning up leaks and drips as opposed to washing these materials down a floor drain creating additional sources of pollution.
- (8) Twenty-four (24) hour reporting. Pollutants for which the permittee must report violations of maximum daily discharge limitations under section 8(1)(C)(ii) of this rule (twenty-four (24) hour reporting) must be listed in the permit. This list must include any:
- (A) toxic pollutant or hazardous substance; or
 - (B) pollutant specifically identified as the method to control a toxic pollutant or hazardous substance.
- (9) Any conditions that the Secretary of the Army considers necessary to ensure that navigation and anchorage will not be substantially impaired in accordance with 327 IAC 5-3-10(a).
- (10) Additional conditions applicable to a POTW are as follows:
- (A) Any conditions imposed in grants made by the administrator to a POTW under Sections 201* and 204* of the CWA that are reasonably necessary for the achievement of effluent limitations required under Section 301* of the CWA.
 - (B) Requirements under Section 405* of the CWA governing the disposal of sewage sludge from a POTW or any other treatment works treating domestic sewage for any use for which rules have been established in accordance with any applicable rules.
 - (C) A POTW shall identify, in terms of character and volume of pollutants, any significant indirect discharges into the POTW that are subject to pretreatment standards under Section 307(b)* and 307(c)* of the CWA.
 - (D) A POTW must provide adequate notice to the commissioner of the following:
 - (i) Any new introduction of pollutants into the POTW from an indirect discharger that would be subject to Section 301* or 306* of the CWA if it were directly discharging those pollutants.
 - (ii) Any substantial change in the volume or character of pollutants being introduced into that POTW by any source where the change would:
 - (AA) render the source subject to pretreatment standards under Section 307(b)* and 307(c)* of the CWA; or
 - (BB) result in a modified application of the standards.
- As used in this clause, "adequate notice" includes information on the quality and quantity of effluent introduced into

the POTW and any anticipated impact of the change on the quantity or quality of effluent to be discharged from the POTW.

(E) A POTW must develop and submit to the commissioner a POTW pretreatment program when required by 40 CFR 403* and 327 IAC 5-19-1 in order to ensure compliance by industrial users of the POTW with applicable pretreatment standards established under Section 307(b)* and 307(c)* of the CWA. The pretreatment program must:

- (i) meet the criteria of 327 IAC 5-19-3; and
- (ii) once approved, be incorporated into the POTW's permit.

(11) Antibacksliding requirements are as follows:

(A) In the case of effluent limitations established on the basis of Section 402(a)(1)(B)* of the CWA, a permit may not be renewed, reissued, or modified on the basis of effluent guidelines promulgated under Section 304(b)* of the CWA subsequent to the original issuance of the permit to contain effluent limitations that are less stringent than the comparable effluent limitations in the previous permit. In the case of effluent limitations established on the basis of Section 301(b)(1)(C)*, 303(d)*, or 303(e)* of the CWA, a permit may not be renewed, reissued, or modified to contain effluent limitations that are less stringent than the comparable effluent limitations in the previous permit except in compliance with Section 303(d)(4)* of the CWA.

(B) A permit, in which clause (A) applies, may be renewed, reissued, or modified to contain less stringent effluent limitations applicable to a pollutant if:

- (i) material and substantial alterations or additions to the permitted facility occurred after permit issuance that justify the application of a less stringent effluent limitation;
- (ii) information is available that:
 - (AA) was not available at the time of permit issuance (other than revised regulations, guidance, or test methods); and
 - (BB) would have justified the application of a less stringent effluent limitation at the time of permit issuance;

or the commissioner determines that technical mistakes or mistaken interpretations of law were made in issuing the permit under Section 402(a)(1)(B)* of the CWA;

(iii) a less stringent effluent limitation is necessary because of events:

- (AA) over which the permittee has no control; and
- (BB) for which there is no reasonably available remedy;

(iv) the permittee has received a permit modification under Section 301(c)*, 301(g)* through 301(i)*, 301(k)*, 301(n)*, or 316(a)* of the CWA; or

(v) the permittee has installed the treatment facilities required to meet the effluent limitations in the previous permit and has properly operated and maintained the facilities, but has nevertheless been unable to achieve the previous effluent limitations, in which case the limitations in the reviewed, reissued, or modified permit may reflect the level of pollutant control actually achieved (but must not be less stringent than required by effluent guidelines in effect at the time of permit renewal, reissuance, or modification).

Item (ii) does not apply to any revised waste load allocations or any alternative grounds for translating water quality standards into effluent limitations, except where the cumulative effect of the revised allocations results in a decrease in the amount of pollutants discharged into the concerned waters, and the revised allocations are not the result of a discharger eliminating or substantially reducing its discharge of pollutants due to complying with the requirements of the CWA or for reasons otherwise unrelated to water quality.

(C) In no event may a permit in which clause (A) applies be renewed, reissued, or modified to contain an effluent limitation that is less stringent than required by effluent guidelines in effect at the time the permit is renewed, reissued, or modified. In no event may a permit to discharge into waters be renewed, reissued, or modified to contain a less stringent effluent limitation if the implementation of the limitation would result in a violation of a water quality standard under Section 303* of the CWA, 327 IAC 2-1, or 327 IAC 2-1.5 applicable to the waters.

(12) For a POTW, any conditions expressly applicable to any user, as a limited co-permittee, that may be necessary in the permit issued to the treatment works to ensure compliance with applicable requirements under this subdivision. Alternatively, the commissioner may issue separate permits to the treatment works and to its users or may require a separate permit application from any user. The commissioner's decision to:

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- (A) issue a permit with no conditions applicable to any user;
- (B) impose conditions on one (1) or more users;
- (C) issue separate permits; or
- (D) require separate applications;

and the basis for that decision, must be stated in the fact sheet for the draft permit for the treatment works.

(b) In addition to the requirements of this section, where appropriate, an NPDES permit for a community with an approved long term control plan (LTCP) that is consistent with the federal CSO policy must contain a schedule of compliance for meeting final water quality-based effluent limitations for CSOs, provided the permit:

- (1) requires compliance with applicable standards and water quality-based effluent limitations as soon as possible in accordance with 40 CFR 122.47(a)(1)* and in no event beyond the period specified in the approved LTCP for implementation of the LTCP;
- (2) contains interim requirements, milestones, and final water quality-based effluent limitations and dates certain when those requirements, milestones, and limitations will be met, even if these dates are beyond the term of the permit;
- (3) complies in all other respects with the requirements of 40 CFR 122.47*; and
- (4) requires implementation of the approved LTCP.

(c) The department shall, where appropriate, and upon the request of the permittee, incorporate into the NPDES permit that contains water quality-based effluent limitations associated with CSOs a schedule of compliance provided that all the conditions in subsection (b) are met.

(d) A permit issued authorizing the discharge of a CSO to the Great Lakes Basin must include the following:

- (1) A requirement to implement the public notification requirements in 327 IAC 5-2.2 and 40 CFR 122.38(a)*, as added by 83 FR 730*.
- (2) The specific information that must be included on discharge point signage, which, at a minimum, must include the elements included in 327 IAC 5-2.2 and 40 CFR 122.38(a)(1)(ii)*, as added by 83 FR 730*.
- (3) The locations of discharge points and public access areas where signs are required in accordance with 327 IAC 5-2.2 and 40 CFR 122.38(a)(1)(i)*, as added by 83 FR 730*.
- (4) Information regarding the timing and minimum content required for initial and supplemental notifications to be provided to the following:
 - (A) Local public health departments and other potentially affected entities in accordance with 327 IAC 5-2.2 and 40 CFR 122.38(a)(2)*, as added by 83 FR 730*.
 - (B) The public in accordance with 327 IAC 5-2.2 and 40 CFR 122.38(a)(3)*, as added by 83 FR 730*.
- (5) The location of each CSO discharge:
 - (A) that must be monitored for volume and discharge duration; and
 - (B) where the CSO volume and duration may be estimated.
- (6) Submission of an annual notice in accordance with 327 IAC 5-2.2 and 40 CFR 122.38(b)*, as added by 83 FR 730*.
- (7) Protocols for providing the annual notice required in accordance with 327 IAC 5-2.2 and 40 CFR 122.38(b)*, as added by 83 FR 730* available to the public.

*These documents are incorporated by reference. Copies may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, Thirteenth Floor, 100 North Senate Avenue, Indianapolis, Indiana 46204. (*Water Pollution Control Division; 327 IAC 5-2-10; filed Sep 24, 1987, 3:00 p.m.: 11 IR 623; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1743; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1426; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3378; filed Sep 6, 2007, 12:25 p.m.: [20071003-IR-327050218FRA](#); filed Sep 6, 2018, 11:50 a.m.: [20181003-IR-327170278FRA](#); filed Aug 9, 2019, 11:58 a.m.: [20190904-IR-327180271FRA](#))*

327 IAC 5-2-11 Considerations in the calculation and specification of effluent limitations

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 11. (a) The following definitions and averaging procedure apply throughout this section:

- (1) "Average monthly discharge" means the total mass or flow-weighted concentration of all daily discharges sampled or measured during a calendar month on which daily discharges are sampled and measured, divided by the number of daily

discharges sampled and/or measured during such month. The average monthly discharge limitation is the highest allowable average monthly discharge for any calendar month.

(2) "Average weekly discharge" means the total mass or flow-weighted concentration of all daily discharges during any calendar week on which daily discharges are sampled or measured, divided by the number of daily discharges sampled and/or measured during such calendar week. The average weekly discharge limitation is the maximum allowable average weekly discharge for any calendar week.

(3) "Continuous discharge" means a discharge that occurs without interruption, except for infrequent shutdowns for maintenance, process changes, or other similar activities, throughout the operating hours of the facility.

(4) "Daily discharge" means the total mass of a pollutant discharged during the calendar day or, in the case of a pollutant limited in terms other than mass pursuant to subsection (e), the average concentration or other measurement of the pollutant specified over the calendar day or any twenty-four (24) hour period that reasonably represents the calendar day for the purposes of sampling. The maximum daily discharge limitation is the maximum allowable daily discharge for any calendar day.

(5) The average of discharge data shall be determined as follows:

(A) For fecal coliform, the average monthly discharge and average weekly discharge, as concentrations, shall be calculated using a geometric mean.

(B) For E. coli, the average monthly discharge, as a concentration, shall be calculated using a geometric mean.

(C) For all other parameters, calculations that require averaging of sample analyses or measurements of daily discharges shall use an arithmetic mean unless otherwise specified or approved by the commissioner.

(b) All permits shall impose final and, where necessary, interim effluent limitations under sections 8 and 10 of this rule for each outfall or discharge point of the permitted facility, except as otherwise provided under section 10(a)(7)(B) of this rule and subsection (h).

(c) Production-based limitations requirements shall be as follows:

(1) For dischargers other than POTWs, permit effluent limitations which are based on production rates (or another measure of operation) shall be calculated on the basis of a reasonable measure of the actual production of the facility. The time period of the production rate shall correspond to the time period of the calculated permit limitations, for example, monthly production shall be used to calculate average monthly limitations. The commissioner may include a condition establishing alternate permit limitations, standards, or prohibitions based upon anticipated increases (not to exceed maximum production capacity) or decreases to production levels.

(2) A discharger whose permit limitations are determined through a waste load allocation procedure, for example, to maintain water quality above applicable standards, may request the commissioner to calculate the discharger's load allocation, relative to the load allocations of other dischargers, on the basis of the design production capacity of the discharger's facility. The commissioner may grant such a request if the commissioner determines that a reasonable probability exists that the discharger will attain the design production capacity for significant periods during the expected lifetime of the waste load allocation. Even if a discharger's load allocation is established on the basis of design production, the commissioner shall consider the discharger's current actual production in calculating current permit limitations.

(3) In the case of POTWs, permit limitations shall be calculated based on design flow unless good cause exists for utilizing a different basis, for example, effluent limitations for a POTW designed to treat industrial wastes under section 10 of this rule would be based on actual production.

(d) For continuous dischargers, all interim and final permit effluent limitations, including those necessary to achieve water quality standards, shall be stated, unless impracticable, as maximum daily and average monthly discharge limitations for all dischargers, except that, for POTWs average weekly and average monthly discharge limitations shall be used for BOD₅, TSS, and ammonia nitrogen. For discharges within the Great Lakes system, limitations for ammonia shall be stated as maximum daily and average monthly discharge limitations for all dischargers.

(e) All pollutants limited in permits shall have effluent limitations expressed in terms of mass except:

(1) for pH, temperature, radiation or other pollutants, and flow that cannot be appropriately expressed by mass;

(2) where applicable, promulgated effluent guideline limitations, standards, or prohibitions are expressed in terms other than mass, for example, as concentration levels; or

(3) if, in establishing permit limitations on a case-by-case basis, limitations expressed in terms of mass are infeasible because the mass of the pollutant discharged cannot be related to a measure of operation (for example, discharges of total suspended

solids (TSS) from certain mining operations) or are inadequate to assure continuous compliance with applicable water quality standards, and permit conditions ensure that dilution will not be used as a substitute for treatment.

Pollutants limited in terms of mass additionally may be limited in terms of other units of measurement, and the permit shall require the permittee to comply with both limitations.

(f) Except as provided as follows or in section 11.1(g) or 11.6(i) of this rule, effluent limitations imposed in permits shall not be adjusted for pollutants in the intake water:

(1) Upon request of the discharger, technology-based effluent limitations imposed in a permit shall be calculated on a net basis, that is, adjusted to reflect credit for pollutants in the discharger's intake water, if each of the following conditions are met:

(A) The applicable effluent limitations guidelines or standards promulgated under the Clean Water Act (CWA) specifically provide that they shall be applied on a net basis or the discharger demonstrates that pollutants present in the intake water will not be essentially removed by the properly installed, maintained, and operated intake and wastewater treatment systems operated by the discharger.

(B) The discharger's intake water is drawn from:

(i) the same body of water into which the discharge is made; or

(ii) a body of water containing ambient concentrations of pollutants for which net limitations are desired that are no greater than the upstream ambient concentrations for the pollutants in the body of water receiving the discharge.

(C) The pollutants in the intake water do not vary significantly in physical, chemical, or biological nature from the pollutants limited by the permit nor are they concentrated by the discharger to such a degree that their discharge would significantly degrade the quality of the receiving body of water.

(2) Adjustments to a discharger's effluent that allow for the application of effluent limitations on a net basis shall be calculated as follows, and the amount of pollutants present in the intake water limited by the permit shall be reduced:

(A) To reflect removal of such pollutants by any treatment of the intake water performed by or for the discharger.

(B) To reflect any further removal of such pollutants by the wastewater treatment technology employed by the discharger.

The amount of such pollutants remaining after the reductions may be applied as an adjustment to the gross amount of the pollutants in the discharge prior to its evaluation for compliance with applicable effluent limitations. If the discharger can demonstrate that pollutants are present in the intake water in sufficient quantities to significantly reduce the efficiency of the discharger's wastewater treatment system, the amount of the adjustment calculated under this subsection may be modified to the extent necessary to compensate for the reduction in treatment efficiency.

(3) If the application of effluent limitations on a net basis is authorized under this subsection, the permit shall specify the method of calculating adjustments to the gross effluent and shall contain conditions requiring the permittee to conduct additional monitoring, for example, for flow and concentration of pollutants, as necessary to determine continued eligibility for and compliance with any such adjustments. The discharger shall notify the commissioner if this monitoring indicates that eligibility for an adjustment under this section has been altered or no longer exists. In such case, the permit shall be modified or revoked and reissued under section 16 of this rule.

(4) Credit for generic pollutants such as biochemical oxygen demand (BOD) or TSS shall not be granted unless:

(A) the permittee demonstrates that the constituents of the generic measure in the effluent are substantially similar to the constituents of the generic measure in the intake water; or

(B) appropriate additional limits are placed on process water pollutants either at the outfall or elsewhere.

(5) Credit shall be granted only to the extent necessary to meet the applicable limitation or standard, up to a maximum value equal to the influent value. Additional monitoring may be necessary to determine eligibility for credits and compliance with permit limits.

(g) Discharges that are not continuous, as defined in subsection (d), shall be particularly described and limited, considering the following factors, as appropriate:

(1) Frequency.

(2) Total mass.

(3) Maximum rate of discharge of pollutants during the discharge.

(4) Prohibition or limitation of specified pollutants by mass, concentration, or other appropriate measure.

(h) Where permit effluent limitations imposed at the point of discharge are impractical or infeasible (such as where the final discharge point is practicably inaccessible, the wastes at the point of discharge are so diluted as to make monitoring impracticable, or interferences among pollutants at the point of discharge would make detection or analysis impracticable), effluent limitations for discharges of pollutants may be imposed on internal waste streams prior to mixing with other waste streams or cooling water streams. In such instances, the effluent limitations shall be adjusted to reflect any removal of pollutants occurring between the point at which the limitation is imposed and the point of discharge, and the monitoring, recording, and reporting required by sections 13 through 15 of this rule shall be applied to the internal waste streams at the closest practicable or feasible point to the point of discharge unless the permittee and the commissioner agree that another location is more suitable. Intermediate waste streams that constitute input to other industrial processes (excluding treatment processes) shall not be considered internal waste streams for purposes of this subsection.

(i) Where part of a discharger's process wastewater is not being discharged into waters of the state because it is disposed into a well, into a POTW, or by land application, applicable effluent limitations and standards for the discharge shall be adjusted in the permit to reflect the reduced raw waste resulting from such disposal, including the following:

- (1) Adjusted effluent limitations and standards in the permit shall be calculated by one (1) of the following methods:
 - (A) If none of the waste from a particular process is discharged into waters of the state and effluent limitations guidelines provide separate allocation for wastes from that process, all allocations for the process shall be eliminated from calculation of permit effluent limitations or standards.
 - (B) In all cases other than those described in clause (A), effluent limitations shall be adjusted by multiplying the effluent limitation derived by applying effluent guidelines to the total waste stream by the amount of wastewater flow to be treated and discharged into waters of the state, and dividing the result by the total wastewater flow. Effluent limitations and standards so calculated may be further adjusted under 327 IAC 5-6 to make them more stringent if discharges to wells, POTW, or by land application change the character or treatability of the pollutants being discharged to receiving waters.
- (2) Subdivision (1) shall not apply where promulgated effluent limitations guidelines:
 - (A) control concentrations of pollutants discharged, but not mass; or
 - (B) specify a different specific technique for adjusting effluent limitations to account for well injection.
- (3) Subdivision (1) does not alter a discharger's obligation to meet any more stringent requirements otherwise established under this rule.

(j) Technology-based permit effluent limitations, standards, or prohibitions for a metal shall be expressed in terms of total recoverable metals as defined in 40 CFR 136 unless:

- (1) an applicable effluent standard or limitation has been promulgated under the CWA and specifies the limitation for the metal in the dissolved, valent, or total form;
- (2) in establishing permit limitations on a case-by-case basis under 327 IAC 5-5-2, it is necessary to express the limitation on the metal in the dissolved, valent, or total form to carry out the provisions of the CWA; or
- (3) all approved analytical methods for the metal inherently measure only its dissolved form, for example, hexavalent chromium.

(Water Pollution Control Division; 327 IAC 5-2-11; filed Sep 24, 1987, 3:00 p.m.: 11 IR 625; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1746; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1429; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3378; errata filed Sep 22, 2017, 11:46 a.m.: [20171004-IR-327170437ACA](#))

327 IAC 5-2-11.1 Establishment of water quality-based effluent limitations for dischargers not discharging to waters within the Great Lakes system

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 11.1. (a) The water quality standards established through the criteria set forth in 327 IAC 2-1-6 and 327 IAC 2-1-8.9 or under the procedures described in 327 IAC 2-1-8.2 through 327 IAC 2-1-8.6 and 327 IAC 2-1-8.9 shall:

- (1) be the basis for water quality-based effluent limitations (WQBELs) applicable to point source dischargers, not discharging to waters within the Great Lakes system, through NPDES permits (except for instances where a variance has been approved under 327 IAC 2-1-8.8 and 327 IAC 5-3-4.1); and
- (2) not be enforceable against point source dischargers until translated into effluent limitations that are incorporated in

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NPDES permits in accordance with this article.

(b) This subsection describes how the surface water quality criteria in 327 IAC 2-1-6(a) and 327 IAC 2-1-8.9(g) or those criteria derived using the procedures in 327 IAC 2-1-8.2 through 327 IAC 2-1-8.6 and 327 IAC 2-1-8.9 will be applied in determining appropriate WQBELs to NPDES permits as follows:

(1) The final acute value (FAV = 2(AAC)) will be applied directly to the undiluted discharge, or, if dilution by discharge induced mixing is allowed, the AAC will be applied outside the discharge induced mixing zone. If the AAC for a metal is expressed in the form of dissolved metal, the AAC shall be set equal to $C_{instream}$ determined for the AAC in accordance with subdivision (8).

(2) The CAC and the TLSC will be applied outside of the mixing zone. In the absence of site-specific mixing zone data, the allowable mixing zone dilution shall be determined by applying the guideline in 327 IAC 2-1-4 to the $Q_{7,10}$ low flow of the receiving stream. If the CAC for a metal is expressed in the form of dissolved metal, the CAC shall be set equal to $C_{instream}$ determined for the CAC in accordance with subdivision (8).

(3) The HLSC shall be applied outside of the mixing zone, if based on the consumption of organisms and incidental water intake. If based on consumption of organisms and drinking water, the HLSC shall apply at the point of the public water system intake, if this does not cause the HLSC based on consumption of organisms and incidental water intake to be exceeded outside of the mixing zone. Allowable mixing zone dilution shall be determined by applying the guideline of 327 IAC 2-1-4 to the $Q_{7,10}$ low flow of the receiving stream if the HLSC is based on consumption of organisms and incidental water intake and the $Q_{7,10}$ flow at the point of the public water system intake (provided the effluent has had time to fully mix with the receiving water) shall be allowed for dilution if the HLSC is based on consumption of organisms and drinking water.

(4) The criterion to provide an acceptable degree of protection to public health for cancer effects shall apply outside of the mixing zone if the criterion is based on consumption of organisms and incidental water intake and at the point of the public water system intake if based on the consumption of organisms and drinking water, if this would not cause the criterion based on the consumption of organisms and incidental water intake to be exceeded outside of the mixing zone. For calculation of allowable dilution, one-fourth ($1/4$) of the fiftieth percentile flow of the receiving stream shall be used if the criterion is based on consumption of organisms and incidental water intake, and the fiftieth percentile flow of the receiving stream at the point of the public water system intake can be used if the criterion is based on the consumption of organisms and drinking water.

(5) As used in this rule, "FAV", "AAC", "CAC", "TLSC", and "HLSC" have the meanings set forth in 327 IAC 2-1-9.

(6) For a new discharge of a BCC, the water quality standard for a BCC shall be applied directly to the undiluted discharge. Beginning January 1, 2004, the water quality criteria for a BCC shall be applied directly to the undiluted discharge for all discharges of a BCC. As used in this subdivision, "new discharge" means a discharge of a BCC that is initiated after the effective date of this subdivision.

(7) For intermittent or controlled discharges, the mixing zone dilution may be determined using stream flows other than those specified in this subsection if these alternate stream flows will ensure compliance with water quality criteria.

(8) The following procedures shall be used to calculate $C_{instream}$, the total recoverable metal concentration outside the mixing zone that equates to an AAC or CAC expressed in the form of dissolved metal:

(A) For an AAC expressed in the form of dissolved metal, $C_{instream}$ shall be calculated by dividing the AAC by the acute translator found in clause (D).

(B) For a CAC expressed in the form of dissolved metal, $C_{instream}$ shall be calculated by dividing the CAC by the chronic translator found in clause (D).

(C) If all approved analytical methods for the metal inherently measure only its dissolved form, such as hexavalent chromium, $C_{instream}$ shall not be calculated and the AAC and CAC expressed in the form of dissolved metal shall be applied in determining appropriate WQBELs.

(D) Unless a site-specific translator is determined in accordance with clause (E), the following translators shall be used:

Table 11.1-1	
Metals Translators	
Dissolved to Total Recoverable	
Acute	Chronic

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Substances	Translators	Translators
Arsenic (III)	1.000	1.000
Cadmium	1.136672-[(ln hardness)(0.041838)]	1.101672-[(ln hardness)(0.041838)]
Chromium (III)	0.316	0.860
Copper	0.960	0.960
Lead	1.46203-[(ln hardness)(0.145712)]	1.46203-[(ln hardness)(0.145712)]
Nickel	0.998	0.997
Silver	0.85	
Zinc	0.978	0.986

(E) A discharger or proposed discharger may request the use of an alternate translator by using site-specific data. The discharger must conduct a site-specific study to identify the ratio of the dissolved fraction to the total recoverable fraction for a metal in the receiving waterbody outside the mixing zone. If the discharger provides an acceptable study and other provisions of 327 IAC 2-1 and this article are satisfied (such as antibacksliding and antidegradation), the commissioner shall use the site-specific translator. A translator derived for one (1) discharge into a waterbody segment may be applied to other discharges on the same waterbody segment if the translator would adequately represent the site-specific conditions applicable to the other discharges.

(c) In a case where a variance has been granted from a water quality standard under 327 IAC 2-1-8.8 and 327 IAC 5-3-4.1, WQBELs for the pollutant that is the subject of the variance shall be calculated under subsection (b) on the basis of the variance rather than the water quality standard.

(d) WQBELs in an NPDES permit for a metal calculated from a water quality criterion expressed in the form of dissolved metal that is:

- (1) contained in 327 IAC 2-1; or
- (2) subsequently developed under the procedures contained in 327 IAC 2-1;

shall be expressed in the permit as total recoverable metal unless all approved analytical methods for the metal inherently measure only its dissolved form, such as hexavalent chromium.

(e) WQBELs for cyanide, calculated from a criterion for free cyanide contained in 327 IAC 2-1, shall be limited in the permit as free cyanide and monitored in the effluent using the "Cyanides Amenable to Chlorination" (CATC) method (40 CFR 136, Method 4500-CN G) or another method approved by the commissioner. The commissioner may include additional monitoring, limitations, or other requirements in a permit, on a case-by-case basis, if the additional requirements are necessary to ensure that water quality standards will be attained.

(f) When the WQBEL for any substance is less than the limit of quantitation normally achievable and determined by the commissioner to be appropriate for that substance in the effluent, the permit shall contain the following provisions:

(1) The permittee shall be required to use an approved analytical methodology for the substance in the effluent to produce the LOD and LOQ achievable in the effluent. This analytical method, and the LOD and LOQ associated with this method, shall be specified in the permit in addition to the following requirements:

- (A) The permit shall include conditions that state that effluent concentrations less than the limit of quantitation are in compliance with the effluent limitations.
- (B) In addition, the permit shall require the permittee to implement one (1) or more of the following requirements:
 - (i) Develop a more sensitive analytical procedure.
 - (ii) Use an existing, more sensitive, analytical procedure that has not been approved by EPA.
 - (iii) Conduct studies to determine the bioaccumulative or bioconcentrative properties of the substance in aquatic species through caged-biota studies or fish tissue analyses of resident species.
 - (iv) Conduct effluent bioconcentration evaluations.
 - (v) Conduct whole effluent toxicity testing.
 - (vi) Other requirements, as appropriate, such as engineering assessments or sediment analyses.

For substances defined as BCCs, at a minimum, either item (iii) or (iv) shall be included in the permit.

(2) If the measured effluent concentrations for a substance are above the WQBELs and above the LOD specified by the permit in any three (3) consecutive analyses or any five (5) out of nine (9) analyses, or if any of the additional analyses required under subdivision (1)(B) indicate that the substance is present in the effluent at concentrations exceeding the WQBELs, the permit shall contain provisions that require the discharger to:

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(A) determine the source of this substance through evaluation of sampling techniques, analytical/laboratory procedures, and industrial processes and wastestreams; and

(B) increase the frequency of sampling and testing for the substance.

(3) The permit shall contain provisions allowing the permit to be reopened, in accordance with section 16 of this rule, to include additional requirements or limitations if the information gathered under subdivisions (1) and (2) indicates that such additional requirements or limitations are necessary.

(g) The department shall use the representative ambient upstream concentration of a substance in determining the WQBELs for that substance. This upstream concentration shall be determined by the department on a case-by-case basis, using existing, acceptable data for the receiving water. Where limited or no acceptable data exists, the permittee shall be required to supply the necessary data. Whenever the representative ambient upstream concentration for a substance in the receiving water is determined to be greater than any applicable water quality criterion for that substance, the following conditions apply:

(1) If the source of the wastewater is not the receiving water, the permit limitations shall be calculated using the applicable water quality criterion and a value of zero (0) for the upstream dilution flow. Except for substances defined as BCCs, the department may establish limitations greater than the applicable water quality criterion for the substance as required in this subdivision, in a range up to, but not greater than, the lesser of the representative ambient upstream concentration of the substance in the receiving water or the representative ambient concentration of the substance in the body of water at the point of intake. The limitation shall only be increased above the criterion if it is demonstrated to the department that the concentration of the substance in the body of water at the point of intake exceeds the applicable criterion for that substance and that reasonable, practical, or otherwise required methods are implemented to minimize the addition of the substance to the wastewater.

(2) If the source of the wastewater is the receiving water, the effluent limitation for that substance shall equal the representative ambient upstream concentration of that substance in the receiving water as determined by the department. Where circumstances allow, such as the discharge of once through noncontact cooling water, this will be implemented through the use of net limitations, with a net limitation of zero (0) being applied to the effluent. The representative ambient upstream concentration applicable to this subdivision shall be established at the upper ninety-ninth percentile of the available acceptable upstream data or otherwise appropriately determined as the reasonably expected upstream concentration for that substance.

(h) In addition to the requirements of 40 CFR 122.43(a), NPDES permits shall include limitations more stringent than promulgated effluent limitations guidelines from Sections 301, 306, 307, 318, and 405 of the CWA where necessary to achieve water quality standards established under Section 303 of the CWA, including narrative criteria for water quality as follows:

(1) Limitations must control all pollutants or pollutant parameters (either conventional, nonconventional, or toxic pollutants) that the commissioner determines are, or may be, discharged at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above any narrative or numeric water quality criterion promulgated under 327 IAC 2-1-6.

(2) When determining whether a discharge causes, has the reasonable potential to cause, or contributes to an instream excursion above a narrative or numeric criterion within an Indiana water quality standard, the commissioner shall use procedures that account for:

(A) existing controls on point and nonpoint sources of pollution;

(B) the variability of the pollutant or pollutant parameter in the effluent;

(C) the sensitivity of the species to toxicity testing (when evaluating whole effluent toxicity); and

(D) where appropriate, the dilution of the effluent in the receiving water.

(3) When the commissioner determines, using the procedures in subdivision (2), that a discharge causes, has the reasonable potential to cause, or contributes to an instream excursion above the allowable ambient concentration of a numeric criterion from 327 IAC 2-1-6 for an individual pollutant, the permit must contain effluent limitations for that pollutant.

(4) When the commissioner determines, using the procedures in subdivision (2), that a discharge causes, has the reasonable potential to cause, or contributes to an instream excursion above the numeric criterion for whole effluent toxicity, the permit must contain effluent limits for whole effluent toxicity.

(5) Except as provided in this subdivision, when the commissioner determines, using the procedures in subdivision (2), toxicity testing data, or other information, that a discharge causes, has the reasonable potential to cause, or contributes to an instream excursion above a narrative criterion from 327 IAC 2-1-6, the permit must contain effluent limitations for whole effluent toxicity. Limitations on whole effluent toxicity are not necessary where the commissioner demonstrates in the fact

sheet or briefing memo of the NPDES permit, using the procedures in subdivision (2), that chemical-specific limits for the effluent are sufficient to attain and maintain applicable numeric and narrative water quality criteria.

(6) Where a water quality criterion has not been established for a specific chemical pollutant that is present in an effluent at a concentration that causes, has the reasonable potential to cause, or contributes to an excursion above a narrative criterion from 327 IAC 2-1-6, the commissioner must establish effluent limits using one (1) or more of the following options:

(A) Establish effluent limits using a calculated numeric water quality criterion for the pollutant that the commissioner demonstrates will attain and maintain applicable narrative water quality criteria and will fully protect the designated use. Such a criterion may be derived using a proposed state criterion, or an explicit policy or rule interpreting the narrative water quality criterion, supplemented with other relevant information that may include:

- (i) EPA's Water Quality Standards Handbook, Second Edition–Revised (1994);
- (ii) risk assessment data;
- (iii) exposure data;
- (iv) information about the pollutant from the Food and Drug Administration; and
- (v) current EPA criteria documents.

(B) Establish effluent limits on a case-by-case basis, using EPA's water quality criteria, published under Section 304(a) of the CWA, supplemented where necessary by other relevant information.

(C) Establish effluent limitations on an indicator parameter for the pollutant of concern, provided the following:

- (i) The permit identifies which pollutants are intended to be controlled by the use of the effluent limitation.
- (ii) The fact sheet required by 327 IAC 5-3-8 sets forth the basis for the limit, including a finding that compliance with the effluent limit on the indicator parameter will result in controls on the pollutant of concern that are sufficient to attain and maintain applicable water quality standards.
- (iii) The permit requires all effluent and ambient monitoring necessary to show that during the term of the permit the limit on the indicator parameter continues to attain and maintain applicable water quality standards.
- (iv) The permit contains a reopening clause allowing the permitting authority to modify or revoke and reissue the permit if the limits on the indicator parameter no longer attain and maintain applicable water quality standards.

(7) When developing WQBELs under this subsection, the commissioner shall ensure the following:

(A) The level of water quality to be achieved by limits on point sources established under this subsection is derived from, and complies with, all applicable water quality standards.

(B) Effluent limits developed to protect a narrative water quality criterion or a numeric water quality criterion, or both, are consistent with the assumptions and requirements of any available WLA for the discharge prepared by the commissioner and approved by EPA under 40 CFR 130.7.

(Water Pollution Control Division; 327 IAC 5-2-11.1; filed Feb 1, 1990, 4:30 p.m.: 13 IR 1043; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1749; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1432; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3378; filed Feb 14, 2005, 10:05 a.m.: 28 IR 2097)

327 IAC 5-2-11.2 Public notice of comment period and public meetings for site-specific modification of water quality criteria and values; an antidegradation demonstration; a water quality improvement project; an alternate mixing zone demonstration; a variance

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-15-4-1](#); [IC 13-15-5-1](#); [IC 13-18-4](#); [IC 13-18-7](#); [IC 13-23-13](#); [IC 13-24-1](#); [IC 13-25-5](#)

Sec. 11.2. (a) This section is applicable to the following:

- (1) Site-specific modification to water quality criteria under 327 IAC 2-1-8.9 and Tier I water quality criteria and Tier II water quality values under 327 IAC 2-1.5-16.
- (2) An antidegradation demonstration under 327 IAC 2-1.3-5.
- (3) A water quality improvement project under 327 IAC 2-1.3-7.
- (4) An alternate mixing zone under section 11.4(b)(4)(F) of this rule.
- (5) A variance under 327 IAC 5-3-4.1(c).

(b) Upon receipt of the information for a proposal listed in subsection (a), the commissioner shall provide notice, request comment, and, if requested, schedule and hold a public meeting in accordance with the following conditions:

- (1) The commissioner shall provide notice of receipt of information related to subsection (a) in the following manner:
 - (A) Publication of a notice in a daily or weekly newspaper in general circulation throughout the area affected by the discharge for which the information was submitted.
 - (B) Send the notice to the following using electronic media whenever possible:
 - (i) Interested persons on either mailing list identified under the following:
 - (AA) 327 IAC 5-3-8(a).
 - (BB) 327 IAC 5-3-12(b)(1).
 - (ii) The applicant.
- (2) The notice under subdivision (1) shall contain the following:
 - (A) The name and address of the department.
 - (B) The name and address of the applicant.
 - (C) An identification of the type of information submitted, such as a site-specific modification, antidegradation demonstration, water quality improvement project, alternate mixing zone, or variance.
 - (D) A brief description of the following:
 - (i) Location of any existing or proposed discharge point subject to the proposal listed in subsection (a), including an identification of the receiving water or waters.
 - (ii) The applicant's activities or operations that result in the discharge identified in the information related to subsection (a).
 - (iii) The comment procedures and the procedures to request a public meeting.
 - (E) An identification of the regulated pollutant proposed to be discharged.
 - (F) Information on how to contact the department so interested persons may obtain further information, including a copy of the information that was submitted related to subsection (a).
- (3) If requested by at least twenty-five (25) persons living or working within the same ten (10) digit watershed or within fifteen (15) miles of the proposed discharge, the commissioner shall hold a public meeting on the information that was submitted related to subsection (a) in accordance with the following provisions:
 - (A) The commissioner shall provide notice of the public meeting as follows:
 - (i) Publication of a notice in a daily or weekly newspaper in general circulation throughout the area affected by the discharge for which the information related to subsection (a) was submitted.
 - (ii) Send the notice, using electronic media whenever possible, to the following interested persons:
 - (AA) Persons on the mailing list identified under 327 IAC 5-3-8(a).
 - (BB) Persons on the mailing list identified under 327 IAC 5-3-12(b)(1).
 - (CC) Those persons that commented on the notice of receipt of the information for the proposal related to subsection (a).
 - (iii) Send the notice to the applicant.
 - (B) The notice required by clause (A) shall contain the following:
 - (i) The date, time, and place of the public meeting.
 - (ii) The information required under subdivision (2).
 - (C) The meeting shall be held at least ten (10) days after the later of the following:
 - (i) The notice in accordance with clause (A)(i) appears in the newspaper.
 - (ii) The date of the notice sent to interested parties and to the applicant in accordance with clause (A)(ii) and (A)(iii).
 - (D) The meeting shall be recorded by any method of accurately and completely recording the details of the meeting.
 - (E) For the information related to a proposal that is listed in subsection (a), the commissioner shall request the applicant submitting the information to provide at the meeting a summary and rationale for the proposal described by the submitted information.
 - (F) At the commissioner's discretion, a public meeting may be noticed and held without having first received a request for a public meeting. In these instances, the notice for the public meeting may be included in the notice of receipt of the information for the proposal related to subsection (a).
- (4) The time period under [IC 13-15-4-1](#) is hereby changed to increase the period by:
 - (A) thirty (30) days for any permit application subject to the time period that is affected by the information for the

proposal related to subsection (a); and

(B) an additional thirty (30) days beyond the period extended under clause (A) if a public meeting is requested under subdivision (3).

(Water Pollution Control Division; 327 IAC 5-2-11.2; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1435; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3378; filed Feb 14, 2005, 10:05 a.m.: 28 IR 2101; filed May 29, 2012, 3:19 p.m.: [20120627-IR-327080764FRA](#))

327 IAC 5-2-11.3 Great Lakes system dischargers antidegradation implementation procedures (Repealed)

Sec. 11.3. *(Repealed by Water Pollution Control Division; filed May 29, 2012, 3:19 p.m.: [20120627-IR-327080764FRA](#))*

327 IAC 5-2-11.4 Great Lakes system dischargers total maximum daily loads; wasteload allocations for point sources; load allocations for nonpoint sources; preliminary wasteload allocations

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4-7](#); [IC 13-18-4-8](#)

Sec. 11.4. (a) This subsection applies to the establishment of TMDLs for all pollutants and pollutant parameters in the Great Lakes system. Where specified, the following conditions also apply to WLAs calculated in the absence of TMDLs and to preliminary WLAs:

(1) At a minimum, TMDLs shall be established in accordance with the listing and priority setting process established in Section 303(d) of the Clean Water Act (CWA) and at 40 CFR 130.7. Where water quality standards cannot be attained immediately, TMDLs must reflect reasonable assurances that water quality standards will be attained in a reasonable period of time. TMDLs may be based on attaining water quality standards over a period of time, with specific controls on individual sources being implemented in stages. Determining the reasonable period of time in which water quality standards will be met is a case-specific determination considering a number of factors, including, but not limited to, the following:

- (A) Receiving water characteristics.
- (B) Persistence, behavior, and ubiquity of pollutants of concern.
- (C) Type of remediation activities necessary.
- (D) Available regulatory and nonregulatory controls.
- (E) Requirements for attainment of water quality standards.

(2) An assessment and remediation plan that the commissioner has certified as meeting the requirements of this section pertaining to TMDLs and public participation requirements applicable to TMDLs, and that has been approved by EPA as meeting those requirements under 40 CFR 130.6, may be used in lieu of a TMDL for purposes of this section. Assessment and remediation plans under this section may include, but are not limited to, the following:

- (A) Lakewide Management Plans.
- (B) Remedial Action Plans.
- (C) State Water Quality Management Plans.

Also, any part of an assessment and remediation plan that also satisfies one (1) or more requirements under Section 303(d) of the CWA or implementing regulations may be incorporated by reference into a TMDL as appropriate. Assessment and remediation plans under this section shall be tailored to the level of detail and magnitude for the watershed and pollutant being assessed.

(3) TMDLs, WLAs calculated in the absence of a TMDL, and preliminary WLAs must ensure attainment of applicable water quality standards including all numeric and narrative water quality criteria set forth in 327 IAC 2-1.5-8 and 327 IAC 2-1.5-16, and Tier I criteria and Tier II values established under 327 IAC 2-1.5-11 through 327 IAC 2-1.5-16.

(4) If a discharge contains one (1) or more substances for which a TMDL, WLA calculated in the absence of a TMDL, or preliminary WLA was based on an HCC, HCV, HNC, or HNV, human health shall be protected from the potential adverse additive effects of mixtures of substances in an effluent in accordance with the following procedures:

(A) If an effluent for a particular discharger contains more than one (1) substance for which an HCC exists or for which an HCC or an HCV can be calculated, the additivity of the mixture of carcinogens shall be addressed as follows:

- (i) Except as provided in item (ii), the TMDL, WLA calculated in the absence of a TMDL, or preliminary WLA based on an HCC or HCV shall be established to protect against additive effects possibly associated with

simultaneous multiple chemical human exposure to carcinogens such that the following condition is met:

$$\sum \frac{C_i}{WLA_i} \leq 1; \text{ For } i = 1 \text{ to } n$$

- Where:
- C = The adjusted TMDL, WLA calculated in the absence of a TMDL, or preliminary WLA concentration of each separate carcinogen that shall be used in the calculation of reasonable potential in section 11.5 of this rule and water quality-based effluent limitations (WQBELs) in section 11.6 of this rule.
 - WLA = The TMDL, WLA calculated in the absence of a TMDL, or preliminary WLA concentration based on the HCC or HCV for each respective carcinogen.
 - n = Number of WLAs based on an HCC or HCV.

(ii) Notwithstanding item (i):

(AA) the commissioner may consider, upon submission of the discharger, the use of an alternate, scientifically-based, procedure for ensuring the aggregate risk of the mixture of carcinogens remains below one (1) in one hundred thousand (100,000); or

(BB) if information is available to the commissioner demonstrating that available scientific information does not support the assumption of additivity, the TMDL, WLA calculated in the absence of a TMDL, or preliminary WLA shall not be adjusted for each such substance.

(B) If an effluent for a particular discharger contains more than one (1) substance for which an HNC exists or for which an HNC or HNV can be calculated, the additivity of the mixture of substances shall be addressed as follows:

(i) The incremental adverse effect of each substance shall be assumed to not be additive except as provided in item (ii).

(ii) If scientific information available to the commissioner demonstrates that the adverse effects of the components are additive, the TMDL, WLA calculated in the absence of a TMDL, or preliminary WLA based on an HNC or HNV for each additive noncarcinogenic substance shall be established to protect against additive effects possibly associated with simultaneous multiple chemical human exposure such that the following condition is met:

$$\sum \frac{N_i}{WLA_i} \leq 1; \text{ For } i = 1 \text{ to } n$$

- Where:
- N = The adjusted TMDL, WLA calculated in the absence of a TMDL, or preliminary WLA concentration of each separate additive noncarcinogenic substance that shall be used in the calculation of reasonable potential in section 11.5 of this rule and WQBELs in section 11.6 of this rule.
 - WLA = The TMDL, WLA calculated in the absence of a TMDL, or preliminary WLA concentration based on the HNC or HNV for each respective additive noncarcinogenic substance.
 - n = Number of WLAs based on an HNC or HNV for additive noncarcinogenic substances.

(C) Notwithstanding clauses (A) and (B), the toxicity equivalency factors (TEFs) and bioaccumulation equivalency factors (BEFs) for the chlorinated dibenzo-p-dioxins (CDDs) and chlorinated dibenzofurans (CDFs) shall be accounted for as follows:

(i) The TEFs and BEFs in Table 11.4-1 in item (iv) shall be used when calculating a 2,3,7,8-TCDD toxicity equivalence concentration in effluent to be used when implementing both HNC and HCC. The chemical concentration of each CDDs and CDFs in effluent shall be converted to a 2,3,7,8-TCDD toxicity equivalence concentration in effluent by:

(AA) multiplying the chemical concentration of each CDDs and CDFs in the effluent by the appropriate TEF in Table 11.4-1 in item (iv);

(BB) multiplying each product from subitem (AA) by the BEF for each CDDs and CDFs in Table 11.4-1 in item (iv); and

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(CC) adding all final products from subitem (BB).

(ii) The equation for calculating the 2,3,7,8-TCDD toxicity equivalence concentration in effluent is:

$$(TEC)_{tcdd} = \sum (C)_x (TEF)_x (BEF)_x$$

- Where:
- (TEC)_{tcdd} = 2,3,7,8-TCDD toxicity equivalence concentration in effluent.
 - (C)_x = Concentration of total chemical x in effluent.
 - (TEF)_x = TCDD toxicity equivalency factor for x.
 - (BEF)_x = TCDD bioaccumulation equivalency factor for x.

(iii) The 2,3,7,8-TCDD toxicity equivalence concentration in effluent shall be used when developing TMDLs, WLAs in the absence of a TMDL, or preliminary WLAs under this section.

(iv) The following values shall be used for TEFs and BEFs for CDDs and CDFs:

Table 11.4-1

Toxicity Equivalency Factors (TEF) and Bioaccumulation Equivalency Factors (BEF) for CDDs and CDFs

Congener	TEF	BEF
2,3,7,8-TCDD	1.0	1.0
1,2,3,7,8-PeCDD	0.5	0.9
1,2,3,4,7,8-HxCDD	0.1	0.3
1,2,3,6,7,8-HxCDD	0.1	0.1
1,2,3,7,8,9-HxCDD	0.1	0.1
1,2,3,4,6,7,8-HpCDD	0.01	0.05
OCDD	0.001	0.01
2,3,7,8-TCDF	0.1	0.8
1,2,3,7,8-PeCDF	0.05	0.2
2,3,4,7,8-PeCDF	0.5	1.6
1,2,3,4,7,8-HxCDF	0.1	0.08
1,2,3,6,7,8-HxCDF	0.1	0.2
2,3,4,6,7,8-HxCDF	0.1	0.7
1,2,3,7,8,9-HxCDF	0.1	0.6
1,2,3,4,6,7,8-HpCDF	0.01	0.01
1,2,3,4,7,8,9-HpCDF	0.01	0.4
OCDF	0.001	0.02

(5) TMDLs shall include WLAs for point sources and LAs for nonpoint sources, including natural background, such that the sum of these allocations is not greater than the loading capacity of the water for the pollutant addressed by the TMDL, minus the sum of a specified margin of safety (MOS) and any capacity reserved for future growth. The components of the TMDL are as follows:

(A) Nonpoint source LAs that shall be based on any of the following:

- (i) Existing pollutant loadings if changes in loadings are not reasonably anticipated to occur.
- (ii) Increases in pollutant loadings that are reasonably anticipated to occur.
- (iii) Anticipated decreases in pollutant loadings if such decreased loadings are technically feasible and are reasonably anticipated to occur within a reasonable time period as a result of implementation of BMPs or other load reduction measures. In determining whether anticipated decreases in pollutant loadings are technically feasible and can reasonably be expected to occur within a reasonable period of time, technical and institutional factors shall be considered. These decisions are case-specific and should reflect the particular TMDL under consideration.
- (iv) Where appropriate and where sufficient data are available, contributions to the water column from sediments inside and outside of any applicable mixing zones.
- (v) Where appropriate and where sufficient data are available, nonpoint source discharges resulting from wet

weather events.

Monitoring data for these LAs shall be collected and analyzed in order to validate the TMDL's assumptions, to verify anticipated load reductions, to evaluate the effectiveness of controls being used to implement the TMDL, and to revise the WLAs and LAs as necessary to ensure that water quality criteria shall be achieved within the time period established in the TMDL.

(B) Each TMDL shall include an MOS sufficient to account for technical uncertainties in establishing the TMDL and shall describe the manner in which the MOS is determined and incorporated into the TMDL. The MOS may be provided by leaving a portion of the loading capacity unallocated or by using conservative modeling assumptions to establish WLAs and LAs. If a portion of the loading capacity is left unallocated to provide an MOS, the amount left unallocated shall be described. If conservative modeling assumptions are relied on to provide an MOS, the specific assumptions providing the MOS shall be identified.

(C) TMDLs may include reserved allocations of loading capacity to accommodate future growth and additional sources. Where such reserved allocations are not included in a TMDL, any increased loadings of the pollutant for which the TMDL was developed that are due to a new or expanded discharge shall not be allowed unless the TMDL is revised in accordance with these procedures to include an allocation for the new or expanded discharge.

(D) The sum of the WLAs is the portion of the loading capacity not assigned to nonpoint sources including background, or to an MOS, or reserved for future growth. Where appropriate and where sufficient data are available, WLAs shall also be developed for point source discharges resulting from wet weather events. Upon reissuance, NPDES permits for these point sources must include effluent limitations consistent with WLAs in EPA-approved or EPA-established TMDLs.

(6) If separate TMDLs are prepared for different segments of the same watershed, and the separate TMDLs each include WLAs for the same pollutant for one (1) or more of the same point sources, then WQBELs for that pollutant for the point sources shall be consistent with the most stringent of those WLAs in order to ensure attainment of all applicable water quality standards.

(7) TMDLs shall be sufficiently stringent so as to prevent accumulation of the pollutant of concern in sediments to levels injurious to designated or existing uses, human health, wildlife, and aquatic life.

(8) The representative background concentration of pollutants shall be established in accordance with this section to develop TMDLs, WLAs calculated in the absence of a TMDL, and preliminary WLAs. Background loadings may be accounted for in a TMDL through an allocation to a single background category or through individual allocations to the various background sources as follows:

(A) As used in this subsection, "background" represents all loadings resulting from the following:

- (i) Flow from upstream waters into the specified watershed, waterbody, or waterbody segment for which a TMDL, WLA in the absence of a TMDL, or preliminary WLA for the purpose of determining the need for a WQBEL is being developed.
- (ii) Atmospheric deposition or sediment release or resuspension.
- (iii) Chemical reactions occurring within the watershed, waterbody, or waterbody segment.

(B) When determining what available data are acceptable for use in calculating background, the commissioner shall use best professional judgment, including consideration of the sampling location and the reliability of the data through comparison to reported analytical detection levels. Pollutant degradation and transport information may be considered when utilizing pollutant loading data. Where limited or no acceptable data exist, the commissioner may require the permittee to supply the necessary data. Best professional judgment shall be used to select the one (1) data set that most accurately reflects or estimates background concentrations when data in more than one (1) of the following data sets or categories exist:

- (i) Acceptable available water column data.
- (ii) Water column concentrations estimated through use of acceptable available caged or resident fish tissue data.
- (iii) Water column concentrations estimated through use of acceptable available or projected pollutant loading data.

(C) The representative background concentration for a substance in the specified watershed, waterbody, or waterbody segment shall be established as follows:

- (i) If all the values in the data set selected in clause (B) are at or above the LOD, then the background concentration is the geometric mean of that data set.
- (ii) If the data set consists of values above and below the LOD, the following procedure shall be used to determine the representative background concentration:
 - (AA) Each value in the data set with a value less than the LOD (nondetect) shall be assigned the value (V). The geometric mean of this adjusted data set is the representative background concentration. The value (V) is determined as follows:

$$V = (\text{LOD}) \times \left(1 - \frac{\text{Number of nondetects}}{\text{Total number of values}} \right)$$

(BB) If information is available that indicates an alternate methodology for evaluating the data set would result in a background concentration more representative of actual conditions, this alternative methodology may be used in place of the methodology contained in subitem (AA) upon approval of the commissioner.

- (iii) When all of the acceptable available data in a data set or category, such as water column, caged or resident fish tissue, or pollutant loading data, are below the LOD for a substance, and the most sensitive approved analytical method available for that substance was used, then all the data for that pollutant in that data set shall be assumed to be zero (0).
- (iv) Notwithstanding items (i) through (iii), the representative background concentration of whole effluent toxicity (WET) shall be assumed to be zero (0) unless data are available that indicates that the discharge of the WET and any background WET are additive.

(9) The effluent flow used to develop TMDLs, WLAs calculated in the absence of a TMDL, and preliminary WLAs shall be determined as follows:

- (A) For municipal, semipublic, and other sanitary or domestic wastewater discharges, the average design flow of the treatment facility shall be used.
- (B) For industrial dischargers, the highest monthly average flow from the previous two (2) years of monitoring shall be used.
- (C) Notwithstanding clauses (A) and (B), an alternate effluent flow value may be used, upon approval by the commissioner, if the discharger provides flow data that supports the alternate value (such as when a TMDL or WLA is calculated for wet weather conditions as provided in section 11.6(g)(4) of this rule). This flow data shall be included with the application for a new permit, a renewal of an existing permit, or with a request for modification of an existing permit, or when requested by the commissioner.
- (D) TMDLs, WLAs calculated in the absence of a TMDL, and preliminary WLAs shall indicate the point source effluent flows used in the analyses.

(10) The portion of the receiving waterbody allocated for mixing for TMDLs, WLAs calculated in the absence of a TMDL, and preliminary WLAs shall be determined in accordance with subsection (b).

(11) TMDLs, WLAs in the absence of a TMDL, and preliminary WLAs shall be based on the assumption that a pollutant does not degrade. However, the commissioner may take into account degradation of the pollutant if each of the following conditions are met:

- (A) Scientifically valid field studies or other relevant information demonstrate that degradation of the pollutant is expected to occur under the full range of environmental conditions expected to be encountered.
- (B) Scientifically valid field studies or other relevant information addresses other factors that affect the level of pollutants in the water column, including, but not limited to, the following:
 - (i) Resuspension of sediments.
 - (ii) Chemical speciation.
 - (iii) Biological and chemical transformation.

(C) Notwithstanding clauses (A) and (B), TMDLs, WLAs in the absence of a TMDL, and preliminary WLAs conducted for chlorine and WET shall be based on the assumption that the parameter does degrade unless data for the waterbody are available indicating otherwise.

(12) As used in this section, "loading capacity" refers to the greatest amount of loading that a water can receive without

violating water quality standards. The loading capacity is initially calculated at the farthest downstream location in the watershed drainage basin. The maximum allowable loading consistent with the attainment of each applicable numeric criterion or value for a given pollutant is determined by multiplying the applicable criterion or value by the flow at the farthest downstream location in the tributary basin at the design flow condition described under subsection (b) and by using appropriate conversion factors. This loading is then compared to the loadings at sites within the basin to assure that applicable numeric criteria or values for a given pollutant are not exceeded at all applicable sites. The lowest load is then selected as the loading capacity.

(13) The ambient water quality characteristics used to develop TMDLs, WLAs calculated in the absence of a TMDL, and preliminary WLAs shall be determined as follows:

(A) For ammonia (as N), chloride, metals dependent on hardness, and pentachlorophenol, the appropriate water quality characteristics shall be obtained at a location downstream of the point of discharge, or for Lake Michigan, outside the applicable mixing zone and shall be determined as follows:

- (i) For ammonia (as N), the seventy-fifth percentile of the pH and temperature. If a seasonal TMDL, WLA calculated in the absence of a TMDL, or preliminary WLA is developed for ammonia, the pH and temperature data shall be obtained from the appropriate seasonal period.
- (ii) For chloride, the fiftieth percentile of the hardness and sulfate.
- (iii) For metals dependent on hardness, the fiftieth percentile of the hardness.
- (iv) For pentachlorophenol, the fiftieth percentile of the pH.

(B) If any of the data required under clause (A) are not available for the waterbody, the data shall either be obtained from similar nearby streams or the permittee will be required to obtain the necessary data. For discharges to Lake Michigan, data from Lake Michigan shall be required.

(C) The use of the data required in clause (A) is intended to determine values of those water quality characteristics that are representative of those characteristics at design conditions. If it is demonstrated that an alternate method of determining these characteristics for a specific receiving waterbody would result in values more representative of the characteristics at design conditions, then this alternate method may be used to determine the water quality characteristics.

(b) The following requirements shall be applied in establishing the portion of the receiving waterbody allocated for mixing for TMDLs, WLAs in the absence of TMDLs, and preliminary WLAs:

(1) The following procedures shall be used to establish the portion of the receiving waterbody allocated for mixing for TMDLs, WLAs in the absence of TMDLs, and preliminary WLAs for a BCC:

(A) For purposes of this subsection, new and existing discharges are determined as follows:

- (i) New discharges are defined as:
 - (AA) discharges from new Great Lakes dischargers; or
 - (BB) new or expanded discharges from an existing Great Lakes discharger.
- (ii) Existing discharges are defined as all discharges of BCCs not included in item (i).

(B) There shall be no mixing zone available for a new discharge of a BCC to the Great Lakes system. WLAs established through TMDLs, WLAs in the absence of TMDLs, and preliminary WLAs for a new discharge of a BCC shall be set equal to the most stringent applicable water quality criteria or values for the BCC.

(C) A mixing zone may be allocated for a BCC for an existing discharge to the Great Lakes system under subdivisions (2) and (3) until January 1, 2004, except for a discharge into the open waters of Lake Michigan. WLAs established through TMDLs, WLAs established in the absence of TMDLs, and preliminary WLAs for all discharges, both new and existing, into the open waters of Lake Michigan shall be set equal to the most stringent applicable water quality criteria or values for the BCC.

(D) Except as provided in clauses (E) and (F), NPDES permits shall not authorize mixing zones for existing discharges of a BCC to the Great Lakes system after January 1, 2004. After January 1, 2004, WLAs established through TMDLs, WLAs established in the absence of TMDLs, and preliminary WLAs for all discharges of a BCC to the Great Lakes system shall be set equal to the most stringent applicable water quality criteria or values for the BCC.

(E) The commissioner may grant mixing zones for any existing discharge of a BCC to the Great Lakes system beyond the date specified in clause (D) where it can be demonstrated, on a case-by-case basis, that failure to grant a mixing

zone would preclude water conservation measures that would lead to the overall load reduction of the BCC, even though higher concentrations of the BCC occur in the effluent. Such mixing zones must also be consistent with subdivisions (2) and (3).

(F) The commissioner may grant mixing zones, consistent with subdivisions (2) and (3), beyond the date specified in clause (D) for any existing discharge of a BCC to the Great Lakes system upon the request of a discharger subject to the following limited circumstances:

(i) The commissioner determines the following:

(AA) The discharger is in compliance with and will continue to implement all applicable technology-based treatment and pretreatment requirements of Sections 301, 302, 304, 306, 307, 401, and 402 of the CWA, and is in compliance with its existing NPDES WQBELs, including those based on a mixing zone.

(BB) The discharger has reduced and will continue to reduce the loading of the BCC for which a mixing zone is requested to the maximum extent possible.

(ii) In making the determination in item (i), the commissioner shall consider the following information submitted by the discharger:

(AA) The availability, feasibility, cost effectiveness, and environmental benefits of additional controls or pollution prevention measures for reducing and ultimately eliminating the BCC for that discharger, including those used by similar dischargers. As used in this item, "pollution prevention" has the meaning set forth in the federal Pollution Prevention Act of 1990 (42 U.S.C. 13101 et seq.).

(BB) Whether the discharger or affected communities will suffer unreasonable economic effects if the mixing zone is eliminated.

(CC) The extent to which the discharger will implement an ambient monitoring plan to ensure compliance with water quality criteria at the edge of any authorized mixing zone or to ensure consistency with any applicable TMDL or such other strategy consistent with this section.

(DD) Other information the commissioner deems appropriate.

(iii) Any exceptions to the mixing zone elimination provision for an existing discharge of a BCC granted under this clause shall comply with the following:

(AA) Not result in any less stringent limitations than those existing upon or after the effective date of this rule.

(BB) Not likely jeopardize the continued existence of any endangered or threatened species listed under Section 4 of the ESA or result in the destruction or adverse modification of such species' critical habitats.

(CC) Be limited to one (1) permit term unless the commissioner makes a new determination in accordance with this subdivision for each successive permit application in which a mixing zone for the BCC is sought.

(DD) Reflect all information relevant to the size of the mixing zone considered under item (ii).

(EE) Protect all designated and existing uses of the receiving water.

(FF) Meet all applicable aquatic life, wildlife, and human health criteria and values at the edge of the mixing zone and, as appropriate, within the mixing zone or be consistent with any appropriate TMDL or such other strategy consistent with this section.

(GG) Ensure the discharger has developed and conducted a pollutant minimization program for the BCC if required to do so under section 11.6 of this rule.

(HH) Ensure that alternative means for reducing BCCs elsewhere in the watershed are evaluated.

(G) For each draft NPDES permit that would allow a mixing zone for one (1) or more BCCs after January 1, 2004, the fact sheet or statement of basis for the draft permit, shall:

(i) specify the mixing provisions used in calculating the permit limits; and

(ii) identify each BCC for which a mixing zone is proposed.

(2) The following addresses conditions for deriving TMDLs, WLAs in the absence of TMDLs, and preliminary WLAs for open waters of Lake Michigan, inland lakes, and other waters of the Great Lakes system with no appreciable flow relative to their volumes:

- (A) For discharges into the open waters of Lake Michigan, the following requirements apply:
- (i) To prevent acute toxicity to aquatic life, WLAs established in a TMDL, WLAs in the absence of a TMDL, and preliminary WLAs shall be determined as follows:
 - (AA) For allocations based on an acute aquatic life criterion or value, the CMC or SMC shall not be exceeded outside the zone of initial dilution and the FAV shall not be exceeded in the undiluted discharge, unless a mixing zone demonstration is conducted and approved under subdivision (4), in which case the CMC or SMC shall be met outside the applicable alternate mixing zone.
 - (BB) For allocations implementing the narrative acute WET criterion, one and zero-tenths (1.0) TU_a shall not be exceeded in the undiluted discharge, unless a mixing zone demonstration is conducted and approved under subdivision (4), in which case three-tenths (0.3) TU_a shall be met outside the applicable alternate mixing zone.
 - (ii) To prevent chronic toxicity to aquatic life, human health, and wildlife, WLAs established in a TMDL, WLAs in the absence of a TMDL, and preliminary WLAs shall be determined as follows:
 - (AA) For allocations based on a chronic criterion or value (CCC or SCC; HNC or HNV; HCC or HCV; or WC or WV), the chronic criterion or value shall not be exceeded in the undiluted discharge unless a mixing zone demonstration is conducted and approved under subdivision (4), in which case the chronic criterion or value shall be met outside the applicable alternate mixing zone.
 - (BB) For allocations implementing the narrative chronic WET criterion, one and zero-tenths (1.0) TU_c shall not be exceeded in the undiluted discharge unless a mixing zone demonstration is conducted and approved under subdivision (4), in which case one and zero-tenths (1.0) TU_c shall be met outside the applicable alternate mixing zone.
 - (iii) WLAs established in a TMDL, WLAs in the absence of a TMDL, and preliminary WLAs based on the criterion for chloride, sulfate, total dissolved solids, fluoride, or dissolved iron under 327 IAC 2-1.5-8(j) shall ensure that the criterion not be exceeded in the undiluted discharge unless a mixing zone demonstration is conducted and approved under subdivision (4), in which case the criterion shall be met outside the applicable alternate mixing zone.
 - (iv) If mixing zones from two (2) or more proximate sources interact or overlap, the combined effect must be evaluated to ensure that applicable criteria and values will be met in the area where any applicable mixing zones overlap.
 - (v) In no case shall a mixing zone be granted that exceeds the area where discharge-induced mixing occurs.
- (B) For discharges into inland lakes and other waters of the Great Lakes system with no appreciable flow relative to their volumes (other than the open waters of Lake Michigan), no mixing zone will be allowed and water quality criteria or values will apply to the undiluted discharge.
- (C) Appropriate mixing zone assumptions to be used in calculating load allocations for nonpoint sources shall be determined on a case-by-case basis.
- (D) In no case shall a mixing zone be granted that would likely jeopardize the continued existence of any endangered or threatened species listed under Section 4 of the ESA or result in the destruction or adverse modification of such species' critical habitats.
- (3) The following describes conditions for deriving TMDLs, WLAs in the absence of TMDLs, and preliminary WLAs for tributaries of the Great Lakes system that exhibit appreciable flows relative to their volumes:
- (A) The following stream design flows shall be used unless data exist to demonstrate that an alternative stream design flow is appropriate for stream-specific and pollutant-specific conditions:
 - (i) For purposes of calculating a TMDL, WLAs in the absence of a TMDL, or preliminary WLAs, using a steady-state model, the stream design flows shall be as follows:
 - (AA) For an acute aquatic life criterion or value, the one (1) day, ten (10) year stream design flow ($Q_{1,10}$).
 - (BB) To implement the narrative acute WET criterion, when a mixing zone demonstration is conducted and approved under subdivision (4), the one (1) day, ten (10) year stream design flow ($Q_{1,10}$).
 - (CC) For a chronic aquatic life criterion or value, the seven (7) day, ten (10) year stream design flow

- (Q_{7,10}).
- (DD) To implement the narrative chronic WET criterion, the seven (7) day, ten (10) year stream design flow (Q_{7,10}).
- (EE) For a drinking water human health criterion or value, the harmonic mean flow at the point of the public water system intake.
- (FF) For a nondrinking water human health criterion or value, the harmonic mean flow at the point of discharge.
- (GG) For a WC or WV, the ninety (90) day, ten (10) year stream design flow (Q_{90,10}).
- (ii) TMDLs, WLAs in the absence of TMDLs, and preliminary WLAs calculated using dynamic modelling do not need to incorporate the stream design flows specified in item (i).
- (iii) TMDLs, WLAs in the absence of TMDLs, and preliminary WLAs calculated for intermittent or controlled discharges may use alternate stream design flows if these alternate design flows will ensure compliance with water quality criteria and values.
- (B) To prevent acute toxicity, WLAs and LAs established in a TMDL, WLAs in the absence of a TMDL, and preliminary WLAs shall be determined as follows:
- (i) For allocations based on an acute aquatic life criterion or value, the CMC or SMC shall not be exceeded outside the zone of initial dilution and the FAV shall not be exceeded in the undiluted discharge unless a mixing zone demonstration is conducted and approved under subdivision (4), in which case the CMC or SMC shall be met outside the applicable alternate mixing zone.
- (ii) For allocations implementing the narrative acute WET criterion, one and zero-tenths (1.0) TU_a shall not be exceeded in the undiluted discharge unless a mixing zone demonstration is conducted and approved under subdivision (4), in which case three-tenths (0.3) TU_a shall be met outside the applicable alternate mixing zone.
- (C) To protect aquatic life, wildlife, and human health from chronic effects, including chronic WET, WLAs and LAs established in a TMDL, WLAs in the absence of a TMDL, and preliminary WLAs shall be calculated using a dilution fraction no greater than twenty-five percent (25%) of the stream design flow unless a mixing zone demonstration under subdivision (4) is conducted and approved.
- (D) If mixing zones from two (2) or more proximate sources interact or overlap, the combined effect must be evaluated to ensure that applicable criteria and values will be met in the area where any applicable mixing zones overlap.
- (E) In no case shall a permitting authority grant a mixing zone that would likely jeopardize the continued existence of any endangered or threatened species listed under Section 4 of the ESA or result in the destruction or adverse modification of such species' critical habitats.
- (4) An alternate mixing zone that is allowed under subdivision (2) or (3) may be granted upon the request of the discharger subject to the following requirements:
- (A) Alternate mixing zones are granted on a pollutant-by-pollutant and criterion-by-criterion basis. Any discharger seeking a mixing zone other than that specified by subdivision (2) or (3) shall submit an application for an alternate mixing zone for consideration by the commissioner. The alternate mixing zone application must do the following:
- (i) Document the characteristics and location of the outfall structure, including whether technologically-enhanced mixing will be utilized.
- (ii) Document the amount of dilution occurring at the boundaries of the proposed mixing zone and the size, shape, and location of the area of mixing, including the manner in which diffusion and dispersion occur.
- (iii) For sources discharging to the open waters of Lake Michigan, define the location at which discharge-induced mixing ceases.
- (iv) For sources discharging to tributaries of the Great Lakes system that exhibit appreciable flows relative to their volumes and seeking an alternate mixing zone for an acute aquatic life criterion or value or for acute WET, define the location at which discharge-induced mixing ceases under stream design flow conditions.
- (v) Document the physical, including substrate character and geomorphology, chemical, and biological characteristics of the receiving waterbody, including whether the receiving waterbody supports indigenous, endemic, or naturally occurring species.
- (vi) Document the physical, chemical, and biological characteristics of the effluent.

- (vii) Document the synergistic effects of overlapping mixing zones or the aggregate effects of adjacent mixing zones.
- (viii) Show whether organisms would be attracted to the area of mixing as a result of the effluent character.
- (B) The commissioner may grant the alternate mixing zone if the discharger demonstrates the following:
 - (i) The mixing zone would not interfere with or block passage of fish or aquatic life.
 - (ii) The level of the pollutant permitted in the waterbody would not likely jeopardize the continued existence of any endangered or threatened species listed under Section 4 of the ESA or result in the destruction or adverse modification of such species' critical habitats.
 - (iii) The mixing zone would not extend to drinking water intakes.
 - (iv) The mixing zone would not impair or otherwise interfere with the designated or existing uses of the receiving water or downstream waters.
 - (v) The mixing zone would not promote undesirable aquatic life or result in a dominance of nuisance species.
 - (vi) By allowing the additional mixing:
 - (AA) substances will not settle to form objectionable deposits;
 - (BB) floating debris, oil, scum, and other matter in concentrations that form nuisances will not be produced; and
 - (CC) objectionable color, odor, taste, or turbidity will not be produced.
- (C) In no case shall an alternate mixing zone for an acute aquatic life criterion or value or for acute WET be granted unless the discharger utilizes a submerged, high rate diffuser outfall structure (or the functional equivalent) that provides turbulent initial mixing and minimizes organism exposure time.
- (D) In no case shall an alternate mixing zone for an acute aquatic life criterion or value or for acute WET be granted that exceeds the area where discharge-induced mixing occurs.
- (E) In no case shall an alternate mixing zone for a discharge into the open waters of Lake Michigan be granted that exceeds the area where discharge-induced mixing occurs.
- (F) Upon receipt of an application for an alternate mixing zone, the commissioner shall provide notice, request comment, and, if requested, schedule and hold a public meeting on the application in accordance with section 11.2 of this rule.
- (5) Except for discharges into the open waters of Lake Michigan, notwithstanding subdivisions (2) through (4), the commissioner may deny any mixing zone for:
 - (A) a discharge;
 - (B) certain substances in a discharge; or
 - (C) a criterion or value for any substance in a discharge;based upon a determination of adverse human health, aquatic life, or wildlife effects. The commissioner shall identify and document the rationale for this decision.
- (6) For discharges into the open waters of Lake Michigan, if all of the conditions for approval of an alternate mixing zone are met in accordance with subdivision (4), the alternate mixing zone shall be granted unless the commissioner determines that the mixing zone should be denied based upon a consideration of harm to human health, aquatic life, or wildlife. The commissioner shall evaluate all available information, including information submitted by the public, relevant to the consideration of harm to human health, aquatic life, or wildlife. The commissioner shall identify the harm to human health, aquatic life, or wildlife, and document the rationale for this decision.
- (7) The commissioner's evaluation of a mixing zone for a discharge into the open waters of Lake Michigan under subdivisions (2), (4), and (6) shall constitute the evaluation required by [IC 13-18-4-7](#). Any decision regarding the granting or denial of a mixing zone for a discharge into Lake Michigan shall be included in the public notice of the tentative decision on the draft new, renewed, or modified permit. The basis for the tentative decision, including the commissioner's rationale for concluding whether or not the requirements of [IC 13-18-4-7](#) are satisfied, shall be included in the briefing memo or fact sheet that accompany the tentative decision on the draft new, renewed, or modified permit.
- (c) WLAs calculated in the absence of a TMDL and preliminary WLAs shall be determined using the conservation of mass equations as follows unless an alternate methodology is approved by the commissioner:
 - (1) For the calculations contained within this subsection, the following apply:

- (A) WQC_c = The chronic water quality criterion or value. A chronic water quality criterion or value is any of the following:
- (i) CCC or SCC. If the CCC or SCC for a metal is expressed in the form of dissolved metal, the CCC or SCC shall be set equal to $C_{instream}$ determined for the CCC or SCC in accordance with subdivision (6).
 - (ii) The numeric interpretation of the narrative chronic WET criterion (one and zero-tenths (1.0) TU_a).
 - (iii) HNC or HNV.
 - (iv) HCC or HCV.
 - (v) WC or WV.
 - (vi) The criterion for chloride, sulfate, total dissolved solids, fluoride, or dissolved iron under 327 IAC 2-1.5-8(j).
- (B) WQC_a = The CMC or SMC or, if a mixing zone demonstration for acute WET is conducted and approved under subsection (b)(4), three-tenths (0.3) TU_a for WET. If the CMC or SMC for a metal is expressed in the form of dissolved metal, the CMC or SMC shall be set equal to $C_{instream}$ determined for the CMC or SMC in accordance with subdivision (8).
- (C) FAV = Two (2) times the CMC or SMC. If the CMC or SMC for a metal is expressed in the form of dissolved metal, the FAV shall equal two (2) times $C_{instream}$ determined for the CMC or SMC in accordance with subdivision (8).
- (D) Q_e = The facility effluent flow as determined by subsection (a)(9).
- (E) Q_w = The portion of the receiving waterbody allocated for mixing under subsection (b). If C_b is greater than the water quality criterion or value, a value of zero (0) shall be used for Q_w .
- (F) C_b = The representative background concentration determined by subsection (a)(8).
- (G) DF =
$$\frac{Q_w + Q_e}{Q_e}$$

Dilution factor =
- (H) Q_z = The portion of the receiving waterbody allocated for mixing in the zone of initial dilution. For discharges into tributaries that exhibit appreciable flows relative to their volumes, $Q_z = Q_e$ or the $Q_{1,10}$, whichever is less. For discharges into the open waters of Lake Michigan, $Q_z = Q_e$. If C_b is greater than WQC_a , a value of zero (0) shall be used for Q_z .

(2) WLAs for discharges into tributaries that exhibit appreciable flows relative to their volumes based on protection from acute aquatic effects shall be determined as follows:

(A) For a discharge without an approved alternate mixing zone under subsection (b)(4), the equation resulting in the lesser WLA shall be used:

(i) $WLA = FAV$ (or 1.0 TU_a for WET); or

$$WLA = \frac{WQC_a(Q_e + Q_z) - (Q_z)(C_b)}{Q_e}$$

(ii)

(B) For a discharge with an approved alternate mixing zone under subsection (b)(4), the following equation shall be used:

$$WLA = (WQC_a)(DF) - (C_b)(DF-1)$$

(3) WLAs for discharges into tributaries that exhibit appreciable flows relative to their volumes based on protection from chronic effects shall be determined as follows:

$$WLA = \frac{WQC_c(Q_e + Q_w) - (Q_w)(C_b)}{Q_e}$$

(4) WLAs for discharges into the open waters of Lake Michigan based on protection from acute aquatic effects shall be determined as follows:

(A) For a discharge without an approved alternate mixing zone under subsection (b)(4), the equation resulting in the

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lesser WLA shall be used:

(i) $WLA = FAV$ (or $1.0 TU_a$ for WET); or

$$WLA = \frac{WQC_a(Q_e + Q_z) - (Q_z)(C_b)}{Q_e}$$

(ii)

(B) For a discharge with an approved alternate mixing zone under subsection (b)(4), the following equation shall be used:

$$WLA = (WQC_a)(DF) - (C_b)(DF-1)$$

(5) WLAs for discharges into the open waters of Lake Michigan based on protection from chronic effects shall be determined as follows:

(A) For a discharge without an approved alternate mixing zone under subsection (b)(4), the following equation shall be used:

$$WLA = WQC_c$$

(B) For a discharge with an approved alternate mixing zone under subsection (b)(4), the following equation shall be used:

$$WLA = (WQC_c)(DF) - (C_b)(DF-1)$$

(6) WLAs for discharges into inland lakes and other waters of the Great Lakes system with no appreciable flow relative to their volumes (other than the open waters of Lake Michigan) based on protection from acute aquatic effects shall be determined as follows:

$$WLA = WQC_a$$

(7) WLAs for discharges into inland lakes and other waters of the Great Lakes system with no appreciable flow relative to their volumes (other than the open waters of Lake Michigan) based on protection from chronic effects shall be determined as follows:

$$WLA = WQC_c$$

(8) The following procedures shall be used to calculate $C_{instream}$, the total recoverable metal concentration outside the mixing zone that equates to an acute or chronic aquatic life water quality criterion or value expressed in the form of dissolved metal:

(A) For a CMC or SMC expressed in the form of dissolved metal, $C_{instream}$ shall be calculated by dividing the CMC or SMC by the acute translator found in clause (D).

(B) For a CCC or SCC expressed in the form of dissolved metal, $C_{instream}$ shall be calculated by dividing the CCC or SCC by the chronic translator found in clause (D).

(C) If all approved analytical methods for the metal inherently measure only its dissolved form, such as hexavalent chromium, $C_{instream}$ shall not be calculated and the acute and chronic aquatic life water quality criteria or values expressed in the form of dissolved metal shall be used in the calculation of WLAs.

(D) Unless a site-specific translator is determined in accordance with clause (E), the following translators shall be used:

Table 11.4-2
Metals Translators
Dissolved to Total Recoverable

Substances	Acute Translators	Chronic Translators
Arsenic (III)	1.000	1.000
Cadmium	$1.136672 - [(\ln \text{hardness})(0.041838)]$	$1.101672 - [(\ln \text{hardness})(0.041838)]$
Chromium (III)	0.316	0.860
Copper	0.960	0.960
Mercury	0.85	0.85
Nickel	0.998	0.997
Selenium	0.922	0.922
Zinc	0.978	0.986

(E) A discharger or proposed discharger may request the use of an alternate translator by using site-specific data. The discharger must conduct a site-specific study to identify the ratio of the dissolved fraction to the total recoverable fraction for a metal in the receiving waterbody outside the mixing zone. If the discharger provides an acceptable study, and other provisions of 327 IAC 2-1.5 and this article are satisfied (such as antibacksliding and antidegradation), the commissioner shall use the site-specific translator. A translator derived for one (1) discharge into a waterbody segment may be applied to other discharges on the same waterbody segment if the translator would adequately represent the site-specific conditions applicable to the other discharges.

(d) Notwithstanding subsections (a) through (c), the pollutants contained in this subsection shall be addressed as follows:

- (1) The pH requirements contained in 327 IAC 2-1.5-8(c)(2) and 327 IAC 2-1.5-8(j) apply to the undiluted discharge.
- (2) The bacteriological criteria contained in 327 IAC 2-1.5-8(e) apply to the undiluted discharge.
- (3) Models, approved by the commissioner, that ensure compliance with the applicable water quality criteria for the following parameters shall be used:
 - (A) Dissolved oxygen criteria contained in 327 IAC 2-1.5-8(c)(3), 327 IAC 2-1.5-8(d)(1), and 327 IAC 2-1.5-8(j).
 - (B) Thermal requirements contained in 327 IAC 2-1.5-8(c)(4) and 327 IAC 2-1.5-8(d)(2).
 - (C) Criteria for the protection of public water supplies contained under 327 IAC 2-1.5-8(f).
 - (D) Criteria for the protection of industrial water supplies contained in 327 IAC 2-1.5-8(g).

(Water Pollution Control Division; 327 IAC 5-2-11.4; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1441; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3379; filed Feb 14, 2005, 10:05 a.m.: 28 IR 2102; errata filed Jul 6, 2005, 3:12 p.m.: 28 IR 3582; filed Jul 9, 2012, 2:54 p.m.: [20120808-IR-327110320FRA](#))

327 IAC 5-2-11.5 Great Lakes system dischargers determination of reasonable potential to exceed water quality standards

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 11.5. (a) If the commissioner determines that a pollutant or pollutant parameter (either conventional, nonconventional, a toxic substance, or whole effluent toxicity (WET)) is or may be discharged into the Great Lakes system at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above any applicable narrative criterion or numeric water quality criterion or value under 327 IAC 2-1.5, the commissioner shall incorporate water quality-based effluent limitations (WQBELs) in an NPDES permit that will ensure compliance with the criterion or value. The commissioner shall exercise best professional judgment, taking into account the:

- (1) source and nature of the discharge;
- (2) existing controls on point and nonpoint sources of pollution;
- (3) variability of the pollutant or pollutant parameter in the effluent; and
- (4) where appropriate, dilution of the effluent in the receiving water.

In all cases, the commissioner shall use any valid, relevant, representative information pertaining to the discharge of the pollutant.

(b) If the commissioner determines that a substance is or may be discharged into the Great Lakes system at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above any numeric criterion for a toxic substance contained in 327 IAC 2-1.5-8(b)(3), Table 8-1, 327 IAC 2-1.5-8(b)(5), 327 IAC 2-1.5-8(b)(6), Table 8-3, 327 IAC 2-1.5-8(b)(7), Table 8-4, 327 IAC 2-1.5-16(g), Table 16-1, a criterion for ammonia contained under 327 IAC 2-1.5-8(c)(5), a criterion for chloride, sulfate, total dissolved solids, fluoride, or dissolved iron under 327 IAC 2-1.5-8(j), or a Tier I criterion or Tier II value established under 327 IAC 2-1.5-11 through 327 IAC 2-1.5-16, the commissioner shall incorporate WQBELs in an NPDES permit for the discharge of that pollutant, and in all cases, the commissioner shall use any valid, relevant, representative information pertaining to the discharge of the substance as follows:

(1) When facility-specific effluent monitoring data for a substance are available, the commissioner may take into account the source and nature of the discharge, existing controls on point and nonpoint sources of pollution, the variability of the pollutant or pollutant parameter in the effluent, and, where appropriate, the dilution of the effluent in the receiving water in making the determination whether to develop preliminary effluent limitations (PELs) and comparing those effluent limitations to the projected effluent quality (PEQ) of the discharge in accordance with the following procedures:

(A) The commissioner shall develop PELs for the discharge of a pollutant from a point source using the following procedures:

(i) The commissioner shall develop preliminary WLAs for the discharge of the pollutant from the point source

to protect human health, wildlife, acute aquatic life, and chronic aquatic life, based upon the following:

(AA) Any existing numeric criterion for a toxic substance contained in 327 IAC 2-1.5-8(b)(3), Table 8-1, 327 IAC 2-1.5-8(b)(5), 327 IAC 2-1.5-8(b)(6), Table 8-3, 327 IAC 2-1.5-8(b)(7), Table 8-4, 327 IAC 2-1.5-16(g), Table 16-1, or 327 IAC 2-1.5-8(c)(5) or a site-specific modification to an existing numeric criterion established under 327 IAC 2-1.5-16.

(BB) Where there is no existing numeric criterion, the commissioner shall calculate a Tier I criterion for such substance for the protection of human health, wildlife, and aquatic life using the methodologies under 327 IAC 2-1.5-11 (aquatic life), 327 IAC 2-1.5-14 (human health), 327 IAC 2-1.5-15 (wildlife), and 327 IAC 2-1.5-16 (site-specific modifications).

(CC) Where there is insufficient data to calculate a Tier I criterion, the commissioner shall calculate a Tier II value for such substance for the protection of human health and aquatic life using the methodologies under 327 IAC 2-1.5-12 (aquatic life), 327 IAC 2-1.5-14 (human health), and 327 IAC 2-1.5-16 (site-specific modifications).

(DD) Where there is insufficient data to calculate a Tier II value, the commissioner shall apply the procedure in subdivision (3) to determine whether data must be generated to calculate a Tier II value.

(ii) The commissioner shall develop a preliminary WLA for the discharge of chloride, sulfate, total dissolved solids, fluoride, or dissolved iron, in addition to the preliminary WLAs developed for the parameter under item (i), based on the numeric criterion for the substance under 327 IAC 2-1.5-8(j) when applicable.

(iii) Section 11.4(c) of this rule shall be used as the basis for determining preliminary WLAs in accordance with items (i) and (ii).

(iv) The commissioner shall use the preliminary WLAs developed under items (i) through (iii) to develop monthly and daily PELs in accordance with the procedure for converting WLAs into WQBELs under section 11.6(c) of this rule.

(B) The commissioner shall determine the PEQ as follows:

(i) When monthly average data are available, calculated using at least two (2) data points over the period of a month, the monthly PEQ shall be determined as follows:

(AA) The commissioner shall identify the number of monthly averages of the effluent data and the coefficient of variation of the monthly averages of the effluent data.

(BB) The commissioner shall obtain the appropriate multiplying factor from subsection (h) based on the information obtained in subitem (AA).

(CC) The maximum of the monthly average values shall be multiplied by the multiplying factor determined under subitem (BB) to determine the monthly PEQ.

(ii) When monthly average data are not available, the monthly PEQ shall be identical to the daily PEQ determined under item (iii). An alternate method of calculating monthly averages may be used if the applicant demonstrates that this alternate method results in monthly averages representative of actual conditions at the facility. Monthly averages calculated under this item shall be used to determine the monthly PEQ using the procedure in item (i).

(iii) The daily PEQ shall be determined as follows:

(AA) The commissioner shall identify the number of daily effluent samples and the coefficient of variation of the daily effluent samples.

(BB) The commissioner shall obtain the appropriate multiplying factor from subsection (h) based on the information obtained in subitem (AA).

(CC) The maximum of the daily effluent samples shall be multiplied by the multiplying factor determined under subitem (BB) to determine the daily PEQ.

(iv) The coefficient of variation shall be calculated as the ratio of the standard deviation of the daily or monthly effluent data divided by the arithmetic average of the effluent data, except that where there are fewer than ten (10) data points the coefficient of variation shall be specified as six-tenths (0.6).

(v) In lieu of the procedures under items (i) through (iv), the commissioner shall allow the use of an alternate procedure for the determination of the PEQ if the applicant demonstrates that the alternate statistical procedure

meets the following:

- (AA) Is a scientifically defensible statistical method.
- (BB) Specifies the daily PEQ as the ninety-fifth percentile of the distribution of the projected population of daily values of the facility-specific effluent monitoring data.
- (CC) Specifies the monthly PEQ as the ninety-fifth percentile of the distribution of the projected population of monthly average values of the facility-specific effluent monitoring data.
- (DD) Accounts for and captures the long term daily and monthly variability of the effluent quality.
- (EE) Accounts for limitations associated with sparse data sets.
- (FF) Assumes a lognormal distribution of the facility-specific effluent data unless otherwise shown by the effluent data set.

(C) The commissioner shall establish WQBELs in the NPDES permit for each substance that:

- (i) the monthly PEQ developed under clause (B) exceeds the monthly PEL developed under clause (A); or
- (ii) the daily PEQ developed under clause (B) exceeds the daily PEL developed under clause (A).

(D) If facility-specific effluent monitoring data for a metal are available in the form of dissolved metal and the PELs for the metal developed under clause (A) are based on an acute or chronic aquatic life water quality criterion or value expressed in the form of dissolved metal, the commissioner shall make the determination under clause (C) using PEQs and PELs in the form of dissolved metal if the following conditions are satisfied:

- (i) The discharger provides an acceptable site-specific study that shows that the metal in the effluent does not become more dissolved in the receiving waterbody outside the mixing zone.
- (ii) Representative data are available from the receiving waterbody to calculate the background concentration of the metal in accordance with section 11.4(a)(8) of this rule and, if applicable, the hardness of the receiving waterbody in accordance with section 11.4(a)(13) of this rule.
- (iii) The facility-specific effluent monitoring data in the form of dissolved metal are representative of the magnitude and variability of the metal in the effluent.
- (iv) The PEQs in the form of dissolved metal are determined under clause (B) using the effluent monitoring data in item (iii).
- (v) The PELs in the form of dissolved metal are developed as follows:

- (AA) Preliminary WLAs in the form of dissolved metal are developed consistent with section 11.4(c) of this rule and using the receiving waterbody data in item (ii) to protect acute and chronic aquatic life.
- (BB) The preliminary WLAs in subitem (AA) are used to develop monthly and daily PELs in accordance with section 11.6(c) of this rule.

(vi) A determination under clause (C) using PEQs and PELs developed under this item in the form of total recoverable metal shows that the commissioner is not required to establish WQBELs in the NPDES permit for the metal. The PEQs and PELs shall be developed as follows:

- (AA) PEQs in the form of total recoverable metal shall be determined under clause (B) using facility-specific effluent monitoring data in the form of total recoverable metal that is comparable to the data in item (iii).
- (BB) Monthly and daily PELs in the form of total recoverable metal shall be developed using preliminary WLAs developed under section 11.4(c) of this rule for all the applicable criteria and values for the metal that are expressed in the form of total recoverable metal and in accordance with section 11.6(c) of this rule. The preliminary WLAs shall be calculated using the receiving waterbody data in item (ii).

(2) When facility-specific effluent monitoring data for a substance are not available, the commissioner shall exercise best professional judgment, taking into account the source and nature of the discharge, existing controls on point and nonpoint sources of pollution, and, where appropriate, the dilution of the effluent in the receiving water:

- (A) for a new Great Lakes discharger, to develop an estimated monthly and daily PEQ necessary to make a determination under this subsection; or
- (B) for an existing Great Lakes discharger, to determine whether it is necessary to require the applicant to collect the data required to make a determination under this subsection.

(3) The commissioner shall develop the necessary data to calculate Tier II values where such data does not currently exist as follows:

(A) Except as provided in clauses (B) and (D) or subdivision (4), for each toxic substance that a permittee reports as known or believed to be present in its effluent, or that the commissioner reasonably believes may be present in the effluent, and for which pollutant data sufficient to calculate Tier II values for noncancer human health, acute aquatic life, or chronic aquatic life do not exist, the commissioner shall take the following actions:

(i) For those effects (noncancer human health, acute aquatic life, or chronic aquatic life) for which sufficient data do not exist, the commissioner shall use all available, relevant information, including QSAR information and other relevant toxicity information, to estimate ambient screening values for such pollutant that will protect humans from health effects other than cancer, and aquatic life from acute and chronic effects.

(ii) Using the procedures under subdivision (1), the commissioner shall develop PELs for the discharge of the pollutant from the point source to protect human health, acute aquatic life, and chronic aquatic life based upon the estimated ambient screening values.

(iii) The commissioner shall compare the PEQs developed according to the procedures under subdivision (1) to the PELs developed under item (ii). If the monthly or daily PEQ exceeds the respective monthly or daily PEL, the commissioner shall generate or require the permittee to generate the data necessary to derive Tier II values for noncancer human health, acute aquatic life, and chronic aquatic life.

(iv) The data generated under item (iii) shall be used in calculating a Tier II value as required under subdivision (1). The calculated Tier II value shall be used in calculating the PELs under subdivision (1). These PELs shall be used for purposes of determining whether a WQBEL must be included in the permit under subdivision (1).

(B) With the exception of BCCs, the commissioner is not required to apply the procedures under clause (A) or include WQBELs to protect aquatic life for any pollutant discharged by an existing point source into the Great Lakes system if the following occur:

(i) There is insufficient data to calculate a Tier I criterion or Tier II value for aquatic life for the pollutant.

(ii) The permittee has demonstrated that the whole effluent does not exhibit acute or chronic toxicity.

(iii) The permittee has demonstrated, through a biological assessment, that there are no acute or chronic effects on aquatic life in the receiving water.

(C) Nothing in clause (A) or (B) shall preclude or deny the right of the commissioner to:

(i) determine, in the absence of the data necessary to derive a Tier II value, that the discharge of the pollutant will cause, have the reasonable potential to cause, or contribute to an excursion above a narrative criterion for water quality; and

(ii) incorporate a WQBEL for the pollutant into an NPDES permit.

(D) If the commissioner develops a WQBEL consistent with clause (C) that is at least as stringent as a WQBEL that would have been developed based upon the Tier II value or values for that pollutant, the commissioner may require the permittee to generate the data necessary to derive a Tier II value or values for that pollutant.

(4) The determinations under this subdivision shall be made on a pollutant-by-pollutant, outfall-by-outfall basis. This subdivision applies only in the absence of an EPA-approved TMDL applicable to the discharge or in the absence of an assessment and remediation plan submitted and approved in accordance with section 11.4(a)(2) of this rule. The following procedures shall be used in the consideration of intake pollutants in determining reasonable potential:

(A) As used in this subdivision and section 11.6(i) of this rule, "intake pollutant" means a pollutant that is present in waters of the state at the time it is withdrawn from such waters by the discharger or other facility, such as a public water system supplying the discharger with intake water.

(B) As used in this subdivision, subsection (g), and section 11.6(i) of this rule, an intake pollutant is considered to be from the same body of water as the discharge if the following conditions exist:

(i) The commissioner finds that the intake pollutant would have reached the vicinity of the outfall point in the receiving water within a reasonable period had it not been removed by the permittee. This finding may be deemed established if:

(AA) the representative background concentration of the pollutant in the receiving water, as determined under section 11.4(a)(8) of this rule, (excluding any amount of the pollutant in the facility's discharge) is similar to or greater than that in the intake water;

- (BB) there is a direct hydrological connection between the intake and discharge points (the water at the point of intake naturally flows toward the water at the point of discharge); and
 - (CC) any difference in a water quality characteristic (such as temperature, pH, and hardness) between the intake and receiving waters does not result in an adverse impact on the receiving water.
- (ii) The commissioner may also consider other site-specific factors relevant to the transport and fate of the pollutant to make the finding in a particular case that a pollutant would or would not have reached the vicinity of the outfall point in the receiving water within a reasonable period had it not been removed by the permittee.
- (iii) An intake pollutant from ground water may be considered to be from the same body of water if the commissioner determines that the pollutant would have reached the vicinity of the outfall point in the receiving water within a reasonable period had it not been removed by the permittee, except that such a pollutant is not from the same body of water to the extent that the ground water contains the pollutant partially or entirely due to human activity, such as industrial, commercial, or municipal operations, disposal actions, or treatment processes.
- (iv) Notwithstanding any other provision in this clause, an intake pollutant shall be considered to be from the same body of water if the permittee's intake point is located on Lake Michigan and the outfall point is located on a tributary of Lake Michigan and the following conditions are met:
- (AA) The representative background concentration of the pollutant in the receiving water, as determined under section 11.4(a)(8) of this rule (excluding any amount of the pollutant in the facility's discharge) is similar to or greater than that in the intake water.
 - (BB) Any difference in a water quality characteristic (such as temperature, pH, and hardness) between the intake and receiving waters does not result in an adverse impact on the receiving water.
- (C) The commissioner may use the procedure to determine reasonable potential described in this subdivision in lieu of the procedures contained under subdivisions (1) through (3) provided the following conditions are met:
- (i) The commissioner may determine that there is no reasonable potential for the discharge of an intake pollutant or pollutant parameter to cause or contribute to an excursion above a narrative criterion or numeric water quality criterion or value under 327 IAC 2-1.5 when a discharger demonstrates to the satisfaction of the commissioner (based upon information provided in the permit application or other information deemed necessary by the commissioner) that:
 - (AA) the facility does not contribute any additional mass of the intake pollutant to its wastewater;
 - (BB) the facility withdraws one hundred percent (100%) of the intake water containing the pollutant from the same body of water into which the discharge is made;
 - (CC) the facility does not alter the intake pollutant chemically or physically in a manner that would cause adverse water quality impacts to occur that would not occur if the pollutants were left in-stream;
 - (DD) the facility does not cause an increase in the intake pollutant concentration at the edge of the mixing zone, or at the point of discharge if a mixing zone is not allowed, as compared to the pollutant concentration in the intake waterbody unless the increased concentration does not cause or contribute to an excursion above an applicable narrative criterion or numeric water quality criterion or value; and
 - (EE) the timing and location of the discharge would not cause adverse water quality impacts to occur that would not occur if the intake pollutant were left in the waterbody.
 - (ii) If a discharge of an intake pollutant or pollutant parameter is not able to qualify under item (i), the commissioner may decide not to impose WQBELs on the discharge, if the following conditions are met:
 - (AA) The discharge consists of one (1) or more internal wastestreams that do qualify (qualifying wastestreams) under item (i) and one (1) or more internal wastestreams that do not qualify (nonqualifying wastestreams) under item (i).
 - (BB) For nonqualifying wastestreams composed entirely of storm water, the permittee accepts permit conditions for the storm water wastestream that the commissioner determines to be necessary to protect the water quality of the receiving waterbody. The requirements imposed shall be as if the storm water wastestream discharged directly into the receiving waterbody and shall be consistent

with requirements imposed on other similar storm water discharges to the waterbody.

(CC) For nonqualifying wastestreams not composed entirely of storm water, the permittee accepts WQBELs on each of the nonqualifying wastestreams that have a reasonable potential for the discharge of the intake pollutant or pollutant parameter to cause or contribute to an excursion above a narrative criterion or numeric water quality criterion or value as determined using the procedures under subdivisions (1) through (3). For purposes of determining reasonable potential and developing WQBELs for these nonqualifying wastestreams, the preliminary WLAs and WLAs in the absence of a TMDL shall be determined as if these nonqualifying wastestreams discharged directly into the receiving waterbody without combining with the qualifying wastestreams.

(iii) Upon a finding under item (i) or (ii) that a pollutant in the discharge does not cause, have the reasonable potential to cause, or contribute to an excursion above an applicable narrative criterion or numeric water quality criterion or value, the commissioner is not required to include a WQBEL in the facility's permit for the intake pollutant provided:

(AA) the NPDES permit fact sheet or statement of basis includes a specific determination that there is no reasonable potential for the discharge of an intake pollutant to cause or contribute to an excursion above an applicable narrative criterion or numeric water quality criterion or value and references appropriate supporting documentation included in the administrative record;

(BB) the permit requires all influent, effluent, and ambient monitoring necessary to demonstrate that the conditions in item (i) or (ii) are maintained during the permit term; and

(CC) the permit contains a reopener clause authorizing modification or revocation and reissuance of the permit if new information indicates changes in the conditions under item (i) or (ii).

(iv) Absent a finding under item (i) or (ii) that the discharge of an intake pollutant or pollutant parameter does not cause, have the reasonable potential to cause, or contribute to an excursion above an applicable narrative criterion or numeric water quality criterion or value, the commissioner shall use the procedures contained under subdivisions (1) through (3) to determine whether the discharge of that pollutant causes, has the reasonable potential to cause, or contribute to an excursion above an applicable narrative criterion or numeric water quality criterion or value.

(5) Notwithstanding this subsection, if the commissioner determines that the geometric mean of a pollutant in fish tissue samples collected from a waterbody exceeds the tissue basis of a water quality criterion or value, after consideration of the variability of the pollutant's bioconcentration and bioaccumulation in fish, the following provisions apply:

(A) If such pollutant is a BCC, each facility that discharges detectable levels of the BCC to that water has the reasonable potential to cause or contribute to an excursion above a water quality criterion or value for that BCC and the commissioner shall establish a WQBEL for such pollutant in the NPDES permit for each such facility.

(B) If such pollutant is not a BCC, the commissioner may determine that any or all of the facilities that discharge detectable levels of the pollutant to that water have the reasonable potential to cause or contribute to an excursion above a water quality criterion or value for that pollutant and the commissioner shall establish a WQBEL for such pollutant in the NPDES permit for each such facility.

(c) Except as provided in subdivision (3), where the commissioner determines that the WET of an effluent is or may be discharged at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above any numeric interpretation of a narrative WET criterion contained in 327 IAC 2-1.5-8, the commissioner shall incorporate WQBELs for WET in the NPDES permit and in all cases, the commissioner shall use any valid, relevant, or representative information pertaining to the discharge of WET as follows:

(1) When facility-specific WET data are available, the commissioner may take into account the source and nature of the discharge, existing controls on point and nonpoint sources of pollution, the variability of the WET in the effluent, and, where appropriate, the dilution of the effluent in the receiving water in making the determination to develop effluent limitations for WET. The WET of an effluent is or may be discharged at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above any applicable WET criterion contained under 327 IAC 2-1.5, when effluent-specific information demonstrates the following:

(A) The acute WET of an effluent is or may be discharged at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above an applicable acute WET criterion applied to the undiluted discharge, when

effluent-specific information demonstrates the following:

$$(TU_a)(F) \geq 0.2$$

Where: TU_a = The geometric mean of the measured acute toxicity values expressed in acute toxic units (TU_a or TU_c). Individual toxicity values may be estimated for the missing endpoint using a default ACR of ten (10), when data exist for chronic WET, but not for acute WET.

F = Fraction of the measured toxicity values greater than the preliminary WLA for acute WET determined under section 11.4(c) of this rule (fraction failed).

(B) The acute WET of an effluent is or may be discharged at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above an applicable acute WET criterion applied outside an alternate mixing zone, when effluent-specific information demonstrates the following:

$$F \geq 0.2$$

Where: F = Fraction of the measured toxicity values greater than the preliminary WLA for acute WET determined under section 11.4(c) of this rule (fraction failed). Individual toxicity values may be estimated for the missing endpoint using a default ACR of ten (10), when data exist for chronic WET, but not for acute WET.

(C) The chronic WET of an effluent is or may be discharged at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above an applicable chronic WET criterion, when effluent-specific information demonstrates the following:

$$\frac{(TU_c)(Q_e)(F)}{(Q_w + Q_e)} \geq 0.2$$

Where: TU_c = The geometric mean of the measured chronic toxicity values expressed in chronic toxic units. Individual toxicity values may be estimated for the missing endpoint using a default ACR of ten (10), when data exist for acute WET, but not for chronic WET.

Q_e = The effluent flow rate as determined under section 11.4(a)(9) of this rule.

Q_w = The portion of the receiving waterbody allocated for mixing as determined under section 11.4(b) of this rule.

F = Fraction of the measured toxicity values greater than the preliminary WLA for acute or chronic WET determined under section 11.4(c) of this rule (fraction failed).

(2) When WET data are not available, the commissioner shall exercise best professional judgment, taking into account the source and nature of the discharge, existing controls on point and nonpoint sources of pollution, and, where appropriate, the dilution of the effluent in the receiving water to determine whether it is necessary to impose WET requirements in accordance with the following:

(A) For a new Great Lakes discharger, the commissioner shall determine whether it is necessary to impose WET limitations.

(B) For an existing Great Lakes discharger, whether it is necessary to require the applicant to collect the data required to make a determination under this subsection. The commissioner may include in the NPDES permit the following conditions to generate additional data and control toxicity if found:

(i) WET testing requirements to generate the data needed to adequately characterize the toxicity of the effluent to aquatic life.

(ii) A toxicity reduction evaluation and a schedule to comply with WET limits if any toxicity testing data indicate that the WET of an effluent is or may be discharged at levels that will cause, have the reasonable potential to cause, or contribute to an excursion above any applicable WET criterion.

(iii) WET limits that become effective upon completion of the compliance schedule.

(3) Limitations on WET are not necessary where the commissioner demonstrates in the fact sheet or briefing memo of the NPDES permit that chemical-specific limits for the effluent are sufficient to attain and maintain the applicable narrative water quality criteria for WET.

(d) Once the commissioner has determined in accordance with this section that a WQBEL must be included in an NPDES permit, the commissioner shall do the following:

(1) Rely upon the WLA established for the point source either as part of any EPA-approved TMDL prepared under section 11.4 of this rule, or as part of an assessment and remediation plan developed and approved in accordance with section 11.4(a)(2) of this rule, or, in the absence of such TMDL or plan, calculate WLAs for the protection of acute and chronic aquatic life, wildlife, and human health in accordance with the provisions for developing WLAs under section 11.4 of this rule.

(2) Develop WQBELs using these WLAs in accordance with section 11.6 of this rule.

(e) The commissioner may require monitoring for a pollutant or pollutant parameter even if it is determined that a WQBEL in the NPDES permit for that pollutant or pollutant parameter is not required.

(f) In addition to this section, effluent limitations shall be established to comply with all other applicable state and federal laws and regulations, including technology-based requirements and antidegradation policies.

(g) Notwithstanding subsection (b) or (c) and only in situations where the intake and outfall points are located on the same body of water as defined in subsection (b)(4)(B), the commissioner shall not impose WQBELs for a discharge consisting solely of once-through noncontact cooling water, except in accordance with the following:

(1) The commissioner may require a WQBEL based on an acute aquatic life criterion or value for a substance or acute WET when information is available indicating that such a limit is necessary to protect aquatic life unless the discharger is able to demonstrate that the presence of the substance or WET is due solely to its presence in the intake water.

(2) The commissioner shall establish limitations or other requirements in the permit for the noncontact cooling water wastestream to prevent impairment of the receiving waterbody if a valid biological assessment of the receiving waterbody indicates that the noncontact cooling water discharge impairs an existing or designated use of the waterbody, exclusive of thermal impacts from a discharge for which alternative thermal effluent limitations have been established in accordance with Section 316(a) of the CWA and 327 IAC 5-7.

(3) If a substance is present at elevated levels in the noncontact cooling water wastestream due to improper operation or maintenance of the cooling system, and this substance is or may be discharged at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above a numeric criterion or value for a toxic substance as determined under subsection (b), WQBELs shall be established using the procedures in sections 11.4 and 11.6 of this rule.

(4) If the permittee uses or proposes to use additives in the noncontact cooling water wastestream, the additives shall be evaluated using the reasonable potential procedures contained under this section to determine whether WQBELs are necessary for the wastestream.

(5) If the source of the noncontact cooling water wastestream is contaminated ground water, this subsection does not apply to the discharge of the substances contaminating the ground water.

(6) If one (1) or more wastestreams consisting solely of noncontact cooling water are combined with one (1) or more wastestreams not consisting solely of noncontact cooling water, this subsection may still be applied to the wastestreams consisting solely of noncontact cooling water if, for the wastestreams that do not consist solely of noncontact cooling water, the following requirements are imposed:

(A) For each of the wastestreams composed entirely of storm water, permit conditions that the commissioner determines to be necessary to protect the water quality of the receiving waterbody shall be imposed. The requirements imposed shall be as if the storm water wastestream discharged directly into the receiving waterbody and shall be consistent with requirements imposed on other similar storm water discharges to the waterbody.

(B) For each of the wastestreams not composed entirely of storm water, each wastestream shall be evaluated to determine if there is a reasonable potential for the discharge of a pollutant or pollutant parameter to cause or contribute to an excursion above a narrative criterion or numeric water quality criterion or value as determined using the procedures in this section. For purposes of determining reasonable potential and developing WQBELs for these wastestreams, the preliminary WLAs and WLAs in the absence of a TMDL shall be determined as if these wastestreams discharged directly into the receiving waterbody without combining with the wastestreams consisting solely of noncontact cooling water.

(7) As used in this subsection, "once-through noncontact cooling water" means water used for cooling that does not come into direct contact with any raw material, intermediate product, final product, or waste product and makes one (1) or two (2) passes for the purpose of removing waste heat.

(h) The multiplying factors to be used in subsection (b) are established in Tables 11.5-1 and 11.5-2 and shall be obtained as follows:

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(1) Round the coefficient of variation (CV) identified in subsection (b) to the nearest CV in Table 11.5-1 or Table 11.5-2. If the CV identified in subsection (b) is greater than two (2.0), set the CV equal to two (2.0).

(2) Obtain the appropriate multiplying factor from Table 11.5-1 or Table 11.5-2 using the number of samples identified in subsection (b) and the CV determined under subdivision (1). If the number of samples identified under subsection (b) is greater than one hundred (100), obtain the multiplying factor using one hundred (100) samples.

Table 11.5-1 Reasonable Potential Multiplying Factors																					
Number of Samples	Coefficient of Variation																				
	0.05	0.1	0.2	0.3	0.4	0.5	0.6	0.7	0.8	0.9	1.0	1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.8	1.9	2.0
1	1.2	1.4	1.9	2.6	3.6	4.7	6.2	8.0	10.1	12.6	15.5	18.7	22.3	26.4	30.8	35.6	40.7	46.2	52.1	58.4	64.9
2	1.1	1.3	1.6	2.0	2.5	3.1	3.8	4.6	5.4	6.4	7.4	8.5	9.7	10.9	12.2	13.6	15.0	16.4	17.9	19.5	21.1
3	1.1	1.2	1.5	1.8	2.1	2.5	3.0	3.5	4.0	4.6	5.2	5.8	6.5	7.2	7.9	8.6	9.3	10.0	10.8	11.5	12.3
4	1.1	1.2	1.4	1.7	1.9	2.2	2.6	2.9	3.3	3.7	4.2	4.6	5.0	5.5	6.0	6.4	6.9	7.4	7.8	8.3	8.8
5	1.1	1.2	1.4	1.6	1.8	2.1	2.3	2.6	2.9	3.2	3.6	3.9	4.2	4.5	4.9	5.2	5.6	5.9	6.2	6.6	6.9
6	1.1	1.1	1.3	1.5	1.7	1.9	2.1	2.4	2.6	2.9	3.1	3.4	3.7	3.9	4.2	4.5	4.7	5.0	5.2	5.5	5.7
7	1.1	1.1	1.3	1.4	1.6	1.8	2.0	2.2	2.4	2.6	2.8	3.1	3.3	3.5	3.7	3.9	4.1	4.3	4.5	4.7	4.9
8	1.1	1.1	1.3	1.4	1.6	1.7	1.9	2.1	2.3	2.4	2.6	2.8	3.0	3.2	3.3	3.5	3.7	3.9	4.0	4.2	4.3
9	1.1	1.1	1.2	1.4	1.5	1.7	1.8	2.0	2.1	2.3	2.4	2.6	2.8	2.9	3.1	3.2	3.4	3.5	3.6	3.8	3.9
10	1.0	1.1	1.2	1.3	1.5	1.6	1.7	1.9	2.0	2.2	2.3	2.4	2.6	2.7	2.8	3.0	3.1	3.2	3.3	3.4	3.6
11	1.0	1.1	1.2	1.3	1.4	1.6	1.7	1.8	1.9	2.1	2.2	2.3	2.4	2.5	2.7	2.8	2.9	3.0	3.1	3.2	3.3
12	1.0	1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.9	2.0	2.1	2.2	2.3	2.4	2.5	2.6	2.7	2.8	2.9	3.0	3.0
13	1.0	1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.8	1.9	2.0	2.1	2.2	2.3	2.4	2.5	2.5	2.6	2.7	2.8	2.9
14	1.0	1.1	1.2	1.3	1.4	1.4	1.5	1.6	1.7	1.8	1.9	2.0	2.1	2.2	2.3	2.3	2.4	2.5	2.6	2.6	2.7
15	1.0	1.1	1.2	1.2	1.3	1.4	1.5	1.6	1.7	1.8	1.8	1.9	2.0	2.1	2.2	2.2	2.3	2.4	2.4	2.5	2.5
16	1.0	1.1	1.1	1.2	1.3	1.4	1.5	1.6	1.6	1.7	1.8	1.9	1.9	2.0	2.1	2.1	2.2	2.3	2.3	2.4	2.4
17	1.0	1.1	1.1	1.2	1.3	1.4	1.4	1.5	1.6	1.7	1.7	1.8	1.9	1.9	2.0	2.0	2.1	2.2	2.2	2.3	2.3
18	1.0	1.1	1.1	1.2	1.3	1.3	1.4	1.5	1.6	1.6	1.7	1.7	1.8	1.9	1.9	2.0	2.0	2.1	2.1	2.2	2.2
19	1.0	1.1	1.1	1.2	1.3	1.3	1.4	1.5	1.5	1.6	1.6	1.7	1.8	1.8	1.9	1.9	2.0	2.0	2.0	2.1	2.1
20	1.0	1.1	1.1	1.2	1.2	1.3	1.4	1.4	1.5	1.5	1.6	1.6	1.7	1.7	1.8	1.8	1.9	1.9	2.0	2.0	2.0
21	1.0	1.1	1.1	1.2	1.2	1.3	1.3	1.4	1.5	1.5	1.6	1.6	1.7	1.7	1.7	1.8	1.8	1.9	1.9	1.9	2.0
22	1.0	1.1	1.1	1.2	1.2	1.3	1.3	1.4	1.4	1.5	1.5	1.6	1.6	1.7	1.7	1.7	1.8	1.8	1.8	1.9	1.9
23	1.0	1.0	1.1	1.2	1.2	1.3	1.3	1.4	1.4	1.4	1.5	1.5	1.6	1.6	1.6	1.7	1.7	1.8	1.8	1.8	1.8
24	1.0	1.0	1.1	1.1	1.2	1.2	1.3	1.3	1.4	1.4	1.5	1.5	1.5	1.6	1.6	1.6	1.7	1.7	1.7	1.8	1.8
25	1.0	1.0	1.1	1.1	1.2	1.2	1.3	1.3	1.4	1.4	1.4	1.5	1.5	1.5	1.6	1.6	1.6	1.7	1.7	1.7	1.7
26	1.0	1.0	1.1	1.1	1.2	1.2	1.3	1.3	1.3	1.4	1.4	1.4	1.5	1.5	1.5	1.6	1.6	1.6	1.6	1.7	1.7
27	1.0	1.0	1.1	1.1	1.2	1.2	1.2	1.3	1.3	1.4	1.4	1.4	1.4	1.5	1.5	1.5	1.6	1.6	1.6	1.6	1.6
28	1.0	1.0	1.1	1.1	1.2	1.2	1.2	1.3	1.3	1.3	1.4	1.4	1.4	1.4	1.5	1.5	1.5	1.5	1.6	1.6	1.6
29	1.0	1.0	1.1	1.1	1.1	1.2	1.2	1.2	1.3	1.3	1.3	1.4	1.4	1.4	1.4	1.5	1.5	1.5	1.5	1.5	1.6
30	1.0	1.0	1.1	1.1	1.1	1.2	1.2	1.2	1.3	1.3	1.3	1.3	1.4	1.4	1.4	1.4	1.5	1.5	1.5	1.5	1.5
31	1.0	1.0	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.3	1.3	1.3	1.3	1.4	1.4	1.4	1.4	1.4	1.5	1.5	1.5
32	1.0	1.0	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.3	1.3	1.3	1.3	1.3	1.4	1.4	1.4	1.4	1.4	1.4	1.5
33	1.0	1.0	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.3	1.3	1.3	1.3	1.3	1.4	1.4	1.4	1.4	1.4	1.4
34	1.0	1.0	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.3	1.3	1.3	1.3	1.3	1.3	1.4	1.4	1.4	1.4	1.4
35	1.0	1.0	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.2	1.3	1.3	1.3	1.3	1.3	1.3	1.3	1.4	1.4	1.4
36	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.2	1.3	1.3	1.3	1.3	1.3	1.3	1.3	1.3	1.4

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37	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.3	1.3	1.3	1.3	1.3	1.3	1.3
38	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.3	1.3	1.3	1.3	1.3	1.3
39	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.3	1.3	1.3	1.3
40	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.3	1.3

Table 11.5-2
Reasonable Potential Multiplying Factors

Number of Samples	Coefficient of Variation																				
	0.05	0.1	0.2	0.3	0.4	0.5	0.6	0.7	0.8	0.9	1.0	1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.8	1.9	2.0
41	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2
42	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2
43	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2	1.2
44	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.2	1.2	1.2
45	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.2	1.2	1.2	1.2	1.2
46	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.2
47	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1
48	1.0	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1
49	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1
50	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1
51	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1
52	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1	1.1
53	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.1
54 to 63	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0
64	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	0.9	0.9	0.9
65	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9
66	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9
67	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9
68	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9
69	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9
70 to 73	1.0	1.0	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9
74 to 77	1.0	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9
78	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.8	0.8
79	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8
80 to 81	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8	0.8	0.8	0.8
82 to 83	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8	0.8	0.8	0.8	0.8
84	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8
85	1.0	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8
86 to 87	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8
88 to 89	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8
90 to 92	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8
93 to 96	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8
97	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.7
98 to 99	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.7	0.7
100	1.0	1.0	1.0	0.9	0.9	0.9	0.9	0.9	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.8	0.7	0.7	0.7

(Water Pollution Control Division; 327 IAC 5-2-11.5; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1450; errata filed Aug 11, 1997, 4:15

p.m.: 20 IR 3379; filed Feb 14, 2005, 10:05 a.m.: 28 IR 2112; filed Jul 9, 2012, 2:54 p.m.: [20120808-IR-327110320FRA](#)

327 IAC 5-2-11.6 Great Lakes system dischargers establishment of water quality-based effluent limitations (WQBELs)

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 11.6. (a) The NPDES permit shall include conditions necessary to achieve water quality standards established under 327 IAC 2-1.5, including narrative water quality criteria. The numeric water quality criteria set forth in 327 IAC 2-1.5-8 and 327 IAC 2-1.5-16 and Tier I criteria and Tier II values established under 327 IAC 2-1.5-11 through 327 IAC 2-1.5-16 shall not be enforceable against any point source discharger until translated into effluent limitations that are incorporated in NPDES permits in accordance with this article.

(b) TMDLs and WLAs developed under section 11.4 of this rule shall provide the basis for numeric water quality-based effluent limitations (WQBELs) established in NPDES permits for point sources discharging to waters within the Great Lakes system. If a variance has been granted from a water quality criterion under 327 IAC 2-1.5-17 and 327 IAC 5-3-4.1, WQBELs for the pollutant that is the subject of the variance shall be calculated on the basis of the variance rather than the water quality criterion.

(c) The following procedure shall be used to calculate WQBELs using the WLAs developed under section 11.4 of this rule:

(1) This subsection assumes that effluent data follow a log-normal distribution. If a discharger is able to demonstrate that the effluent data for a pollutant does not follow a log-normal distribution and provides an alternate distribution that more accurately describes the data, this alternate distribution may be used instead of the procedures in this subsection.

(2) For the equations contained within this subsection, the following apply:

(A) $Z_{99} = 2.326$ (99th percentile probability basis).

(B) CV = coefficient of variation = ratio of the standard deviation to the mean. A value of six-tenths (0.6) will be used for the CV unless the discharger demonstrates that an alternate CV is more representative of the variability of the pollutant in the effluent.

(3) The first step in this procedure is to calculate a long term average (LTA) for each WLA determined for the pollutant under section 11.4 of this rule. These LTAs are calculated as follows:

(A) The LTA_A protective of acute aquatic life effects shall be calculated as follows:

$$LTA_A = \left(e^{(0.5\sigma^2 - Z_{99}\sigma)} \right) WLA_A$$

Where: $\sigma^2 = \ln(CV^2 + 1)$.

$WLA_A =$ WLA determined under section 11.4 of this rule using the acute aquatic life criterion or value. This WLA is expressed as a one (1) day maximum.

(B) The LTA_C protective of chronic aquatic life effects shall be calculated as follows:

$$LTA_C = \left(e^{(0.5\sigma_4^2 - Z_{99}\sigma_4)} \right) WLA_C$$

Where: $\sigma_4 = \ln(CV^2/4 + 1)$.

$WLA_C =$ For chloride, sulfate, total dissolved solids, fluoride, and dissolved iron, the more stringent WLA determined under section 11.4 of this rule using the criterion for the pollutant under 327 IAC 2-1.5-8(j), if applicable, or the chronic aquatic life criterion or value. For other pollutants, the WLA determined under section 11.4 of this rule using the chronic aquatic life criterion or value. This WLA is expressed as a four (4) day average.

(C) The LTA_H protective of human health effects shall be calculated as follows:

$$LTA_H = \left(e^{(0.5\sigma_{30}^2 - Z_{99}\sigma_{30})} \right) WLA_H$$

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Where: $\sigma_{302} = \ln(CV^2/30 + 1)$.

WLA_H = The most stringent WLA determined under section 11.4 of this rule using a criterion or value for the protection of human health. This WLA is expressed as a thirty (30) day average.

(D) The LTA_W protective of wildlife effects shall be calculated as follows:

$$LTA_W = \left(e^{(0.5\sigma_{30}^2 - z_{99}\sigma_{30})} \right) WLA_W$$

Where: $\sigma_{302} = \ln(CV^2/30 + 1)$.

WLA_W = WLA determined under section 11.4 of this rule using the WC or WV. This WLA is expressed as a thirty (30) day average.

(4) Daily maximum and monthly average QBELs are determined using the lowest LTA calculated in subdivision (3) as follows:

(A) The daily maximum QBEL is calculated as follows:

$$\text{Daily Maximum} = \left(e^{(z_{99}\sigma - 0.5\sigma^2)} \right) LTA$$

Where: $\sigma^2 = \ln(CV^2 + 1)$.

(B) The monthly average QBEL is calculated as follows:

$$\text{Monthly Average} = \left(e^{(z_{95}\sigma_n - 0.5\sigma_n^2)} \right) LTA$$

Where: $\sigma_n^2 = \ln(CV^2/n + 1)$.

$z_{95} = 1.645$ (95th percentile probability basis).

n = Number of samples per month. A value of ten (10) will be used unless the discharger demonstrates that an alternate value is more appropriate.

(C) The monthly average QBEL shall not exceed the most stringent WLA developed under section 11.4 of this rule unless calculated using the following:

(i) A CV calculated using facility-specific effluent monitoring data that is representative of the variability of the pollutant in the effluent.

(ii) A value for n based on the monitoring frequency in the NPDES permit to be issued.

(d) Notwithstanding subsection (c), QBELs for whole effluent toxicity (WET) and QBELs for the criteria listed in section 11.4(d) of this rule shall be developed as follows:

(1) For WET, QBELs shall be developed using the WLAs for acute and chronic WET developed under section 11.4 of this rule as follows:

(A) The commissioner shall ensure that the QBELs for WET established under this subdivision attain the acute and chronic WET criteria in 327 IAC 2-1.5-8 under the receiving waterbody flows and outside the mixing zones used to develop the WLAs for acute and chronic WET under section 11.4 of this rule.

(B) The commissioner shall determine, on a case-by-case basis, the following:

(i) Whether to develop a QBEL for only acute or chronic WET or QBELs for both acute and chronic WET.

(ii) The number of species required for WET testing.

(iii) The particular species required for WET testing.

(C) In making the determination in clause (B), the commissioner shall take into consideration available information about the discharge and receiving waterbody, including, but not limited to, the following:

(i) The ACR of the effluent.

(ii) The sensitivity of the test species to the toxicity in the effluent.

(iii) The WLAs developed for acute and chronic WET under section 11.4 of this rule.

(D) When the commissioner determines that it is necessary to develop a QBEL for acute WET, the QBEL shall be set equal to the WLA developed for acute WET under section 11.4 of this rule and shall be established in an

NPDES permit as a daily maximum limit.

(E) When the commissioner determines that it is necessary to develop a QWBEL for chronic WET, the QWBEL shall be set equal to the WLA developed for chronic WET under section 11.4 of this rule and shall be established in an NPDES permit as a monthly average limit.

(2) For the criteria listed in section 11.4(d) of this rule, QWBELs shall be developed to be consistent with the models used in that subsection.

(e) QWBELs in an NPDES permit for a metal calculated from a water quality criterion expressed in the form of dissolved metal that is:

(1) contained in 327 IAC 2-1.5; or

(2) subsequently developed under the procedures contained in 327 IAC 2-1.5;

shall be expressed in the permit as total recoverable metal unless all approved analytical methods for the metal inherently measure only its dissolved form, such as hexavalent chromium.

(f) QWBELs for cyanide, calculated from a criterion for free cyanide contained in 327 IAC 2-1.5, shall be limited in the permit as free cyanide and monitored in the effluent using the "Cyanides Amenable to Chlorination" (CATC) method (40 CFR 136, Method 4500-CN G) or another method approved by the commissioner. The commissioner may include additional monitoring, limitations, or other requirements in a permit, on a case-by-case basis, if the additional requirements are necessary to ensure that water quality standards will be attained.

(g) Whenever a QWBEL is developed, unless otherwise provided in subdivision (3), the QWBEL in the NPDES permit shall be expressed as both a concentration value and a corresponding mass loading rate as follows:

(1) Both mass and concentration limits shall be based on the same permit averaging periods, such as daily, or monthly averages, or in other appropriate permit averaging periods.

(2) The mass loading rates shall be calculated using effluent flow rates that are the same as those used in establishing the concentration-based QWBELs.

(3) For pollutants or parameters that cannot appropriately be expressed in terms of mass (such as pH, temperature, radiation, bacteria, or dissolved oxygen) mass limits are not required.

(4) A discharger may request tiered mass limits for a discharge that increases as a result of wet weather flow. As used in this subdivision, "tiered mass limits" consists of two (2) sets of mass limits. One (1) set shall be based on the dry-weather effluent flow determined under section 11.4(a)(9) of this rule and the stream design flow under section 11.4(b) of this rule. The second set shall be based on an effluent flow and stream flow under wet weather conditions. For each mass limit developed under this subdivision, the NPDES permit shall include a corresponding concentration limit.

(h) When a QWBEL for a pollutant is calculated to be less than the LOQ, the following conditions apply:

(1) The calculated QWBEL shall be established as the limit in the NPDES permit.

(2) The analytical method, LOD, and LOQ shall be specified as follows:

(A) The commissioner shall specify in the permit the most sensitive, applicable, analytical method, specified in or approved under 40 CFR 136 or by the commissioner, to be used to monitor for the presence and amount in an effluent of the pollutant for which the QWBEL is established and shall specify in accordance with clause (B), the LOD and LOQ that can be achieved by use of the specified analytical method.

(B) The LOD and LOQ shall be determined as follows:

(i) The MDL shall be used as the LOD unless the permittee demonstrates that a higher LOD is appropriate because of effluent-specific matrix interference.

(ii) The LOQ shall be the ML specified in or approved under 40 CFR 136 for the method for that pollutant. If no such ML exists, or if the method is not specified or approved under 40 CFR 136 or by the commissioner, the LOQ shall be calculated by multiplying the LOD by three and eighteen-hundredths (3.18). The commissioner may specify a higher LOQ if the permittee demonstrates that a higher LOQ is appropriate because of effluent-specific matrix interference. Other methods for deriving an LOQ may be approved by the commissioner if the method is scientifically defensible.

(3) Compliance with the QWBELs for the pollutant shall be determined as follows:

(A) When a daily maximum QWBEL is less than the LOD specified in the permit, effluent levels:

(i) of the pollutant less than the LOD are in compliance with the maximum QWBEL; and

(ii) greater than the LOD but less than the LOQ are in compliance with the maximum QWBEL, except when

- confirmed by a sufficient number of analyses of multiple samples and use of appropriate statistical techniques.
- (B) When a daily maximum WQBEL is greater than the LOD specified in the permit but less than the LOQ specified in the permit, effluent levels of the pollutant less than the LOQ are in compliance with the WQBEL.
- (C) To determine compliance with a WQBEL expressed as a daily maximum mass limitation, the LOD and LOQ shall each be converted to a mass value, using appropriate conversion factors and the same effluent flow used to determine the mass-based WQBEL, before applying the provision of clauses (A) and (B).
- (D) When a monthly or weekly average WQBEL is less than the LOQ specified in the permit, a monthly or weekly average effluent level less than or equal to the respective monthly or weekly average WQBEL is in compliance with the monthly or weekly average WQBEL. Daily effluent values that are less than the LOQ, used to determine the monthly or weekly average effluent levels less than the LOQ, may be assigned a value of zero (0), unless, after considering the number of monitoring results that are greater than the LOD, and applying appropriate statistical techniques, a value other than zero (0) is warranted.
- (4) When a WQBEL is less than the LOD, the commissioner may require a period of accelerated monitoring in a permit, when the measured effluent level is between the LOD and LOQ, for the purpose of collecting additional data to apply the statistical analysis referenced in subdivision (3)(A) and (3)(D).
- (5) When a WQBEL is less than the LOQ, special conditions may be included in the permit to better quantify the levels of pollutant present in the discharge. These special conditions may include, but are not limited to, the following:
- (A) Fish tissue sampling.
 - (B) Caged-biota studies.
 - (C) WET tests.
 - (D) Limits on internal wastestreams.
 - (E) Monitoring requirements on internal wastestreams.
 - (F) Development of a more sensitive analytical procedure.
 - (G) Monitoring for surrogate parameters.
 - (H) Waterbody bioassessment.
- (6) The permit shall contain reopener clauses authorizing modification or revocation and reissuance of the permit to:
- (A) include more stringent monitoring requirements or conditions if new information generated as a result of accelerated monitoring conducted in accordance with subdivision (4), or special conditions included in the permit in accordance with subdivision (5) indicates the likely presence of the pollutant in the discharge at levels above the WQBEL; and
 - (B) specify the use of a different analytical method if a more sensitive analytical method has been specified in or approved under 40 CFR 136 or approved by the commissioner to monitor for the presence and amount in the effluent of the pollutant for which the WQBEL is established and shall specify in accordance with subdivision (2)(B), the LOD and LOQ that can be achieved by use of the specified analytical method.
- (7) The commissioner shall include a condition in the permit requiring the permittee to develop and conduct a pollutant minimization program (PMP) for each pollutant with a WQBEL below the LOQ in accordance with the following:
- (A) The goal of the PMP shall be to maintain the effluent at or below the WQBEL. The PMP shall include, but is not limited to, the following:
 - (i) Submission of a control strategy designed to proceed toward the goal.
 - (ii) Implementation of appropriate cost-effective control measures consistent with the control strategy.
 - (iii) Monitoring necessary to monitor the progress toward the goal. This shall include, but is not limited to, the following:
 - (AA) Semiannual monitoring of potential sources of the pollutant.
 - (BB) Quarterly monitoring for the pollutant in the influent of the wastewater treatment system.
 - (iv) An annual status report that shall be sent to the commissioner, including the following:
 - (AA) All PMP monitoring results for the previous year.
 - (BB) A list of potential sources of the pollutant.
 - (CC) A summary of all actions taken to reduce or eliminate the identified sources of the pollutant.
 - (v) A PMP may include the submittal of pollution prevention strategies that use changes in production process technology, materials, processes, operations, or procedures to reduce or eliminate the source of the pollutant.

(B) No PMP is required if the permittee demonstrates that the discharge of a pollutant with a WQBEL below the LOQ is reasonably expected to be in compliance with the WQBEL at the point of discharge into the receiving water. This demonstration may include, but is not limited to, the following:

- (i) Treatment information, including information derived from modeling the destruction or removal of the pollutant in the treatment process.
- (ii) Mass balance information.
- (iii) Fish tissue studies or other biological studies.

(C) In determining appropriate cost-effective control measures to be implemented in a PMP, the following factors may be considered:

- (i) Significance of sources.
- (ii) Economic and technical feasibility.
- (iii) Treatability.

(D) The permit shall contain a reopener clause authorizing modification or revocation and reissuance of the permit to revise (such as more or less frequent monitoring) or remove the requirements of this subdivision if supported by information generated as a result of this subdivision.

(i) The determinations under this subsection regarding the consideration of intake pollutants, as defined under section 11.5(b)(4)(A) of this rule, shall be made on a pollutant-by-pollutant, outfall-by-outfall basis. This subsection applies only when the concentration of the pollutant of concern upstream of the discharge, as determined under section 11.4(a)(8) of this rule, exceeds the most stringent applicable water quality criterion or value for that pollutant. In addition, this subsection applies only in the absence of an EPA-approved TMDL applicable to the discharge, or in the absence of an assessment and remediation plan submitted and approved in accordance with section 11.4(a)(2) of this rule. The following procedures shall be used in the consideration of intake pollutants in establishing WQBELs:

(1) When an intake pollutant is from the same body of water, as defined under section 11.5(b)(4)(B) of this rule, and the discharge and the facility meet the conditions in section 11.5(b)(4)(C)(i)(BB) through 11.5(b)(4)(C)(i)(EE), the following procedures apply:

(A) The commissioner may establish effluent limitations allowing the facility to discharge a mass and concentration of the pollutant that are no greater than the mass and concentration of the pollutant identified in the facility's intake water (no net addition limitations). The permit shall specify how compliance with mass and concentration limitations shall be assessed. No permit may authorize no net addition limitations that are effective after March 23, 2007. After that date, WQBELs shall be established in accordance with section 11.5(d) of this rule.

(B) Where proper operation and maintenance of a facility's treatment system results in removal of a pollutant, the commissioner may establish limitations that reflect the lower mass or concentration, or both, of the pollutant achieved by such treatment, taking into account the feasibility of establishing such limits.

(C) For pollutants contained in intake water provided by a water system, the concentration of the intake pollutant shall be determined at the point where the raw water supply is removed from the same body of water, except that it shall be the point where the water enters the water supplier's distribution system where the water treatment system removes any of the identified pollutants from the raw water supply. Mass shall be determined by multiplying the concentration of the pollutant by the volume of the facility's intake flow received from the water system.

(2) Where the pollutant in a facility's discharge originates from a water of the state that is not the same body of water as the receiving water, as determined in accordance with section 11.5(b)(4)(B) of this rule, WQBELs shall be established based upon the most stringent applicable water quality criterion or value for that pollutant.

(3) Where a facility discharges intake pollutants that originate in part from the same body of water, and in part from a different body of water, the commissioner may apply the procedures of subdivisions (1) and (2) to derive an effluent limitation reflecting the flow-weighted average of each source of the pollutant, provided that adequate monitoring to determine compliance can be established and is included in the permit.

(Water Pollution Control Division; 327 IAC 5-2-11.6; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1457; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3379; errata, 26 IR 3884; filed Feb 14, 2005, 10:05 a.m.: 28 IR 2120; filed Jul 9, 2012, 2:54 p.m.: [20120808-IR-327110320FRA](#))

327 IAC 5-2-11.7 Great Lakes system dischargers interim antidegradation implementation procedures for outstanding state resource waters (Repealed)

Sec. 11.7. (Repealed by Water Pollution Control Division; filed May 29, 2012, 3:19 p.m.: [20120627-IR-327080764FRA](#))

327 IAC 5-2-12 Schedules of compliance

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 12. (a) Where appropriate, permits shall contain schedules of compliance requiring the permittee to take specific steps to achieve expeditious compliance with applicable standards and limitations and other requirements, including water quality-based limitations and requirements in accordance with this section, except for schedules of compliance for water quality-based effluent limitations for discharges within the Great Lakes system that are governed under section 12.1 of this rule. A schedule of compliance shall require compliance as soon as reasonably possible, but not later than the earlier of the following:

(1) An applicable statutory deadline.

(2) A deadline specified in a rule establishing applicable limitations, standards, or other requirements.

(3) If no statutory or regulatory deadline is expressly applicable, three (3) years from the date applicable standards, limitations, or other requirements are incorporated into the permit.

(b) If any permit allows a time for achieving final compliance, which exceeds nine (9) months from the date of permit issuance, the schedule of compliance in the permit shall set forth interim requirements and the dates for their achievement as follows:

(1) In no event shall more than nine (9) months elapse between dates specified for interim requirements.

(2) If the time necessary for completion of any interim requirements (such as the construction of a treatment facility) is more than nine (9) months and is not readily divisible into stages for completion, the permit shall specify interim dates not more than nine (9) months apart for the submission of reports of progress toward completion of the interim requirements.

(c) A permittee may terminate its direct discharge by cessation of operation or discharge to a POTW rather than achieve applicable standards and limitations by the final date for compliance established in its permit or in the CWA as follows:

(1) If the decision to terminate a direct discharge is made after issuance of a permit:

(A) the permit shall be modified or revoked and reissued to contain a schedule of compliance leading to termination of the direct discharge by a date which is no later than the statutory deadline; or

(B) the permittee shall terminate direct discharge before noncompliance with any interim requirement specified in the schedule of compliance in the permit.

(2) If the decision to terminate a direct discharge is made before issuance of the permit, the permit shall contain a schedule leading to termination of the direct discharge by a date which is no later than the statutory deadline.

(3) In all cases, the permittee's decision to terminate its direct discharge of pollutants shall be evidenced by a board of directors' resolution which has been made public or by such other means as evidences a firm public commitment.

(d) The commissioner may, upon request of the applicant, modify a schedule of compliance in an issued permit if he determines good and valid cause (such as a natural disaster, strike, materials shortage, or other events over which the permittee has little or no control or remedy) exists for such modification under section 16 of this rule. In no case shall the compliance schedule be modified to extend beyond an applicable statutory treatment deadline.

(e) New sources, new dischargers, sources which recommence discharging after terminating operations, and those sources which had been indirect dischargers and which commence discharging into navigable waters do not qualify for compliance schedules under this section in the initial permits issued to such dischargers. Moreover, such dischargers are subject to section 17(c)(4) of this rule. Such a discharger, however, may receive compliance schedules, where otherwise allowed under this rule, to achieve compliance with applicable standards, effluent limitations, and other requirements promulgated or otherwise established subsequent to the issuance of the initial permit. (*Water Pollution Control Division; 327 IAC 5-2-12; filed Sep 24, 1987, 3:00 p.m.: 11 IR 627; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1752; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1464*)

327 IAC 5-2-12.1 Great Lakes systems dischargers; schedules of compliance

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 12.1. (a) When a permit issued to a new Great Lakes discharger contains a WQBEL, the permittee shall comply with such a limitation upon the commencement of the discharge.

(b) Any existing permit that is reissued or modified to contain a new or more restrictive WQBEL or a more restrictive limit

of quantitation (LOQ) (when an LOQ is used as the compliance value for a WQBEL below an LOQ) may allow a reasonable period of time, up to five (5) years from the date of permit issuance or modification, for the permittee to comply with that limit in accordance with the following conditions:

(1) When the compliance schedule established under this subsection goes beyond the term of the permit, an interim permit limit effective upon the expiration date shall be included in the permit and addressed in the permit's fact sheet or statement of basis. The permit shall reflect the final limit and its compliance date.

(2) If a permit establishes a schedule of compliance under this subsection, which exceeds one (1) year from the date of permit issuance or modification, the schedule shall set forth interim requirements and dates for their achievement as follows:

(A) The time between such interim dates may not exceed one (1) year.

(B) If the time necessary for completion of any interim requirement is more than one (1) year and is not readily divisible into stages for completion, the permit shall require, at a minimum, specified dates for annual submission of progress reports on the status of any interim requirements.

(c) Whenever a limit based upon a Tier II value is included in a reissued or modified permit for an existing Great Lakes discharger, the permit may provide a reasonable period of time, up to two (2) years, in which to provide additional studies necessary to develop a Tier I criterion or to modify the Tier II value. In such cases, the permit shall require compliance with the Tier II limitation within a reasonable period of time, not later than five (5) years after permit issuance or modification, and contain a reopener clause in accordance with the following conditions:

(1) The reopener clause shall authorize permit modifications if specified studies have been completed by the permittee or provided by a third party during the time allowed to conduct the specified studies, and the permittee or a third party demonstrates, through such studies, that a revised limit is appropriate. Such a revised limit shall be incorporated through a permit modification and a reasonable time period, up to five (5) years, shall be allowed for compliance. If incorporated prior to the compliance date of the original Tier II limitation, any such revised limit shall not be considered less stringent for purposes of the antibacksliding provisions of section 10(a)(11) of this rule and Section 402(o) of the Clean Water Act (CWA).

(2) If the specified studies have been completed and do not demonstrate that a revised limit is appropriate, the commissioner may provide a reasonable additional period of time, not to exceed five (5) years with which to achieve compliance with the original effluent limitation.

(3) Where a permit is modified to include new or more stringent limitations, on a date within five (5) years of the permit expiration date, such compliance schedules may extend beyond the term of a permit consistent with subsection (b)(1).

(4) If future studies (other than those conducted under this subsection) result in a Tier II value being changed to a less stringent Tier II value or Tier I criterion, after the effective date of a Tier II-based limit, the existing Tier II-based limit may be revised to be less stringent if:

(A) it complies with section 10(a)(11)(B) and 10(a)(11)(C) of this rule and Section 402(o)(2) and 402(o)(3) of the CWA;

(B) in nonattainment waters, the cumulative effect of the revised effluent limitation will assure compliance with water quality standards; or

(C) in attained waters, the revised effluent limitation complies with the antidegradation standard and procedures contained under 327 IAC 2-1.3.

(Water Pollution Control Division; 327 IAC 5-2-12.1; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1464; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3380; filed May 29, 2012, 3:19 p.m.: [20120627-IR-327080764FRA](#); errata filed Sep 22, 2017, 11:46 a.m.: [20171004-IR-327170437ACA](#))

327 IAC 5-2-13 Monitoring

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 13. (a) To assure compliance with permit terms and conditions, all permittees shall monitor, as required in the permit, the following:

(1) The mass, concentration, or other measurement specified in sections 11, 11.1, and 11.6 of this rule for each pollutant specified in the permit.

(2) The volume of wastewater flow at monitoring points specified in the permit, including the final effluent flow from each

point source.

(3) Other parameters and conditions as specifically required in the permit.

(b) A POTW shall monitor the mass, concentration, or other units of specified pollutants in the raw influent, in the discharge from intermediate unit treatment processes as specified in the permit or the applicable report of operation form, and in the final effluent, and the volume of effluent flow. For purposes of this section and sections 14 through 15 of this rule, a POTW includes a municipality or other political subdivision, such as a regional sewer district, that owns or operates a wastewater treatment plant or a water treatment plant, as defined in [IC 13-11-2](#), or a private utility of a quasi-public nature that owns or operates a treatment plant from which a permitted discharge occurs, including a mobile home park or a residential development.

(c) For purposes of subsections (a) and (b), the commissioner shall specify the following monitoring requirements in the permit:

(1) Requirements concerning proper installation, use, and maintenance of monitoring equipment or methods (including biological monitoring methods where appropriate).

(2) Monitoring frequency, type, and intervals sufficient to yield continuing data representative of the volume of effluent flow and the quantity of pollutants discharged based on the impact of the wastestream on the receiving water, in accordance with 40 CFR 122.44.

(3) Test procedures for the analysis of pollutants meeting the requirements of subsection (d).

(d) Requirements for test procedures shall be as follows:

(1) Test procedures identified in 40 CFR 136 shall be utilized for pollutants or parameters listed in that part, unless an alternative test procedure has been approved under 40 CFR 136.5.

(2) Where no test procedure under 40 CFR 136 has been approved, analytical work shall be conducted in accordance with test procedures approved by the commissioner.

(3) Notwithstanding subdivision (1), the commissioner may specify in a permit the test procedure specified in a standard or effluent limitations guideline.

(e) The sampling frequency and other monitoring requirements specified by the commissioner under subsection (c) shall, to the extent applicable, be consistent with monitoring requirements specified in a standard or effluent limitations guideline on which the effluent limitations in the permit are based. In no case shall the sampling frequency be less than once per calendar year.

(f) Where composite samples are specified in the permit, each fraction of the composite shall be weighted in proportion to the flow corresponding to the time that sample fraction is taken unless the permittee demonstrates that such flow-weighting of sample fractions is not necessary to obtain representative monitoring results. (*Water Pollution Control Division; 327 IAC 5-2-13; filed Sep 24, 1987, 3:00 p.m.: 11 IR 628; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1753; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1465; filed Feb 14, 2005, 10:05 a.m.: 28 IR 2125*)

327 IAC 5-2-14 Recording of monitoring results

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-14-4-3](#); [IC 13-18-4](#)

Sec. 14. (a) Any permittee required to monitor under 327 IAC 5-2-13 shall maintain records of all monitoring information and monitoring activities, including:

- (1) the date, exact place, and time of sampling or measurements;
- (2) the person or persons who performed the sampling or measurements;
- (3) the date or dates analyses were performed;
- (4) the person or persons who performed the analyses;
- (5) the analytical techniques or methods used; and
- (6) the results of such measurements and analyses.

(b) All records of monitoring activities and results (including all original strip chart recordings for continuous monitoring instrumentation and calibration and maintenance records) shall be retained by the permittee for three (3) years. These records shall be retained on-site at the permitted facility or in such a manner that the records are reasonably available for review by agency staff to comply with the provisions of 327 IAC 5-1-3. The three-year period shall be extended:

- (1) automatically during the course of any unresolved litigation regarding the discharge of pollutants by the permittee or regarding promulgated effluent guidelines applicable to the permittee; or
- (2) as requested by the commissioner.

(Water Pollution Control Division; 327 IAC 5-2-14; filed Sep 24, 1987, 3:00 p.m.: 11 IR 629; filed Oct 9, 2015, 4:07 p.m.: 20151104-IR-327100659FRA)

327 IAC 5-2-15 Reporting requirements

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-14-4-3](#); [IC 13-18-4](#)

Sec. 15. (a) Permittees shall report to the commissioner, using discharge monitoring reports (DMR) (EPA Form 3320-1) and, also, in the case of POTWs, semipublic, state, and federal facilities' reports of operation, the results of any monitoring specified by the permit, under section 13 of this rule, as often as required by the permit, but in no case less than once per year. POTWs with pretreatment or hybrid pretreatment requirements in their NPDES permits as well as industrial dischargers shall also submit the results of effluent analysis on the Indiana Monthly Monitoring Report (MMR) for Industrial Discharge Permits (State Form 30530). Alternatively, permittees may be required by the commissioner to utilize agency-approved electronic reporting formats for the submittal of all NPDES-related reports in lieu of submitting paper copies of such documents.

(b) If the permittee monitors any pollutant more frequently than required by the permit, using approved analytical methods, the results of this monitoring shall be reported in the DMR. Other monitoring data not specifically required in the permit (such as internal process or internal wastestream data) that is collected by or for the permittee need not be submitted unless requested by the commissioner. Any such additional monitoring data that indicates a violation of a permit limitation shall be followed up by the permittee, whenever feasible, with a monitoring sample obtained and analyzed pursuant to approved analytical methods. The results of the analysis of the follow-up sample shall be reported to the commissioner in the permittee's DMR.

(c) All reports required by this section shall be prepared by or under the direction of a certified wastewater treatment plant operator or a certified water treatment plant operator licensed under the provisions of 327 IAC 5-22 or 327 IAC 8 when such reports concern a discharge originating in whole or in part from a wastewater treatment plant or a water treatment plant, respectively, as defined in [IC 13-11-2](#).

(d) As used in this section, "approved analytical methods" means those test procedures for the analysis of pollutants under section 13(d) of this rule.

(e) NPDES effluent data is to be reported on the monthly DMRs as follows:

(1) Effluent concentrations less than the LOD shall be reported as less than the value of the LOD. For example, if a substance is not detected at a concentration of one (1.0) milligram per liter, the value shall be reported as < 1.0 mg/l.

(2) Effluent concentrations greater than or equal to the LOD shall be reported at the measured value. Effluent concentrations greater than or equal to the LOD and less than the LOQ that are reported on a DMR shall be annotated on the DMR to indicate that the value is not quantifiable.

(3) Except as provided in section 11.6(h)(3) of this rule, when the individual daily values are averaged for the purpose of determining the weekly average or monthly average, values less than the LOQ shall be accommodated in calculation of the averages using statistical methods that have been approved by the commissioner.

(4) Mass discharge values that are calculated from concentrations reported as less than the value of the LOD shall be reported as less than the corresponding mass discharge value.

(5) Mass discharge values that are calculated from effluent concentrations greater than the LOD shall be reported at the calculated value.

(6) Except as provided in section 11.6(h)(3) of this rule, when the individual daily mass discharge values are averaged for the purpose of determining the weekly average or monthly average, values less than the LOQ shall be accommodated in calculation of the averages using statistical methods that have been approved by the commissioner.

(Water Pollution Control Division; 327 IAC 5-2-15; filed Sep 24, 1987, 3:00 p.m.: 11 IR 629; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1754; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1466; filed Feb 14, 2005, 10:05 a.m.: 28 IR 2126; filed Oct 9, 2015, 4:07 p.m.: 20151104-IR-327100659FRA)

327 IAC 5-2-16 Permit modification, revocation and reissuance, and termination

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-15](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 16. (a) An issued permit may be modified, in whole or in part, revoked and reissued, or terminated during its term for

cause as specified in this section. Such action may be taken at the commissioner's own initiative or upon the request of any interested person. If the commissioner determines that cause exists for modification or revocation and reissuance of a permit, an updated application or a pertinent portion of an application may be requested if needed to provide sufficient information to prepare the draft permit.

(b) Causes for modification, revocation and reissuance, or termination of a permit include the following:

(1) Violation of any term or condition of the permit.

(2) Failure of the permittee to disclose fully all relevant facts or misrepresentation of any relevant facts by the permittee in the application or during the permit issuance process.

(3) A change in any condition that requires either a temporary or a permanent reduction or elimination of any discharge controlled by the permit, e.g., plant closure, termination of discharge by connection to a POTW, a change in state law that requires the reduction or elimination of the discharge, or information indicating that the permitted discharge poses a substantial threat to human health or welfare.

(c) In addition to the provisions of subsection (b), causes for modification, or revocation and reissuance, but not termination, of a permit include the following:

(1) A change in ownership or control of a source which has a permit, where required by the commissioner under section 6(c) of this rule.

(2) Promulgation of an applicable toxic effluent standard or prohibition under section 307(a)(2) of the CWA for a toxic pollutant which is injurious to human health if that standard or prohibition is more stringent than any limitation in the permit on the toxic pollutant.

(3) The occurrence of circumstances which meet the conditions for invoking a reopener clause contained in the permit, such as the reopener clause specified under section 8(b)(1)(A) of this rule for primary industrial dischargers.

(d) In addition to the provisions of subsections (b) and (c), a permit may be modified for any of the following causes:

(1) Material and substantial alterations or additions to the discharger's operation which were not covered in the effective permit, e.g., production changes, relocation or combination of discharge points, changes in the nature or mix of products produced, provided that such alterations do not constitute total replacement of the process or production equipment causing the discharge which converts it into a new source.

(2) The existence of a factor or factors which, if properly and timely brought to the attention of the commissioner, would have justified the application of limitations, standards, or other requirements different from those imposed by the NPDES permit but only if the requester shows that such factor or factors arose after the permit was issued or could not reasonably have been known by the requestor prior to issuance of the permit.

(3) Suspension, withdrawal, or revision of a regulation (including an interim final regulation), promulgated by EPA or the board, establishing effluent limitation guidelines, effluent standards, water quality standards, or treatment requirements, but only when such suspension, withdrawal, or revision affects that portion of the regulation which is the basis for the permit term or condition that is requested to be modified or revoked.

(4) Judicial remand and stay of a promulgated effluent limitations guideline, effluent standard, or water quality standard, if the remand concerns that portion of the guideline or standard on which the permit term or condition was based.

(5) The granting by the commissioner of a permittee's request for a modification of, or variance from, effluent limitations as specifically authorized by the CWA, e.g., section 301(c), 301(g), 301(i), or 301(k) or for a fundamentally different factors variance under 327 IAC 5-6.

(6) Failure of the commissioner to notify another state whose waters may be affected by the discharge as required by section 402(b)(3) of the CWA.

(7) Upon request of a permittee who qualifies for effluent limitations on a net basis under section 11(f) of this rule, or upon a determination by the commissioner that a permittee is no longer eligible for net effluent limitations.

(8) When the level of discharge of any toxic pollutant which is not limited in the permit exceeds the level which can be achieved by the technology-based treatment requirements appropriate to the permittee under the CWA (see 327 IAC 5-5-2).

(9) When the permittee begins or expects to begin to use or manufacture as an intermediate or final product or byproduct any toxic pollutant which was not reported in the permit application under 40 CFR 122.53(d)(9), except that this subdivision shall not apply to such a use or manufacture of a toxic pollutant solely under research or laboratory conditions.

(10) A determination by the commissioner that a notification level should be established under section 9(a) of this rule.

(11) A determination by the commissioner that a POTW shall be required to develop a POTW pretreatment program, under

one (1) of the circumstances specified in 327 IAC 5-13-2(d) or the approval by the commissioner of:

(A) a POTW pretreatment program; or

(B) an application by the POTW for authority to revise, on the basis of consistent removal of a toxic pollutant by the POTW, discharge limits otherwise applicable to that pollutant under a categorical pretreatment standard.

(12) When otherwise authorized under this rule.

(13) The promulgation by EPA of an effluent limitation guideline that is applicable to the permittee and is less stringent than corresponding technology-based effluent limitations in the permit which were imposed under section 402(a)(1) of the CWA.

(e) The following permit modifications shall not require public notice and opportunity for hearing under 327 IAC 5-3 unless they would render the applicable standards and limitations in the permit less stringent, or unless contested by the permittee:

(1) Correction of typographical errors.

(2) A change requiring more frequent monitoring or reporting by the permittee.

(3) A change in an interim compliance date, but not more than one hundred twenty (120) days beyond the date previously established and not where the change would interfere with the attainment of a final compliance date.

(4) A change in ownership or control of a source which has a permit where no other change in the permit is necessary and where transfer is accomplished under section 6(c) of this rule.

(5) A change in the construction schedule for a discharger which is a new source. No such change shall affect a discharger's obligation to have all pollution control equipment installed and in operation prior to discharge under section 17 of this rule.

(6) Deletion of a point source outfall, where the discharge from that outfall is terminated and does not result in discharge of pollutants from other outfalls except in accordance with permit limits.

(Water Pollution Control Division; 327 IAC 5-2-16; filed Sep 24, 1987, 3:00 p.m.: 11 IR 630; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1754)

327 IAC 5-2-17 New sources and new dischargers

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 17. (a) A new source determination shall be made that construction of a new source has commenced if the owner or operator has:

(1) begun, or caused to begin as part of a continuous on-site construction program:

(A) any placement, assembly, or installation of facilities or equipment; or

(B) significant site preparation work including clearing, excavation, or removal of existing buildings, structures, or facilities which is necessary for the placement, assembly, or installation of new source facilities or equipment; or

(2) entered a binding contractual obligation for the purchase of facilities or equipment which are intended to be used in its operation within a reasonable time. Options to purchase or contracts which can be terminated or modified without substantial loss, and contracts for feasibility, engineering, and design studies do not constitute a contractual obligation under this subsection.

(b) Effect of compliance with new source performance standards shall be as follows:

(1) Except as provided in subdivision (2), any new source which meets the applicable promulgated new source performance standards from the commencement of discharge, shall not be subject to any more stringent new source performance standards, or to any more stringent technology-based standards under Section 301(b)(2) of the Clean Water Act (33 U.S.C. 1311(b)(2)) for the shortest of the following periods:

(A) Ten (10) years from the date that construction is completed.

(B) ten (10) years from the date the source begins to discharge process wastewater or other wastewater not related to construction.

(C) The period of depreciation or amortization of the facility for the purposes of Sections 167 and 169 of the Internal Revenue Code (26 U.S.C. 167; 26 U.S.C. 169).

(2) The protection from more stringent standards of performance afforded by subdivision (1) does not apply to:

(A) additional or more stringent permit conditions which are not technology-based, e.g., conditions based on water quality standards, or effluent standards or prohibitions under Section 307(a) of the Clean Water Act (33 U.S.C. 1317(a)); and

(B) additional technology-based permit conditions established under 327 IAC 5-5-2(b) to control pollutants listed as

toxic under Section 307(a) of the Clean Water Act (33 U.S.C. 1317(a)) or as hazardous substances under Section 311 of the Clean Water Act (33 U.S.C. 1321) and which are not controlled by new source performance standards. This includes permit conditions controlling pollutants other than those identified as toxic or hazardous where control of those other pollutants has been specifically identified as the method to control the toxic or hazardous pollutant.

(3) Where an NPDES permit issued to a source enjoying a "protection period" under subdivision (1) will expire on or after the expiration of the protection period, such permit shall require the owner or operator of the source to be in compliance with the requirements of Section 301 of the Clean Water Act (33 U.S.C. 1311) and any other then applicable requirements of the Clean Water Act immediately upon the expiration of the protection period. No additional period for achieving compliance with these requirements shall be allowed.

(4) The owner or operator of a new source, a new discharger, a source recommencing discharge after terminating operations, or a source which had been an indirect discharger which commences discharging into navigable waters shall install and have in operating condition, and shall "start-up" all pollution control equipment required to meet the terms and conditions of its permit before beginning to discharge. Within the shortest feasible time (not to exceed ninety (90) days), the owner or operator must meet all permit terms and conditions.

(5) After the effective date of new source performance standards, it shall be unlawful for any owner or operator of any new source to operate such source in violation of those standards applicable to such source.

(Water Pollution Control Division; 327 IAC 5-2-17; filed Sep 24, 1987, 3:00 p.m.: 11 IR 631; filed Oct 9, 2015, 4:07 p.m.: 20151104-IR-327100659FRA; errata filed Dec 30, 2015, 12:37 p.m.: 20160113-IR-327150453ACA)

327 IAC 5-2-18 Basic NPDES requirements; public access to information

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-18-3](#)

Affected: [IC 5-14-3](#); [IC 13-14-11](#)

Sec. 18. (a) All:

- (1) permit applications;
- (2) effluent data;
- (3) certifications issued under section 401 of the CWA;
- (4) public comments (including comments of all governmental agencies) submitted under 327 IAC 5-3-9 on a draft permit;
- (5) general correspondence;
- (6) permits (drafts and final);
- (7) statements of basis (briefing memos); and
- (8) fact sheets;

shall be available to the public for inspection and copying at a reasonable charge without restriction.

(b) Public access to other information submitted to the commissioner under the NPDES program, under a claim of confidentiality, shall be governed by 327 IAC 12.1. *(Water Pollution Control Division; 327 IAC 5-2-18; filed Sep 24, 1987, 3:00 p.m.: 11 IR 632; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1756; filed Mar 9, 2000, 7:47 a.m.: 23 IR 1630)*

327 IAC 5-2-19 Transmission of information to EPA

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 19. (a) The commissioner shall transmit to the regional administrator copies of NPDES program forms and any other relevant information to the extent and in the manner agreed to in the memorandum of agreement between the commissioner and EPA.

(b) Any other information obtained or used pursuant to the state NPDES program shall be available to EPA upon request without restriction.

(c) Any information which has been submitted to the commissioner under a claim of confidentiality and is subsequently transmitted to EPA under subsections (a) or (b) will be subject to EPA regulations concerning business confidentiality (40 CFR Part 2). *(Water Pollution Control Division; 327 IAC 5-2-19; filed Sep 24, 1987, 3:00 pm: 11 IR 632)*

327 IAC 5-2-20 Enforcement

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-14-10](#); [IC 13-18-3-15](#); [IC 13-18-4](#); [IC 13-30](#)

Sec. 20. (a) Any violation of this article:

(1) may subject the person causing or contributing to said violation to administrative or judicial enforcement proceedings, pursuant to [IC 13-30](#);

(2) may be cause, pursuant to section 16 of this rule, for modification, revocation and reissuance, or termination of an NPDES permit; and

(3) may, in an appropriate case, warrant the invocation of emergency procedures provided in [IC 13-14-10](#).

(b) The three (3) enforcement responses enumerated in subsection (a) are independent and not mutually exclusive. Thus the initiation and prosecution of any particular response to a violation of this article does not exclude the concurrent or subsequent initiation of any other response.

(c) For purposes of this section, a "violation of this article" shall include, but not be limited to:

(1) the discharge of pollutants without an NPDES permit or in violation of any effluent limitation in an NPDES permit;

(2) the violation of any other term or condition of an NPDES permit;

(3) failure to comply with NPDES application requirements under section 3 of this rule or 327 IAC 5-3; or

(4) failure to allow entry, inspection, and monitoring by the commissioner when requested in accordance with applicable law or to carry out monitoring, recording, and reporting required under this article.

(d) For violations of a permit for storm water runoff associated with construction activity, the department shall investigate potential violations of the permit to determine which person may be responsible for the violation. The department shall, if appropriate, consider public records of ownership, building permits issued by local units of government, and other relevant information, which may include site inspections, storm water pollution prevention plans, notices of intent, and other information related to the specific facts and circumstances of the potential violation. (*Water Pollution Control Division; 327 IAC 5-2-20; filed Sep 24, 1987, 3:00 p.m.: 11 IR 632; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1756; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#)*)

327 IAC 5-2-21 Fees (*Repealed*)

Sec. 21. (*Repealed by Water Pollution Control Division; filed Sep 26, 1997, 3:55 p.m.: 21 IR 372*)

327 IAC 5-2-22 Signatories to permit applications and reports

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-14-13](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 22. (a) All permit applications shall be signed as follows:

(1) For a corporation by a responsible corporate officer. For purposes of this section, "a responsible corporate officer" means either of the following:

(A) A president, secretary, treasurer, any vice president of the corporation in charge of a principal business function, or any other person who performs similar policymaking or decision making functions for the corporation.

(B) The manager of one (1) or more manufacturing, production, or operating facilities provided the manager is authorized to make management decisions that govern the operation of the regulated facility including having the explicit or implicit duty to make major capital investment recommendations, and initiating and directing other comprehensive measures to assure long-term environmental compliance with environmental laws and regulations; the manager can ensure that the necessary systems are established or actions taken to gather complete and accurate information for permit application requirements; and where authority to sign documents has been assigned or delegated to the manager in accordance with corporate procedures.

(2) For a partnership or sole proprietorship by a general partner or the proprietor, respectively.

(3) For a municipality, state, federal, or other public agency or political subdivision thereof by either a principal executive officer or ranking elected official. For purposes of this section, a principal executive officer of a federal agency includes:

(A) the chief executive officer of the agency; or

(B) a senior executive officer having responsibility for the overall operations of a principal geographic unit of the

agency (for example, Regional Administrators of EPA).

(4) Permit applicants who meet the criteria set forth in this subsection may also be required to utilize agency-approved electronic application mechanisms in lieu of paper NPDES applications.

(b) All reports required by permits and other information requested by the commissioner shall be signed by a person described in subsection (a), or by a duly authorized representative of that person. A person is a duly authorized representative only if the authorization meets the following requirements:

(1) The authorization is made in writing by a person described in subsection (a).

(2) The authorization specifies either an individual or a position having responsibility for the overall operation of the regulated facility or activity, such as the position of plant manager, operator of a well or a well field, superintendent, or position of equivalent responsibility. (A duly authorized representative may thus be either a named individual or any individual occupying a named position.)

(3) The written authorization is submitted to the commissioner.

(c) If an authorization under subsection (b) is no longer accurate because a different individual or position has responsibility for the overall operation of the facility, a new authorization satisfying the requirements of subsection (b) must be submitted to the commissioner prior to or together with any reports, information, or applications to be signed by an authorized representative.

(d) Any person signing a document under subsection (a) or (b) shall make the following certification:

"I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations."

(Water Pollution Control Division; 327 IAC 5-2-22; filed Sep 24, 1987, 3:00 p.m.: 11 IR 633; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1756; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#))

327 IAC 5-2-23 Primary industrial point source categories

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 23. Primary industrial point source categories include the following:

Adhesives	Aluminum Forming
Auto and Other Laundries	Battery Manufacturing
Coal Mining	Coil Coating
Copper Forming	Electric and Electronic Components
Electroplating	Explosives Manufacturing
Foundries	Gum and Wood Chemicals
Inorganic Chemicals	Iron & Steel
Leather Tanning and Finishing	Mechanical Products
Nonferrous Metals	Ore Mining
Organic Chemicals	Paint and Ink
Pesticides	Petroleum Refining
Pharmaceuticals	Photographic Supplies
Plastic and Synthetic Materials	Plastics Processing
Porcelain Enameling	Printing and Publishing
Pulp and Paper Mills	Rubber Processing
Soaps and Detergents	Steam Electric Power Plants
Textile Mills	Timber Products

(Water Pollution Control Division; 327 IAC 5-2-23; filed Sep 24, 1987, 3:00 pm: 11 IR 634)

Rule 2.1. Combined Sewer Overflow Public Notification

327 IAC 5-2.1-1	Purpose (Repealed)
327 IAC 5-2.1-2	Applicability
327 IAC 5-2.1-3	Definitions
327 IAC 5-2.1-4	CSO notification procedure
327 IAC 5-2.1-5	Notification
327 IAC 5-2.1-6	Community notification methods
327 IAC 5-2.1-7	Record keeping and reporting

327 IAC 5-2.1-1 Purpose (Repealed)

Sec. 1. (Repealed by Water Pollution Control Division; filed Aug 9, 2019, 11:58 a.m.: [20190904-IR-327180271FRA](#))

327 IAC 5-2.1-2 Applicability

Authority: [IC 13-14-1-5](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-18-4-1](#)
 Affected: [IC 13-18-3](#)

Sec. 2. This rule applies to a person:

- (1) required to possess a National Pollutant Discharge Elimination System (NPDES) permit; and
- (2) having one (1) or more combined sewer overflow outfalls into waters of the state;

unless the person is required to comply with 40 CFR 122.38*, as added by 83 FR 730*, and 327 IAC 5-2.2.

*This document is incorporated by reference. Copies may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, Thirteenth Floor, 100 North Senate Avenue, Indianapolis, Indiana 46204. (Water Pollution Control Division; 327 IAC 5-2.1-2; filed Apr 9, 2003, 2:55 p.m.: 26 IR 2613; readopted filed Sep 17, 2009, 3:49 p.m.: [20091014-IR-327090595BFA](#); readopted filed Oct 20, 2015, 8:41 a.m.: [20151118-IR-327150285BFA](#); filed Aug 9, 2019, 11:58 a.m.: [20190904-IR-327180271FRA](#))

327 IAC 5-2.1-3 Definitions

Authority: [IC 13-14-1-5](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-18-4-1](#)
 Affected: [IC 13-11-2-158](#); [IC 13-11-2-265](#); [IC 13-18-3](#)

Sec. 3. The following definitions apply throughout this rule:

- (1) "Affected public" means those persons who may be exposed to waterborne pathogens through direct contact with or ingestion of water affected by a combined sewer overflow discharge and is limited to:
 - (A) residents on or adjacent to affected waters;
 - (B) public and private schools on or adjacent to affected waters;
 - (C) owners or operators of facilities that provide access to or recreational opportunities in or on affected waters; and
 - (D) owners or operators of public drinking water systems with surface intakes in or on affected waters.
- (2) "Affected waters" means those waters where the E. coli criteria may be exceeded due to a combined sewer overflow discharge.
- (3) "Combined sewage" means a combination of wastewater, including domestic, commercial, or industrial wastewater and storm water transported in a combined sewer.
- (4) "Combined sewer overflow community" or "CSO community" means a recipient of a National Pollutant Discharge Elimination System (NPDES) permit that includes one (1) or more combined sewer overflow outfalls.
- (5) "Combined sewer overflow discharge" or "CSO discharge" means the discharge of combined sewage from an overflow point listed in an NPDES permit.
- (6) "Combined sewer overflow outfall" or "CSO outfall" means a structure that:
 - (A) conveys combined sewage into a receiving waterbody; and
 - (B) is listed in an NPDES permit.
- (7) "Combined sewer system" means a system that:
 - (A) is designed, constructed, and used to receive and transport combined sewage to a publicly owned wastewater

treatment plant; and

(B) may contain one (1) or more combined sewer overflow outfalls that discharge sewage when the hydraulic capacity of the wastewater treatment plant, combined sewer system, or part of the system is exceeded as a result of a wet weather event.

(8) "Commissioner" means the commissioner of the department of environmental management.

(9) "Department" means the department of environmental management except as specifically referenced in this rule.

(10) "Person" has the meaning set forth at [IC 13-11-2-158](#).

(11) "Waters of the state" has the meaning set forth for "waters" at [IC 13-11-2-265](#).

(Water Pollution Control Division; 327 IAC 5-2.1-3; filed Apr 9, 2003, 2:55 p.m.: 26 IR 2613; readopted filed Sep 17, 2009, 3:49 p.m.: [20091014-IR-327090595BFA](#); readopted filed Oct 20, 2015, 8:41 a.m.: [20151118-IR-327150285BFA](#); readopted filed May 18, 2021, 1:04 p.m.: [20210609-IR-327210118BFA](#))

327 IAC 5-2.1-4 CSO notification procedure

Authority: [IC 13-14-1-5](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-18-4-1](#)

Affected: [IC 13-18-3](#)

Sec. 4. (a) A CSO community shall:

(1) develop a CSO notification procedure that meets the requirements of this rule; and

(2) incorporate the CSO notification procedure into its CSO operational plan.

(b) A CSO notification procedure must include the following information at a minimum:

(1) Determination of affected waters for the purpose of providing community notification according to section 5 of this rule.

(2) Locations of:

(A) the CSO outfalls;

(B) public access points including boat launches and bridges located on affected waters; and

(C) parks, school yards, parkways, and greenways on or adjacent to affected waters.

(3) Locations of drinking water suppliers having surface water intakes located within ten (10) river miles downstream of each CSO outfall within the CSO community's jurisdiction.

(4) Method, according to section 6 of this rule, that shall be used to provide notification to the affected public within the area of each affected water.

(5) Assignment of responsibilities within a CSO community for implementing the CSO notification procedure.

(c) A CSO notification procedure must be:

(1) submitted to the commissioner for review six (6) months after the effective date of this rule;

(2) included in the community's CSO operational plan;

(3) in the initial stages of implementation by the CSO community upon submission according to subdivision (1);

(4) fully implemented no later than ninety (90) days after the date of submission according to subdivision (1); and

(5) modified in order to ensure that the procedure is consistent with this rule if either of the following occurs:

(A) The commissioner requests such modification within six (6) months of the date of submission of the notification procedure.

(B) A member of the affected public requests that the department reevaluate the notification procedure.

(Water Pollution Control Division; 327 IAC 5-2.1-4; filed Apr 9, 2003, 2:55 p.m.: 26 IR 2614; readopted filed Sep 17, 2009, 3:49 p.m.: [20091014-IR-327090595BFA](#); readopted filed Oct 20, 2015, 8:41 a.m.: [20151118-IR-327150285BFA](#); readopted filed May 18, 2021, 1:04 p.m.: [20210609-IR-327210118BFA](#))

327 IAC 5-2.1-5 Notification

Authority: [IC 13-14-1-5](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-18-4-1](#)

Affected: [IC 13-18-3](#)

Sec. 5. (a) A CSO community shall provide notification to:

(1) affected public;

(2) other persons within the CSO community who request to be notified in response to the public notice required by section 6(a)(1) of this rule; and

(3) local health departments and drinking water suppliers having surface water intakes located within ten (10) river miles downstream of each CSO outfall experiencing or about to experience a CSO discharge.

(b) The notification must be appropriately worded to explain the nature of the potential health effects of a CSO discharge and steps that affected persons can take to avoid exposure.

(c) Unless specifically required in this rule, a CSO community is not responsible for confirming that the intended recipients of the notification required by subsection (a) received the notification.

(d) Notification must be provided whenever information from a reliable source indicates that:

(1) a discharge or discharges from one (1) or more combined sewer overflow outfalls is occurring; or

(2) a discharge or discharges from one (1) or more combined sewer overflow outfalls is imminent based on predicted or actual precipitation or a related event.

(e) If a CSO discharge occurred and notification was not provided according to subsection (d), the CSO community shall report this fact on the monthly report required according to section 7(a) of this rule. (*Water Pollution Control Division; 327 IAC 5-2.1-5; filed Apr 9, 2003, 2:55 p.m.: 26 IR 2614; readopted filed Sep 17, 2009, 3:49 p.m.: [20091014-IR-327090595BFA](#); readopted filed Oct 20, 2015, 8:41 a.m.: [20151118-IR-327150285BFA](#); readopted filed May 18, 2021, 1:04 p.m.: [20210609-IR-327210118BFA](#)*)

327 IAC 5-2.1-6 Community notification methods

Authority: [IC 13-14-1-5](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-18-4-1](#)

Affected: [IC 13-18-3](#)

Sec. 6. (a) A CSO community shall do the following unless alternative procedures are identified by the community that are equivalently effective:

(1) Provide public notice in a newspaper of general circulation in March of each year to allow the following to request receipt of CSO notification:

(A) Media sources, such as newspapers, television, or radio.

(B) Affected public.

(C) Other interested persons in the CSO community.

(2) Provide notification to those identified under subdivision (1) who request receipt of CSO notification under subdivision (1):

(A) when a CSO discharge is occurring or is imminent based on predicted or actual precipitation or a related event; and

(B) in a manner that is mutually agreeable to the recipient and the CSO community.

If the recipient and CSO community do not reach agreement on an acceptable manner of notification, then the CSO community shall provide notice by a reasonable, effective means.

(b) In addition to the requirements of subsection (a), a CSO community shall post a prominent sign within the CSO community's jurisdiction:

(1) at access points to an affected water, including boat ramps, bridges, parks, and school yards;

(2) along parkways and greenways on or adjacent to affected waters at locations most likely to provide notification to persons who may come into direct contact with the water based on information available to the CSO community; and

(3) with the language printed in English or any other language common in the locale (including the language necessary to fill in the blanks) that states or is equal in meaning to the following: "Caution—Sewage or Wastewater pollution. Sewage or Wastewater may be in this water during and for several days after periods of rainfall or snow melt. People who swim in, wade in, or ingest this water may get sick. For more information, please call [insert local sewer authority, telephone number, and, if available, a Web site address]."

(c) Cautionary combined sewer overflow signs posted prior to the effective date of this rule advising that combined sewer overflows may occur at that point do not need to be replaced specifically to comply with the wording of subsection (b)(3). If, however, a cautionary combined sewer overflow sign existing prior to the effective date of this rule does need replacement due to reasons such as weathering or other reasons for replacement, then the replacement sign must comply with the language suggested in subsection (b)(3).

(d) If an access point to an affected water is located on private property or property outside a CSO community's jurisdiction, then a CSO community shall:

(1) annually offer to provide the sign required under subsection (b) for the owner or operator of the private or nonjurisdictional property; and

(2) not be required to provide the sign required under subsection (b) provided the private or nonjurisdictional property owner or operator has refused the community's offer made according to subdivision (1).

(Water Pollution Control Division; 327 IAC 5-2.1-6; filed Apr 9, 2003, 2:55 p.m.: 26 IR 2615; readopted filed Sep 17, 2009, 3:49 p.m.: [20091014-IR-327090595BFA](#); readopted filed Oct 20, 2015, 8:41 a.m.: [20151118-IR-327150285BFA](#); readopted filed May 18, 2021, 1:04 p.m.: [20210609-IR-327210118BFA](#))

327 IAC 5-2.1-7 Record keeping and reporting

Authority: [IC 13-14-1-5](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-18-4-1](#)

Affected: [IC 13-18-3](#)

Sec. 7. (a) A CSO community shall document its public notification efforts on its monthly CSO discharge monitoring report (DMR).

(b) A CSO community shall maintain a record of reports submitted according to subsection (a) that is:

(1) kept at the wastewater treatment plant; and

(2) available to the commissioner's representatives during the department's normal working hours.

(Water Pollution Control Division; 327 IAC 5-2.1-7; filed Apr 9, 2003, 2:55 p.m.: 26 IR 2615; readopted filed Sep 17, 2009, 3:49 p.m.: [20091014-IR-327090595BFA](#); readopted filed Oct 20, 2015, 8:41 a.m.: [20151118-IR-327150285BFA](#); readopted filed May 18, 2021, 1:04 p.m.: [20210609-IR-327210118BFA](#))

Rule 2.2. Public Notification Requirements for Combined Sewer Overflows to the Great Lakes Basin

[327 IAC 5-2.2-1](#)

Applicability

[327 IAC 5-2.2-2](#)

Definitions

327 IAC 5-2.2-1 Applicability

Authority: [IC 13-13-5](#); [IC 13-14-8](#); [IC 13-18-3](#); [IC 13-18-16-8](#); [IC 13-18-16-9](#)

Affected: [IC 13-18-2](#); [IC 13-18-16](#)

Sec. 1. (a) The requirements of this rule and 40 CFR 122.38* apply to a permittee authorized to discharge a combined sewer overflow to the Great Lakes Basin.

(b) A permittee described under subsection (a) must comply with the requirements of this rule and 40 CFR 122.38* for both authorized and unauthorized CSO outfalls listed in the permit.

(c) A reference to a provision of the Code of Federal Regulations (CFR) means the July 1, 2018, edition.

*This document is incorporated by reference. Copies may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, Thirteenth Floor, 100 North Senate Avenue, Indianapolis, Indiana 46204. *(Water Pollution Control Division; 327 IAC 5-2.2-1; filed Aug 9, 2019, 11:58 a.m.: [20190904-IR-327180271FRA](#))*

327 IAC 5-2.2-2 Definitions

Authority: [IC 13-13-5](#); [IC 13-14-8](#); [IC 13-18-3](#); [IC 13-18-16-8](#); [IC 13-18-16-9](#)

Affected: [IC 13-18-2](#); [IC 13-18-16](#)

Sec. 2. When used in 40 CFR 122.38*, the following definitions apply:

(1) "Combined sewer overflow" or "CSO" means a discharge from a combined sewer system (CSS) at a point prior to the publicly owned treatment works (POTW) treatment plant, as defined at 40 CFR 403.3(r)* and 327 IAC 5-1.5-43.

(2) "Combined sewer system" or "CSS" means a wastewater collection system owned by a state or municipality, as defined by Section 502(4) of the Clean Water Act, that conveys sanitary wastewaters (domestic, commercial, and industrial wastewater) and stormwater through a single-pipe system to a POTW treatment plant, as defined at 40 CFR 403.3(r)* and 327 IAC 5-1.5-43.

(3) "Great Lakes Basin" means the waters defined as "Great Lakes" and "Great Lakes System" as defined in 40 CFR 132.2*.

*These documents are incorporated by reference. Copies may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, Thirteenth Floor, 100 North Senate Avenue, Indianapolis, Indiana 46204. (*Water Pollution Control Division; 327 IAC 5-2.2-2; filed Aug 9, 2019, 11:58 a.m.: [20190904-IR-327180271FRA](#)*)

Rule 3. Procedures for the Issuance of NPDES Permits

327 IAC 5-3-1	Purpose
327 IAC 5-3-2	Application requirements
327 IAC 5-3-3	Requests for modification, revocation and reissuance, or termination
327 IAC 5-3-4	Time deadlines for applications for statutory modifications of and variances from effluent limitations
327 IAC 5-3-4.1	Determination on variances from water quality standards and effluent limitations based on such variances; procedures
327 IAC 5-3-5	Permits required on a case-by-case basis
327 IAC 5-3-6	Tentative permit decisions and draft permits
327 IAC 5-3-7	Statement of basis
327 IAC 5-3-8	Fact sheet
327 IAC 5-3-9	Public comments and public hearings
327 IAC 5-3-10	Terms requested by the corps of engineers and other governmental agencies
327 IAC 5-3-11	Reopening of the comment period
327 IAC 5-3-12	Public notice of comment period; public hearings concerning permit determinations
327 IAC 5-3-13	Special procedures for decisions on thermal issues
327 IAC 5-3-14	Issuance and effective date of a permit
327 IAC 5-3-15	Response to comments
327 IAC 5-3-16	Judicial review
327 IAC 5-3-17	NPDES application and annual fees

327 IAC 5-3-1 Purpose

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-18](#)

Sec. 1. This rule (327 IAC 5-3) prescribes procedures for the issuance of NPDES permits by the commissioner. For purposes of this rule (327 IAC 5-3), "issuance" includes the issuance, denial, modification, revocation and reissuance, or termination of an NPDES permit. The respective roles of the agency and EPA in the issuance of permits are defined to the extent necessary for clarification. Generally, the issuance of an NPDES permit involves the following steps:

- (1) the preparation and submission of an application by the person proposing a discharge;
- (2) the preparation of a draft permit by the commissioner;
- (3) the establishment of a public comment period during which the public may comment on the draft permit;
- (4) after, or concurrent with, consideration of public comment, the submission by the commissioner of a proposed permit to EPA for concurrence where necessary;
- (5) the issuance of a permit; and
- (6) the conducting of an adjudicatory hearing, when properly requested, on objections to the permit.

(*Water Pollution Control Division; 327 IAC 5-3-1; filed Sep 24, 1987, 3:00 pm: 11 IR 634; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-3-2 Application requirements

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-16](#); [IC 13-18-3](#)
 Affected: [IC 13-18](#)

INDUSTRIAL WASTEWATER PRETREATMENT PROGRAMS AND NPDES

Sec. 2. (a) A person currently discharging pollutants under an existing NPDES permit shall submit a new application as follows:

- (1) Under subsection (b) where facility expansions, production increases, or process modifications will:
 - (A) result in new or substantially increased discharges of pollutants or a change in the nature of the discharge of pollutants; or
 - (B) violate the terms and conditions of the existing permit.

- (2) At least one hundred eighty (180) days prior to the expiration date of the existing permit, unless a later date is allowed by the commissioner.

(b) A person proposing a new discharge of pollutants shall submit an application according to the following:

- (1) The application must be submitted at least one hundred eighty (180) days before the date when the discharge is to commence, unless a later date is allowed by the commissioner.

- (2) A person planning to operate a facility that is a new source or a new discharger and that may fall under the coverage of an existing general permit shall submit an NPDES application under this section and state that an existing general permit may cover the facility's discharge.

(c) The commissioner shall review the application under subsection (b)(2) and:

- (1) if the applicant's proposed discharge falls within the coverage of the general permit, the commissioner shall:

- (A) notify the applicant that coverage under the general permit applies; and

- (B) suspend further processing of the application; or

- (2) if coverage under a general permit does not apply to the applicant's proposed discharge, the commissioner shall process the application as for an individual NPDES permit according to this article.

(d) All applications required under this section must be:

- (1) completed in accordance with 327 IAC 5-2-3 and applicable instructions;

- (2) signed pursuant to 327 IAC 5-2-22; and

- (3) submitted with the appropriate fee under section 17 of this rule to the department of environmental management.

(e) Except for decisions to modify, revoke and reissue, or terminate a permit, no NPDES permit other than a general permit may be issued until the applicant has filed a complete application that complies with the filing requirements in this rule. If an applicant fails or refuses to correct deficiencies in its NPDES application form, the permit may be denied or appropriate enforcement action may be taken under 327 IAC 5-2-20.

(f) If the commissioner determines that further information or a site visit is necessary in order to evaluate the discharge completely and accurately, the commissioner shall:

- (1) notify the applicant; and

- (2) schedule a date for:

- (A) receipt of the requested information; and

- (B) any necessary site visit.

(g) Special procedures for applications for variances and statutory modifications are provided in sections 4 and 13 of this rule.

(h) In the case of a person discharging or proposing to discharge pollutants from more than one (1) point source, an appropriate application form must be submitted for each point source discharge. (*Water Pollution Control Division; 327 IAC 5-3-2; filed Sep 24, 1987, 3:00 p.m.: 11 IR 634; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); filed May 23, 2022, 9:56 a.m.: [20220622-IR-327200026FRA](#)*)

327 IAC 5-3-3 Requests for modification, revocation and reissuance, or termination

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 3. (a) If a discharger with a permit or an interested person believes that a modification, revocation and reissuance, or termination of a permit is justified under the standards of 327 IAC 5-2-16, he may request such action on the permit from the commissioner in writing. The request shall set forth all facts or reasons known to the requester which may be relevant to a decision thereon.

(b) If the commissioner agrees, as a result of a request, that the modification, revocation and reissuance, or termination of

a permit is warranted, the commissioner shall formulate a draft permit under 327 IAC 5-3-6.

(c) If the commissioner decides that a request submitted under subsection (a) does not appear to meet the requirements of 327 IAC 5-2-16, the commissioner shall reply in writing to the discharger (and the person making the request, if different) briefly setting forth in writing the reasons for that decision. Such denials of requests for modification, revocation, and reissuance, or termination of a permit are not subject to the public notice, comment, and public hearing provisions of this rule (327 IAC 5-3). (*Water Pollution Control Division; 327 IAC 5-3-3; filed Sep 24, 1987, 3:00 pm: 11 IR 635; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-3-4 Time deadlines for applications for statutory modifications of and variances from effluent limitations

Authority: [IC 13-14-8](#); [IC 13-15](#); [IC 13-18-3](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 4. (a) Except as provided in subsection (d), applications for variances from and modification of effluent limitations under the statutory and regulatory provisions of the CWA shall be made as provided in subsections (b) and (c).

(b) The following are requirements for dischargers other than publicly owned treatment works:

(1) A request for a variance based on the presence of factors fundamentally different (40 CFR 125.30) from those on which the effluent limitations guideline was based, shall be made by the earlier of the following dates:

(A) The close of the public comment period provided under section 9 of this rule.

(B) One hundred eighty (180) days after the date on which a national effluent limitation guideline is established or revised by the administrator.

The request shall explain why the requirements of section 9(c) of this rule and 327 IAC 5-6 have been met.

(2) A request for a variance from the BAT requirements for pollutants subject to section 301(b)(2)(F) of the CWA (commonly called nonconventional pollutants) pursuant to section 301(c) of the CWA because of the economic capability of the owner or operator or pursuant to section 301(g) of the CWA (provided however that a section 301(g) variance may only be requested for ammonia, chlorine, color, iron, total phenols (4AAP) (when determined by the administrator to be a pollutant covered by section 301(b)(2)(F) of the CWA) and any other pollutants which the administrator lists under section 301(g)(4) of the CWA) must be made as follows:

(A) Submitting an initial application to the regional administrator and the commissioner stating the name of the applicant, the permit number, the outfall number(s), the applicable effluent guideline, and whether the applicant is applying for a modification pursuant to section 301(c) or 301(g) of the CWA, or both. This application shall have been or shall be filed not later than the date established by the CWA, which is:

(i) September 25, 1978, for a pollutant which is controlled by a BAT effluent limitation guideline promulgated before December 27, 1977; or

(ii) two hundred seventy (270) days after promulgation of an applicable effluent limitation guideline for guidelines promulgated after December 27, 1977.

(B) Submitting a completed request no later than the close of the public comment period under section 9 of this rule demonstrating that the requirements of section 9(c) of this rule and the applicable requirements of 40 CFR 125, Subpart E or F, have been met. Notwithstanding this provision, the completed application for a request under section 301(g) of the CWA shall be filed one hundred eighty (180) days before EPA must make a decision (unless the regional division director establishes a shorter or longer period).

(C) For those requests for a variance from effluent limitations based on other than effluent limitation guidelines, the request shall comply only with clause (B) and need not be preceded by an initial application under clause (A).

(3) An extension under section 301(k) of the CWA from the statutory deadlines of section 301(b)(2)(A) of the CWA for BAT or section 301(b)(2)(E) of the CWA for BCT, based on the use of innovative technology may be requested no later than the close of the public comment period for the discharger's initial permit requiring compliance with best available technology or best conventional pollutant control technology. The request shall demonstrate that the requirements of section 9(c) of this rule and 40 CFR 125, Subpart C, have been met.

(4) A modification, under section 302(b)(2) of the CWA, of water quality related effluent limitations proposed under section 302(a) of the CWA may be requested no later than the close of the public comment period on the draft permit in which said effluent limitations are proposed or at the public hearing required under section 302(b)(1) of the CWA.

(5) The following are requirements for thermal effluent limitations:

(A) An original request for alternate thermal effluent limitations for the thermal component of any discharge under section 316(a) of the CWA in lieu of promulgated effluent limitation guidelines must be filed with a timely permit application required under section 2 of this rule.

(B) If thermal effluent limitations are proposed in the draft permit, pursuant to section 402(a)(1) of the CWA (see 327 IAC 5-5-2(b)(2)) or water quality standards, and the proposed limitations are in the absence of, or are more stringent than, promulgated effluent limitation guidelines, the original request for alternate thermal effluent limitations shall be filed, or modified if deemed necessary, by the close of the public comment period for the draft permit.

(C) A request for a renewal of alternate thermal effluent limitations shall, in every case, be filed with a timely application for permit reissuance.

(D) The request for alternate thermal effluent limitations shall include the information specified by 327 IAC 5-7.

(c) The following are requirements for publicly owned treatment works:

(1) Section 301(i)(1) of the CWA requires that an extension of the statutory deadlines in section 301(b)(1)(B) or 301(b)(1)(C) of the CWA based on delay in the construction of publicly owned treatment works must have been requested on or before August 3, 1987.

(2) A modification under section 302(b)(2) of the CWA of water quality related effluent limitations proposed under section 302(a) of the CWA may be requested no later than the close of the public comment period on the draft permit in which said effluent limitations are proposed or at the public hearing required under section 302(b)(1) of the CWA, whichever is earlier.

(d) Notwithstanding any later time specified in subsections (b) and (c), the commissioner may notify the applicant before a draft permit is published pursuant to section 12 of this rule that the draft permit will likely contain limitations which are eligible for variances or modifications. In such notice the commissioner may require the applicant as a condition of consideration of any potential variance request to submit, within a specified reasonable time, after receipt of the notice, a statement explaining how the criteria and other requirements of this rule applicable to the variance or modification have been met. This notice may be sent before the application under section 2 of this rule has been submitted.

(e) A discharger who cannot file a timely, complete request required under subsection (b)(2)(B), (b)(2)(C), (b)(3), (b)(4), (b)(5), or (c)(2) may request an extension to apply. Extensions shall be limited to the time the commissioner determines is necessary to satisfy the requirements of the appropriate regulations but shall be no more than six (6) months in duration. The request may be granted or denied in the discretion of the commissioner. (*Water Pollution Control Division; 327 IAC 5-3-4; filed Sep 24, 1987, 3:00 p.m.: 11 IR 635; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1757; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-3-4.1 Determination on variances from water quality standards and effluent limitations based on such variances; procedures

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-15-4-3](#); [IC 13-18-3](#)

Affected: [IC 4-21.5-3](#); [IC 13-11-2-132](#); [IC 13-15-4-1](#); [IC 13-15-5](#); [IC 13-15-6](#); [IC 13-18-4](#); [IC 13-18-7](#); [IC 13-23-13](#); [IC 13-24-1](#); [IC 13-25-5](#)

Sec. 4.1. (a) The commissioner shall consider and make a written determination on a request for a variance from a water quality standard as provided in 327 IAC 2-1-8.8 or 327 IAC 2-1.5-17.

(b) Requirements for a variance application shall be as follows:

(1) An application for a variance for a substance may be submitted at any time during the period beginning on the date an application is submitted for the issuance, reissuance, or modification of a NPDES permit and ending ninety (90) days following the effective date of the new, renewed, or modified NPDES permit, when the WQBEL for the substance will be or is more restrictive in the renewed, or modified NPDES permit than in the existing permit. The applicant may petition the commissioner for up to an additional ninety (90) day period to submit an application for a variance. If the variance application is submitted prior to the issuance, reissuance, or modification date of the permit, the permit limitations for a substance for which a variance application is submitted will not be issued until such time that the commissioner makes the variance determination. Notwithstanding these time frames and procedures, an applicant that is seeking a variance from a water quality standard used to derive a WQBEL contained in an issued or modified NPDES permit must appeal the issuance of the permit or modification in accordance with [IC 4-21.5](#) and [IC 13-15-6](#), if applicable, if the variance request is submitted after the issuance date of the permit to be eligible for a stay of the WQBELs for the substance for which the variance is

being requested.

(2) The complete variance application shall contain the information that the commissioner determines to be necessary to satisfy the requirements contained in 327 IAC 2-1-8.8 or 327 IAC 2-1.5-17. The application shall contain the following:

(A) Except for variances governed under clause (B), the variance application shall contain the following:

(i) An identification of control methodologies in practice for similar waste streams and processes by similar facilities which achieve a level of control greater than the level currently achieved by the applicant, including those determined by the applicant not to be technically feasible for the applicant. Pollution prevention measures may be identified and submitted as part of the application. As used in this section, "pollution prevention" means changes in production process technologies, materials, processes, operations, or procedures to reduce or eliminate the source of the pollutant.

(ii) An identification, listed under item (i), of the methodologies determined by the applicant not to be technically feasible and documentation supporting infeasibility.

(iii) A ranking of those feasible methodologies from greater to lesser overall control effectiveness by:

(AA) the reduction in pollutant concentrations; and

(BB) the reduction in loadings (percent pollutant removed).

(iv) An evaluation for each feasible methodology that includes reasonably foreseeable:

(AA) adverse or beneficial environmental impacts resulting from the proposed methodology, including net impacts on the receiving water;

(BB) impacts to the aquatic community, wildlife, and plant life;

(CC) impacts on rare, threatened, or endangered species;

(DD) impacts resulting from the discharge of toxic contaminants;

(EE) energy impacts (BTU and kWh);

(FF) risks to human health; and

(GG) impacts to other media, including air or land.

(v) For a facility required to obtain a municipal permit as defined in [IC 13-11-2-132](#), an evaluation for each feasible methodology that includes the following:

(AA) An affordability analysis of total and annualized costs that measures the financial impact of the methodology on the user fees and taxes imposed on the residential and nonresidential users paying for the methodology, using, at a minimum, appropriate measures of debt and financial management conditions in the community.

(BB) The economic impacts, including the total cost and cost effectiveness of pollutant removal of the methodology.

(CC) The ability of ratepayers within the community to afford the added costs.

(DD) The ability of the public facility to obtain debt financing.

(vi) For a facility required to obtain a NPDES permit that is not a municipal permit as defined in [IC 13-11-2-132](#), an evaluation for each feasible methodology that includes the following:

(AA) An affordability analysis of total and annualized costs that measures the financial impact of the methodology to determine whether the facility can afford the methodology based upon reasonable measures of financial health and available capital.

(BB) The economic impacts, including the total cost and cost effectiveness of pollutant removal of the methodology.

(CC) The impact of costs on applicant's goods or services.

(DD) Information regarding the relative price of goods or services in the same market as the applicant.

(EE) The overall impact of the application of the methodology on employment within the facility.

(vii) An explanation of why information sought under items (i) through (vi) is not necessary or appropriate for inclusion in the specific variance application.

(viii) Any other relevant information requested by the commissioner.

(B) The following procedures shall be used to evaluate variance applications for discharges that occur as a result of actions listed in item (i):

(i) The procedures in this clause apply to an applicant that requests a variance from a water quality standard used to derive a water quality-based effluent limitation (WQBEL) contained in an NPDES permit for a specific substance where the necessity for the variance is a short term, temporary discharge resulting from the dredging of contaminated sediments from a waterbody, and is any of the following:

(AA) A response action pursuant to the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) as amended.

(BB) A corrective action pursuant to the Resource Conservation and Recovery Act (RCRA) as amended.

(CC) An action pursuant to similar federal or state authorities, including, but not limited to, the following:

(aa) An underground storage tank (UST) corrective action under [IC 13-23-13](#).

(bb) A remediation of petroleum releases under [IC 13-24-1](#).

(cc) A voluntary remediation under [IC 13-25-5](#).

(dd) An abatement or correction of any polluted condition under [IC 13-18-7](#).

(ii) The application for a variance requested under this clause shall contain the following:

(AA) Identification of the substance for which a variance is being requested and information documenting the concentrations of the substance projected to be present in the discharge.

(BB) Document predredging environmental conditions.

(CC) Document the expected environmental benefits of the project.

(DD) Identification of the methodologies that potentially could be used to reduce the concentration of the substance in the discharge or eliminate the need for variance. Methodologies to be evaluated shall include, but not be limited to:

(aa) relocation of the discharge location;

(bb) discharge to a POTW;

(cc) alternate dredging methodologies; or

(dd) control methodologies used in practice for similar wastestreams.

(EE) An identification of the methodologies identified under subitem (DD) determined by the applicant not to be technically feasible and documentation supporting the infeasibility.

(FF) A ranking of those feasible methodologies from greater to lesser effectiveness by:

(aa) the reduction in pollutant concentrations; and

(bb) the increase in percent removal.

(GG) An evaluation for each feasible methodology that includes reasonably foreseeable adverse or beneficial environmental impacts resulting from the methodology, including the net impacts on the receiving water. This evaluation shall include:

(aa) impacts to the aquatic community, wildlife, and plant life;

(bb) impacts on rare, threatened, or endangered species;

(cc) impacts resulting from the discharge of toxic contaminants;

(dd) energy impacts (BTU and kWh);

(ee) risks to human health; and

(ff) impacts to other media, including air or land.

(HH) Documentation of the costs associated with implementing each feasible methodology.

(II) Upon request by the applicant, the commissioner may determine that one (1) or more of the requirements in subitems (AA) through (HH) is not necessary or appropriate for inclusion in the variance application. This request submitted by the applicant shall explain why such information is not necessary or appropriate for inclusion.

(JJ) Any other relevant information requested by the commissioner.

(c) Upon receipt of a variance application, the commissioner shall provide notice, request comment, and, if requested, schedule and hold a public meeting on the application in accordance with 327 IAC 5-2-11.2.

(d) After the receipt of a variance application, the commissioner shall specify in writing any additional relevant information which is deemed necessary to make a determination on the variance request. Such additional information shall be submitted by the

applicant within forty-five (45) days after the receipt of the commissioner's request. The applicant may petition the commissioner for an extension of up to an additional forty-five (45) days within which to submit the additional information. Failure of an applicant to submit any additional relevant information requested by the commissioner within the applicable time period shall result in the denial of the variance application.

(e) After the commissioner has determined that a variance application is complete, the commissioner shall make a determination on the application in accordance with the following procedures:

(1) After receipt of a completed variance application, the information submitted under subsection (b)(2) will be reviewed and evaluated.

(2) The highest ranking methodology will be evaluated in accordance with:

(A) 327 IAC 2-1-8.8(b) and 327 IAC 2-1-8.8(c); or

(B) 327 IAC 2-1.5-17(b) and 327 IAC 2-1.5-17(c).

(3) If implementation of the highest ranking methodology causes an undue hardship or burden upon the applicant, the next highest ranking methodology will be evaluated as in subdivision (2).

(4) The procedures outlined in subdivisions (2) and (3) will be repeated until the highest ranking methodology that does not meet the criteria for granting a variance is identified.

(5) The variance determination will require the applicant to implement the highest ranking methodology that does not meet the criteria for granting of a variance.

(6) A variance shall not be granted that would approve the applicant's implementation of a methodology with less overall control effectiveness than the methodology currently implemented by the applicant.

(f) After the commissioner's review and consideration of a completed variance application, the commissioner shall issue a tentative determination on the variance application. The commissioner shall provide a comment period of thirty (30) days on a tentative determination to grant or deny a variance and shall provide public notice of the tentative determination and the comment period as specified under section 12 of this rule. The commissioner shall also include in this public notice, any effects of the variance on the designated use of the receiving waterbody if the tentative determination is to grant the variance.

(g) If a significant degree of interest is expressed during the comment period on the tentative determination to grant or deny the variance, and a public hearing is requested, the commissioner may hold such a hearing after giving notice thereof in accordance with section 12 of this rule. After the comment period or public hearing, the commissioner may request additional information from the applicant.

(h) The commissioner shall make a written determination on the requested variance in accordance with the conditions in 327 IAC 2-1-8.8(b) and subsection (c) or 327 IAC 2-1.5-17(b) and 327 IAC 2-1.5-17(c) within ninety (90) days of the expiration of the later of the following:

(1) The expiration of the public comment period required under subsection (f).

(2) The date of a public hearing allowed under subsection (g).

(3) The date that additional information, requested under subsection (g), is received by the commissioner.

This determination is appealable under [IC 4-21.5-3](#).

(i) If the determination is to grant a variance, either as requested, or as modified by the commissioner, the commissioner shall issue a new or reissue or modify an existing NPDES permit to incorporate the provisions of the variance. This variance shall contain the following:

(1) The WQBELs from which the variance has been granted.

(2) The effluent limitations which are determined to be attainable during the term of the variance. These limitations shall represent the maximum degree of progress feasible during the term of the variance toward attainment of the WQBELs without causing the demonstrated adverse impact. When the duration of the variance is shorter than the duration of the permit, compliance with effluent limitations sufficient to meet the water quality criterion upon the expiration of the variance shall be required.

(3) A compliance schedule which specifies the time period in which the permittee will be required to attain the limitations specified under subdivision (2). During this period in which the compliance schedule is in effect, the permittee will be required to meet interim limitations that are no less stringent than those achieved under the previous permit. If the variance is approved for a BCC, a pollutant minimization program shall be conducted consistent with 327 IAC 5-2-11.6(h)(7).

(4) Appropriate conditions requiring reasonable progress to be made toward attaining the water quality criterion for the waterbody as a whole.

(5) Any additional monitoring that is determined to be necessary to evaluate the effects on the receiving waterbody of the variance from water quality standards. This monitoring may include, but is not limited to, the following:

- (A) Whole effluent toxicity tests.
- (B) Biological assessments of the receiving waterbody.
- (C) Fish tissue analysis.
- (D) Monitoring of the water column.
- (E) Sediment toxicity testing.
- (F) Chemical analysis of sediments.

(6) A requirement for the permittee to investigate treatment technologies, process changes, and other techniques which may result in further progress toward attainment of the WQBELs.

(7) A provision allowing the commissioner to reopen and modify the permit based on any revision to the variance made by the board during the next revision of the water quality standards or by EPA upon review of the variance.

(8) For variances governed under subsection (b)(2)(B), a permit condition that allows the commissioner to suspend work of the project, upon written notice to the discharger, if the commissioner determines that the discharge is not in compliance with the permit or that the discharge is causing adverse environmental impacts that were not considered in the development of the permit. This decision is appealable under [IC 4-21.5-3](#). The issuance of a suspension order under this subsection shall not limit other enforcement actions or penalties. The department and permittee shall analyze operational deficiencies, and the department shall prescribe changes necessary to bring the discharge into conformance with the permit or revise the permit to address the unanticipated adverse environmental impacts.

(9) Other conditions that the commissioner determines to be necessary to implement the terms of the variance.

(j) The commissioner may issue a permit containing new limitations for substances not included by the applicant in the variance request. Permit limitations for a substance contained in the applicant's permit that are in effect at the time of the variance application shall remain in effect during the consideration of a variance application for that particular substance.

(k) The permittee may request a renewal of a variance in accordance with the provisions contained in 327 IAC 2-1-8.8 or 327 IAC 2-1.5-17 and this section. The renewal application shall also contain information concerning its compliance with the conditions incorporated into its permit as part of the original variance under subsection (i). Renewal of a variance may be denied if the permittee did not comply with the conditions of the original variance.

(l) All variances and supporting information shall be submitted by the commissioner to the EPA and shall include the following:

- (1) Relevant permittee applications submitted under subsection (b).
- (2) Public comments and records of any public hearings under subsections (f) and (g).
- (3) The final decision under subsection (h).
- (4) NPDES permits issued under subsection (i).

Items required in subdivisions (1) through (3) shall be submitted by the commissioner within thirty (30) days of the date of the final variance decision. The item required in subdivision (4) shall be submitted in accordance with the Memorandum of Agreement with the Regional Administrator.

(m) All variances shall be appended to the water quality standards rules, 327 IAC 2-1 or 327 IAC 2-1.5, during the triennial review process. (*Water Pollution Control Division; 327 IAC 5-3-4.1; filed Feb 1, 1990, 4:30 p.m.: 13 IR 1044; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1759; filed Feb 15, 1995, 1:30 p.m.: 18 IR 1821; errata filed Apr 21, 1995, 4:00 p.m.: 18 IR 2261; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1467; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3380; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#))*

327 IAC 5-3-5 Permits required on a case-by-case basis

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 5. (a) Various sections of 327 IAC 5-4 allow the commissioner to determine, on a case-by-case basis, that certain facilities, e.g., concentrated animal feeding operations and particular facilities covered by general permits may be required to obtain individual NPDES permits because of their significant contribution to water pollution or other reasons.

(b) Whenever the commissioner decides that an individual permit should be required under this section, he shall inform the

discharger in writing of that decision and the reasons underlying it and shall include an application form with such notice. The discharger must apply for a permit in accordance with 327 IAC 5-3-2 and 327 IAC 5-2-3 within ninety (90) days of a receipt of such notice. (*Water Pollution Control Division; 327 IAC 5-3-5; filed Sep 24, 1987, 3:00 pm.: 11 IR 637; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-3-6 Tentative permit decisions and draft permits

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 6. (a) If a permit has been properly requested under section 2 of this rule, the commissioner, after analyzing the data and other information furnished in the permit application and any other relevant information, shall tentatively decide whether to issue or deny the permit.

(b) If the commissioner tentatively decides to issue a permit, a draft permit shall be prepared containing:

- (1) all conditions, limitations, or requirements specified in 327 IAC 5-2-6, 327 IAC 5-2-8, and 327 IAC 5-2-9;
- (2) all effluent limitations, standards, prohibitions, and conditions required by 327 IAC 5-2-10, including all applicable variances or other statutory modifications which have been requested and appear justified under these rules;
- (3) all compliance schedules required by 327 IAC 5-2-12 and 327 IAC 5-2-12.1; and
- (4) all monitoring, recording, and reporting requirements specified by 327 IAC 5-2-13, 327 IAC 5-2-14, and 327 IAC 5-2-15.

(c) A decision by the commissioner to deny a permit application shall be made through the same procedures under this rule as any other permit decision. A notice of intent to deny a permit shall be made available for public comment under section 9 of this rule.

(d) If the commissioner determines, either as a result of a request under section 3 of this rule or on the commissioner's own initiative, that the modification or the revocation and reissuance of a permit is warranted under 327 IAC 5-2-16, the commissioner shall formulate a draft permit incorporating the proposed changes in accordance with the following conditions:

(1) In the case of a permit modification:

(A) the draft permit need not include the entire permit but may be restricted to the permit provisions that are proposed to be modified; and

(B) only those terms in the existing permit that are affected by the proposed modification will be reopened, however, such terms of the existing permit remain in force until a modification is issued and becomes finally effective under this article. All other aspects of the permit will remain in force until the expiration of the permit.

(2) If the permit is proposed to be revoked and reissued, the entire permit is reopened just as if the permit had expired and was being reissued. During any proceeding for revocation and reissuance of a permit, the permittee shall comply with all conditions of the existing permit until the new permit is reissued.

(3) If needed for the preparation of a draft permit under this subsection, the commissioner may request additional information, including, in appropriate cases, a complete new permit application.

(e) If the commissioner decides, either as a result of a request or on the commissioner's own initiative, that a permit shall be terminated pursuant to 327 IAC 5-2-16, the commissioner shall prepare a notice of intent to terminate which shall be made available for public comment. The decision shall be finalized through the procedures applicable under this rule to any other permit decision. Pending issuance of a final decision to terminate a permit, the terms and conditions of the permit shall remain in full force and effect.

(f) General permits to be issued under 327 IAC 15 shall be proposed in draft form, shall contain the designation of the general permit area and, except for general permits for separate storm sewers, shall be sent to the EPA for concurrence or objection during the public comment period. No final permit shall be issued if the regional administrator or the EPA deputy assistant administrator for water enforcement objects to the general permit within ninety (90) days from the date of publication of the public notice for the draft general permit. (*Water Pollution Control Division; 327 IAC 5-3-6; filed Sep 24, 1987, 3:00 p.m.: 11 IR 637; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1471; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-3-7 Statement of basisAuthority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 7. A statement of basis, or briefing memo, shall be prepared for every draft permit for which a fact sheet is not required. The briefing memo shall briefly describe the derivation of the terms and conditions of the permit and the reasons for them. For instance, if effluent limitations in a permit are based upon the application of water quality standards, the briefing memo shall identify the pertinent standards and the manner in which the effluent limitations in the permit were derived from the standards. (*Water Pollution Control Division; 327 IAC 5-3-7; filed Sep 24, 1987, 3:00 p.m.: 11 IR 637; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1760; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-32707053BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-3-8 Fact sheetAuthority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 8. (a) The department shall prepare a fact sheet for every draft permit for a major discharger, any draft permit that incorporates a statutory variance or modification or requires explanation under subsection (b)(5), general permits, and every draft permit that the commissioner finds is the subject of widespread public interest or raises major issues. The fact sheet shall briefly set forth the major facts and the significant factual, legal, methodological, and policy questions considered in preparing the draft permit. The commissioner shall send this fact sheet to the following:

- (1) The applicant.
- (2) EPA Region 5.
- (3) The district engineer of the Corps of Engineers.
- (4) The regional director of the U.S. Fish and Wildlife Service.
- (5) Other interested state and federal agencies.
- (6) Any other person on request.
- (b) The fact sheet shall include the following:
 - (1) A brief description of the type of facility or activity that is the subject of the draft permit and, where appropriate, a sketch or detailed description of the discharge described in the application.
 - (2) A description of the type and quantity of pollutants that are, or are proposed to be, discharged.
 - (3) A brief explanation of the express statutory or regulatory provisions on which permit requirements are based.
 - (4) Any calculations or other necessary explanation of the derivation of specific effluent limitations and conditions, including a citation to the applicable guideline or development documents or standard provisions as required under 327 IAC 5-2-10 and reasons why they are applicable or an explanation of how alternate effluent limitations were developed.
 - (5) When the draft permit contains any of the following conditions, an explanation of the reasons why such conditions are applicable:
 - (A) Technology-based limitations to control toxic pollutants under 327 IAC 5-2-10.
 - (B) Limitations on internal waste streams in accordance with 327 IAC 5-2-11(h).
 - (C) Limitations on indicator pollutants under 327 IAC 5-2-10(a)(5) and 327 IAC 5-5-2(f).
 - (D) Limitations allowing an increase in the discharge of any pollutant, including an explanation that satisfies the requirements of 327 IAC 5-2-10(a)(11) and the antidegradation requirements of 327 IAC 2-1, 327 IAC 2-1.3, and 327 IAC 2-1.5.
 - (E) Limitations implementing a variance from water quality standards under 327 IAC 2-1-8.8 or 327 IAC 2-1.5-17 and section 4.1 of this rule.
 - (6) Reasons why requested variances or modifications from otherwise required effluent limitations do or do not appear justified.
 - (7) Name and telephone number of a departmental contact person who can provide additional information.
 - (8) Any information, not otherwise specified herein, required under 327 IAC 5-2-12 or 327 IAC 5-2-12.1.

(*Water Pollution Control Division; 327 IAC 5-3-8; filed Sep 24, 1987, 3:00 p.m.: 11 IR 638; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1761; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1472; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21,*

2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); filed May 29, 2012, 3:19 p.m.: [20120627-IR-327080764FRA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); errata filed Sep 22, 2017, 11:46 a.m.: [20171004-IR-327170437ACA](#))

327 IAC 5-3-9 Public comments and public hearings

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 9. (a) A comment period of at least thirty (30) days following the date of public notice of the formulation of a draft permit shall be provided. During this period any interested persons may submit written comments on the draft permit and may request a public hearing in accordance with subsection (b). All comments, including those submitted in a public hearing, shall be considered by the commissioner in preparing the final permit and shall be responded to as provided in 327 IAC 5-3-15.

(b) A public hearing on a draft permit may be held by the commissioner in appropriate cases, either on the commissioner's own initiative or in response to a request or requests for public hearing submitted during the public comment period. A public hearing and a request to hold one shall meet the following:

(1) The public hearing shall be held where the commissioner finds there is a significant public interest in the draft permit. Instances of doubt will be resolved in favor of holding a hearing. Public notice of a public hearing shall be given as specified in 327 IAC 5-3-12.

(2) A request for a public hearing shall be in writing and shall state the nature of the issues to be raised and the reasons why a hearing is warranted.

(3) Any hearing conducted pursuant to this section shall be held in the geographical area of the proposed discharge, or other appropriate area where significant public interest exists in the discretion of the commissioner, and may, when appropriate, consider two or more related draft permits.

(4) Any person appearing at such a hearing may submit oral or written statements and data concerning the draft permit. Reasonable limits may be set upon the time allowed for oral statements, and the submission of statements in writing may be required. A hearing conducted under this section shall not constitute an "administrative adjudication" for purposes of [IC 4-22-1](#) or [IC 4-21.5](#).

(c) All persons, including the applicant, who believe any of the terms and conditions of a draft permit or a tentative decision to deny or terminate a permit is not appropriate for any reason, must raise all reasonably ascertainable issues and submit all arguments and a summary of the factual grounds supporting their position by the close of the public comment period (including any public hearing period).

(d) Public notice and opportunity for comment and public hearing of a proposed general permit must be provided in accordance with this section and section 12 of this rule. (*Water Pollution Control Division; 327 IAC 5-3-9; filed Sep 24, 1987, 3:00 p.m.: 11 IR 638; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#))*

327 IAC 5-3-10 Terms requested by the corps of engineers and other governmental agencies

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 10. (a) If the district engineer of the corps of engineers advises the commissioner in writing during the public comment period that anchorage and navigation of any of the waters of the United States would be substantially impaired by the granting of a permit, the permit shall be denied and the applicant so notified. If the district engineer advises the commissioner that imposing specified conditions upon the permit is necessary to avoid any substantial impairment of anchorage or navigation, then the commissioner shall include the specified conditions in the permit. Review or appeal of a denial of a permit or of conditions specified by the district engineer shall be made through the applicable procedures of the corps of engineers, and may not be made through the procedures provided in this rule (327 IAC 5-3).

(b) If during the comment period the U.S. fish and wildlife service or any state or other federal agency with jurisdiction over fish, wildlife, or public health advises the commissioner in writing that the imposition of specified conditions upon the permit is necessary to avoid substantial impairment of fish, shellfish, or wildlife resources, the commissioner may include the specified

conditions in the permit to the extent the commissioner determines they are necessary to carry out the provisions of the CWA and applicable state law.

(c) In appropriate cases the commissioner may consult with one (1) or more of the agencies referred to in this section before issuing a draft permit and may reflect their views in the statement of basis, the fact sheet, or the draft permit. (*Water Pollution Control Division; 327 IAC 5-3-10; filed Sep 24, 1987, 3:00 pm: 11 IR 639; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-3-11 Reopening of the comment period

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 11. If any information or arguments submitted during the public comment period appears to raise substantial new questions concerning a permit, the commissioner may conclude that one or more of the following actions is necessary for an informed decision:

- (1) formulation of a new draft permit, appropriately modified;
- (2) preparation of a fact sheet or revised fact sheet and reopening the comment period under 327 IAC 5-3-9; or
- (3) Reopening or extending the comment period to give interested persons an opportunity to comment on the information or arguments submitted. In each case the notice required by 327 IAC 5-3-12 shall be given.

(*Water Pollution Control Division; 327 IAC 5-3-11; filed Sep 24, 1987, 3:00 pm: 11 IR 639; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-3-12 Public notice of comment period; public hearings concerning permit determinations

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 12. (a) Notice of every proposed determination on a permit issuance or denial and of a public hearing concerning such a proposed determination shall be circulated in a manner designed to inform interested persons. Notice of a proposed permit determination shall allow at least thirty (30) days for public comment, as specified in section 9 of this rule, and notice of a public hearing shall be given at least thirty (30) days before the hearing.

(b) Public notices required by subsection (a) shall be given by the commissioner as follows:

- (1) By transmitting a copy to the applicant, to EPA, to the U.S. Army Corps of Engineers, to federal and state agencies with jurisdiction over fish, shellfish, and wildlife resources (including the U.S. Fish and Wildlife Service and the Indiana department of natural resources), to other appropriate governmental authorities including any affected state, to any person on request, and to all persons on a mailing list for receipt of such notices.
- (2) By publication of a notice in a daily or weekly newspaper in general circulation throughout the area affected by the discharge or, at the commissioner's discretion, by any other method reasonably calculated to give actual notice of the proposed permit action to persons potentially affected by it, including the use of press releases or by posting a copy of the information required under subsection (c) at the principal office of the municipality or political subdivision affected by the facility or discharge.

Any person otherwise entitled to receive notice under subdivision (1) may waive the right to receive notice for any classes and categories of permits.

(c) All public notices issued under this section shall contain the following information:

- (1) Name and address of this department.
- (2) Except in the case of general permits, name and address of the applicant and the discharger (if different from the applicant) and a general description of the location of each existing or proposed discharge point, including the receiving water.
- (3) A brief description of the applicant's activities or operations that result in the discharge described in the application, and a statement whether the application pertains to a new or existing discharge.
- (4) A brief description of the tentative permit determination, e.g., to issue, deny, modify, revoke and reissue, terminate the permit, or grant or deny a request for variance from applicable water quality standards, in accordance with section 4.1 of

this rule.

(5) If the applicant has properly applied under Section 316(a) of the Clean Water Act (33 U.S.C. 1326(a)) for a thermal variance, a statement to that effect. The notice shall state that all data submitted by the applicant are available as part of the administrative record for public inspection during office hours. The notice shall also include the following:

(A) A brief description, including a quantitative statement, of the thermal effluent limitations proposed under Section 301 or 306 of the Clean Water Act (33 U.S.C. 1311 or 33 U.S.C. 1316).

(B) A statement that alternative less stringent effluent limitations may be imposed on the thermal component of the discharge under Section 316(a) of the Clean Water Act (33 U.S.C. 1326(a)) and a brief description, including a quantitative statement, of the alternative effluent limitations, if any, included in the application.

(C) If the applicant has filed an early screening application for a Clean Water Act Section 316(a) (33 U.S.C. 1326(a)) variance under 327 IAC 5-7-3, a statement that the applicant has submitted such a plan.

(6) A brief description of the comment procedures provided under section 9 of this rule and a statement of the right and procedures to request a public hearing.

(7) Name of a contact person, and an address and telephone number where interested persons may obtain further information, including copies of the draft permit and the statement of basis or fact sheet.

(d) Notice of the formulation of a draft general permit and the issuance of a final general permit under 327 IAC 15 shall:

(1) meet the requirements of subsection (c) and shall also include:

(A) a brief description of the types of activities or operations to be covered by the general permit;

(B) a map or description of the general permit boundary; and

(C) the basis for choosing the general permit boundary;

(2) be published on the IDEM website and in one (1) or more daily or weekly newspapers in general circulation within the general permit boundaries; and

(3) comply with the public notice requirements in 40 CFR 123.25(a)(28).

In addition to the publication required by subdivisions (2) and (3), the commissioner shall use all other reasonable means to notify affected dischargers of the draft and final general permit, including the transmitting of a copy of such notice to those permittees which are affected.

(e) In addition to the information required under subsection (c), public notice of a public hearing held under section 9 of this rule shall contain the following information:

(1) Reference to the date and identification number of the public notice of the draft permit.

(2) Date, time, and place of the hearing.

(3) A brief description of the nature and purpose of the hearing including the applicable rules and procedures.

(f) The commissioner, at the commissioner's discretion, may include in any notice of a tentative permit determination under subsection (c) a notice of hearing in accordance with subsection (e), whether or not any request for such hearing shall have been submitted to him or her.

(g) The mailing list referred to in subsection (b)(1) and consists of those persons who request to be on the list to receive copies of all public notices. Such a request shall be made in writing to the department and shall be renewed annually in the month of January. Failure to renew the request will be cause for the commissioner to remove a name from the appropriate mailing list. Availability of the mailing list will be publicized periodically through press releases and notices in the Indiana Register, IDEM website, or other appropriate publications. The commissioner may establish regional mailing lists in addition to or in place of a statewide list. (*Water Pollution Control Division; 327 IAC 5-3-12; filed Sep 24, 1987, 3:00 p.m.: 11 IR 639; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1761; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); errata filed Dec 30, 2015, 12:37 p.m.: [20160113-IR-327150453ACA](#))*

327 IAC 5-3-13 Special procedures for decisions on thermal issues

Authority: [IC 13-14-8](#); [IC 13-151-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#); [IC 13-18-4-3](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 13. (a) Permit applicants who wish a final decision, prior to issuance of a final permit, on whether alternative thermal effluent limitations would be justified under section 316(a) of the CWA and whether cooling water intake structures employ the best available technology under section 316(b) of the CWA should request such an early decision and furnish supporting reasons at the

time their applications are filed under 327 IAC 5-3-4(b)(5). The commissioner may, in the commissioner's discretion, grant or deny such a request. If it is granted, both the early decision on CWA section 316(a) or (b) issues and the determination on the balance of the permit shall be considered permit issuance under these rules (327 IAC 5-3), and shall be subject to the same requirements of public notice and comment and the same opportunity for an adjudicatory hearing.

(b) If the commissioner, on review of the administrative record, determines that the information necessary to decide whether or not an alternative effluent limitation under section 316(a) of the CWA should be granted to a source is not likely to be available by the time a decision on permit issuance must be made, the commissioner may issue a permit for a term of up to five (5) years without making the CWA section 316(a) decision. This permit shall require that the point source achieve the effluent limitations initially proposed for the control of the thermal component of the discharge no later than the date otherwise required by applicable legal requirements. However, the permit shall also afford the permittee an opportunity to file a demonstration under section 316(a) of the CWA after conducting such studies as are required by 327 IAC 5-7.

(c) Whenever the commissioner defers the CWA section 316(a) determination pursuant to subsection (b), any determination under section 316(b) of the CWA may also be deferred. (*Water Pollution Control Division; 327 IAC 5-3-13; filed Sep 24, 1987, 3:00 pm: 11 IR 640; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-3-14 Issuance and effective date of a permit

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 4-21.5-3-7](#); [IC 13-11-2](#); [IC 13-15](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 14. (a) After the close of:

- (1) the public comment period required by section 9(a) of this rule on a draft permit; and
- (2) any public hearing held under section 9(b) of this rule;

the commissioner, except as provided in subsection (c), shall issue a final permit decision and shall serve notice of that action on the applicant and on each person who has submitted written comments or requested notice of the final permit decision. This notice shall include reference to the procedures available to contest the permit terms by requesting an adjudicatory hearing. For the purposes of this section, "final permit decision" means a final decision to issue, deny, modify, revoke and reissue, or terminate a permit.

(b) Issuance of a general permit shall be accomplished by the publication of the full text of the permit on the IDEM website and the notification specified under section 12(d) of this rule, in addition to the notification required by subsection (a).

(c) The commissioner may delegate authority to a staff member to issue or deny NPDES permits to applicants within a specified class or category of discharges. Within the scope of any such delegation, a reference in this rule to the commissioner shall also mean the commissioner's delegatee.

(d) A final permit decision shall become effective with respect to the applicant unless, within fifteen (15) days after receipt of notice of said decision, the applicant files a request for adjudicatory hearing concerning the permit decision with the commissioner in accordance with [IC 13-15-16-1](#) and [IC 4-21.5-3-7](#).

(e) If an adjudicatory hearing request concerning a final permit decision is granted by the board pursuant to [IC 13-15-6-3](#), any permit provisions that are stayed by order of the board shall not go into effect until confirmed at the final resolution of the hearing or until the board otherwise dissolves the stay. Any permit provisions not stayed by the board in such a proceeding remain effective and in full force.

(f) Where permit provisions are stayed during an adjudicatory proceeding on a renewal permit for an existing source, all provisions of the previous permit which correspond to the stayed provisions of the new permit and which are consistent with those provisions of the new permit that are not stayed shall continue in full force and effect until a final resolution of the adjudicatory proceeding. However, this subsection shall not apply if a timely and sufficient application for the renewal permit was not submitted in accordance with [IC 13-15-3-6](#). (*Water Pollution Control Division; 327 IAC 5-3-14; filed Sep 24, 1987, 3:00 p.m.: 11 IR 641; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1762; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#)*)

327 IAC 5-3-15 Response to comments

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 15. Contemporaneously with the issuance of a final permit under 327 IAC 5-3-14, the commissioner shall transmit a response to each person having commented on the draft permit. This response to comments shall contain:

- (1) a brief description of and response to all significant comments on the draft permit raised during the public comment period, or during any hearing;
- (2) a specific indication of which provisions of the draft permit have been changed in the final permit, and the reasons for the change; and
- (3) a brief explanation of the right to request an adjudicatory hearing on the final permit.

(Water Pollution Control Division; 327 IAC 5-3-15; filed Sep 24, 1987, 3:00 pm.: 11 IR 641; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-32707053BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#))

327 IAC 5-3-16 Judicial review

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-15-6-6](#); [IC 13-18-3](#)

Affected: [IC 4-21.5-5](#)

Sec. 16. Any person aggrieved by final agency action on an adjudicatory hearing or affirming the denial of a request for adjudicatory hearing may seek judicial review of said action pursuant to the provisions of [IC 4-21.5-5](#). *(Water Pollution Control Division; 327 IAC 5-3-16; filed Sep 24, 1987, 3:00 p.m.: 11 IR 642; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1763; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-32707053BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#))*

327 IAC 5-3-17 NPDES application and annual fees

Authority: [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-16](#); [IC 13-18-4-1](#); [IC 13-18-18](#)

Affected: [IC 36-1-2-23](#)

Sec. 17. (a) The fees in this section apply to NPDES permit applications and annual operations as follows:

- (1) Fees are not refundable once staff review and processing of the permit application has commenced.
- (2) Application and annual operating fees are as follows:
 - (A) NPDES industrial permits as in subsection (b).
 - (B) NPDES coal mine facility permits as in subsection (c).
 - (C) NPDES stone quarry permits as in subsection (d).
 - (D) NPDES municipal permits as in subsection (e).
 - (E) NPDES state facility permits as in subsection (f).
 - (F) NPDES federal facility permits as in subsection (g).
 - (G) NPDES semipublic facility permits as in subsection (h).
 - (H) NPDES public water system permits as in subsection (i).
 - (I) NPDES stormwater general permits as in subsection (j).
- (b) For NPDES industrial permits, other than coal mine permits or stone quarry permits, a person shall submit the following

fees:

- (1) An NPDES application fee for a new or renewed NPDES permit according to the following:
 - (A) One hundred dollars (\$100) for a major industrial facility.
 - (B) One hundred dollars (\$100) for a minor industrial facility.
- (2) An NPDES application fee for an NPDES permit modification request or variance request according to the following:
 - (A) Fifty dollars (\$50) for a major industrial facility.
 - (B) Fifty dollars (\$50) for a minor industrial facility.
- (3) An annual operation fee, including the following:
 - (A) An annual base fee for each facility as follows:
 - (i) One thousand dollars (\$1,000) for a major permit.
 - (ii) Four hundred dollars (\$400) for a minor permit.
 - (B) An annual discharge flow fee for each facility as follows:

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Daily Average Actual Flow in MGD	Fee ¹
.001 - .05	\$330
.051 - .1	\$490
.101 - .2	\$1,145
.201 - .3	\$1,635
.301 - .5	\$2,290
.501 - 1.0	\$2,805
1.001 - 2.0	\$4,905
2.001 - 5.0	\$7,360
5.001 - 10.0	\$11,445
10.001 - 15.0	\$16,350
15.001 - 30.0	\$22,890
30.001 - 50.0	\$31,065
50.001 - 100.0	\$39,240
>100.0	\$47,415

¹Annual flow fees are reduced by twenty percent (20%) for discharges that are comprised of greater than ninety percent (90%) of noncontact cooling water.

(c) For NPDES coal mine permits, a person shall submit the following fees:

(1) An NPDES application fee of one hundred dollars (\$100) for either a general permit or an individual permit for a new or renewed NPDES permit.

(2) An NPDES application fee of fifty dollars (\$50) for either a general permit or an individual permit for a modified NPDES permit or a variance for an NPDES permit.

(3) An annual operation fee according to the following:

(A) A facility for which a coal mine operator files a notice of intent (NOI) under the general permit rules for coal mines must pay an annual fee of five hundred dollars (\$500) instead of the fee for an individual permit required under clause (B). The annual fee must accompany the initial NOI and is due each year on the anniversary date of the date when the initial NOI was filed.

(B) A facility for which an individual coal mine permit is required must pay an annual fee based on the number of outfalls according to the following:

(i) 1 outfall	\$500
(ii) 2 - 3 outfalls	\$750
(iii) 4 - 6 outfalls	1,000
(iv) 7 - 10 outfalls	\$1,500
(v) 11 - 20 outfalls	\$2,500
(vi) 21 - 99 outfalls	\$3,500

(d) For NPDES stone quarry permits, a person shall submit the following fees:

(1) An NPDES application fee of one hundred dollars (\$100) for a new or renewed NPDES permit.

(2) An NPDES application fee of fifty dollars (\$50) for a modified NPDES permit or a variance for an NPDES permit.

(3) An annual fee based on the number of outfalls according to the following:

(A) 1 outfall	\$750
(B) 2 outfalls	\$1,500
(C) 3 outfalls	\$2,000
(D) 4 outfalls	\$2,500

(e) For NPDES municipal permits, a person shall submit the following fees:

(1) An NPDES application fee for a new or renewed NPDES permit according to the following:

(A) One hundred dollars (\$100) for a major municipal facility.

(B) One hundred dollars (\$100) for a minor municipal facility.

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- (2) An NPDES application fee for an NPDES permit modification request or variance request according to the following:
 - (A) Fifty dollars (\$50) for a major municipal facility.
 - (B) Fifty dollars (\$50) for a minor municipal facility.
- (3) An annual operation fee, including the following:
 - (A) An annual base fee for each facility as follows:
 - (i) One thousand five hundred dollars (\$1,500) for a major permit.
 - (ii) Four hundred dollars (\$400) for a minor permit.
 - (B) An annual discharge flow fee for each facility as follows:

Daily Average Actual Flow in MGD	Fee
.001 - .05	\$410
.051 - .1	\$815
.101 - .2	\$2,725
.201 - .3	\$5,445
.301 - .5	\$6,810
.501 - 1.0	\$8,170
1.001 - 2.0	\$9,530
2.001 - 5.0	\$10,895
5.001 - 10.0	\$13,615
10.001 - 15.0	\$17,700
15.001 - 30.0	\$20,425
30.001 - 50.0	\$27,235
50.001 - 100.0	\$29,955

- (f) For NPDES state facility permits, a person shall submit the following fees:
 - (1) An NPDES application fee for a new or renewed NPDES permit according to the following:
 - (A) One hundred dollars (\$100) for a major state facility.
 - (B) One hundred dollars (\$100) for a minor state facility.
 - (2) An NPDES application fee for an NPDES permit modification request or variance request according to the following:
 - (A) Fifty dollars (\$50) for a major state facility.
 - (B) Fifty dollars (\$50) for a minor state facility.
 - (3) An annual operation fee, including the following:
 - (A) An annual base fee for each facility as follows:
 - (i) One thousand dollars (\$1,000) for a major permit.
 - (ii) Four hundred dollars (\$400) for a minor permit.
 - (B) An annual discharge flow fee for each facility as follows:

Daily Average Actual Flow in MGD	Fee
.001 - .05	\$330
.051 - .1	\$490
.101 - .2	\$1,145
.201 - .3	\$1,635
.301 - .5	\$2,290
.501 - 1.0	\$2,805
1.001 - 2.0	\$4,905
2.001 - 5.0	\$7,360
5.001 - 10.0	\$11,445
10.001 - 15.0	\$16,350
15.001 - 30.0	\$22,890
30.001 - 50.0	\$31,065

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50.001 - 100.0	\$39,240
>100.0	\$47,415

(g) For NPDES federal facility permits, a person shall submit the following fees:

- (1) An NPDES application fee for a new or renewed NPDES permit according to the following:
 - (A) One hundred dollars (\$100) for a major federal facility.
 - (B) One hundred dollars (\$100) for a minor federal facility.
- (2) An NPDES application fee for an NPDES permit modification request or variance request according to the following:
 - (A) Fifty dollars (\$50) for a major federal facility.
 - (B) Fifty dollars (\$50) for a minor federal facility.
- (3) An annual operation fee, including the following:
 - (A) An annual base fee for each facility as follows:
 - (i) One thousand dollars (\$1,000) for a major permit.
 - (ii) Four hundred dollars (\$400) for a minor permit.
 - (B) An annual discharge flow fee for each facility as follows:

Daily Average Actual Flow in MGD	Fee
.001 - .05	\$330
.051 - .1	\$490
.101 - .2	\$1,145
.201 - .3	\$1,635
.301 - .5	\$2,290
.501 - 1.0	\$2,805
1.001 - 2.0	\$4,905
2.001 - 5.0	\$7,360
5.001 - 10.0	\$11,445
10.001 - 15.0	\$16,350
15.001 - 30.0	\$22,890
30.001 - 50.0	\$31,065
50.001 - 100.0	\$39,240
>100.0	\$47,415

(h) For NPDES semipublic facility permits, a person shall submit the following fees:

- (1) An NPDES application fee for a new or renewed NPDES permit according to the following:
 - (A) One hundred dollars (\$100) for a major semipublic facility.
 - (B) One hundred dollars (\$100) for a minor semipublic facility.
- (2) An NPDES application fee for an NPDES permit modification request or variance request according to the following:
 - (A) Fifty dollars (\$50) for a major semipublic facility.
 - (B) Fifty dollars (\$50) for a minor semipublic facility.
- (3) An annual operation fee, including the following:
 - (A) An annual base fee for each facility as follows:
 - (i) Seven hundred fifty dollars (\$750) for a major permit.
 - (ii) Two hundred dollars (\$200) for a minor permit.
 - (B) An annual discharge flow fee for each facility as follows:

Daily Average Actual Flow in MGD	Fee
.001 - .05	\$205
.051 - .1	\$410
.101 - .2	\$1,365
.201 - .3	\$2,735
.301 - .5	\$3,415
.501 - 1.0	\$4,100

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1.001 - 2.0	\$4,785
2.001 - 5.0	\$5,465
5.001 - 10.0	\$6,835
10.001 - 15.0	\$8,835
15.001 - 30.0	\$10,250
30.001 - 50.0	\$13,665
50.001 - 100.0	\$15,035

- (i) For NPDES public water system permits, a person shall submit the following fees:
- (1) An NPDES application fee for a new or renewed NPDES permit according to the following:
 - (A) One hundred dollars (\$100) for a major public water system facility.
 - (B) One hundred dollars (\$100) for a minor public water system facility.
 - (2) An NPDES application fee for an NPDES permit modification request or variance request according to the following:
 - (A) Fifty dollars (\$50) for a major public water system facility.
 - (B) Fifty dollars (\$50) for a minor public water system facility.
 - (3) An annual operation fee, including the following:
 - (A) An annual base fee for each facility as follows:
 - (i) One thousand dollars (\$1,000) for a major permit.
 - (ii) Four hundred dollars (\$400) for a minor permit.
 - (B) An annual discharge flow fee for each facility as follows:

Projected Daily Average Flow in MGD	Fee
.001 - .05	\$330
.051 - .1	\$490
.101 - .2	\$1,145
.201 - .3	\$1,635
.301 - .5	\$2,290
.501 - 1.0	\$2,805
1.001 - 2.0	\$4,905
2.001 - 5.0	\$7,360
5.001 - 10.0	\$11,445
10.001 - 15.0	\$16,350
15.001 - 30.0	\$22,890
30.001 - 50.0	\$31,065
50.001 - 100.0	\$39,240
>100.0	\$47,415

- (j) For NPDES stormwater general permits, a person shall submit the following fees:
- (1) For stormwater exposed to industrial activity, one hundred seventy-five dollars (\$175) to be billed by the department on an annual basis.
 - (2) For an industrial stormwater facility applying for the no exposure exclusion, fifty dollars (\$50) to be submitted with each application.
 - (3) For stormwater associated with construction activity, one hundred seventy-five dollars (\$175) to be submitted with each NOI.
 - (4) For municipal separate storm sewer system, eighty-five dollars (\$85) to be submitted with each NOI.

(Water Pollution Control Division; 327 IAC 5-3-17; filed May 23, 2022, 9:56 a.m.: [20220622-IR-327200026FRA](#))

Rule 3.5. Streamlined Mercury Variance Requirements and Application Process

327 IAC 5-3.5-1	Purpose
327 IAC 5-3.5-2	Applicability
327 IAC 5-3.5-3	Definitions

327 IAC 5-3.5-4	Initial SMV application
327 IAC 5-3.5-5	Public notice of SMV application
327 IAC 5-3.5-6	Issuance of SMV
327 IAC 5-3.5-7	Renewal of SMV
327 IAC 5-3.5-8	SMV interim discharge limit
327 IAC 5-3.5-9	PMPP requirements
327 IAC 5-3.5-10	Transitional mercury effluent limitation

327 IAC 5-3.5-1 Purpose

Authority: [IC 13-13-5-1](#); [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18](#)
 Affected: [IC 13-18-4](#)

Sec. 1. The purpose of this rule is to establish a streamlined process and application requirements for obtaining a variance from a water quality criterion used to establish a water quality-based effluent limitation for mercury in an NPDES permit. (*Water Pollution Control Division; 327 IAC 5-3.5-1; filed Apr 6, 2005, 4:00 p.m.: 28 IR 2349; readopted filed Jun 15, 2011, 11:15 a.m.: 20110713-IR-327110193BFA; readopted filed Jun 29, 2017, 9:34 a.m.: 20170726-IR-327170225BFA; readopted filed May 12, 2023, 1:07 p.m.: 20230607-IR-327230079BFA*)

327 IAC 5-3.5-2 Applicability

Authority: [IC 13-13-5-1](#); [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18](#)
 Affected: [IC 13-14-8-9](#); [IC 13-18-4](#)

Sec. 2. (a) An SMV shall be available for the duration of the NPDES permit issued to a wastewater discharging facility that has an NPDES permit in effect containing a discharge limitation for mercury that cannot be achieved consistently by the facility.

(b) Application for a variance under this rule meets the requirements for a variance under [IC 13-14-8-9](#) and rules adopted by the board.

(c) An SMV is not available for the following:

(1) New or recommencing Great Lakes system dischargers except as provided under 327 IAC 2-1.5-17(a)(3).

(2) Applicants seeking an interim limit whose effluent contains mercury at an average concentration, as determined under section 8(a) of this rule, greater than thirty (30) ng/l (parts per trillion).

(*Water Pollution Control Division; 327 IAC 5-3.5-2; filed Apr 6, 2005, 4:00 p.m.: 28 IR 2349; readopted filed Jun 15, 2011, 11:15 a.m.: 20110713-IR-327110193BFA; readopted filed Jun 29, 2017, 9:34 a.m.: 20170726-IR-327170225BFA; readopted filed May 12, 2023, 1:07 p.m.: 20230607-IR-327230079BFA*)

327 IAC 5-3.5-3 Definitions

Authority: [IC 13-13-5-1](#); [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18](#)
 Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 3. In addition to the definitions contained in [IC 13-11-2](#) and this article, the following definitions apply throughout this rule:

(1) "Department" means the Indiana department of environmental management.

(2) "Facility" means any NPDES point source or any other facility or activity (including land or appurtenances thereto) that is subject to regulation under the NPDES program. For a municipality, "facility" means a POTW.

(3) "Pollutant minimization program" or "PMP" means a program developed by an SMV applicant to identify and minimize the discharge of mercury into the environment.

(4) "Pollutant minimization program plan" or "PMPP" means the plan for development and implementation of the PMP.

(5) "Publicly owned treatment works" or "POTW" means a treatment works as defined by Section 212(2) of the Federal Water Pollution Control Act owned by the state or a municipality as defined by Section 502(4) of the Federal Water Pollution Control Act.

(6) "Streamlined mercury variance" or "SMV" means a process established under this rule for obtaining a variance from the water quality criterion used to establish a water quality-based effluent limitation (WQBEL) established for mercury in

an NPDES permit.

(Water Pollution Control Division; 327 IAC 5-3.5-3; filed Apr 6, 2005, 4:00 p.m.: 28 IR 2349; errata filed Jul 6, 2005, 3:15 p.m.: 28 IR 3582; readopted filed Jun 15, 2011, 11:15 a.m.: [20110713-IR-327110193BFA](#); readopted filed Jun 29, 2017, 9:34 a.m.: [20170726-IR-327170225BFA](#); readopted filed May 12, 2023, 1:07 p.m.: [20230607-IR-327230079BFA](#))

327 IAC 5-3.5-4 Initial SMV application

Authority: [IC 13-13-5-1](#); [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18](#)

Affected: [IC 13-18-4](#)

Sec. 4. (a) The initial SMV application shall be submitted on forms provided by the department.

(b) An applicant for an SMV may submit the application as a part of an application for a:

- (1) new;
- (2) renewed; or
- (3) modified;

NPDES permit.

(c) The initial SMV application must include all information, including the PMPP, required under section 9 of this rule, PMPP requirements. Applications to renew an SMV shall comply with section 7 of this rule.

(d) Upon receipt of a complete SMV application, the department will publish a notice of completeness and availability of the SMV in accordance with section 5 of this rule, public notice of SMV application. The notice of completeness and availability will be published within thirty (30) days of receipt of a complete SMV application.

(e) In order for an application to be considered complete, the application must contain all information required under section 9 of this rule, PMPP requirements. (Water Pollution Control Division; 327 IAC 5-3.5-4; filed Apr 6, 2005, 4:00 p.m.: 28 IR 2349; readopted filed Jun 15, 2011, 11:15 a.m.: [20110713-IR-327110193BFA](#); readopted filed Jun 29, 2017, 9:34 a.m.: [20170726-IR-327170225BFA](#); readopted filed May 12, 2023, 1:07 p.m.: [20230607-IR-327230079BFA](#))

327 IAC 5-3.5-5 Public notice of SMV application

Authority: [IC 13-13-5-1](#); [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18](#)

Affected: [IC 4-21.5](#); [IC 13-18-4](#)

Sec. 5. (a) The department shall publish notice of each complete SMV application for public comment:

- (1) in the newspaper with the greatest circulation in the city or county of the applicant's location; and
- (2) with a thirty (30) day public comment period.

(b) Public notice may be held simultaneously with the public notice procedures of a new, renewed, or modified NPDES permit.

(c) The department may hold a public hearing on the complete SMV application if a request is received during the public comment period. The public hearing may be held simultaneously with the public hearing or a new, renewed, or modified NPDES permit.

(d) The department shall consider public comments received during:

- (1) the public comment period; and
- (2) the public hearing, if one is held.

(e) The department may require an applicant to modify the SMV application if it is necessary in order for the SMV application to be consistent with the requirements of this rule.

(f) If the SMV application meets the requirements of this rule, the department shall incorporate the SMV into the NPDES permit in accordance with this rule within ninety (90) days, unless the applicant agrees to a longer time frame, following the close of the later of the following:

- (1) The public comment period.
- (2) The public hearing.

(g) A final determination under subsection (e) is an appealable decision under [IC 4-21.5](#). (Water Pollution Control Division; 327 IAC 5-3.5-5; filed Apr 6, 2005, 4:00 p.m.: 28 IR 2350; readopted filed Jun 15, 2011, 11:15 a.m.: [20110713-IR-327110193BFA](#); readopted filed Jun 29, 2017, 9:34 a.m.: [20170726-IR-327170225BFA](#); readopted filed May 12, 2023, 1:07 p.m.: [20230607-IR-327230079BFA](#))

327 IAC 5-3.5-6 Issuance of SMV

Authority: [IC 13-13-5-1](#); [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18](#)
Affected: [IC 13-14-8-9](#); [IC 13-18-4](#)

Sec. 6. When an SMV is issued under this rule, the SMV shall be incorporated as a condition of the applicant's NPDES permit through issuance, renewal, or modification of the NPDES permit. The SMV remains in effect until the NPDES permit expires under [IC 13-14-8-9](#). The NPDES permit shall include the requirements of the PMPP and any applicable interim discharge limitation. (*Water Pollution Control Division; 327 IAC 5-3.5-6; filed Apr 6, 2005, 4:00 p.m.: 28 IR 2350; readopted filed Jun 15, 2011, 11:15 a.m.: 20110713-IR-327110193BFA; readopted filed Jun 29, 2017, 9:34 a.m.: 20170726-IR-327170225BFA; readopted filed May 12, 2023, 1:07 p.m.: 20230607-IR-327230079BFA*)

327 IAC 5-3.5-7 Renewal of SMV

Authority: [IC 13-13-5-1](#); [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18](#)
Affected: [IC 13-14-8-9](#); [IC 13-18-4](#)

Sec. 7. (a) An eligible applicant may apply for a renewal of the SMV:

- (1) one hundred eighty (180) days prior to the expiration of its NPDES permit; or
- (2) within one hundred eighty (180) days after issuance of a revised NPDES permit that establishes a revised mercury discharge limit based on the water quality criteria.

(b) The department may renew an initial SMV in accordance with [IC 13-14-8-9](#) if the applicant demonstrates that implementation of the PMPP has achieved progress toward the goal of reducing mercury from its discharge except as provided in subsection (d).

(c) A renewal application shall contain the following:

- (1) All information required for an initial SMV application under section 4 of this rule, including revisions to the PMPP, if applicable.
- (2) A report on implementation of each provision of the PMPP.
- (3) An analysis of the mercury concentrations determined through sampling at the facility's locations that have mercury monitoring requirements in the NPDES permit for the two (2) year period prior to the SMV renewal application.
- (4) A proposed alternative mercury discharge limit, if appropriate, to be evaluated by the department according to section 8(b) of this rule, based on the most recent two (2) years of representative sampling information from the facility.

(d) A PMPP must be revised if implementation of the original PMPP does not lead to demonstrable progress in minimizing the discharge of mercury. If the applicant can provide information, as part of a revision to a PMPP, that demonstrates there is no known reasonable additional action that will reduce mercury, the PMPP may remain as previously approved.

(e) A renewal SMV shall be issued in a timely manner and in accordance with the requirements for the issuance of an initial SMV under this rule. If an applicant submits an application for a renewal SMV at least one hundred eighty (180) days prior to the expiration of its NPDES permit, the department shall make a final SMV decision, if requested by the applicant, concurrent with the final decision on the NPDES permit. (*Water Pollution Control Division; 327 IAC 5-3.5-7; filed Apr 6, 2005, 4:00 p.m.: 28 IR 2350; readopted filed Jun 15, 2011, 11:15 a.m.: 20110713-IR-327110193BFA; readopted filed Jun 29, 2017, 9:34 a.m.: 20170726-IR-327170225BFA; readopted filed May 12, 2023, 1:07 p.m.: 20230607-IR-327230079BFA*)

327 IAC 5-3.5-8 SMV interim discharge limit

Authority: [IC 13-13-5-1](#); [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18](#)
Affected: [IC 13-18-4](#)

Sec. 8. (a) The interim limit for mercury discharge for the duration of an SMV shall be based on representative effluent data that have been analyzed using Analytical Method 1631 or any analytical method approved by the department. The interim limit shall be expressed as the highest daily value for mercury from a data set that includes a minimum of six (6) daily values that are generally evenly spaced over the most recent twelve (12) to twenty-four (24) month period and representative of the four (4) seasons. The highest daily value will become the value for the interim limit. Compliance with the interim limit is achieved if the average of the measured effluent daily values over the rolling twelve (12) month period is less than the interim limit. An SMV is not available to an applicant that requests an interim limit greater than thirty (30) ng/l (parts per trillion).

(b) The interim discharge limit shall be evaluated upon receipt of a renewal SMV application based upon available, valid, and representative data of the effluent levels for mercury collected and analyzed over the most recent two (2) year period. Data collection and analyses must be done according to Analytical Method 1631 or the analytical method approved by the department. (*Water Pollution Control Division; 327 IAC 5-3.5-8; filed Apr 6, 2005, 4:00 p.m.: 28 IR 2351; readopted filed Jun 15, 2011, 11:15 a.m.: [20110713-IR-327110193BFA](#); readopted filed Jun 29, 2017, 9:34 a.m.: [20170726-IR-327170225BFA](#); readopted filed May 12, 2023, 1:07 p.m.: [20230607-IR-327230079BFA](#)*)

327 IAC 5-3.5-9 PMPP requirements

Authority: [IC 13-13-5-1](#); [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#); [IC 13-20-17.5](#)

Sec. 9. (a) A PMPP for a facility must be submitted with an application for an SMV. The PMPP must contain the following:

- (1) Results of a preliminary inventory of potential uses and sources of mercury in all buildings and departments and a plan and schedule for providing the department results of a complete inventory.
 - (2) Preliminary identification of known mercury-bearing equipment, wastestreams, and mercury storage sites.
 - (3) A list of planned activities to be conducted to eliminate or minimize the release of mercury to the water. The list of planned activities may consider technical and economic feasibility and must include, at a minimum, the following:
 - (A) A review of purchasing policies and procedures.
 - (B) Necessary training and awareness for facility staff.
 - (C) Evaluation of alternatives to the use of any mercury-containing equipment or materials.
 - (D) Other specific activities designed to reduce or eliminate mercury loadings.
 - (E) An identification of the facility's responsibilities under [IC 13-20-17.5](#).
 - (4) For each activity specified in subdivision (3), the plan must contain the following:
 - (A) The goal to be accomplished.
 - (B) A measure of performance.
 - (C) A schedule for action.
 - (5) All available mercury monitoring data and any information on mercury in biosolids, if required by an NPDES permit or land application permit, for the two (2) year period preceding the SMV application.
 - (6) Identification of the resources and staff necessary to implement the PMPP.
 - (7) Proof of completion of public notice activities required under this section.
 - (8) Annual reports according to a schedule in the PMPP. Each annual report must describe the following:
 - (A) The facility's progress toward fulfilling each of the requirements of the PMPP.
 - (B) The results of mercury monitoring.
 - (C) The steps taken to implement each planned activity developed under this subsection and subsection (b) to reduce or eliminate mercury from the facility's water.
- (b) In addition to subsection (a), a PMPP for a POTW must include the following:
- (1) Results of a preliminary evaluation of possible mercury sources in the facility's influent and a plan and schedule for providing the department results of a complete evaluation. The evaluation shall include, at a minimum, the following:
 - (A) Medical facilities, for example, the following:
 - (i) Hospitals.
 - (ii) Clinics.
 - (iii) Nursing homes.
 - (iv) Veterinary facilities.
 - (B) Dental clinics.
 - (C) Public and private educational laboratories.
 - (D) General industry and all SIUs.
 - (E) Significant sources of residential and retail contributions of mercury, for example, the following:
 - (i) Heating, ventilation, and air conditioning contractors.
 - (ii) Automobile and appliance repair.
 - (iii) Veterinarians.
 - (iv) Others specific to the community served.

- (F) An identification of the responsibilities under [IC 13-20-17.5](#) for the significant industrial users for the POTW.
- (2) A list of planned activities designed to reduce or eliminate mercury loadings from the sources identified in subdivision (1).
- (3) For each activity specified in subdivision (2), the plan must contain the following:
 - (A) The goal to be accomplished.
 - (B) A measure of performance.
 - (C) A schedule for action.
- (4) In addition to activities required under subsection (a)(3), activities must also include an education program for the facility employees and the public within the service area of the facility.
- (c) Prior to submitting the PMPP to the department as part of the SMV application, an applicant shall do the following:
 - (1) Publish notice of the availability of the draft PMPP in a daily or weekly newspaper of general circulation throughout the area affected by the discharge.
 - (2) Post a copy of the information required by this section at the following:
 - (A) Principal office of the municipality or political subdivision affected by the facility or discharge.
 - (B) The United States post office.
 - (C) If one is available, the library serving those premises.
 - (d) All notices published under this section shall contain the following information:
 - (1) The name and address of the applicant that prepared the PMPP.
 - (2) A general description of the elements of the PMPP.
 - (3) A brief description of the activities or operations that result in the discharge for which an SMV is being requested.
 - (4) A brief description of the purpose of this notice and the comment procedures.
 - (5) The name of a contact person, a mailing address, an internet address, if available, and a telephone number where interested persons may obtain additional information and a copy of the PMPP.
 - (e) The applicant shall do the following:
 - (1) Provide a minimum comment period of thirty (30) days.
 - (2) Include a copy of the comments received and the applicant's responses to those comments in the SMV application submitted to the department.
 - (f) The department shall consider a PMPP to be complete if it meets the requirements of this section. (*Water Pollution Control Division; 327 IAC 5-3.5-9; filed Apr 6, 2005, 4:00 p.m.: 28 IR 2351; readopted filed Jun 15, 2011, 11:15 a.m.: [20110713-IR-327110193BFA](#); filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); readopted filed Jun 29, 2017, 9:34 a.m.: [20170726-IR-327170225BFA](#); readopted filed May 12, 2023, 1:07 p.m.: [20230607-IR-327230079BFA](#)*)

327 IAC 5-3.5-10 Transitional mercury effluent limitation

Authority: [IC 13-13-5-1](#); [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18](#)
 Affected: [IC 4-21.5-3](#); [IC 13-14-1-9](#); [IC 13-18-4](#)

Sec. 10. (a) Either at the time a discharging facility applies for or when it receives a renewal of an NPDES permit with a previously established mercury limit from a prior NPDES permit for which a compliance schedule for mercury is not established in the renewed permit and the discharging facility has not had a prior SMV, then the following may be done to assure compliance with the renewed permit:

- (1) In a written document to the department, the discharging facility should:
 - (A) indicate that the discharging facility is planning to apply for an SMV in accordance with this rule; and
 - (B) provide information to establish a transitional limit consistent with section 8 of this rule.
- (2) The department may issue a transitional limit for the discharging facility through a permit modification or an order under [IC 13-14-1-9](#) until the SMV is either approved or denied.
- (b) If an SMV is denied, a discharger may request an individual variance, notwithstanding the time limitations set in 327 IAC 5-3-4.1, by doing the following:
 - (1) Requesting the commissioner's consideration and written determination on a request for a mercury variance from a water quality standard as provided in 327 IAC 2-1-8.8 or 327 IAC 2-1.5-17.
 - (2) Applying for the mercury variance up to ninety (90) days after the denial of the SMV so long as all other requirements in 327 IAC 5-3-4.1 are met. The applicant may petition the commissioner for up to an additional ninety (90) day period to

submit the application.

(Water Pollution Control Division; 327 IAC 5-3.5-10; filed Apr 6, 2005, 4:00 p.m.: 28 IR 2352; readopted filed Jun 15, 2011, 11:15 a.m.: [20110713-IR-327110193BFA](#); readopted filed Jun 29, 2017, 9:34 a.m.: [20170726-IR-327170225BFA](#); readopted filed May 12, 2023, 1:07 p.m.: [20230607-IR-327230079BFA](#))

Rule 4. Special NPDES Programs

327 IAC 5-4-1	Purpose
327 IAC 5-4-2	Underground injection of pollutants
327 IAC 5-4-3	Concentrated animal feeding operations (Repealed)
327 IAC 5-4-3.1	No potential to discharge determination (Repealed)
327 IAC 5-4-4	Concentrated aquatic animal production facilities
327 IAC 5-4-5	Aquaculture projects
327 IAC 5-4-6	Stormwater discharges
327 IAC 5-4-7	Silvicultural activities
327 IAC 5-4-8	General permit program (Repealed)

327 IAC 5-4-1 Purpose

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 1. This rule (327 IAC 5-4) describes NPDES program requirements for certain categories of point source dischargers. *(Water Pollution Control Division; 327 IAC 5-4-1; filed Sep 24, 1987, 3:00 pm: 11 IR 642)*

327 IAC 5-4-2 Underground injection of pollutants

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)
 Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 2. (a) If an applicant for an NPDES permit proposes to dispose of pollutants by underground injection as part of the overall effort to meet the requirements of the NPDES program, the commissioner shall deny the request, as this function now lies with EPA as part of the requirements of the SWDA, unless it is determined by the commissioner to be necessary to specify additional terms and conditions in the final NPDES permit which shall:

- (1) prohibit the proposed disposal; or
- (2) control the proposed disposal in order to prevent pollution of ground and surface water resources of such character and degree as would endanger or threaten to endanger the public health and welfare.

(b) A person proposing a discharge of pollutants by underground injection from a facility with no other point source discharge of pollutants subject to NPDES requirements shall not be required to obtain an NPDES permit. However, the commissioner may prohibit or control such a proposed discharge through the issuance of construction and operation permits under 327 IAC 3 so as to prevent pollution of ground waters of the state of such character and degree as would endanger or threaten to endanger the public health and welfare. *(Water Pollution Control Division; 327 IAC 5-4-2; filed Sep 24, 1987, 3:00 p.m.: 11 IR 642; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1763)*

327 IAC 5-4-3 Concentrated animal feeding operations (Repealed)

Sec. 3. *(Repealed by Water Pollution Control Division; filed Feb 6, 2012, 2:50 p.m.: [20120307-IR-327090213FRA](#), eff Jul 1, 2012)*

327 IAC 5-4-3.1 No potential to discharge determination (Repealed)

Sec. 3.1. *(Repealed by Water Pollution Control Division; filed Feb 6, 2012, 2:50 p.m.: [20120307-IR-327090213FRA](#), eff Jul 1, 2012)*

327 IAC 5-4-4 Concentrated aquatic animal production facilities

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 4. Concentrated aquatic animal production facilities, as defined at 40 CFR 122.24, are point sources subject to NPDES permit requirements. (*Water Pollution Control Division; 327 IAC 5-4-4; filed Sep 24, 1987, 3:00 pm: 11 IR 643*)

327 IAC 5-4-5 Aquaculture projects

Authority: [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 5. Discharges into aquaculture projects, as defined in 40 CFR 122.25, are subject to the NPDES permit program in accordance with the criteria specified in 40 CFR 125, Subpart B. (*Water Pollution Control Division; 327 IAC 5-4-5; filed Sep 24, 1987, 3:00 p.m.: 11 IR 643; filed Oct 9, 2015, 4:07 p.m.: 20151104-IR-327100659FRA; errata filed Dec 30, 2015, 12:37 p.m.: 20160113-IR-327150453ACA*)

327 IAC 5-4-6 Stormwater discharges

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#)

Affected: [IC 13-18-4](#)

Sec. 6. (a) The following discharges consisting entirely of stormwater require an individual permit:

(1) A discharge that the commissioner determines:

(A) contributes to a violation of a water quality standard;

(B) is a significant contributor of pollutants to waters or to a regulated municipal separate storm sewer system (MS4) conveyance; or

(C) meets any of the conditions listed in 327 IAC 15-2-9(a).

(2) A discharge with respect to which a permit has been issued prior to February 4, 1987.

(3) A discharge that is subject to federal stormwater effluent limitation guidelines unless the effluent limitations are placed in a general permit under 327 IAC 15.

(4) A discharge associated with the Indiana department of transportation.

(5) A discharge from an MS4 conveyance subject to regulation under 40 CFR 122.26(a)(iii)* or 40 CFR 122.26(a)(iv)*.

(b) Discharges described in 327 IAC 15-2-2 that consist entirely of stormwater require an NPDES permit and are eligible for coverage under a general permit unless any of the conditions in subsection (a) for issuance of an individual permit is met.

(c) The commissioner shall not, under this section, require a permit for discharges of stormwater runoff from any of the following:

(1) Agricultural stormwater runoff or return flows from irrigated agriculture.

(2) Stormwater discharges from mining operations composed entirely of flows from conveyances or systems of conveyances used for collecting and conveying precipitation runoff that has not come into contact with any overburden, raw material, intermediate products, finished product, byproducts, or waste products located on the site of the operations. Conveyances include pipes, conduits, ditches, and channels.

(3) Stormwater discharges from oil and gas exploration field activities or operations associated with oil and gas exploration, production, processing or treatment operations or transmission facilities, including activities necessary to prepare a site for drilling and the movement and placement of drilling equipment.

(d) If an individual permit is required under subsection (a) for discharges consisting entirely of stormwater, or if an individual permit is required under 327 IAC 5-2-2 that includes discharge of commingled stormwater associated with industrial activity, the department may consider information from the following in determining the requirements to be contained in the permit:

(1) The nature of the discharges and activities occurring at the site or facility.

(2) Information relevant to the potential impact on water quality.

(3) The requirements found in the following:

(A) 327 IAC 5-2.

(B) 327 IAC 5-5.

(C) 327 IAC 5-9.

(D) 327 IAC 15-6.

(4) "Interim Permitting Approach for Water Quality-Based Effluent Limitations in Stormwater Permits", EPA 833-D-96-001, September 1, 1996**.

(e) Stormwater runoff discharged into a combined sewer system is not subject to the provisions of this section.

(f) Whether a discharge from an MS4 conveyance is subject to regulation under this section shall have no bearing on whether the owner or operator of the discharge is eligible for funding under Title II, Title III, or Title VI of the Clean Water Act.

*These documents are incorporated by reference. Copies may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, 100 North Senate Avenue, Thirteenth Floor, Indianapolis, Indiana 46204.

**This document is available from U.S. EPA/NSCEP, P.O. Box 42419, Cincinnati, OH 45242-0419 or from the Indiana Department of Environmental Management, Office of Water Quality, Permits Branch, Indiana Government Center North, 100 North Senate Avenue, Room N1255, Indianapolis, Indiana 46204. (*Water Pollution Control Division; 327 IAC 5-4-6; filed Sep 24, 1987, 3:00 p.m.: 11 IR 644; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1764; filed Jul 7, 2003, 2:15 p.m.: 26 IR 3575; errata filed Sep 8, 2003, 3:15 p.m.: 27 IR 191; errata filed Feb 6, 2006, 11:15 a.m.: 29 IR 1936; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); errata filed Dec 30, 2015, 12:37 p.m.: [20160113-IR-327150453ACA](#); filed Nov 18, 2021, 11:08 a.m.: [20211215-IR-327180238FRA](#))*

327 IAC 5-4-7 Silvicultural activities

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 7. Silvicultural point sources, as defined in 40 CFR 122.27, are point sources subject to the NPDES permit program. (*Water Pollution Control Division; 327 IAC 5-4-7; filed Sep 24, 1987, 3:00 pm: 11 IR 644*)

327 IAC 5-4-8 General permit program (*Repealed*)

Sec. 8. (*Repealed by Water Pollution Control Division; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1775*)

Rule 5. NPDES Criteria and Standards for Technology-Based Treatment Requirements

[327 IAC 5-5-1](#)

Purpose and scope

[327 IAC 5-5-2](#)

Technology-based treatment requirements

[327 IAC 5-5-3](#)

Secondary treatment requirements for POTWs

327 IAC 5-5-1 Purpose and scope

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18](#)

Sec. 1. This rule (327 IAC 5-5) establishes criteria and standards for the imposition of technology-based treatment requirements in permits under 327 IAC 5-2-10, including the application of EPA-promulgated effluent limitations and standards under sections 301(b) and 306 of the CWA, and case-by-case determinations of effluent limitations under section 402(a)(1) of the CWA. (*Water Pollution Control Division; 327 IAC 5-5-1; filed Sep 24, 1987, 3:00 pm: 11 IR 645; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-5-2 Technology-based treatment requirements

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18](#)

Sec. 2. (a) Technology-based treatment requirements under sections 301(b) and 306 of the CWA represent the minimum level of control that must be imposed in an NPDES permit issued under section 402 of the CWA for an existing source and a new

source, respectively. Compliance with these technology-based treatment requirements is required within the times prescribed in section 301(b)(2) of the CWA and 40 CFR 123.3(a)(2). Notwithstanding these minimum technology-based requirements, more stringent treatment requirements may be imposed under section 301(b)(1)(C), 302, or 307(a)(2) of the CWA.

(b) Technology-based treatment requirements may be imposed through one (1) of the following methods:

(1) Application of EPA-promulgated effluent limitations developed under section 304 or 306 of the CWA to discharges by category or subcategory. These effluent limitations are not applicable to the extent that they have been remanded or withdrawn. However, in the case of a court remand, determinations underlying effluent limitations shall be binding in permit issuance proceedings where those determinations are not required to be reexamined by a court remanding the regulations. In addition, dischargers may seek fundamentally different factors variances from these effluent limitations under 327 IAC 5-6. If a fundamentally different factors variance is approved by EPA under 40 CFR 125, Subpart D, the resulting effluent limitations are technology-based treatment requirements for purposes of this article.

(2) On a case-by-case basis under section 402(a)(1) of the CWA, to the extent that EPA-promulgated effluent limitations are unavailable. Standards of performance for new sources cannot be developed on an ad hoc basis under section 402(a)(1) of the CWA. By statutory definition, a source is a new source only if standards of performance applicable to such source have been promulgated by EPA. The commissioner shall apply the appropriate factors listed in section 304 of the CWA and shall consider the following:

(A) The appropriate technology for the category or class of point sources of which the applicant is a member, based upon all available information (including EPA draft or proposed development documents or guidance).

(B) Any unique factors relating to the applicant.

(3) Through a combination of the methods in subdivisions (1) and (2). Where promulgated effluent limitations guidelines only apply to certain aspects of the discharger's operation, or to certain pollutants, other aspects or activities are subject to regulation on a case-by-case basis in order to carry out the provisions of the CWA.

(c) Technology-based treatment requirements are applied prior to or at the point of discharge.

(d) Technology-based treatment requirements cannot be satisfied through the use of nontreatment techniques such as flow augmentation and instream mechanical aerators. However, these techniques may be considered as a method of achieving water quality standards on a case-by-case basis when:

(1) the technology-based treatment requirements applicable to the discharge are not sufficient to achieve the promulgated water quality standards;

(2) the discharger agrees to waive any opportunity to request a variance under section 301(c) or 301(g) of the CWA; and

(3) the discharger demonstrates that such a technique is the preferred environmental and economic method to achieve the standards after consideration of alternatives such as advanced waste treatment, recycle and reuse, land disposal, changes in operating methods, and other available methods.

(e) Technology-based effluent limitations shall be established under this rule for solids, sludges, filter backwash, and other pollutants removed in the course of treatment or control of wastewaters in the same manner as for other pollutants if such pollutants are proposed to be discharged.

(f) Other provisions of this rule notwithstanding, the commissioner may do the following:

(1) Set a permit limit for conventional pollutants at a level more stringent than the best conventional pollution control technology (BCT), or a limit for a nonconventional pollutant which shall not be subject to modification under section 301(c) or 301(g) of the CWA, where:

(A) effluent limitations guidelines specify the pollutant as an indicator for a toxic pollutant; or

(B)(i) the limitation reflects BAT level control of discharges of one (1) or more toxic pollutants which are present in the waste stream, and a specific BAT limitation upon the toxic pollutants is not feasible for economic or technical reasons;

(ii) the permit identifies which toxic pollutants are intended to be controlled by use of the limitation; and

(iii) the fact sheet required by 327 IAC 5-3-8 sets forth the basis for the limitation, including a finding that compliance with the limitation will result in BAT level control of the toxic pollutant discharges identified in item (ii), and a finding that it would be economically or technically infeasible to directly limit the toxic pollutants.

(2) Set a permit limit for a conventional pollutant at a level more stringent than *[sic., than]* BCT when any of the following occur:

(A) Effluent limitations guidelines specify the pollutant as an indicator for a hazardous substance.

(B) The following are established:

- (i) The limitation reflects BAT level control of discharges (or an appropriate level determined under section 301(c) or 301(g) of the CWA) of one (1) or more hazardous substances which are present in the waste stream, and a specific BAT (or other appropriate) limitation upon the hazardous substances is not feasible for economic or technical reasons.
- (ii) The permit identifies which hazardous substances are intended to be controlled by use of the limitation.
- (iii) The fact sheet sets forth the basis for the limitation, including a finding that compliance with the limitations will result in BAT level (or appropriate level) control of the hazardous substances discharges identified in item (ii), and a finding that it would be economically or technically infeasible to directly limit the hazardous substances.

(C) Hazardous substances which are also toxic pollutants are subject to subdivision (1).

(3) Not set a more stringent limit under subdivision (1) or (2) if the method of treatment required to comply with the limit differs from that which would be required if the toxic pollutants or hazardous substances controlled by the limit were limited directly.

(g) Toxic pollutants identified under subsection (f)(1) remain subject to the requirements of 327 IAC 5-2-9, concerning notification of increased discharges of toxic pollutants above levels reported in the application form.

(h) In setting case-by-case limitations pursuant to subsection (b), the permit writer must consider the following factors:

(1) The following are requirements for BPT:

- (A) The total cost of application of technology in relation to the effluent reduction benefits to be achieved from such application.
- (B) The age of equipment and facilities involved.
- (C) The process employed.
- (D) The engineering aspects of the application of various types of control techniques.
- (E) Process changes.
- (F) Nonwater quality environmental impact, including energy requirements.

(2) The following are requirements for BCT:

- (A) The reasonableness of the relationship between the costs of attaining a reduction in effluent and the effluent reduction benefits derived.
- (B) The comparison of the cost and level of reduction of such pollutants from the discharge from publicly owned treatment works to the cost and level of reduction of such pollutants from a class or category of industrial sources.
- (C) The age of equipment and facilities involved.
- (D) The process employed.
- (E) The engineering aspects of the application of various types of control techniques.
- (F) Process changes.
- (G) Nonwater quality environmental impact, including energy requirements.

(3) The following are requirements for BAT:

- (A) The age of equipment and facilities involved.
- (B) The process employed.
- (C) The engineering aspects of the application of various types of control techniques.
- (D) Process changes.
- (E) The cost of achieving such effluent reduction.
- (F) Nonwater quality environmental impact, including energy requirements.

(Water Pollution Control Division; 327 IAC 5-5-2; filed Sep 24, 1987, 3:00 p.m.: 11 IR 645; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1765; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#))

327 IAC 5-5-3 Secondary treatment requirements for POTWs

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18](#)

Sec. 3. (a) Secondary treatment and corresponding effluent limitations applicable to discharges from POTWs under section

INDUSTRIAL WASTEWATER PRETREATMENT PROGRAMS AND NPDES

301(b)(1)(B) of the CWA are defined by EPA at 40 CFR 133.

(b) Notwithstanding subsection (a), attainment of the following alternative effluent limitations shall be deemed as compliance with secondary treatment requirements under section 301(b)(1)(B) of the CWA for POTWs where a waste stabilization pond constitutes the sole means of providing secondary treatment and the design population equivalent is less than ten thousand (10,000):

Parameter	Monthly Average	Weekly Average
Carbonaceous BOD ₅	25 mg/l (or 85% removal, whichever is more stringent)	40 mg/l
Total suspended solids	70 mg/l	105 mg/l

(c) For purposes of this section, "POTWs" also includes semipublic entities, which are defined as public and private entities that provide sewage treatment to a group of people having a quasi-public character, e.g., municipal school corporations, private utilities serving mobile home parks and residential developments, etc. (*Water Pollution Control Division; 327 IAC 5-5-3; filed Sep 24, 1987, 3:00 p.m.: 11 IR 647; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1767; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

Rule 6. Criteria and Standards for Determining Fundamentally Different Factors

327 IAC 5-6-1	Purpose
327 IAC 5-6-2	Criteria
327 IAC 5-6-3	Burden of persuasion

327 IAC 5-6-1 Purpose

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 1. (a) This rule establishes the criteria and standards to be used in determining whether ad hoc effluent limitations or standards alternative to those required by effluent limitations guidelines or standards promulgated under sections 301, 304, and 307(b) of the CWA (hereinafter referred to as national limits) should be imposed on a discharger because factors relating to the discharger's facilities, equipment, processes, or other matters affecting the discharge are fundamentally different from the factors considered by EPA in development of the national limits. This rule applies to all national limits promulgated under sections 301, 304, and 307(b) of the CWA, except for those contained in 40 CFR 423 concerning steam electric generating point source category.

(b) Such a fundamentally different factor variance may be requested by a permit applicant in accordance with 327 IAC 5-3-4(b) or may be proposed by the commissioner on his own initiative in the draft permit. (*Water Pollution Control Division; 327 IAC 5-6-1; filed Sep 24, 1987, 3:00 p.m.: 11 IR 647; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1768; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-6-2 Criteria

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 2. (a) A variance from national limits shall be proposed by the commissioner to EPA for approval, whether at the commissioner's own initiative or upon the request of the permit applicant, only if:

- (1) there is an applicable national limit which specifically controls the pollutant for which alternative effluent limitations or standards have been proposed;
- (2) the factors relating to the discharge upon which the variance request is based are fundamentally different from those considered by EPA in establishing the national limits and were in existence prior to EPA's promulgation of such national limits; and
- (3) the request for alternative effluent limitations or standards is made in accordance with the procedural requirements of

327 IAC 5-3.

(b) A request for the establishment of effluent limitations less stringent than applicable national limits shall be recommended by the commissioner only if:

- (1) the alternative effluent limitation or standard to be established is no less stringent than justified by the fundamental difference; and
- (2) the alternative effluent limitation or standard will ensure compliance with sections 208(e) and 301(b)(1)(C) of the CWA; and
- (3) compliance with the national limits (either by using the technologies upon which the national limits are based or by other control alternatives) would result in:
 - (A) a removal cost wholly out of proportion to the removal cost considered during development of the national limits; or
 - (B) an environmental impact not affecting water quality (including energy requirements) which is fundamentally more adverse than the impact considered during development of the national limits.

(c) A request for alternative limits more stringent than required by national limits shall be recommended by the commissioner only if:

- (1) the alternative effluent limitation or standard to be established is no more stringent than justified by the fundamental difference; and
- (2) compliance with the alternative effluent limitation or standard can be achieved using the technologies upon which the national limits are based or other reasonably available control alternatives and would not result in:
 - (A) a removal cost wholly out of proportion to the removal cost considered during development of the national limits; or
 - (B) an environmental impact not affecting water quality (including energy requirements) which is fundamentally more adverse than the impact considered during development of the national limits.

(d) Factors which may be considered fundamentally different are:

- (1) the nature or quality of pollutants contained in the raw waste load of the applicant's process wastewater;
 - (2) the volume of the discharger's process wastewater and the volume of effluent discharged;
 - (3) nonwater quality environmental impact of the control and treatment of the discharger's raw waste load (however, this factor will be considered pertinent, generally, only if such nonwater quality impact would result in the violation of another applicable federal or state law);
 - (4) energy requirements of the application of control and treatment technology;
 - (5) age, size, land availability, and configuration as they relate to the discharger's equipment or facilities; processes employed; process changes; and engineering aspects of the application of control technology.
- (e) Alternative effluent limitations shall not be established under this section on any of the following grounds:
- (1) the infeasibility of installing the required waste treatment equipment within the time the CWA allows;
 - (2) the assertion that the national limits cannot be achieved with the appropriate waste treatment facilities installed, if such assertion is not based on factor(s) listed in subsection (d);
 - (3) the discharger's ability to pay for the required waste treatment; or
 - (4) the impact of a discharge on local receiving water quality.

(f) Nothing in this section shall be construed to abridge the right of the commissioner under section 510 of the CWA to impose more stringent limitations than the minimum technology-based effluent limitations applicable under the CWA. (*Water Pollution Control Division; 327 IAC 5-6-2; filed Sep 24, 1987, 3:00 pm: 11 IR 647; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-6-3 Burden of persuasion

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 3. The burden is on the person requesting the variance to explain that:

- (1) factor(s) listed in 327 IAC 5-6-2(d) regarding the discharger's facility are fundamentally different from the factors EPA considered in establishing the national limits;

(2) the alternative limitations requested are justified by the fundamental difference alleged in subdivision (1); and

(3) the appropriate requirements of 327 IAC 5-6-2 have been met.

(Water Pollution Control Division; 327 IAC 5-6-3; filed Sep 24, 1987, 3:00 pm: 11 IR 648; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-32707053BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#))

Rule 7. Alternative Thermal Effluent Limitations; Determination

327 IAC 5-7-1	Purpose
327 IAC 5-7-2	Definitions
327 IAC 5-7-3	Early screening of applications
327 IAC 5-7-4	Criteria and standards for granting alternate thermal effluent limitations

327 IAC 5-7-1 Purpose

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 1. This rule (327 IAC 5-7) describes the factors, criteria and standards for the establishment of alternative thermal effluent limitations under section 316(a) of the CWA. *(Water Pollution Control Division; 327 IAC 5-7-1; filed Sep 24, 1987, 3:00 pm: 11 IR 648; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-32707053BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#))*

327 IAC 5-7-2 Definitions

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 2. For the purpose of this rule (327 IAC 5-7):

"Alternative effluent limitations" means all effluent limitations or standards of performance for the control of the thermal component of any discharge which are established under section 316(a) of the CWA and this rule (327 IAC 5-7).

"Balanced, indigenous community" is synonymous with the term "balanced, indigenous population" in the CWA and means a biotic community typically characterized by diversity, the capacity to sustain itself through cyclic seasonal changes, presence of necessary food chain species and by a lack of domination by pollution tolerant species. Such a community may include historically nonnative species introduced in connection with a program of wildlife management and species whose presence or abundance results from substantial, irreversible environmental modifications. Normally, however, such a community will not include species whose presence or abundance is attributable to the introduction of pollutants that will be eliminated by compliance by all sources with section 301(b)(2) of the CWA, and may not include species whose presence or abundance is or would be attributable to the imposition of alternative effluent limitations pursuant to section 316(a) of the CWA in place of otherwise applicable effluent limitations under section 301 or section 306 of the CWA.

"Representative important species" means species which are representative, in terms of their biological needs, of a balanced, indigenous community of shellfish, fish and wildlife in the body of water into which a discharge of heat is made. *(Water Pollution Control Division; 327 IAC 5-7-2; filed Sep 24, 1987, 3:00 pm: 11 IR 648; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-32707053BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#))*

327 IAC 5-7-3 Early screening of applications

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 3. (a) Any initial application for a CWA section 316(a) variance shall include the following early screening information:

(1) A description of the alternative effluent limitations requested.

(2) A general description of the method by which the discharger proposes to demonstrate that the otherwise applicable

thermal discharge effluent limitations are more stringent than necessary.

(3) A general description of the type of data, studies, experiments, and other information which the discharger intends to submit for the demonstration.

(4) Such data and information as may be available to assist the commissioner in selecting the appropriate representative important species.

(b) After submitting the early screening information under subsection (a), the discharger shall consult with the commissioner at the earliest practicable time to discuss the discharger's early screening information. Within ninety (90) days after the application is filed, the discharger shall submit for the commissioner's approval a detailed plan of study which the discharger will undertake to support its demonstration under section 316(a) of the CWA. The discharger shall specify the nature and extent of the following type of information to be included in the plan of study:

- (1) Biological.
- (2) Hydrographical and meteorological data.
- (3) Physical monitoring data.
- (4) Engineering or diffusion models.
- (5) Laboratory studies.
- (6) Representative important species.
- (7) Other relevant information.

In selecting representative important species, special consideration shall be given to species mentioned in applicable water quality standards. After the discharger submits its detailed plan of study, the commissioner shall either approve the plan or specify any necessary revisions to the plan. The discharger shall provide any additional information or studies which the commissioner subsequently determines necessary to support the demonstration, including such studies or inspections as may be necessary to select representative important species. The discharger may provide any additional information or studies which the discharger feels are appropriate to support the demonstration.

(c) Any application for the renewal of a CWA section 316(a) variance need include only such information described in subsections (a) and (b) as the commissioner requests not later than one (1) year prior to the date on which the renewal application is due unless the commissioner can demonstrate good cause for making such a request at a later date.

(d) The commissioner shall promptly notify the Secretary of Commerce, the Secretary of the Interior, and any affected state of the filing of the request and shall consider any timely recommendations they submit.

(e) In making the demonstration, the discharger shall consider any information or guidance published by EPA to assist in making such demonstrations.

(f) If an applicant desires a ruling on a CWA section 316(a) application before the ruling on any other necessary permit terms and conditions, it shall so request upon filing its application under subsection (a). This request shall be granted or denied at the discretion of the commissioner. (*Water Pollution Control Division; 327 IAC 5-7-3; filed Sep 24, 1987, 3:00 p.m.: 11 IR 649; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1768; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#)*)

327 IAC 5-7-4 Criteria and standards for granting alternate thermal effluent limitations

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 4. (a) If the discharger demonstrates to the satisfaction of the commissioner that thermal effluent limitations required under section 301 or 306 of the CWA are more stringent than necessary to assure the protection and propagation of a balanced, indigenous community of shellfish, fish and wildlife in and on the body of water into which the discharge is made, less stringent alternative thermal limitations may be established for the discharge. This demonstration must show that the alternative effluent limitations desired by the discharger, considering the cumulative impact of its thermal discharge together with all other significant impacts on the species affected, will assure the protection and propagation of a balanced, indigenous community of shellfish, fish and wildlife in and on the body of water into which the discharge is to be made.

(b) In determining whether or not the protection and propagation of the affected species will be assured, the commissioner may consider any information contained or referenced in any applicable thermal water quality criteria and supplemental information published by the administrator under section 304(a) of the CWA, or any other information he deems relevant.

(c)(1) Existing dischargers may base their demonstration upon the absence of prior appreciable harm in lieu of predictive

studies. Any such demonstrations shall show:

(A) that no appreciable harm has resulted from the thermal component of the discharge (taking into account the interaction of such thermal component with other pollutants, such as oxygen-demanding pollutants and toxic pollutants, and the additive effect of other thermal sources) to a balanced, indigenous community of shellfish, fish and wildlife in and on the body of water into which the discharge has been made; or

(B) that, despite the occurrence of such previous harm, the desired alternative effluent limitations (or appropriate modifications thereof) will nevertheless preclude the occurrence of further appreciable harm and, thus, assure the protection and propagation of a balanced, indigenous community of shellfish, fish and wildlife in and on the body of water into which the discharge is made.

(2) In determining whether or not prior appreciable harm has occurred, the commissioner shall consider length of time in which the applicant has been discharging and the nature of the discharge. (*Water Pollution Control Division; 327 IAC 5-7-4; filed Sep 24, 1987, 3:00 pm: 11 IR 649; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: 20071219-IR-327070553BFA; readopted filed Jul 29, 2013, 9:21 a.m.: 20130828-IR-327130176BFA*)

Rule 8. Extension of Compliance Dates Under Section 301(i) of the CWA (Repealed)

(Repealed by Water Pollution Control Division; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1479; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3380)

Rule 8.5. Criteria for Extending Compliance Dates under Section 301(k) of the CWA (Repealed)

(Repealed by Water Pollution Control Division; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1479)

Rule 9. Best Management Practices; Establishment

[327 IAC 5-9-1](#)

Purpose

[327 IAC 5-9-2](#)

Applicability of best management practices (BMPs)

[327 IAC 5-9-3](#)

Permit terms and conditions

327 IAC 5-9-1 Purpose

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 1. This rule (327 IAC 5-9) describes how best management practices (BMPs) for ancillary industrial activities under section 304(e) of the CWA shall be reflected in permits, including best management practices promulgated in effluent limitations guidelines under section 304 of the CWA or established on a case-by-case basis in permits under section 402(a)(1) of the CWA. (*Water Pollution Control Division; 327 IAC 5-9-1; filed Sep 24, 1987, 3:00 pm: 11 IR 651; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: 20071219-IR-327070553BFA; readopted filed Jul 29, 2013, 9:21 a.m.: 20130828-IR-327130176BFA; readopted filed Jun 14, 2019, 1:59 p.m.: 20190710-IR-327190246BFA*)

327 IAC 5-9-2 Applicability of best management practices (BMPs)

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 2. (a) Dischargers who use, manufacture, store, handle, or discharge any pollutant listed as toxic under section 307(a)(1) of the CWA, any pollutant listed as hazardous under section 311 of the CWA, or on a case-by-case basis, other materials which may cause pollution if they are discharged are subject to the requirements of this rule for all activities which may result in significant amounts of those pollutants reaching waters of the state. These activities are ancillary manufacturing operations including the following:

- (1) Materials storage areas.
- (2) In-plant transfer.
- (3) Process and material handling areas.
- (4) Loading and unloading operations.

(5) Plant site runoff.

(6) Sludge and waste disposal areas.

(b) For purposes of this rule, "manufacture" means to produce as an intermediate or final product or byproduct.

(c) BMP programs shall be developed in accordance with good engineering practices.

(d) The BMP program shall:

(1) be documented in narrative form, and shall include any necessary plot plans, drawings, or maps;

(2) establish specific objectives for the control of toxic and hazardous pollutants as follows:

(A) Each facility component or system shall be examined for its potential for causing a release of significant amounts of toxic or hazardous pollutants to waters of the United States due to equipment failure, improper operation, or natural phenomena such as rain or snowfall, etc.

(B) Where experience indicates a reasonable potential for equipment failure, for example, a tank overflow or leakage, natural condition, for example, precipitation, or other circumstances to result in significant amounts of toxic or hazardous pollutants reaching surface waters, the program should include a prediction of the direction, rate of flow, and total quantity of toxic or hazardous pollutants which could be discharged from the facility as a result of each condition or circumstance; and

(3) establish specific best management practices to meet the objectives identified under subdivision (2), addressing each component or system capable of causing a release of significant amounts of toxic or hazardous pollutants to the waters of the state.

(e) Also, the BMP program:

(1) may reflect requirements for Spill Prevention Control Countermeasure (SPCC) plans under section 311 of the CWA and may incorporate any part of such plans into the BMP program by reference;

(2) shall assure the proper management of solid and hazardous waste in accordance with regulations promulgated under the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976 (RCRA) (40 U.S.C. 6901 et seq.). Management practices required under RCRA regulations shall be expressly incorporated into the BMP program; and

(3) shall address the following points for the ancillary activities:

(A) Statement of policy.

(B) Spill control committee.

(C) Material inventory.

(D) Material compatibility.

(E) Employee training.

(F) Reporting and notification procedures.

(G) Visual inspections.

(H) Preventive maintenance.

(I) Housekeeping.

(J) Security.

(f) The BMP program must be clearly described and submitted as part of the permit application. An application which does not contain a BMP program shall be considered incomplete. Upon receipt of the application, the commissioner shall approve or modify the program in accordance with the requirements of this section. The BMP program as approved or modified shall be included in the draft permit. The BMP program shall be subject to the applicable permit issuance requirements of this rule, resulting in the incorporation of the program (including any modifications of the program resulting from the permit issuance procedures) into the final permit.

(g) Proposed modifications to the BMP program which affect the discharger's permit obligations shall be submitted to the commissioner for approval. If the commissioner approves the proposed BMP program modification, the permit shall be modified in accordance with this rule, provided that the commissioner may waive the requirements for public notice and opportunity for hearing on such modification if it is determined that the modification is not significant. The BMP program, or modification thereof, shall be fully implemented as soon as possible but not later than one (1) year after permit issuance, modification, or revocation and reissuance unless the commissioner specifies a later date in the permit.

(h) The discharger shall maintain a description of the BMP program at the facility and shall make the description available to the commissioner upon request.

(i) The owner or operator of a facility subject to this section shall amend the BMP program whenever there is a change in facility design, construction operation, or maintenance which materially affects the facility's potential for discharge of significant amounts of hazardous or toxic pollutants into the waters of the state.

(j) If the BMP program proves to be ineffective in achieving the general objective of preventing the release of significant amounts of toxic or hazardous pollutants to those waters and the specific objectives and requirements under subsections (d) and (e), the permit and/or the BMP program shall be subject to modification to incorporate revised BMP requirements. *(Water Pollution Control Division; 327 IAC 5-9-2; filed Sep 24, 1987, 3:00 p.m.: 11 IR 651; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1771; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))*

327 IAC 5-9-3 Permit terms and conditions

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 3. (a) BMPs specified by an applicable EPA-promulgated regulation under section 304(e) of the CWA shall be expressly incorporated into an NPDES permit.

(b) In establishing BMP requirements in an NPDES permit on a case-by-case basis as the commissioner determines to be necessary to carry out the provisions under section 402(a)(1) of the CWA, the commissioner shall consider the following factors:

- (1) toxicity of the pollutant(s);
- (2) quantity of the pollutant(s) used, produced, or discharged;
- (3) history of NPDES permit violations;
- (4) history of significant leaks or spills of toxic or hazardous pollutants;
- (5) potential for adverse impact on public health, e.g., proximity to a public water supply or the environment, e.g., proximity to a sport or commercial fishery; and
- (6) any other factors determined to be relevant to the control of toxic or hazardous pollutants.

BMP requirements which may be imposed under this subsection include, without limitation, dikes and other containment structures, stormwater diversion structures, and similar measures as well as operational practices such as periodic plant inspections, preventive maintenance, and plant housekeeping.

(c) Best management practices may be established in permits under subsection (b) alone or in combination with those required under subsection (a). *(Water Pollution Control Division; 327 IAC 5-9-3; filed Sep 24, 1987, 3:00 pm: 11 IR 651; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))*

Rule 10. Additional Treatment Requirements

327 IAC 5-10-1	Purpose
327 IAC 5-10-2	Phosphorus removal
327 IAC 5-10-3	Controlled discharges
327 IAC 5-10-4	Lake dischargers and sinkhole dischargers
327 IAC 5-10-5	Small sanitary discharge
327 IAC 5-10-6	Disinfection requirements
327 IAC 5-10-7	Connection and regionalization

327 IAC 5-10-1 Purpose

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 1. This rule (327 IAC 5-10) establishes treatment requirements which are applicable to certain discharges of pollutants in addition to any other treatment requirements and effluent limitations imposed under this article (327 IAC 5). Where applicable, such additional treatment requirements shall be implemented through the inclusion of effluent limitations and other appropriate terms and conditions in the discharger's NPDES permit pursuant to section 301(b)(1)(C) of the CWA and 327 IAC 5-2-10(a)(4). *(Water*

Pollution Control Division; 327 IAC 5-10-1; filed Sep 24, 1987, 3:00 pm: 11 IR 652; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); errata filed Sep 22, 2017, 11:46 a.m.: [20171004-IR-327170437ACA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-10-2 Phosphorus removal

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-18-4](#); [IC 13-18-19](#)

Sec. 2. (a) Phosphorus removal or control facilities shall be required for a point source discharge where:

- (1)(A) the daily discharge, as a monthly average, contains ten (10) pounds or more of total phosphorus (calculated as elemental phosphorus – P); and
- (B)(i) the discharge is located within the Lake Michigan or Lake Erie Basins; or
- (ii) the discharge directly enters a lake or reservoir or enters a tributary within forty (40) miles upstream of a lake or reservoir; or
- (2) the commissioner determines, irrespective of the quantitative total phosphorus content of the discharge, that phosphorus reduction is needed to protect downstream water uses or to insure that water quality standards applicable to the affected waters of the state are met.

(b) Where phosphorus removal is required under subsection (a) for a POTW, the treatment facility shall achieve a degree of reduction in total phosphorus in the discharge (calculated as elemental phosphorus) as prescribed in Table I below, or produce an effluent containing no more than 1.0 mg/l of elemental phosphorus as a monthly average, whichever is more stringent.

Table I

Phosphorus (P) Level in Raw Sewage (In mg/l)	Required % Removed (%)
greater than or equal to 4	80%
less than 4, greater than or equal to 3	75%
less than 3, greater than or equal to 2	70%
less than 2, greater than or equal to 1	65%
less than 1	60%

(c) Where phosphorus removal is required under subsection (a) for a point source other than a POTW, the amount of total phosphorus (calculated as elemental phosphorus) in the discharge from said source shall be reduced by at least ninety (90) percent, unless the person owning or operating the point source can affirmatively demonstrate that such degree of phosphorus reduction is technologically infeasible and that an alternate reduction rate is warranted because of factors unique to his facility.

(d) Notwithstanding subsection (b) or (c), a point source shall achieve the degree of phosphorus reduction necessary to comply with an applicable water quality standard for phosphorus. *(Water Pollution Control Division; 327 IAC 5-10-2; filed Sep 24, 1987, 3:00 pm: 11 IR 652; errata, 15 IR 1393; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))*

327 IAC 5-10-3 Controlled discharges

Authority: [IC 13-13-5](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 3. (a) For all new and existing municipal-type wastewater treatment plants (including POTWs, state owned facilities, and semipublic facilities) with multiple cell waste stabilization ponds operating as controlled discharges (facilities which provide treatment by use of constructed wetlands may be included with this group, so long as other requirements are met), a discharge may occur at any time, provided a minimum dilution ratio with the receiving stream of 10:1 (ten (10) parts stream water to one (1) part effluent) is maintained. Dilution ratio is to be determined by measuring actual flow of the receiving stream upstream of the treatment plant discharge and then regulating the plant's discharge flow such that the discharge rate does not exceed one-tenth (¹/₁₀) of the measured stream flow. Plants operated in this manner are subject to the alternative effluent limitations contained in 327 IAC 5-5-3(b). In addition, water quality-based limitations for ammonia or any other toxic substance may be included in the permit if ammonia or

the toxic substance is or may be discharged at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above any applicable narrative or numeric water quality criteria or value promulgated under 327 IAC 2-1 or 327 IAC 2-1.5.

(b) Upstream flow is to be measured using a gauging station which is calibrated at least annually. If a USGS gauging station is not available, the permittee is required to install and maintain a gauging station which is calibrated by a temporary or permanent flow measuring device.

(c) Treatment facilities which are designed and operated as controlled discharge plants (multicelled) and which are not either hydraulically or organically overloaded are not required to provide disinfection of their effluent due to the natural attrition of fecal-type bacteria resulting from the long retention time.

(d) The construction of any new controlled discharge waste stabilization pond-type treatment plant with a discharge either directly to a lake or reservoir (either natural or manmade impoundments) or within two (2) miles upstream of such generally will not be approved.

(e) It is understood, however, that there may be cases in which there is no other treatment alternative within the financial capability of the prospective discharger and a controlled discharge must be considered. In these cases an in-depth review by the office of water management will be necessary to determine which conditions are applicable and what effects the discharge will have in each individual case. (*Water Pollution Control Division; 327 IAC 5-10-3; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1772; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1472; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#)*)

327 IAC 5-10-4 Lake dischargers and sinkhole dischargers

Authority: [IC 13-13-5](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 4. (a) The following effluent limitations apply to all POTWs or other sanitary discharges directly to lakes or reservoirs (either natural or manmade impoundments) or within two (2) miles upstream from such a waterbody, and to discharges of sanitary wastewater directly to sinkholes, underground streams, or to surface streams within two (2) miles upstream of such features (where a discharge of industrial process wastewater contains a sanitary component, these standards apply only to the sanitary component of such discharges):

(1) Concentrations table as follows:

Pollutant	Monthly Average Concentrations	Weekly Average Concentrations
	(mg/l)	(mg/l)
CBOD ₅	10	15
Total Suspended Solids (TSS)	12	18
T. Ammonia, as N		
Summer (May through November)	1.1	1.6
Winter (December through April)	1.6	2.4

(2) Ammonia nitrogen limitations are derived using conservation of mass principles, assuming no stream flow dilution ($Q_{7,10}$) and using the criteria contained in 327 IAC 2-1-6(b)(5)(A), using year-round stream pH of seven and eight-tenths (7.8) s.u., instream temperature of twenty-five degrees Celsius (25°C) summer, ten degrees Celsius (10°C) winter, with the results rounded to the nearest one-tenth (0.1) milligram per liter. If the receiving stream is regulated by criteria contained in 327 IAC 2-1-6(b)(5)(B) through 327 IAC 2-1-6(b)(5)(D) or 327 IAC 2-1.5-8, these criteria will be used to determine water quality-based effluent limitations for ammonia in lieu of the criteria in subdivision (1) to derive appropriate ammonia nitrogen limitations.

(3) Dissolved oxygen in the effluent from any facility deemed to be a lake discharger or sinkhole discharger shall not fall below six (6.0) milligrams per liter minimum daily average.

(4) Notwithstanding the provisions of section 2(a) of this rule, effluent phosphorus for any lake discharger shall not exceed one (1.0) milligram per liter.

(5) In addition, water quality-based limitations for any other toxic substance may be included in the permit if the toxic substance is or may be discharged at a level which will cause, have the reasonable potential to cause, or contribute to an excursion above any applicable narrative or numeric water quality criteria or value promulgated under 327 IAC 2-1 or 327 IAC 2-1.5.

INDUSTRIAL WASTEWATER PRETREATMENT PROGRAMS AND NPDES

(b) If deemed necessary to comply with water quality standards, such as discharges to streams which are classified for cold water aquatic life, more stringent limitations may be applied on a case-by-case basis.

(c) Additional requirements for sinkhole dischargers include the following:

(1) Disinfection is required on a year-round basis. Where chlorine or bromine compounds are used as the disinfectant, dechlorination is required in accordance with section 6(c)(3) of this rule.

(2) Effluent limitations, monitoring, and reporting requirements for E. coli will be included in the NPDES permit.

(3) As part of any initial application and as part of any subsequent application for renewal, the following information shall be included:

(A) A statement as to why a direct discharge to surface waters is impractical. This statement should address the proximity of surface waters and the cost associated with locating or relocating the discharge to such waters.

(B) The results of two (2) dye-tracing studies, one (1) conducted during low flow conditions and one (1) conducted during high flow conditions. This study shall be signed by a qualified hydrologist and shall include a review and identification of all ground water users (private wells) within a five (5) mile radius and demonstrate to the extent possible the direction of movement and ultimate fate of ground water in the area. Sampling shall also be conducting of any readily accessible cave streams and at any rises. A diligent effort to notify all potentially affected ground water users in the area of the intent to discharge and the dye-tracing study shall be made, which may include a public notice.

(4) If a dye-tracing study conducted as required by subdivision (3) indicates the presence of effluent in private wells (or the probability of such for new discharges):

(A) the permittee (or applicant) shall conduct routine (a minimum of twice annually, once during high flow and once during low flow conditions) monitoring of each such well for nitrates and E. coli and shall report the results to the private users and the department of environmental management, office of water management; and

(B) permit limitations may be imposed based on drinking water standards from 327 IAC 8-2.

(5) If the well sampling required by subdivision (4) demonstrates that bacterial or nitrate contamination (above the values prescribed by 327 IAC 8-2) of private wells is occurring:

(A) the commissioner may require that the discharger supply potable water to any and all such affected parties; and

(B) the permit may be reopened to include revised effluent limitations.

(6) Before a NPDES permit is issued for any planned new discharge, all possible alternative methods of disposal shall be considered and evaluated. This NPDES permit will not be issued unless no alternative disposal method is feasible. Alternatives may include, but not be limited to, land application, connection with an existing POTW not discharging to a sinkhole, piping to surface waters, or off-site transport and disposal.

(Water Pollution Control Division; 327 IAC 5-10-4; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1772; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1473; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3380; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-10-5 Small sanitary discharge

Authority: [IC 13-13-5](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

Sec. 5. (a) All discharges from continuous discharge sanitary wastewater treatment facilities with a design flow of five-hundredths (0.05) MGD or less (which are not considered to be lake or sinkhole dischargers as defined under section 4 of this rule) are subject to the following effluent limitations in the absence of a site-specific water quality modeled waste load allocation:

(1) Effluent limitations for CBOD₅, TSS, and dissolved oxygen (DO):

Dilution Ratio (DR)	Summer	Winter
	CBOD ₅ /TSS/DO	CBOD ₅ /TSS/DO
DR less than or equal to 1	15 /18 / 6	25 /30 / 5
DR greater than 1, less than or equal to 3	20 /24 / -	25 /30 / -
DR greater than 3	25 /30 / -	25 /30 / -

(2) Limitations for ammonia nitrogen shall be determined as follows:

(A) Effluent limitations for NH₃-N (ammonia nitrogen), calculated in accordance with subdivision (5)(C):

Summer (May–November)	Winter (December–April)
Ammonia nitrogen 1.06 + 0.43 DR	Ammonia nitrogen 1.58 + 0.69 DR

(B) When a properly designed and operated treatment facility qualifying for these limitations, which is not hydraulically or organically overloaded is of the type that is inherently capable of achieving the water quality standards for ammonia nitrogen, and ammonia nitrogen will not be discharged at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above a water quality criterion for ammonia under 327 IAC 2-1 or 327 IAC 2-1.5, the commissioner, based on cost and other considerations, may exclude the ammonia nitrogen effluent limitations or monitoring requirements from the permit. Such action is not considered to be a variance from the applicable water quality standards.

(C) When DR exceeds 16:1 for the summer period and 10:1 for the winter period, ammonia nitrogen limitations will not be included in the permit, unless the commissioner can demonstrate that ammonia will be discharged at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above a water quality criterion for ammonia under 327 IAC 2-1 or 327 IAC 2-1.5.

(3) The alternative limitations for total suspended solids applicable to waste stabilization lagoons as described under 327 IAC 5-5-3(b) may be applied to small sanitary discharges from properly designed, operated, and loaded waste stabilization lagoon treatment facilities in lieu of the limitations for TSS contained in subdivision (1).

(4) If deemed necessary to comply with water quality standards contained under 327 IAC 2-1 or 327 IAC 2-1.5, such as discharges to streams which are classified for cold water aquatic life, more stringent limitations for dissolved oxygen and ammonia nitrogen may be applied on a case-by-case basis.

(5) The following conditions apply within this subsection:

(A) All effluent limitations in subdivisions (1) and (2) are expressed in milligrams per liter.

(B) CBOD₅, TSS, and ammonia nitrogen limitations are monthly average concentrations. Weekly average limitations are one and five-tenths (1.5) multiplied by monthly average limitations, except where CBOD₅ equals twenty-five (25) milligrams per liter, in which case the weekly average is forty (40) milligrams per liter.

(C) Ammonia nitrogen limitations are derived using conservation of mass principles, applying one-half (½) stream flow (Q_{7,10}) and using the criteria contained in 327 IAC 2-1-6(b)(5)(A), using year-round stream pH of seven and eight-tenths (7.8) s.u., instream temperature of twenty-five degrees Celsius (25°C) summer, ten degrees Celsius (10°C) winter, and two-tenths (0.2) milligrams per liter background ammonia nitrogen year-round. If the discharge is in the Great Lakes system, ammonia nitrogen limitations shall be derived using the criteria for ammonia nitrogen contained in 327 IAC 2-1.5-8, the stream design flow, mixing zone, and background determined in accordance with 327 IAC 5-2-11.4, and the procedures to calculate QBELs under 327 IAC 5-2-11.6.

(D) DR is calculated as Q_{7,10} of receiving stream divided by the design flow of the discharge.

(6) In addition, water quality-based limitations for any other toxic substance may be included in the permit if the toxic substance is or may be discharged at a level that will cause, have the reasonable potential to cause, or contribute to an excursion above any applicable narrative or numeric water quality criteria or value promulgated under 327 IAC 2-1 or 327 IAC 2-1.5.

(b) Continuous discharges include all discharges not designed, approved, and operated as controlled discharges from multicelled waste stabilization ponds.

(c) Industrial plants with small sanitary discharges mixing with other nontoxic, nonorganic, nonnutrient containing wastewaters, such as cooling water, ash sluicing, etc. prior to discharge may use the other wastewaters as dilution in applying the criteria of subsection (a). (*Water Pollution Control Division; 327 IAC 5-10-5; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1773; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1474; errata filed Aug 11, 1997, 4:15 p.m.: 20 IR 3380; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))*

327 IAC 5-10-6 Disinfection requirements

Authority: [IC 13-13-5](#); [IC 13-14-8](#); [IC 13-14-9](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-18-4](#)

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Sec. 6. (a) Disinfection is required of all sanitary wastewater discharges on an annual basis for the period of April 1 through October 31 except multicelled waste stabilization ponds that are:

- (1) adequately designed and operated;
- (2) not either hydraulically or organically overloaded; and
- (3) in compliance with the provisions of section 3(c) of this rule.

(b) Disinfection is not required and is not expected to be practiced on an annual basis for the period of November 1 through March 31, except as necessary to comply with one (1) or more of the following:

- (1) ORSANCO requirements (for discharges directly to the Ohio River).
- (2) The requirements of other states for interstate waters.
- (3) The provision of section 4(c) of this rule.

In cases where chlorination must be practiced during this period, for example, to maintain sand filters, the maximum effluent limitation and monitoring requirements for chlorine remain in effect.

(c) The following are requirements for facilities using chlorine or other halogenated compounds as a disinfectant:

(1) For those sanitary wastewater dischargers designated as minor facilities (generally those with a population equivalent (PE) of less than ten thousand (10,000)), the following requirements must be met:

(A) Residual chlorine concentration after disinfection (but prior to dechlorination) is to be maintained at a minimum of five-tenths (0.5) milligram per liter.

(B) The final effluent must comply with subsection (e).

(2) For those sanitary wastewater dischargers designated as major facilities (those with a PE of ten thousand (10,000) or greater), the following requirements must be met:

(A) No minimum residual chlorine limitation applies.

(B) The final effluent must comply with subsection (e).

(3) Dechlorination is to be practiced for all:

(A) sanitary wastewater discharges using chlorine or bromine compounds as a disinfectant; or

(B) filter or other equipment maintenance at any time;

so that the concentration of total residual chlorine (TRC) or, where bromine is used, TRO in the final effluent does not exceed water quality-based effluent limitations. If these water quality-based limitations are below the LOQ, compliance with the water quality-based effluent limitations will be determined using the applicable procedures contained under 327 IAC 5-2-11.1 or 327 IAC 5-2-11.6.

(d) Facilities using a disinfectant other than chlorine or other halogen compounds shall ensure that the final effluent complies with subsection (e) during the applicable recreation season as indicated in the facility's NPDES permit.

(e) Sanitary wastewater dischargers shall ensure the following:

(1) The concentration of E. coli in the undiluted discharge does not exceed one hundred twenty-five (125) cfu or MPN per one hundred (100) milliliters as a geometric mean of the effluent samples taken in a calendar month.

(2) Not more than ten percent (10%) of all samples when not less than ten (10) samples are taken and analyzed for E. coli in a calendar month exceed two hundred thirty-five (235) cfu or MPN per one hundred (100) milliliters as a daily maximum. Under this subdivision, the calculation of ten percent (10%) of the samples taken shall be limited to the lowest whole number result.

(Water Pollution Control Division; 327 IAC 5-10-6; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1774; filed Jan 14, 1997, 12:00 p.m.: 20 IR 1475; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); filed Mar 18, 2008, 2:26 p.m.: [20080416-IR-327060573FRA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))

327 IAC 5-10-7 Connection and regionalization

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18](#)

Affected: [IC 13-18-4](#); [IC 13-18-15](#); [IC 13-18-19](#)

Sec. 7. (a) If the commissioner finds it is in the interest of the health, safety, convenience, and welfare of the residents of any area, any person, publicly or semipublicly owned sewage treatment systems may be ordered to connect to and/or receive and treat sewage from any other person or from an industry, shopping center, mobile home park, school, or housing development when such service and use will not result in irreparable injury to the receiving equipment or make impossible the rendering of the service

previously rendered to the users of such equipment. The persons involved shall negotiate the terms for such connection and service, in accordance with the terms of [IC 13-18-15](#).

(b) Any new school, mobile home park, motel, motor court, or motor hotel shall dispose of sewage through the use of a public sewerage system if the sewerage system is available within a reasonable distance from the facility.

(c) Any existing school, mobile home park, motel, motor court, or motor hotel with a direct discharge of sewage, as authorized by an NPDES permit shall connect to a public sewerage system, discontinue the direct discharge, and abandon their wastewater treatment plant if a public sewerage system becomes available at any time within a reasonable distance from the facility. In this instance, "reasonable distance" is related to cost. The intent of this provision is to encourage the entities mentioned in this section to compare the cost of connecting to a sewerage system against the cost to build or upgrade and operate a sewage treatment plant. (*Water Pollution Control Division; 327 IAC 5-10-7; filed Feb 26, 1993, 5:00 p.m.: 16 IR 1775; readopted filed Jan 10, 2001, 3:23 p.m.: 24 IR 1518; readopted filed Nov 21, 2007, 1:16 p.m.: [20071219-IR-327070553BFA](#); readopted filed Jul 29, 2013, 9:21 a.m.: [20130828-IR-327130176BFA](#); errata filed Jul 31, 2017, 11:06 a.m.: [20170809-IR-327170349ACA](#); readopted filed Jun 14, 2019, 1:59 p.m.: [20190710-IR-327190246BFA](#))*

Rule 11. Pretreatment Program; General Provisions (Repealed)

(Repealed by Water Pollution Control Division; filed Oct 10, 2000, 3:02 p.m.: 24 IR 317)

Rule 12. Applicable Pretreatment Standards and Other Pretreatment Requirements (Repealed)

(Repealed by Water Pollution Control Division; filed Oct 10, 2000, 3:02 p.m.: 24 IR 317)

Rule 13. POTW Pretreatment Programs (Repealed)

(Repealed by Water Pollution Control Division; filed Oct 10, 2000, 3:02 p.m.: 24 IR 317)

Rule 14. Revision of Categorical Pretreatment Standards to Reflect Consistent Removal of Pollutants by a POTW (Repealed)

(Repealed by Water Pollution Control Division; filed Oct 10, 2000, 3:02 p.m.: 24 IR 317)

Rule 15. Industrial Waste Pretreatment Permit Program (Repealed)

(Repealed by Water Pollution Control Division; filed Oct 10, 2000, 3:02 p.m.: 24 IR 317)

Rule 16. General Provisions

327 IAC 5-16-1	Purpose and objectives
327 IAC 5-16-2	Local authority
327 IAC 5-16-3	Public access to information and confidentiality claims
327 IAC 5-16-4	Enforcement
327 IAC 5-16-5	Reporting requirements for POTWs and industrial users
327 IAC 5-16-5.3	Additional reporting requirements for POTWs and industrial users
327 IAC 5-16-5.5	Annual POTW reports
327 IAC 5-16-6	Upset
327 IAC 5-16-7	Bypass

327 IAC 5-16-1 Purpose and objectives

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 1. (a) The pretreatment rules establish a state program to control the discharge of industrial pollutants into publicly owned treatment works (POTWs), as defined in 327 IAC 5-1.5-48, to implement 40 CFR 403 and related provisions of the federal Clean Water Act, 33 U.S.C. 1251.

(b) The state pretreatment program has the following three (3) objectives:

- (1) To prevent the introduction of pollutants into a POTW that will interfere with the operation of a POTW, including interference with the use or disposal of municipal sludge.
 - (2) To prevent the introduction of pollutants into a POTW that will pass through the treatment works without receiving effective treatment or otherwise be incompatible with such works.
 - (3) To improve opportunities to recycle and reclaim municipal and industrial wastewaters and sludges.
- (c) The pretreatment rules apply to:
- (1) new or existing industries that discharge by direct connection or indirectly by truck, rail, or other means, nondomestic wastes into POTWs; and
 - (2) POTWs that receive or may receive discharges of nondomestic wastes from those industries.

(Water Pollution Control Division; 327 IAC 5-16-1; filed Oct 10, 2000, 3:02 p.m.: 24 IR 290; filed Oct 9, 2015, 4:07 p.m.: 20151104-IR-327100659FRA)

327 IAC 5-16-2 Local authority

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 2. Nothing in the pretreatment rules is intended to affect any pretreatment requirements, including any standards or prohibitions, established by local ordinance of any political subdivision of the state as long as the local requirements are not less stringent than any set forth in national pretreatment standards or any other requirements or prohibitions established under the Clean Water Act or the pretreatment rules. *(Water Pollution Control Division; 327 IAC 5-16-2; filed Oct 10, 2000, 3:02 p.m.: 24 IR 290)*

327 IAC 5-16-3 Public access to information and confidentiality claims

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)
Affected: [IC 5-14-3-8](#); [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 3. (a) The following shall be available to the public for inspection and copying without restriction during normal hours of operation and the fee assessed for copying costs shall be in accordance with the uniform copying fee authorized under [IC 5-14-3-8](#)(c):

- (1) Applications for IWP permits.
- (2) Permits (draft and final).
- (3) Statements of basis.
- (4) Effluent data from industrial users.
- (5) Submissions from POTWs transmitted to the department under this article.
- (6) Public comments on requests for POTW pretreatment program approval or for authority to revise discharge limits for pollutants consistently removed by the POTW.

(b) Public access to other information, including information submitted to the department under claim of confidentiality, shall be governed by 327 IAC 12.1. *(Water Pollution Control Division; 327 IAC 5-16-3; filed Oct 10, 2000, 3:02 p.m.: 24 IR 290)*

327 IAC 5-16-4 Enforcement

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-14-10](#); [IC 13-18-4](#); [IC 13-30-3](#); [IC 13-30-4](#)

Sec. 4. (a) A violation of the pretreatment rules may:

- (1) subject a person causing or contributing to the violation to administrative or judicial enforcement proceedings, under [IC 13-30-3](#), and the penalties provided under [IC 13-30-4](#);
- (2) be cause for:
 - (A) modification;
 - (B) revocation and reissuance; or
 - (C) termination;of an industrial waste pretreatment permit or an NPDES permit; and
- (3) warrant the invocation of emergency procedures under [IC 13-14-10](#).

(b) The initiation of any action in response to a violation of the pretreatment rules does not preclude initiation of any other response.

(c) As used in this section, a violation of the pretreatment rules includes the following:

(1) The indirect discharge of pollutants in contravention of an applicable pretreatment standard or other applicable discharge limitation.

(2) The indirect discharge of pollutants without a permit from a significant industrial discharger as determined by the control authority.

(3) A violation of discharge limitations or other terms and conditions of the permit where an IWP permit is required under the pretreatment rules.

(4) Failure to comply with any other applicable pretreatment requirement.

(5) Failure of a POTW subject to 327 IAC 5-19 to develop a POTW pretreatment program or implement and enforce an approved POTW pretreatment program in compliance with the terms and conditions of its NPDES permit.

(6) Failure to:

(A) allow entry, inspection, and monitoring by representatives of the commissioner when requested in accordance with applicable law; or

(B) carry out monitoring, recording, and reporting required under this article.

(d) With respect to an industrial user of a POTW with an approved POTW pretreatment program, initiation of enforcement proceedings by the POTW against the industrial user shall not preclude the commissioner from independently taking appropriate enforcement measures against the industrial user for a violation of the pretreatment rules. (*Water Pollution Control Division; 327 IAC 5-16-4; filed Oct 10, 2000, 3:02 p.m.: 24 IR 290*)

327 IAC 5-16-5 Reporting requirements for POTWs and industrial users

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18](#)

Sec. 5. (a) All POTWs and industrial users shall comply with the applicable reporting requirements of 40 CFR 403.12.

(b) The reporting requirements for an industrial user upon the effective date of a categorical pretreatment standard are as follows:

(1) An existing industrial user subject to the categorical pretreatment standards and currently discharging to or scheduled to discharge to a POTW shall submit to the control authority a baseline report that contains the information listed in subsection (c) within one hundred eighty (180) days after the:

(A) effective date of a categorical pretreatment standard; or

(B) final administrative decision made upon a category determination submission under 40 CFR 403.6(a)(4); whichever is later.

(2) A new source, and a source that becomes an industrial user subsequent to the promulgation of an applicable categorical standard, shall be required to submit to the control authority a report that contains the information listed in subsection (c)(1) through (c)(5), at least ninety (90) days prior to commencement of discharge.

(3) A new source shall:

(A) also be required to include in this report information on the method of pretreatment the source intends to use to meet applicable pretreatment standards; and

(B) give estimates of the information requested in subsection (c)(4) and (c)(5).

(c) The baseline monitoring report submitted by the industrial user to the POTW must include the following information:

(1) The name and address of the facility, including the name of the operator and owners.

(2) A list of any environmental control permits held by or for the facility.

(3) A brief description of the operation, including:

(A) the nature;

(B) the average rate of production; and

(C) the standard industrial classification;

of the operation or operations carried out by the industrial user. This description must include a schematic process diagram that indicates points of discharge to the POTW from the regulated processes.

(4) Measured average daily and maximum daily flow, in gallons per day, to the POTW from each of the following:

(A) Regulated process streams.

(B) Other streams, as necessary, to allow use of the combined waste stream formula of subdivision (6)(C).

The control authority may allow for verifiable estimates of these flows where justified by cost or feasibility considerations.

(5) The pretreatment standards applicable to each regulated process.

(6) The results of sampling and analysis, identifying the nature and concentration (or mass, where required by the standard or control authority) of regulated pollutants in the discharge from each regulated process. The following apply to sampling and analysis results:

(A) Both daily maximum and average concentration (or mass, where required) must be reported. The sample must be representative of daily operations. In cases where the standard requires compliance with a best management practice or pollution prevention alternative, the industrial user shall submit documentation as required by the control authority or the applicable standards to determine compliance with the standard.

(B) The industrial user shall take a minimum of one (1) representative sample to compile the data necessary to comply with the requirements of this subdivision.

(C) Samples must be taken immediately downstream from existing pretreatment facilities, or immediately downstream from the regulated process, if no pretreatment facilities exist. If other wastewaters are mixed with the regulated wastewater prior to pretreatment, the industrial user shall measure the flows and concentrations necessary to allow use of the combined waste stream formula of 40 CFR 403.6(e) in order to evaluate compliance with the pretreatment standards. Where an alternate concentration or mass limit has been calculated in accordance with 40 CFR 403.6(e), this adjusted limit, along with supporting data, must be submitted to the control authority.

(D) Sampling and analysis must be performed in accordance with the techniques prescribed in 40 CFR 136. Where:

(i) 40 CFR 136 does not contain sampling or analytical techniques for the pollutant in question; or

(ii) the administrator determines that the 40 CFR 136 sampling and analytical techniques are inappropriate for the pollutant in question;

sampling and analysis must be performed by using validated analytical methods or any other applicable sampling and analytical procedures, including procedures suggested by the POTW or other parties, approved by the commissioner.

(E) The control authority may allow the submission of a baseline report that utilizes only historical data so long as the data provides information sufficient to determine the need for industrial pretreatment measures.

(F) The baseline report allowed under clause (E) must:

(i) indicate:

(AA) the time;

(BB) the date;

(CC) the place of sampling; and

(DD) the methods of analysis; and

(ii) certify that the sampling and analysis is representative of normal work cycles and expected pollutant discharges to the POTW.

(7) The industrial user shall submit a certification statement indicating whether pretreatment standards are being met on a consistent basis, and, if not, whether additional operation and maintenance (O and M) or additional pretreatment, or both, is required for the industrial user to meet the pretreatment standards and requirements. The statement must be:

(A) reviewed by an authorized representative of the industrial user, as defined in section 5.3 of this rule; and

(B) certified by a qualified professional.

(8) The industrial user shall use the shortest compliance schedule by which additional pretreatment or O and M, or both, may be provided if required to meet the pretreatment standards. The completion date in this schedule must not be later than the compliance date established for the applicable pretreatment standard.

(9) Where the industrial user's categorical pretreatment standard has been modified by a removal allowance under 40 CFR 403.7, the combined waste stream formula under 40 CFR 403.6(e), or a fundamentally different factors variance under 40 CFR 403.13, at the time the industrial user submits the report required by subsection (b), the information required by subdivisions (7) and (8) shall apply to the modified limits.

(10) If the categorical pretreatment standard is modified by a removal allowance under 40 CFR 403.7, combined waste stream formula under 40 CFR 403.6(e), or a fundamentally different factors variance under 40 CFR 403.13, after the industrial user submits the report required by subsection (b), any necessary amendments to the information required by

subdivisions (7) and (8) must be submitted by the industrial user to the control authority within sixty (60) days after the modified limit is approved.

(d) The following conditions apply to the compliance schedule for meeting categorical pretreatment standards required by subsection (c)(8):

(1) The schedule must contain increments of progress in the form of dates for the commencement and completion of major events leading to the construction and operation of additional pretreatment required for the industrial user to meet the applicable categorical pretreatment standards, for example, the following:

- (A) Hiring an engineer.
- (B) Completing preliminary plans.
- (C) Completing final plans.
- (D) Executing a contract for major components.
- (E) Commencing construction.
- (F) Completing construction.

(2) No increment established in subdivision (1) may exceed nine (9) months.

(3) Not later than fourteen (14) days following each date in the schedule and the final date for compliance, the industrial user shall submit a progress report to the control authority, including, at a minimum, whether or not it complied with the increment of progress to be met on such date and, if not, the following:

- (A) The date on which it expects to comply with this increment of progress.
- (B) The reason for delay.
- (C) The steps being taken by the industrial user to return the construction to the schedule established.

In no event may more than nine (9) months elapse between the progress reports to the control authority.

(e) Within ninety (90) days following the date for final compliance with applicable categorical pretreatment standards or, in the case of a new source, following the introduction of wastewater into the POTW, an industrial user shall do the following:

(1) An industrial user subject to pretreatment standards and requirements shall submit to the control authority a report containing the information described in subsection (c)(4) through (c)(6).

(2) For an industrial user subject to equivalent mass or concentration limits established by the control authority in accordance with the procedures in 40 CFR 403.6(c), the report required under subdivision (1) must contain a reasonable measure of the industrial user's long-term production rate.

(3) For all other industrial users subject to categorical pretreatment standards expressed in terms of allowable pollutant discharge per unit of production (or other measure of operation), the report required under subdivision (1) must include the industrial user's actual production during the appropriate sampling period.

(f) This subsection does not apply to nonsignificant categorical users as defined in 40 CFR 403.3(v)(2). An industrial user subject to a categorical pretreatment standard, after the compliance date of the pretreatment standard or, in the case of a new source, after commencement of the discharge into the POTW, shall submit a periodic compliance monitoring report to the control authority during the months of June and December, unless required more frequently in the pretreatment standard or by the control authority or the approval authority. The periodic compliance monitoring report shall contain the following:

(1) The monitoring report must include the following:

- (A) A report indicating the nature and concentration of pollutants in the effluent that are limited by the categorical pretreatment standards.
- (B) A record of measured or estimated average and maximum daily flows for the reporting period for the discharge reported in subsection (c)(4), except that the control authority may require more detailed reporting of flows if necessary to determine the industrial user's compliance with applicable regulations.

(2) When a pretreatment standard requires compliance with a best management practice or pollution prevention alternative, the industrial user shall submit documentation required by the control authority or the pretreatment standard necessary to determine the compliance status of the industrial user. At the discretion of the control authority and in consideration of factors including local high or low flow rates, holidays and budget cycles, the control authority may modify the months during which the reports required under subdivision (1) are to be submitted.

(3) The control authority may grant an industrial user subject to a categorical pretreatment standard a waiver from sampling of a pollutant regulated by a categorical pretreatment standard if the industrial user has demonstrated thorough sampling and other technical factors that the pollutant is neither present nor expected to be present in the discharge, or is present only

at background levels from intake water and without any increase in the pollutant due to activities of the industrial user. This waiver is subject to the following conditions:

(A) The control authority may authorize a waiver where a pollutant is determined to be present solely due to sanitary wastewater discharged from the facility, provided that the sanitary wastewater is not regulated by an applicable categorical standard and otherwise includes no process wastewater.

(B) The monitoring waiver is valid only for the duration of the effective period of the permit or other equivalent individual control mechanism, but in no case longer than five (5) years. The industrial user shall submit a new request for a waiver before the waiver can be granted for each subsequent control mechanism.

(C) In making a demonstration that a pollutant is not present, the industrial user shall provide data from at least one (1) sampling of the facility's process wastewater prior to any treatment present at the facility that is representative of all wastewater from all processes. The request for a monitoring waiver must be signed in accordance with section 5.3 of this rule and include the certification statement in 40 CFR 403.6(a)(2)(ii). Nondetectable sample results may be used only as a demonstration that a pollutant is not present if the EPA approved method from 40 CFR Part 136, with the lowest minimum detection level for that pollutant, was used in the analysis.

(D) Any grant of a monitoring waiver by the control authority must be included as a condition in the industrial user's control mechanism. The reasons supporting the waiver and any information submitted by the industrial user in its request for the waiver must be maintained by the control authority for three (3) years after expiration of the waiver.

(E) Upon approval of the monitoring waiver and revision of the industrial user's control mechanism by the control authority, the industrial user shall certify on each report that there has been no increase in the pollutant in its waste stream due to activities of the industrial user. The statement must include the following:

"Based on my inquiry of the person or persons directly responsible for managing compliance with the Pretreatment Standard for 40 CFR (specify applicable National Pretreatment Standard part(s)), I certify that, to the best of my knowledge and belief, there has been no increase in the level of (list pollutant(s)) in the wastewaters due to the activities at the facility since filing of the last periodic report under 40 CFR 403.12(e)(1)."

(F) In the event that a waived pollutant is found to be present or is expected to be present based on changes that occur in the industrial user's operations, the industrial user shall immediately notify the control authority and comply with:

- (i) the monitoring requirements of subdivisions (1) and (2); or
- (ii) other more frequent monitoring requirements imposed by the control authority.

(G) This subdivision does not supersede certification processes and requirements established in federal categorical pretreatment standards incorporated by reference in 327 IAC 5-2-1.5, except as otherwise specified in the categorical pretreatment standard.

(4) Where the control authority has imposed mass limitations on industrial users as provided for by 40 CFR 403.6(d), the report required by this subsection must indicate the mass of pollutants regulated by pretreatment standards in the discharge from the industrial user.

(5) For industrial users subject to equivalent mass or concentration limits established by the control authority in accordance with the procedures in 40 CFR 403.6(c), the report required by this subsection must contain a reasonable measure of the industrial user's long-term production rate. For all other industrial users subject to categorical pretreatment standards expressed only in terms of allowable pollutant discharge per unit of production, or other measure of operation, the report required by this subsection must include the industrial user's actual average production rate for the reporting period.

(g) All categorical and noncategorical industrial users shall notify the POTW immediately of all discharges that could cause problems to the POTW, including any slug loadings, as defined by 40 CFR 403.5(b).

(h) Industrial users shall continue monitoring and analysis to demonstrate continued compliance, including the following:

(1) Except for nonsignificant categorical users, the reports required in subsections (b), (c), (e), (f), and (i) must contain the results of sampling and analysis of the discharge, including the flow and the nature and concentration, or production and mass where requested by the control authority, of pollutants contained therein that are limited by the applicable pretreatment standards. This sampling and analysis may be performed by the control authority in lieu of the industrial user. Where the POTW performs the required sampling and analysis in lieu of the industrial user, the industrial user will not be required to submit the compliance certification required under subsections (c)(7) and (e). In addition, where the POTW collects all the information required for the report, including flow data, the industrial user will not be required to submit the report.

(2) If sampling performed by an industrial user indicates a violation, the industrial user shall notify the control authority within twenty-four (24) hours of becoming aware of the violation. The industrial user shall also repeat the sampling and analysis and submit the results of the repeat analysis to the control authority within thirty (30) days after becoming aware of the violation. Where the control authority has performed the sampling and analysis in lieu of the industrial user, the control authority shall perform the repeat sampling and analysis unless it notifies the industrial user of the violation and requires the industrial user to perform the repeat analysis. Resampling is not required if the control authority performs sampling at the industrial user:

- (A) at a frequency of at least once per month; or
- (B) between the time when the initial sampling was conducted and the time when the industrial user or the control authority receives the results of this sampling.

(3) The reports required in subsections (b) through (e) and (i) must be based upon data obtained through appropriate sampling and analysis performed during the period covered by the report, which data are representative of conditions occurring during the reporting period. The control authority shall require that frequency of monitoring necessary to assess and assure compliance by industrial users with applicable pretreatment standards and requirements. Grab samples must be used for pH, cyanide, total phenols, oil and grease, sulfide, and volatile organic compounds. For all other pollutants, twenty-four (24) hour composite samples must be obtained through flow proportional composite sampling techniques, unless time proportional composite sampling or grab sampling is authorized by the control authority. Where time-proportional composite sampling or grab sampling is authorized by the control authority, the samples must be representative of the discharge and the decision to allow the alternative sampling must be documented in the industrial user file for that facility or facilities. Using protocols, including appropriate preservation, specified in 40 CFR 136 and appropriate EPA guidance, multiple grab samples collected during a twenty-four (24) hour period may be composited prior to the analysis as follows:

- (A) For cyanide, total phenols, and sulfides, the samples may be composited in the laboratory or in the field.
- (B) For volatile organics and oil and grease, the samples may be composited in the laboratory.
- (C) Composite samples for other parameters unaffected by the compositing procedures as documented in approved EPA methodologies may be authorized by the control authority, as appropriate.

(4) For sampling required in support of baseline monitoring and ninety (90) day compliance reports required in subsections (b) and (e), a minimum of four (4) grab samples must be used for:

- (A) pH;
- (B) cyanide;
- (C) total phenols;
- (D) oil and grease;
- (E) sulfide; and
- (F) volatile organic compounds;

for facilities for which historical sampling data do not exist. For facilities for which historical sampling data are available, the control authority may authorize a lower minimum. For the reports required by subsections (e) and (i), the control authority shall require the number of grab samples necessary to assess and assure compliance by industrial users with applicable pretreatment standards and requirements.

(5) All analyses must be performed in accordance with procedures established by the commissioner pursuant to 33 U.S.C. 1314(h) and contained in 40 CFR 136 or with any other test procedures approved by the commissioner. Sampling must be performed in accordance with the techniques approved by the commissioner. Where:

- (A) 40 CFR 136 does not include sampling or analytical techniques for the pollutants in question; or
- (B) the commissioner determines that the 40 CFR 136 sampling and analytical techniques are inappropriate for the pollutant in question;

sampling and analyses must be performed using validated analytical methods or any other sampling and analytical procedures, including procedures suggested by the POTW or other parties, approved by the commissioner.

(6) If an industrial user subject to the reporting requirement in subsection (f) or (i) monitors any regulated pollutant at the appropriate sampling location more frequently than required by the control authority, using the procedures prescribed in subdivision (5), the results of this monitoring must be included in the report.

(i) The reporting requirements for industrial users not subject to categorical pretreatment standards are as follows:

(1) Significant noncategorical industrial users shall submit to the control authority, at least once every six (6) months, on

dates specified by the control authority, a description of the:

- (A) nature;
- (B) concentration; and
- (C) flow;

of the pollutants required to be reported by the control authority.

(2) In cases where a local limit requires compliance with a best management practice or pollution prevention alternative, the industrial user shall submit documentation required by the control authority to determine the compliance status of the industrial user. These reports must be based on sampling and analysis performed in the period covered by the report and in accordance with the techniques described in 40 CFR 136.

(3) This sampling and analysis may be performed by the control authority in lieu of the significant noncategorical industrial user.

(j) Additionally, reporting of:

- (1) spills into a POTW; or
- (2) upsets in pretreatment facilities;

may be required of an industrial user by its control authority. (*Water Pollution Control Division; 327 IAC 5-16-5; filed Oct 10, 2000, 3:02 p.m.: 24 IR 291; filed Apr 3, 2009, 1:55 p.m.: 20090429-IR-327060156FRA; filed Oct 9, 2015, 4:07 p.m.: 20151104-IR-327100659FRA*)

327 IAC 5-16-5.3 Additional reporting requirements for POTWs and industrial users

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-3-15](#); [IC 13-18-4](#); [IC 13-18-11](#)

Sec. 5.3. (a) The reports required by 40 CFR 403.12 or 327 IAC 5-21-10 must be signed by one (1) of the following:

(1) A responsible corporate officer. As used in this section, "responsible corporate officer" means either of the following:

(A) A:

- (i) president;
- (ii) secretary;
- (iii) treasurer; or
- (iv) vice president;

of the corporation in charge of a principal business function or any other person who performs similar policymaking or decision making functions for the corporation.

(B) The manager of one (1) or more manufacturing, production, or operating facilities, provided the following:

(i) The manager is authorized to:

- (AA) make management decisions that govern the operation of the regulated facility, including having the explicit or implicit duty of making major capital investment recommendations; and
- (BB) initiate and direct other comprehensive measures to assure long-term environmental compliance with environmental laws and regulations.

(ii) The manager can ensure that the necessary systems are established or actions taken to gather complete and accurate information for control mechanism requirements.

(iii) Authority to sign has been assigned or delegated to the manager to sign documents in accordance with corporate procedures.

(2) A general partner or proprietor or manager, if the industrial user submitting the reports is a partnership or sole proprietorship, respectively.

(3) A duly authorized representative of the individual designated in either subdivision (1) or (2) if:

(A) the authorization:

- (i) is made in writing by the individual described in either subdivision (1) or (2); and
- (ii) specifies either an individual or a position having responsibility for the overall operation of the facility from which the industrial discharge originates, such as the position of plant manager, operator of a well, or well field superintendent, or a position of equivalent responsibility, or having overall responsibility for environmental matters for the company; and

(B) the written authorization is submitted to the control authority.

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(4) If an authorization under subdivision (3) is no longer accurate because a different individual or position has responsibility for the overall operation of the facility or overall responsibility for environmental matters for the company, a new authorization satisfying the requirements of subdivision (3) must be submitted to the control authority prior to or together with any reports to be signed by an authorized representative.

(b) An industrial user subject to the reporting requirements of section 5 of this rule and this section shall maintain records of the monitoring activities in accordance with 327 IAC 5-2-14, including documentation associated with best management practices. These records must be made available, upon request, to the:

- (1) commissioner;
- (2) regional administrator; and
- (3) POTW to which the industrial user discharges its wastewater.

(c) A POTW to which reports are submitted by an industrial user under this section shall:

(1) retain the reports, including documentation associated with best management practices, for a minimum of three (3) years; and

(2) make the reports available for inspection and copying by the:

- (A) commissioner; and
- (B) regional administrator.

This period of retention shall be extended during the course of any unresolved litigation regarding the discharge of pollutants by the industrial user, the operation of the approved POTW pretreatment, or when requested by the commissioner or the regional administrator.

(d) A report required by this section that relates to the actual operation of or discharge from a pretreatment facility must be prepared by or under the direction of a wastewater treatment plant operator certified under [IC 13-18-11](#).

(e) A report required of a POTW by 40 CFR 403.12 must be signed by a responsible corporate officer, ranking elected official, or other duly authorized employee. The duly authorized employee shall be an individual or position having responsibility for the overall operation of the facility or the pretreatment program. This authorization must be:

- (1) made in writing by the principal executive officer or ranking elected official; and
- (2) submitted to the approval authority prior to or together with the report being submitted.

If an employee is authorized to submit the reports, a copy of the written authorization designating the employee must be submitted to the commissioner.

(f) An industrial user who wishes to demonstrate the affirmative defense of upset for noncompliance with any pretreatment standard or requirement in 327 IAC 5-2 shall, as provided in 327 IAC 5-18-3, comply with the reporting requirements and conditions under section 6 of this rule.

(g) An industrial user shall report incidents of bypass or intent to bypass in accordance with section 7 of this rule.

(h) All industrial users shall promptly notify the:

- (1) control authority; and
- (2) POTW, if the POTW is not the control authority;

in advance of any substantial change in the volume or character of pollutants in their discharge, including the listed or characteristic hazardous wastes for which the industrial user has submitted initial notification under subsection (j).

(i) A facility determined to be a nonsignificant categorical industrial user pursuant to 40 CFR 403.3(v)(2) shall annually submit a certification statement, signed in accordance with the signatory requirements in 40 CFR 403.12(l). This certification must accompany an alternative report required by the control authority. The certification statement must include the following:

"Based on my inquiry of the person or persons directly responsible for managing compliance with the categorical pretreatment standards under 40 CFR ____, I certify that, to the best of my knowledge and belief that during the period from _____, _____ to _____, _____ (months, days, year):

- (a) The facility described as _____ (facility name) met the definition of a nonsignificant categorical industrial user as described in 40 CFR 403.3(v)(2);
- (b) the facility complied with all applicable pretreatment standards and requirements during this reporting period; and
- (c) the facility never discharged more than 100 gallons of total categorical wastewater on any given day during this reporting period. This compliance certification is based upon the following information."

(j) An industrial user shall notify the POTW, the EPA Regional Waste Management Division Director, and the commissioner in writing of any discharge into the POTW of a substance that, if otherwise disposed of, would be a hazardous waste under 40 CFR

261. The notification must include the name of the hazardous waste as set forth in 40 CFR 261, the EPA hazardous waste number, and the type of discharge, for example, continuous, batch, or other. If the industrial user discharges more than one hundred (100) kilograms of the waste per calendar month to the POTW, the notification must also contain the following information to the extent the information is known and readily available to the industrial user:

- (1) An identification of the hazardous constituents contained in the wastes.
- (2) An estimation of the mass and concentration of the constituents in the waste stream discharged during that calendar month.
- (3) An estimation of the mass of constituents in the waste stream expected to be discharged during the following twelve (12) months.

All notifications must occur not later than one hundred eighty (180) days after the effective date of this rule. Industrial users who commence discharging after the effective date of this rule shall provide the notification not later than one hundred eighty (180) days after the discharge of the listed or characteristic hazardous waste. Any notification under this subsection need be submitted only once for each hazardous waste discharged. However, notifications of changed discharges must be submitted under 40 CFR 403.12(j). The notification requirement in this section does not apply to pollutants already reported under the self-monitoring requirements of 40 CFR 403.12(b), 40 CFR 403.12(d), and 40 CFR 403.12(e).

(k) Dischargers are exempt from the requirements of this subsection and subsections (j) and (l) during a calendar month in which they discharge not more than fifteen (15) kilograms of hazardous wastes, unless the wastes are acute hazardous wastes as specified in 40 CFR 261.30(d) and 40 CFR 261.33(e). Discharge of more than fifteen (15) kilograms of nonacute hazardous wastes in a calendar month, or of any quantity of acute hazardous wastes as specified in 40 CFR 261.30(d) and 40 CFR 261.33(e), requires a one (1) time notification.

(l) Subsequent months, during which the industrial user discharges more than such quantities of any hazardous waste do not require additional notification.

(m) In the case of any notification made under subsections (j) through (l), the industrial user shall certify that it has a program in place to reduce the volume and toxicity of hazardous wastes generated to the degree it has determined to be economically practical.

(n) The control authority that chooses to receive electronic documents shall satisfy the requirements of 40 CFR 3, electronic reporting. (*Water Pollution Control Division; 327 IAC 5-16-5.3; filed Apr 3, 2009, 1:55 p.m.: [20090429-IR-327060156FRA](#); filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); errata filed Dec 30, 2015, 12:37 p.m.: [20160113-IR-327150453ACA](#)*)

327 IAC 5-16-5.5 Annual POTW reports

- Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#); [IC 13-18-11](#)

Sec. 5.5. POTWs with approved pretreatment programs shall provide the approval authority with an annual report that briefly describes the POTW's program activities, including activities of all participating agencies, if more than one (1) jurisdiction is involved in the local program. The report required by this section must be submitted not later than one (1) year after approval of the POTW's pretreatment program, and at least annually thereafter, and must include, at a minimum, the following:

- (1) An updated list of the POTW's industrial users, including their names and addresses, or a list of deletions and additions keyed to a previously submitted list. The POTW shall provide a brief explanation of each deletion. This list must:
 - (A) identify which industrial users are subject to categorical pretreatment standards;
 - (B) specify which standards are applicable to each industrial user; and
 - (C) indicate which industrial users are subject to local standards that are more stringent than the categorical pretreatment standards.

The POTW shall also list the industrial users that are subject only to local requirements.

- (2) A summary of the following:
 - (A) The status of industrial user compliance over the reporting period.
 - (B) Compliance and enforcement activities, including inspections, conducted by the POTW during the reporting period.
 - (C) Changes to the POTW's pretreatment program that have not been previously reported to the approval authority.
- (3) Any other relevant information requested by the approval authority.

(*Water Pollution Control Division; 327 IAC 5-16-5.5; filed Apr 3, 2009, 1:55 p.m.: [20090429-IR-327060156FRA](#)*)

327 IAC 5-16-6 Upset

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 6. (a) As used in this section, "upset" means an exceptional incident in which there is unintentional and temporary noncompliance with any pretreatment standards or requirements in 327 IAC 5-2 because of factors beyond the reasonable control of the industrial user. An upset does not include:

- (1) noncompliance to the extent caused by operational error;
- (2) improperly designed treatment facilities;
- (3) inadequate treatment facilities;
- (4) lack of preventive maintenance; or
- (5) careless or improper operation.

(b) An upset shall constitute an affirmative defense to an action brought for noncompliance with the pretreatment standards or requirements if the requirements of subsection (c) are met.

(c) In order to establish an affirmative defense of upset, an industrial user must provide properly signed, contemporaneous operating logs, or other relevant evidence of the following facts:

- (1) An upset occurred and the industrial user can identify the cause of the upset.
- (2) The facility was being operated at the time in a prudent and workmanlike manner and in compliance with applicable operation and maintenance procedures.
- (3) The industrial user submitted a report, to the POTW and control authority, within twenty-four (24) hours of becoming aware of the upset or within five (5) days, if an initial verbal report of the information is given to the required authority, and the report contained the following information:
 - (A) A description of the indirect discharge and cause of noncompliance.
 - (B) The period of noncompliance, including exact dates and times or the anticipated time the noncompliance is expected to continue if it is not corrected.
 - (C) Steps being taken or planned for reducing, eliminating, and preventing recurrence of the noncompliance.

(d) In any enforcement proceeding, an industrial user seeking to establish the occurrence of an upset shall have the burden of proof.

(e) In the usual exercise of prosecutorial discretion, the control authority may review any claims that noncompliance was caused by an upset. No determinations made in the course of the review constitute the commissioner's final action subject to judicial review. Industrial users will have the opportunity for a judicial determination on any claim of upset only in an enforcement action brought for noncompliance with the pretreatment standards or requirements.

(f) An industrial user shall control production or all discharges to the extent necessary to maintain compliance with the pretreatment standards or requirements upon reduction, loss, or failure of its treatment facility until the facility is restored or an alternative method of treatment is provided. This requirement applies when, among other things, the primary source of power of the treatment facility is reduced, is lost, or has failed. (*Water Pollution Control Division; 327 IAC 5-16-6; filed Oct 10, 2000, 3:02 p.m.: 24 IR 292*)

327 IAC 5-16-7 Bypass

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 7. (a) The following definitions apply throughout this section:

- (1) "Bypass" means the intentional diversion of waste streams from any portion of an industrial user's treatment facility.
 - (2) "Severe property damage" means substantial physical damage to property, damage to the treatment facilities that causes them to become inoperable, or substantial and permanent loss of natural resources that can reasonably be expected to occur in the absence of a bypass. Severe property damage does not mean economic loss caused by delays in production.
- (b) An industrial user may allow a bypass to occur if:
- (1) it does not cause a violation of any pretreatment standard or requirement under 327 IAC 5-2; and
 - (2) it is for essential maintenance to assure efficient operation.

These bypasses are not subject to the provisions of subsections (c) and (d).

(c) The reporting requirements for a bypass are as follows:

(1) If an industrial user knows in advance of the need for a bypass, it shall submit prior notice to the control authority, if possible, at least ten (10) days before the date of the bypass.

(2) If an unanticipated bypass exceeds a pretreatment standard or requirement under 327 IAC 5-2, the industrial user shall give oral notice to the control authority within twenty-four (24) hours from the time the industrial user becomes aware of the bypass. A written submission shall also be provided to the control authority within five (5) days of the time the industrial user becomes aware of the bypass. The written submission must contain the following:

(A) A description of the bypass and its cause.

(B) The duration of the bypass, including exact dates and times and the anticipated time it is expected to continue if the bypass has not been corrected.

(C) The steps taken or planned to reduce, eliminate, and prevent reoccurrence of the bypass.

(d) Bypass is prohibited, and the control authority may take enforcement action against an industrial user for a bypass unless the following are demonstrated:

(1) The bypass was unavoidable to prevent loss of life, personal injury, or severe property damage.

(2) There were no feasible alternatives to the bypass, such as any of the following:

(A) The use of auxiliary treatment facilities.

(B) Retention of untreated wastes.

(C) Maintenance during normal periods of equipment downtime. This condition is not satisfied if adequate back-up equipment should have been installed in the exercise of reasonable engineering judgment to prevent a bypass that occurred during normal periods of equipment downtime or preventative maintenance.

(3) The industrial user submitted notices as required under subsection (c).

(4) A planned bypass is approved in advance by the control authority after determining that the bypass will not violate subdivisions (1) through (3).

(Water Pollution Control Division; 327 IAC 5-16-7; filed Oct 10, 2000, 3:02 p.m.: 24 IR 292)

Rule 17. Definitions; Pretreatment Rules

327 IAC 5-17-1	Applicability
327 IAC 5-17-1.5	"Approval authority" defined
327 IAC 5-17-2	"Approved POTW pretreatment program" defined
327 IAC 5-17-2.5	"Best management practices" or "BMP" defined
327 IAC 5-17-3	"Categorical pretreatment standards" defined
327 IAC 5-17-4	"Commissioner" defined
327 IAC 5-17-5	"Control authority" defined
327 IAC 5-17-6	"Discharge" defined
327 IAC 5-17-7	"Existing source" defined
327 IAC 5-17-8	"Four (4) day average discharge" defined
327 IAC 5-17-9	"Industrial user" defined
327 IAC 5-17-10	"Industrial wastewater pretreatment permit" or "IWP permit" defined
327 IAC 5-17-11	"Interference" defined
327 IAC 5-17-12	"National pretreatment standard" defined
327 IAC 5-17-13	"New source" defined
327 IAC 5-17-14	"Overflow" defined
327 IAC 5-17-15	"Pass through" defined
327 IAC 5-17-16	"Pollutant removal" defined
327 IAC 5-17-17	"POTW" or "publicly owned treatment works" defined
327 IAC 5-17-18	"Pretreatment" defined
327 IAC 5-17-19	"Pretreatment requirements" defined
327 IAC 5-17-20	"Pretreatment rules" defined
327 IAC 5-17-21	"Pretreatment standards" defined
327 IAC 5-17-22	"Removal credit" defined

[327 IAC 5-17-23](#)

"Significant industrial user" or "SIU" defined

[327 IAC 5-17-24](#)

"Significant noncompliance" defined

[327 IAC 5-17-25](#)

"Sludge requirements" defined

327 IAC 5-17-1 Applicability

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 1. In addition to the applicable definitions contained in 327 IAC 5-1.5 and 327 IAC 5-2-11(a), the definitions in this rule apply to the pretreatment rules. (*Water Pollution Control Division; 327 IAC 5-17-1; filed Oct 10, 2000, 3:02 p.m.: 24 IR 293*)

327 IAC 5-17-1.5 "Approval authority" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#); [IC 13-18-11](#)

Sec. 1.5. "Approval authority" means the appropriate regional administrator in a NPDES state without an approved state pretreatment program. (*Water Pollution Control Division; 327 IAC 5-17-1.5; filed Apr 3, 2009, 1:55 p.m.: 20090429-IR-327060156FRA*)

327 IAC 5-17-2 "Approved POTW pretreatment program" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 2. "Approved POTW pretreatment program" means a program administered by a publicly owned treatment works that meets the criteria established in 327 IAC 5-19-3 and that has been approved by the regional administrator or the commissioner in accordance with 327 IAC 5-19-5. (*Water Pollution Control Division; 327 IAC 5-17-2; filed Oct 10, 2000, 3:02 p.m.: 24 IR 293*)

327 IAC 5-17-2.5 "Best management practices" or "BMP" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#); [IC 13-18-11](#)

Sec. 2.5. "Best management practices" or "BMP" means the following:

- (1) Schedules of activities.
- (2) Prohibitions of practices.
- (3) Maintenance procedures and other management practices to implement the prohibitions listed in 40 CFR 403.5(a)(1) and 40 CFR 403.5(b).
- (4) Treatment requirements.
- (5) Operating procedures.
- (6) Practices to control any of the following:
 - (A) Plant site runoff.
 - (B) Spillage or leaks.
 - (C) Sludge or waste disposal.
 - (D) Drainage from raw materials storage.

(*Water Pollution Control Division; 327 IAC 5-17-2.5; filed Apr 3, 2009, 1:55 p.m.: 20090429-IR-327060156FRA*)

327 IAC 5-17-3 "Categorical pretreatment standards" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 3. "Categorical pretreatment standards" means national pretreatment standards, specifying quantities or concentrations of pollutants or pollutant properties that may be discharged or introduced to a POTW by an existing or new industrial user in a

specific industrial subcategory, that are established by U.S. EPA, under Section 307(b) or 307(c) of the Clean Water Act (33 U.S.C. 1317(b) or 33 U.S.C. 1317(c)) as separate regulations under the appropriate subpart of 40 CFR Chapter I, Subchapter N. The categorical pretreatment standards are incorporated by reference at 327 IAC 5-2-1.5. (*Water Pollution Control Division; 327 IAC 5-17-3; filed Oct 10, 2000, 3:02 p.m.: 24 IR 293; filed Sep 6, 2018, 11:50 a.m.: [20181003-IR-327170278FRA](#)*)

327 IAC 5-17-4 "Commissioner" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 4. "Commissioner" means the commissioner of the Indiana department of environmental management. (*Water Pollution Control Division; 327 IAC 5-17-4; filed Oct 10, 2000, 3:02 p.m.: 24 IR 293*)

327 IAC 5-17-5 "Control authority" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 5. "Control authority" means the commissioner or, in the case of a POTW with an approved POTW pretreatment program, the POTW. (*Water Pollution Control Division; 327 IAC 5-17-5; filed Oct 10, 2000, 3:02 p.m.: 24 IR 294*)

327 IAC 5-17-6 "Discharge" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 6. "Discharge" means the introduction of pollutants into a POTW from any nondomestic source regulated under Section 307(b), 307(c), or 307(d) of the Clean Water Act (33 U.S.C. 1317(b), 33 U.S.C. 1317(c), or 33 U.S.C. 1317(d)). (*Water Pollution Control Division; 327 IAC 5-17-6; filed Oct 10, 2000, 3:02 p.m.: 24 IR 294*)

327 IAC 5-17-7 "Existing source" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 7. "Existing source" means an industrial user that is not a new source. (*Water Pollution Control Division; 327 IAC 5-17-7; filed Oct 10, 2000, 3:02 p.m.: 24 IR 294*)

327 IAC 5-17-8 "Four (4) day average discharge" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 8. "Four (4) day average discharge" means the calculated result of totaling the mass or average concentration of all daily discharges sampled or measured during four (4) consecutive sampling days, though not necessarily consecutive calendar days, divided by the number of daily discharges sampled or measured. (*Water Pollution Control Division; 327 IAC 5-17-8; filed Oct 10, 2000, 3:02 p.m.: 24 IR 294*)

327 IAC 5-17-9 "Industrial user" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 9. "Industrial user" means an indirect discharger pursuant to 327 IAC 5-1.5-25. (*Water Pollution Control Division; 327 IAC 5-17-9; filed Oct 10, 2000, 3:02 p.m.: 24 IR 294*)

327 IAC 5-17-10 "Industrial wastewater pretreatment permit" or "IWP permit" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 10. "Industrial wastewater pretreatment permit" or "IWP permit" means a permit issued directly by the commissioner to an industrial user. An IWP permit is not a permit issued by a POTW to an industrial user. (*Water Pollution Control Division; 327 IAC 5-17-10; filed Oct 10, 2000, 3:02 p.m.: 24 IR 294*)

327 IAC 5-17-11 "Interference" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 11. (a) "Interference" means a discharge that, alone or in conjunction with a discharge or discharges from other sources, inhibits or disrupts the:

- (1) treatment processes or operations;
- (2) sludge processes; or
- (3) selected sludge:
 - (A) use; or
 - (B) disposal methods;

of a POTW.

(b) The inhibition or disruption under subsection (a) must:

- (1) cause a violation of a requirement of the POTW's NPDES permit, including an increase in the magnitude or duration of a violation; or
- (2) prevent the use of the POTW's sewage sludge or its sludge disposal method selected in compliance with the following statutory provisions, regulations, or permits issued thereunder or more stringent state or local regulations:
 - (A) Section 405 of the Clean Water Act (33 U.S.C. 1345).
 - (B) The Solid Waste Disposal Act (SWDA) (42 U.S.C. 6901), including:
 - (i) Title II, more commonly referred to as the Resource Conservation and Recovery Act (RCRA); and
 - (ii) the rules contained in a state sludge management plan prepared pursuant to Subtitle D of the SWDA (42 U.S.C. 6941).
 - (C) The Clean Air Act (42 U.S.C. 7401).
 - (D) The Toxic Substances Control Act (15 U.S.C. 2601).

(*Water Pollution Control Division; 327 IAC 5-17-11; filed Oct 10, 2000, 3:02 p.m.: 24 IR 294; filed Jan 18, 2017, 1:03 p.m.: 20170215-IR-327160004FRA*)

327 IAC 5-17-12 "National pretreatment standard" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 12. "National pretreatment standard" means any regulation that applies to industrial users and contains pollutant discharge limits promulgated by U.S. EPA in accordance with Section 307(b) and 307(c) of the federal Clean Water Act (33 U.S.C. 1317(b)* and 33 U.S.C. 1317(c))*.

*These documents are incorporated by reference. Copies of these publications may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, 100 North Senate Avenue, Thirteenth Floor, Indianapolis, Indiana 46204. (*Water Pollution Control Division; 327 IAC 5-17-12; filed Oct 10, 2000, 3:02 p.m.: 24 IR 294; errata filed Feb 6, 2006, 11:15 a.m.: 29 IR 1936; filed Sep 6, 2018, 11:50 a.m.: 20181003-IR-327170278FRA*)

327 IAC 5-17-13 "New source" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

INDUSTRIAL WASTEWATER PRETREATMENT PROGRAMS AND NPDES

Sec. 13. (a) "New source" means any building, structure, facility, or installation that is discharging or may discharge pollutants, and its construction commenced after the publication of proposed pretreatment standards under Section 307(c) of the Clean Water Act (33 U.S.C. 1317(c)) that will be applicable to the source, if those standards are thereafter promulgated in accordance with Section 307(c) of the Clean Water Act, provided one (1) of the following conditions is met:

- (1) The building, structure, facility, or installation is constructed at a site where no other source is located.
- (2) The building, structure, facility, or installation totally replaces the process or production equipment that causes the discharge of pollutants at an existing source.
- (3) The production of wastewater generating processes of the building, structure, facility, or installation is substantially independent of an existing source at the same site. In determining whether these processes are substantially independent, the following factors will be considered:

(A) The extent to which the new facility is integrated with the existing plant.

(B) The extent to which the new facility is engaged in the same general type of activity as the existing source.

(b) Construction on a site at which an existing source is located results in a modification rather than a new source if the construction does not create a new building, structure, facility, or installation meeting the criteria of subsection (a)(2) or (a)(3) but otherwise alters, replaces, or adds to existing process or production equipment.

(c) Construction of a new source as defined in this section has commenced if the owner or operator has:

(1) begun, or caused to begin, as part of a continuous on-site construction program:

(A) any placement, assembly, or installation of facilities or equipment; or

(B) significant site preparation work, including clearing, excavation, or removal of existing buildings, structures, or facilities that is necessary for the placement, assembly, or installation of new source facilities or equipment; or

(2) entered into a binding contractual obligation for the purchase of facilities or equipment that are intended to be used in its operation within a reasonable time.

Options to purchase, contracts that can be terminated or modified without substantial loss, and contracts for feasibility, engineering, and design studies do not constitute a contractual obligation under this section. (*Water Pollution Control Division; 327 IAC 5-17-13; filed Oct 10, 2000, 3:02 p.m.: 24 IR 294*)

327 IAC 5-17-14 "Overflow" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 14. "Overflow" means the intentional or unintentional diversion of wastewater flow from a POTW prior to the wastewater entering the POTW treatment plant. (*Water Pollution Control Division; 327 IAC 5-17-14; filed Oct 10, 2000, 3:02 p.m.: 24 IR 295*)

327 IAC 5-17-15 "Pass through" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 15. "Pass through" means a discharge proceeding through a POTW into waters of the state in quantities or concentrations that, alone or in conjunction with a discharge or discharges from other sources, are a cause of a violation of any requirement of the POTW's NPDES permit, including an increase in the magnitude or duration of a violation. (*Water Pollution Control Division; 327 IAC 5-17-15; filed Oct 10, 2000, 3:02 p.m.: 24 IR 295*)

327 IAC 5-17-16 "Pollutant removal" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 16. "Pollutant removal" means, with respect to a pollutant in the influent to a POTW, reduction in the amount of the pollutant or alteration in the nature of the pollutant to a less toxic or a more harmless state in the effluent. The reduction or alteration can be obtained by physical, chemical, or biological means and may be the result of specifically designed POTW capabilities or it may be incidental to the operation of the treatment system. Removal shall not mean dilution or volatilization of a pollutant in the

POTW or its sewer system. (*Water Pollution Control Division; 327 IAC 5-17-16; filed Oct 10, 2000, 3:02 p.m.: 24 IR 295*)

327 IAC 5-17-17 "POTW" or "publicly owned treatment works" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 17. "POTW" or "publicly owned treatment works" means a treatment works as defined by Section 212(2) of the Clean Water Act owned by the state or a municipality (as defined by Section 502(4) of the Clean Water Act), except that it does not include pipes, sewers, or other conveyances not connected to a facility providing treatment. The term includes any devices and systems used in the storage, treatment, recycling, and reclamation of municipal sewage or compatible industrial wastes. It also includes sewers, pipes, and other conveyances only if they convey wastewater to a POTW treatment plant. The term also means the municipality, as defined by Section 502(4) of the Clean Water Act, that has jurisdiction over the indirect discharges to and the discharges from such a treatment works. (*Water Pollution Control Division; 327 IAC 5-17-17; filed Oct 10, 2000, 3:02 p.m.: 24 IR 295*)

327 IAC 5-17-18 "Pretreatment" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 18. "Pretreatment" means the reduction of the amount of pollutants, the elimination of pollutants, or the alteration of the nature of pollutant properties in wastewater prior to, or in lieu of, discharging or otherwise introducing such pollutants into a POTW. The reduction or alteration can be obtained by physical, chemical, or biological processes, process changes, or by other means, except dilution, as prohibited by 327 IAC 5-18-4(f). (*Water Pollution Control Division; 327 IAC 5-17-18; filed Oct 10, 2000, 3:02 p.m.: 24 IR 296*)

327 IAC 5-17-19 "Pretreatment requirements" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 19. "Pretreatment requirements" means any substantive or procedural requirement related to pretreatment, other than a pretreatment standard, imposed on an industrial user. (*Water Pollution Control Division; 327 IAC 5-17-19; filed Oct 10, 2000, 3:02 p.m.: 24 IR 296*)

327 IAC 5-17-20 "Pretreatment rules" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 20. "Pretreatment rules" means the rules contained in 327 IAC 5-16, this rule, and 327 IAC 5-18 through 327 IAC 5-21. (*Water Pollution Control Division; 327 IAC 5-17-20; filed Oct 10, 2000, 3:02 p.m.: 24 IR 296*)

327 IAC 5-17-21 "Pretreatment standards" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 21. "Pretreatment standards" means:

- (1) state pretreatment standards as established in 327 IAC 5-18-8;
- (2) pretreatment standards for prohibited discharges, as established in 327 IAC 5-18-2; and
- (3) national categorical pretreatment standards incorporated by reference in 327 IAC 5-2-1.5.

(*Water Pollution Control Division; 327 IAC 5-17-21; filed Oct 10, 2000, 3:02 p.m.: 24 IR 296; filed Sep 6, 2018, 11:50 a.m.: 20181003-IR-327170278FRA*)

327 IAC 5-17-22 "Removal credit" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 22. "Removal credit" means a revision in a discharge limit from a categorical standard to reflect consistent removal of a pollutant under the pretreatment rules. (*Water Pollution Control Division; 327 IAC 5-17-22; filed Oct 10, 2000, 3:02 p.m.: 24 IR 296*)

327 IAC 5-17-23 "Significant industrial user" or "SIU" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 23. (a) Except as provided in subsection (b), "significant industrial user" or "SIU" means the following:

(1) Industrial users subject to categorical pretreatment standards under 327 IAC 5-2-1.5.

(2) An industrial user that:

(A) discharges an average of twenty-five thousand (25,000) gallons per day or more of process wastewater (excluding sanitary, noncontact cooling and boiler blowdown wastewater) to the POTW;

(B) contributes a process waste stream that makes up five percent (5%) or more of the average dry weather hydraulic or organic capacity of the POTW treatment plant; or

(C) is designated as a significant industrial user by the control authority on the basis that the industrial user has a reasonable potential to:

(i) adversely affect the POTW's operation; or

(ii) violate a:

(AA) pretreatment standard; or

(BB) requirement of 327 IAC 5-19-3.

(3) The control authority may determine that an industrial user subject to categorical pretreatment standards under 40 CFR 403.6 and 40 CFR Chapter I, Subchapter N is a nonsignificant categorical industrial user rather than a significant industrial user if the industrial user never discharges more than one hundred (100) gallons per day (gpd) of total categorical wastewater, excluding sanitary, noncontact cooling and boiler blowdown wastewater, unless specifically included in the pretreatment standard and the following conditions are met:

(A) The industrial user, prior to the control authority's finding, has consistently complied with all applicable categorical pretreatment standards and requirements.

(B) The industrial user annually submits the certification statement required in 40 CFR 403.12(q) together with any additional information necessary to support the certification statement.

(C) The industrial user never discharges any untreated concentrated wastewater.

(b) A control authority may:

(1) on its own initiative; or

(2) in response to a petition received from an industrial user or a POTW and in accordance with 327 IAC 5-19-3(6);

determine that an industrial user is not a significant industrial user if it does not meet subsection (a)(2)(C). (*Water Pollution Control Division; 327 IAC 5-17-23; filed Oct 10, 2000, 3:02 p.m.: 24 IR 296; filed Apr 3, 2009, 1:55 p.m.: 20090429-IR-327060156FRA; filed Sep 6, 2018, 11:50 a.m.: 20181003-IR-327170278FRA*)

327 IAC 5-17-24 "Significant noncompliance" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)
Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 24. "Significant noncompliance" means the status of an industrial user that has caused or allowed a violation that meets one (1) or more of the following criteria:

(1) Chronic violations of wastewater discharge limits, defined as those in which sixty-six percent (66%) or more of all of the measurements taken during a six (6) month period exceed, by any magnitude, a numeric pretreatment standard or requirement, including instantaneous limits, as defined by 40 CFR 403.3(l).

- (2) Technical review criteria (TRC) violations, defined as those in which thirty-three percent (33%) or more of all of the measurements for each pollutant parameter taken during a six (6) month period equal or exceed the product of the numeric pretreatment standard or requirement, including instantaneous limits, as defined by 40 CFR 403.3(l), multiplied by the applicable TRC (TRC equals one and four-tenths (1.4) for biochemical oxygen demand, total suspended solids, fats, oil, and grease and one and two-tenths (1.2) for all other pollutants except pH).
- (3) Any other violation of a pretreatment standard or requirement as defined by 40 CFR 403.3(l), such as daily maximum, long-term average, instantaneous limit, or narrative standard that the POTW determines has caused, alone or in combination with other discharges, interference or pass through, including endangering the health of POTW personnel or the general public.
- (4) Any discharge of a pollutant that has:
 - (A) caused imminent endangerment to human health, welfare, or the environment; or
 - (B) resulted in the POTW's exercise of its emergency authority under 327 IAC 5-19-3(1)(G) to halt or prevent such a discharge.
- (5) Failure to meet, within ninety (90) days after the schedule date, a compliance schedule milestone contained in a local control mechanism or enforcement order for:
 - (A) starting construction;
 - (B) completing construction; or
 - (C) attaining final compliance.
- (6) Failure to provide, within forty-five (45) days after the due date, required reports, such as the following:
 - (A) Baseline monitoring reports.
 - (B) Ninety (90) day compliance reports.
 - (C) Periodic self-monitoring reports.
 - (D) Reports on compliance with compliance schedules.
- (7) Failure to accurately report noncompliance.
- (8) Any other violation or group of violations, which may include a violation of BMPs, that the POTW determines will adversely affect the operation or implementation of the approved POTW pretreatment program.

(Water Pollution Control Division; 327 IAC 5-17-24; filed Oct 10, 2000, 3:02 p.m.: 24 IR 296; filed Apr 3, 2009, 1:55 p.m.: [20090429-IR-327060156FRA](#))

327 IAC 5-17-25 "Sludge requirements" defined

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 25. "Sludge requirements" means statutory provisions, regulations, or permits issued under the following (or more stringent state or local) regulations:

- (1) Section 405 of the Clean Water Act (33 U.S.C. 1345).
- (2) Solid Waste Disposal Act (SWDA) (42 U.S.C. 6901), including Title II, also known as the Resource Conservation Recovery Act.
- (3) Rules contained in a state sludge management plan prepared pursuant to subtitle D of SWDA (42 U.S.C. 6941).
- (4) Clean Air Act (42 U.S.C. 7401).
- (5) Toxic Substances Control Act (15 U.S.C. 2601).
- (6) Marine Protection, Research and Sanctuaries Act (16 U.S.C. 1431 and 33 U.S.C. 1401).

(Water Pollution Control Division; 327 IAC 5-17-25; filed Oct 10, 2000, 3:02 p.m.: 24 IR 297)

Rule 18. Applicable Pretreatment Standards and Other Pretreatment Requirements

327 IAC 5-18-1	Purpose
327 IAC 5-18-2	Pretreatment standards for prohibited discharges
327 IAC 5-18-3	Affirmative defense
327 IAC 5-18-4	National categorical pretreatment standards
327 IAC 5-18-5	Variance from a categorical pretreatment standard for fundamentally different factors

327 IAC 5-18-6	Intake water pollutant credits
327 IAC 5-18-7	Combined wastestreams
327 IAC 5-18-8	State pretreatment standards
327 IAC 5-18-9	Other pretreatment requirements
327 IAC 5-18-10	Categorical pretreatment standards incorporated by reference (Repealed)

327 IAC 5-18-1 Purpose

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 1. This rule establishes the pretreatment requirements that apply to discharges of pollutants from industrial users to POTWs, including the following:

- (1) Pretreatment standards for prohibited discharges.
- (2) National pretreatment standards for specific industrial subcategories, established by 40 CFR 403.6.
- (3) State pretreatment standards.
- (4) More stringent limitations where necessary to protect a POTW from interference or to protect applicable water quality standards.

(Water Pollution Control Division; 327 IAC 5-18-1; filed Oct 10, 2000, 3:02 p.m.: 24 IR 297)

327 IAC 5-18-2 Pretreatment standards for prohibited discharges

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)
 Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 2. (a) A user of a POTW, whether or not the user is subject to national categorical standards or state, local, or any other national pretreatment standard or requirement, shall not allow the introduction of the following into the POTW:

- (1) A pollutant from any source of nondomestic wastewaters that could pass through or cause interference with the operation or performance of the POTW.
- (2) A pollutant that could create a fire or explosion hazard in the POTW, including waste streams with a closed cup flashpoint of less than one hundred forty (140) degrees Fahrenheit (sixty (60) degrees Celsius) using the test methods in 40 CFR 261.21.
- (3) A pollutant that could cause corrosive structural damage to the POTW, including a discharge with pH lower than 5.0, unless the POTW is specifically designed to accommodate such a discharge.
- (4) A solid or viscous pollutant in an amount that could cause obstruction to the flow in a sewer or other interference with the operation of the POTW.
- (5) A pollutant, including an oxygen demanding pollutant (such as biochemical oxygen demand) released in a discharge at a flow rate or pollutant concentration that could cause interference in the POTW.
- (6) Heat in an amount that could:
 - (A) inhibit biological activity in the POTW and result in interference or damage to the POTW; or
 - (B) exceed forty (40) degrees Celsius or one hundred four (104) degrees Fahrenheit at the POTW treatment plant unless the commissioner, upon request of the POTW, approves alternate temperature limits.
- (7) Petroleum, oil, nonbiodegradable cutting oil, or products of mineral oil origin in an amount that could cause interference or pass through.
- (8) A pollutant that could result in the presence of toxic gases, vapors, or fumes within the POTW in a quantity that may cause acute worker health and safety problems.
- (9) A trucked or hauled pollutant, except:
 - (A) with the permission of the POTW; and
 - (B) when introduced to the POTW at a discharge point designated by the POTW.
- (b) Specific limits on the prohibited substances listed in subsection (a) must:
 - (1) be developed and effectively enforced by a POTW required to develop a POTW pretreatment program under 40 CFR 403.8 and 327 IAC 5-19;
 - (2) continue to be developed, as necessary, and effectively enforced by a POTW with an approved POTW pretreatment

program; or

(3) be developed and enforced by a POTW, not included in subdivision (1) or (2), so as to limit:

(A) a pollutant contributed by an industrial user that has caused or is likely to cause interference or pass through at the receiving POTW; and

(B) the recurrence of the contributed pollutant's effect on the POTW.

A POTW affected by this subdivision shall make appropriate changes in the POTW treatment facilities or operation, as necessary, to prevent occurrences of interference or pass through.

Individual notice shall be made in writing to persons or groups who have requested to be notified and given an opportunity to comment about the development and enforcement of specific effluent limits as required by this subsection.

(c) POTWs may develop BMPs to implement subsection (b)(1) and (b)(2). Such BMPs shall be considered local limits and pretreatment standards for the purposes of Section 307(d) of the Clean Water Act (33 U.S.C. 1317(d)).

(d) When specific prohibitions or limits on pollutants or pollutant parameters are developed by a POTW in accordance with subsection (b) or (c), the prohibitions or limits are pretreatment standards for the purposes of the pretreatment rules and Section 307(d) of the Clean Water Act (33 U.S.C. 1317(d)). (*Water Pollution Control Division; 327 IAC 5-18-2; filed Oct 10, 2000, 3:02 p.m.: 24 IR 297; filed Apr 3, 2009, 1:55 p.m.: 20090429-IR-327060156FRA*)

327 IAC 5-18-3 Affirmative defense

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 3. An industrial user shall have an affirmative defense in any action brought against the industrial user alleging a violation of the prohibitions established in section 2 of this rule if the industrial user can demonstrate that:

(1) it did not know or have reason to know that its discharge, alone or in conjunction with a discharge from another source, would cause pass through or interference; and

(2) a local limit designed to prevent pass through or interference in accordance with section 2 of this rule:

(A) was developed for each pollutant in the industrial user's discharge that caused pass through or interference, and the industrial user was in compliance with each such local limit directly prior to and during the pass-through or interference; or

(B) was not developed for the pollutant that caused the pass through or interference, and the industrial user's discharge, directly prior to and during the pass through or interference, had not changed substantially in nature or constituents from its usual discharge condition when the POTW was regularly in compliance with the applicable:

(i) NPDES permit requirements; and

(ii) requirements for sewage sludge use or disposal, in the case of interference.

(*Water Pollution Control Division; 327 IAC 5-18-3; filed Oct 10, 2000, 3:02 p.m.: 24 IR 298*)

327 IAC 5-18-4 National categorical pretreatment standards

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 4-22-2](#); [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 4. (a) General provisions for the categorical pretreatment standards are as follows:

(1) Unless specifically noted otherwise, categorical pretreatment standards are:

(A) enforceable by the commissioner against an industrial user upon the incorporation by reference of the standards in 327 IAC 5-2-1.5 in accordance with [IC 4-22-2](#); and

(B) in addition to all applicable pretreatment standards and requirements in the pretreatment rules.

(2) Irrespective of whether a particular categorical pretreatment standard has been incorporated by reference in 327 IAC 5-2-1.5, the commissioner may do the following:

(A) Make certifications regarding the applicability of that standard under subsection (b).

(B) Deny or recommend to EPA the approval of any request for a fundamentally different factors variance from that standard in accordance with section 5 of this rule.

(C) Recommend to the EPA the approval or disapproval of any application for calculation of that standard on a net basis in accordance with section 6 of this rule.

(b) The requirements concerning a request for a subcategory determination are as follows:

(1) Within sixty (60) days after the effective date of a categorical pretreatment standard for a subcategory under which an industrial user may be included, the existing industrial user or POTW may request that the regional administrator or the commissioner provide written certification on whether the industrial user falls within that particular subcategory. If an existing industrial user adds or changes a process or operation that may be included in a subcategory, the existing industrial user must request this certification prior to commencing discharge from the added or changed processes or operations. A new source must request this certification prior to commencing discharge. If a request for certification is submitted by a POTW, the POTW shall notify any affected industrial user of the submission. The industrial user may provide written comments to the commissioner within thirty (30) days of receipt of notification from the POTW about the POTW's request for certification.

(2) A request for certification must contain the following:

(A) A description of the subcategories that may be applicable.

(B) A statement citing evidence and reasons why a particular subcategory applies and why others are not applicable.

Any person signing the application statement submitted under this section shall make the signed certification, "I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations."

(3) A determination will be made on each request for certification in accordance with the procedures specified in 40 CFR 403.6(a).

(c) Compliance with new categorical standards shall be in accordance with the following:

(1) Except where an existing source meets the definition of a new source as defined under 327 IAC 5-17-13, an existing source with categorical pretreatment standards, including an existing source that:

(A) becomes an industrial user subsequent to promulgation of an applicable categorical pretreatment standard; and

(B) is thereafter considered an existing industrial user;

shall achieve compliance within three (3) years of the date the new standard is promulgated by EPA, unless a shorter compliance time is specified in the standard.

(2) A new source shall:

(A) install;

(B) have in operating condition; and

(C) start up;

all pollution control equipment required to comply with all pretreatment standards and requirements in this rule before beginning to discharge. Within the shortest feasible time, not to exceed ninety (90) days, a new source must meet all pretreatment standards and requirements in this rule.

(d) Concentration and mass limits are determined by the following:

(1) If the pollutant discharge limit for a categorical pretreatment standard is expressed as a concentration limit, the concentration limit shall apply only to the effluent of the process regulated by the standard or as otherwise specified by the standard. Wherever possible:

(A) an equivalent mass limit will be provided as an alternative to the standard; and

(B) it may be applied by the commissioner or a POTW with an approved POTW pretreatment program.

(2) If a pollutant discharge limit in a categorical pretreatment standard is expressed only as mass of pollutant per unit of production, the control authority may convert the limit to an equivalent limitation expressed either as mass of pollutant discharged per day or effluent concentration for the purpose of calculating the effluent limitation applicable to an individual industrial user.

(3) A control authority calculating an equivalent mass-per-day limitation according to subdivision (2) shall not calculate the limitation by multiplying the limit in the standard by the industrial user's production capacity but rather upon a reasonable measure of the industrial user's actual long-term daily production, such as the average daily production during a representative year. For a new source, actual production shall be estimated using projected production.

(4) A control authority calculating an equivalent concentration limitation according to subdivision (2) shall calculate the limitation by dividing the mass limitation derived according to subdivision (3) by the average daily flow rate of the industrial user's regulated process wastewater. This average daily flow rate must be based upon a reasonable measure of the industrial user's actual long-term average flow rate, such as the average daily flow rate during a representative year.

(e) When the limits in a categorical pretreatment standard are expressed only in terms of pollutant concentrations, an industrial user may request that the control authority convert the limits to equivalent mass limits. The determination to convert concentration limits to mass limits is within the discretion of the control authority. The control authority may establish equivalent mass limits only if the industrial user meets all of the following conditions:

(1) To be eligible for equivalent mass limits, the industrial user shall:

(A) employ, or demonstrate that it will employ, water conservation methods and technologies that substantially reduce water use during the term of its control mechanism;

(B) currently use control and treatment technologies adequate to achieve compliance with the applicable categorical pretreatment standard and not have used dilution as a substitute for treatment;

(C) provide sufficient information to establish the facility's actual average daily flow rate for all waste streams, based on data from a continuous effluent flow monitoring device, as well as the facility's long-term average production rate, in which both the actual average daily flow rate and the long-term average production rate must be representative of current operating conditions;

(D) not have daily flow rates, production levels, or pollutant levels that vary so significantly that equivalent mass limits are not appropriate to control the discharge; and

(E) have consistently complied with all applicable categorical pretreatment standards during the period prior to the industrial user's request for equivalent mass limits.

(2) An industrial user subject to equivalent mass limits shall do the following:

(A) Maintain and effectively operate control and treatment technologies adequate to achieve compliance with the equivalent mass limits.

(B) Continue to do the following:

(i) Record the facility's:

(AA) flow rates through the use of a continuous effluent flow monitoring device; and

(BB) production rates and notify the control authority whenever production rates are expected to vary by more than twenty percent (20%) from its baseline production rates determined in subdivision

(1)(C); upon notification the control authority must reassess the equivalent mass limit and revise the limit as necessary to reflect changed conditions at the facility.

(ii) Employ the same or comparable water conservation methods and technologies as those implemented under subdivision(1)(A) so long as it discharges under an equivalent mass limit.

(f) A control authority that chooses to establish equivalent mass limits under subsection (e):

(1) shall calculate the equivalent mass limit by multiplying the actual average daily flow rate of the regulated process or processes of the industrial user by the concentration-based daily maximum and monthly average standard for the applicable categorical pretreatment standard and the appropriate unit conversion factor;

(2) upon notification of a revised production rate, shall reassess the equivalent mass limit and recalculate the limit as necessary to reflect changed conditions at the facility;

(3) may retain the same equivalent mass limit in subsequent control mechanism terms if the industrial user:

(A) meets the actual average daily flow rate was reduced solely as a result of the implementation of water conservation methods and technologies;

(B) meets the actual average daily flow rates used in the original calculation of the equivalent mass limit were not based on the use of dilution as a substitute for treatment under this section; and

(C) is in compliance with 40 CFR 403.17, regarding the prohibition of bypass; and

(4) may not express limits in terms of mass for pollutants such as pH, temperature, radiation, or other pollutants that cannot appropriately be expressed as mass.

(g) The control authority may convert the mass limits of the categorical pretreatment standards at 40 CFR Parts 414, 419, and 455 to concentration limits for purposes of calculating limitations applicable to individual industrial users under the following conditions:

(1) When converting mass to concentration limits, the control authority must use the concentrations listed in the applicable subparts of 40 CFR Parts 414, 419, and 455.

(2) There must be documentation that dilution is not being substituted for treatment as prohibited by subsection (i).

(h) The application of a limitation for a categorical pretreatment standard shall be in accordance with the following:

(1) An equivalent limitation calculated in accordance with subsections (d)(3), (d)(4), and (e) is deemed pretreatment standards for the purposes of Section 307(d) of the Clean Water Act (33 U.S.C. 1317(d)) and the pretreatment rules. The control authority shall:

(A) document how the equivalent limits were derived; and

(B) make this information publicly available.

Once incorporated into its control mechanism, the industrial user shall comply with an equivalent limitation in lieu of a promulgated categorical standard from which the equivalent limitation was derived.

(2) Many categorical pretreatment standards specify:

(A) one (1) limit for calculating a maximum daily discharge limitation; and

(B) a second limit for calculating a maximum monthly average or four (4) day average limitation.

If such a standard is being applied, the same production or flow figure shall be used in calculating both the average and the maximum equivalent limitation.

(3) Any industrial user operating under a control mechanism incorporating an equivalent mass or concentration limit calculated from a production based standard shall notify the control authority within two (2) business days after the industrial user has a reasonable basis to know that the production level will significantly change within the next calendar month. Any user not notifying the control authority of such anticipated change will be required to meet the mass or concentration limit in its control mechanism that was based on the original estimate of the long-term average production rate.

(i) Except where expressly authorized to do so by an applicable categorical pretreatment standard, no industrial user shall increase the use of process water or, in any other way, attempt to dilute a discharge as a partial or complete substitute for adequate treatment to achieve compliance with any pretreatment standard or requirement. An unauthorized attempt by an industrial user to dilute a regulated discharge shall be cause for the control authority to impose the mass limits set forth in the categorical standard. (*Water Pollution Control Division; 327 IAC 5-18-4; filed Oct 10, 2000, 3:02 p.m.: 24 IR 298; errata filed Feb 6, 2006, 11:15 a.m.: 29 IR 1936; filed Apr 3, 2009, 1:55 p.m.: [20090429-IR-327060156FRA](#); filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#); errata filed Dec 30, 2015, 12:37 p.m.: [20160113-IR-327150453ACA](#); errata filed Sep 22, 2017, 11:46 a.m.: [20171004-IR-327170437ACA](#)*)

327 IAC 5-18-5 Variance from a categorical pretreatment standard for fundamentally different factors

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-3-15](#); [IC 13-18-4](#)

Sec. 5. (a) The requirements for requesting a variance from a categorical pretreatment standard for fundamentally different factors are as follows:

(1) Any interested person may request a fundamentally different factors variance under this section for the following reasons:

(A) Factors relating to an industrial user are fundamentally different from the factors considered during development of a categorical pretreatment standard applicable to that industrial user.

(B) The existence of the differing factors justifies a different discharge limit from that specified in the applicable categorical pretreatment standard.

(2) Requests for a variance and supporting evidence must be submitted in writing to the commissioner within one hundred eighty (180) days after the date when a categorical pretreatment standard is published in the Federal Register. If an industrial user has requested a categorical determination under section 4(b) of this rule, the industrial user may defer submission of a variance request under this section until no later than thirty (30) days after a final decision has been made on the categorical determination under 40 CFR 403.6(a)(4).

(3) A written request for a fundamentally different factors variance (FDFV) must include the following:

(A) The name and address of the person making the request.

(B) Identification of the interest of the requester, which is affected by the categorical pretreatment standard, for which

the variance is requested.

(C) Identification of the POTW currently receiving the waste from the industrial user for which alternative discharge limits are requested.

(D) Identification of the categorical pretreatment standards that are applicable to the industrial user.

(E) A list of each pollutant or pollutant parameter for which an alternative discharge limit is sought.

(F) The alternative discharge limits proposed by the requester for each pollutant or pollutant parameter identified in clause (E).

(G) A description of the industrial user's existing water pollution control facilities.

(H) A schematic flow representation of the industrial user's water system, including water supply, process wastewater systems, and points of discharge.

(I) A statement of facts clearly establishing why the variance request should be approved, including detailed support data, documentation, and evidence necessary to fully evaluate the merits of the request.

(b) The commissioner shall act upon a FDFV request according to the following:

(1) A decision on a FDFV request according to subsection (a) shall be made in accordance with the criteria and standards set forth in 40 CFR 403.13. A variance shall not be granted if a proposed alternative discharge limit would result in a violation of prohibitive discharge standards in section 2 of this rule.

(2) When the commissioner makes a tentative decision on a FDFV request the commissioner shall provide a public notice of receipt of the request, opportunity to review the submission, and opportunity to comment. The public notice shall meet the following:

(A) Be circulated in a manner designed to inform interested and potentially interested persons of the request. Public notice shall include mailing notices to the following:

(i) The POTW that will receive the discharge from the industrial user requesting the variance.

(ii) Adjoining states whose waters may be affected.

(iii) Planning agencies, federal and state fish agencies, and shellfish and wildlife resource agencies designated in Section 208 of the Clean Water Act (33 U.S.C. 1288).

(iv) Any other person or group that has requested individual notice.

(B) Provide for a comment period of not less than thirty (30) days duration following the date of the public notice during which time interested persons may review the request and submit written comments on the request.

(3) The commissioner shall make a determination on the request for a FDFV taking into consideration any comments received during the comment period. If the commissioner denies the request, the commissioner's decision shall be final and notice thereof shall be provided to the following:

(A) The requester.

(B) The industrial user for which the variance was requested, if different from the requester of clause (A).

(C) The POTW intended to receive the industrial user's discharge that was the subject of the FDFV request.

(D) All persons who submitted comments on the request.

(4) If the commissioner concludes that fundamentally different factors do exist, the commissioner shall forward the request and a recommendation that a variance be approved to the EPA water management division director for a final determination pursuant to 40 CFR 403.13.

(5) The commissioner will act only on variances that contain all of the information required. The commissioner shall notify a person who has made an incomplete submission that the request is deficient and, unless the time period is extended, the person will be given a maximum of thirty (30) days to correct the deficiency. If the deficiency is not corrected within the time period allowed by the commissioner, the request for variance shall be denied.

(Water Pollution Control Division; 327 IAC 5-18-5; filed Oct 10, 2000, 3:02 p.m.: 24 IR 300; errata filed Feb 6, 2006, 11:15 a.m.: 29 IR 1936; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#))

327 IAC 5-18-6 Intake water pollutant credits

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 6. Categorical pretreatment standards may be adjusted to reflect the presence of pollutants in the industrial user's intake water in accordance with the following provisions:

(1) An industrial user wishing to obtain a credit for intake pollutants must file an application with the control authority. Upon request of the industrial user, the applicable categorical standard shall be calculated on a net basis, meaning that it shall be adjusted to reflect credit for pollutants in the intake water if the:

(A) applicable categorical pretreatment standards contained in 40 CFR Subchapter N specifically provide that they shall be applied on a net basis; or

(B) industrial user demonstrates that the control system it proposes or uses to meet applicable categorical pretreatment standards would, if properly installed and operated, meet the standards in the absence of pollutants in the intake waters.

(2) Credit for generic pollutants, such as:

(A) biochemical oxygen demand;

(B) total suspended solids; and

(C) oil and grease;

should not be granted unless the industrial user demonstrates that the constituents of the generic measure in the user's effluent are substantially similar to the constituents of the generic measure in the intake water or unless appropriate additional limits are placed on process water pollutants either at the outfall or elsewhere.

(3) Credit shall be granted only to the extent necessary to meet the applicable categorical pretreatment standard, up to a maximum value equal to the influent value. Additional monitoring may be necessary to determine eligibility for credits and compliance with standard adjusted under this section.

(4) Credit shall be granted only if the user demonstrates that the intake water is drawn from the same body of water as that into which the POTW discharges. The control authority may waive this requirement if it finds that no environmental degradation will result.

(5) Adjustments under this section to categorical pretreatment standards otherwise applicable to pollutants in the discharger's effluent shall be calculated as follows:

(A) The amount of pollutants present in the intake water shall be reduced to reflect:

(i) removal of the pollutants by any treatment of the intake water performed by or for the discharger; and

(ii) any further removal of the pollutants by the wastewater treatment technology employed by the discharger.

(B) The amount of the pollutants remaining after the reductions may be applied as an adjustment to the categorical standards otherwise applicable to the pollutants.

(Water Pollution Control Division; 327 IAC 5-18-6; filed Oct 10, 2000, 3:02 p.m.: 24 IR 301; filed Apr 3, 2009, 1:55 p.m.: [20090429-IR-327060156FRA](#))

327 IAC 5-18-7 Combined wastestreams

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 7. The combined wastestream formula is derived as follows:

(1) Where process effluent is mixed prior to treatment with wastewaters other than those generated by the regulated process, alternative discharge limits may be derived by the control authority or by the industrial user with the written concurrence of the control authority and applied to the mixed effluent. When deriving alternative categorical limits, the control authority or industrial user shall calculate both an alternative daily maximum value using the daily maximum value specified in the appropriate categorical pretreatment standard and an alternative consecutive sampling day average value using the long term average value specified in the appropriate categorical pretreatment standard. The industrial user shall comply with the alternative daily maximum and long term average limits fixed by the control authority until the control authority modifies the limits or approves an industrial user modification request. Modification is authorized whenever there is a material or significant change in the values used in the calculation to fix alternative limits for the regulated pollutant. An industrial user must immediately report any such material or significant change to the control authority. Where appropriate, new alternative categorical limits shall be calculated within thirty (30) days.

(2) As used in this section, "average daily flow" means a reasonable measure of the average daily flow for a thirty (30) day period. For new sources, flows shall be estimated using projected values. The alternative discharge limit for a specific pollutant shall be calculated by either of the following formulas:

(A) Alternative concentration limits:

$$C_T = \frac{\left[\begin{array}{c} N \\ \sum \\ i=1 \end{array} C_i F_i \right]}{\left[\begin{array}{c} N \\ \sum \\ i=1 \end{array} F_i \right]} \cdot \left[\frac{F_T - F_D}{F_T} \right]$$

- Where:
- C_T = The alternative concentration limit for the combined wastestreams.
 - C_i = The categorical pretreatment standard concentration limit for a pollutant in the regulated stream i.
 - F_i = The average daily flow (at least a thirty (30) day average) of stream i to the extent that it is regulated for such pollutant.
 - F_D = The average daily flow (at least a thirty (30) day average) from any of the following:
 - (i) Boiler blowdown streams, noncontact cooling streams, storm water streams, and demineralizer backwash streams; provided, however, that where such streams contain a significant amount of a pollutant, and the combination of such streams, prior to treatment, with an industrial user's regulated process wastestream will result in a substantial reduction of that pollutant, the control authority, upon application of the industrial user, may exercise its discretion to determine whether such stream should be classified as diluted or unregulated. In its application to the control authority, the industrial user must provide engineering, production, sampling and analysis, and such other information so that the control authority can make its determination.
 - (ii) Sanitary wastestreams where such streams are not regulated by a categorical pretreatment standard.
 - (iii) Any process wastestreams that were or could have been entirely exempted from categorical pretreatment standards pursuant to paragraph 8 of the NRDC v. Costle Consent Decree (12 ERC 1833) for one (1) or more of the following reasons:

- (AA) The pollutants of concern are not detectable in the effluent from the industrial user.
- (BB) The pollutants of concern are present only in trace amounts and are neither causing or likely to cause toxic effects.
- (CC) The pollutants of concern are present in amounts too small to be effectively reduced by technologies known to the administrator.
- (DD) The wastestream contains only pollutants that are compatible with the POTW.

F_T = The average daily flow (at least a thirty (30) day average) through the combined treatment facility (includes F_i , F_D , and unregulated streams).

N = The total number of regulated streams.

(B) Alternative mass limits:

$$M_T = \frac{\left[\begin{array}{c} N \\ \sum \\ i=1 \end{array} M_i \right]}{\left[\begin{array}{c} N \\ \sum \\ i=1 \end{array} F_i \right]} \cdot \left[\frac{F_T - F_D}{F_T} \right]$$

- Where:
- M_T = The alternative mass limit for a pollutant in the combined wastestream.
 - M_i = The categorical pretreatment standard mass limit for a pollutant in the regulated stream i (the categorical pretreatment mass limit multiplied by the appropriate measure of production).
- F_i , F_D , F_T , and N are defined in clause (A).

(3) An alternative pretreatment limit may not be used if the alternative limit is below the analytical detection limit for any of the regulated pollutants.

(4) Self-monitoring required to assure compliance with the alternative categorical limit shall be as follows:

(A) The type and frequency of sampling, analysis, and flow measurement must be determined by reference to the self-monitoring requirements of the appropriate categorical pretreatment standard or 40 CFR 403.12(e) and 40 CFR 403.12(h).

(B) Where the self-monitoring schedules as determined by the control authority for the appropriate standards differ, monitoring must be done according to the most frequent schedule.

(C) Where flow determines the frequency of self-monitoring in a categorical pretreatment standard, the sum of all

regulated flows (F.) is the flow that shall be used by the control authority to determine self-monitoring frequency. (Water Pollution Control Division; 327 IAC 5-18-7; filed Oct 10, 2000, 3:02 p.m.: 24 IR 301)

327 IAC 5-18-8 State pretreatment standards

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-14-8-7](#); [IC 13-18-4](#)

Sec. 8. (a) An industrial user shall comply with applicable pretreatment standards and requirements adopted by the board under [IC 13-14-8-7](#)(a)(8). If state pretreatment standards and national pretreatment standards are applicable to an industrial user, the industrial user shall comply with the more stringent standards.

(b) Compliance with a state pretreatment standard that does not expressly state a final date for compliance must be attained no later than three (3) years from the effective date of the standard. (Water Pollution Control Division; 327 IAC 5-18-8; filed Oct 10, 2000, 3:02 p.m.: 24 IR 303)

327 IAC 5-18-9 Other pretreatment requirements

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 9. In addition to applicable pretreatment standards, an industrial user shall comply with the following:

(1) An effluent limitation more stringent than the applicable pretreatment standard that is necessary to prevent:

(A) interference in the POTW receiving the discharge; or

(B) violation of a provision of section 2(a) of this rule or a state or federal water quality standard that is applicable to the state waters ultimately receiving the discharge from the industrial user after discharge from the POTW.

(2) Any requirement by the commissioner to implement appropriate best management practices (BMPs) and to develop a BMP plan in accordance with 327 IAC 5-9 if the industrial user uses, manufactures, stores, handles, or discharges any pollutant listed as toxic under Section 307(a)(1) of the Clean Water Act (33 U.S.C. 1317(a)(1)) or any pollutant listed as hazardous under Section 311 of the Clean Water Act (33 U.S.C. 1321) that may cause or allow significant amounts of that pollutant to reach waters of the state, whether directly or after discharge from the POTW, from certain ancillary manufacturing operations, including:

(A) materials storage areas;

(B) in-plant transfer;

(C) process and materials handling areas;

(D) loading and unloading operations;

(E) plant site run-off; and

(F) sludge and waste disposal areas.

(Water Pollution Control Division; 327 IAC 5-18-9; filed Oct 10, 2000, 3:02 p.m.: 24 IR 303)

327 IAC 5-18-10 Categorical pretreatment standards incorporated by reference (Repealed)

Sec. 10. (Repealed by Water Pollution Control Division; filed Oct 9, 2015, 4:07 p.m.: [20151104-IR-327100659FRA](#))

Rule 19. POTW Pretreatment Programs

[327 IAC 5-19-1](#)

[327 IAC 5-19-2](#)

[327 IAC 5-19-3](#)

[327 IAC 5-19-4](#)

[327 IAC 5-19-5](#)

[327 IAC 5-19-6](#)

[327 IAC 5-19-7](#)

POTWs required to have a pretreatment program

Development of a POTW pretreatment program

POTW pretreatment program requirements

Requests for approval of POTW pretreatment programs

Approval procedures for POTW pretreatment programs or requests for authority to revise categorical pretreatment standards due to POTW consistent removal

Revision of an existing approved POTW pretreatment program

POTWs not required to have an approved POTW pretreatment program

327 IAC 5-19-1 POTWs required to have a pretreatment program

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 1. (a) A POTW, or a combination of POTWs operated by the same authority, that meets at least one (1) of the following conditions must establish a POTW pretreatment program:

(1) Has a total design flow greater than five (5) million gallons per day (mgd) and receives pollutants, from one (1) or more industrial users, that may pass through or interfere with the operation of the POTW.

(2) Receives flow subject to pretreatment standards or requirements under 327 IAC 5-18.

(b) A POTW with a design flow of five (5) mgd or less may also be required to develop a POTW pretreatment program if the commissioner determines that a pretreatment program to prevent interference or pass through at the POTW is warranted due to the nature or volume of one (1) or more of the following:

(1) Industrial influent.

(2) Treatment process upset.

(3) Violations of POTW effluent limitations.

(4) Contamination of municipal sludge.

(5) Other circumstances.

(c) A POTW desiring to modify categorical pretreatment standards under 327 IAC 5-20 must have an approved POTW pretreatment program. (*Water Pollution Control Division; 327 IAC 5-19-1; filed Oct 10, 2000, 3:02 p.m.: 24 IR 304*)

327 IAC 5-19-2 Development of a POTW pretreatment program

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 2. (a) The purpose of a POTW pretreatment program is to provide the POTW with the administrative and technical capability to ensure that industrial users of the POTW comply with applicable pretreatment standards and requirements specified in 327 IAC 5-18.

(b) For a POTW required to develop a POTW pretreatment program under section 1 of this rule, a compliance schedule specifying the program development will be incorporated into the POTW's NPDES permit. The compliance schedule shall not extend more than twelve (12) months after notification of the requirement to the POTW.

(c) In addition to any other provisions of this article, any of the following circumstances shall be considered adequate cause to modify or revoke and reissue a POTW's NPDES permit to incorporate a compliance schedule for development of a POTW pretreatment program as described in subsection (b):

(1) The addition of pollutants into a POTW by an industrial user or combination of industrial users presents a substantial hazard to the functioning of the treatment works, quality of the receiving waters, human health, or the environment.

(2) The permit must be reissued or modified to coordinate the issuance of a construction grant under Section 201 of the Clean Water Act (33 U.S.C. 1281) with the incorporation into the NPDES permit of a compliance schedule for a POTW pretreatment program.

(3) A modification of the NPDES permit is approved under Section 301(i)(1) of the Clean Water Act (33 U.S.C. 1311(i)(1)).

(d) Upon the approval by the commissioner of a POTW pretreatment program, the NPDES permit of the POTW must be modified or revoked and reissued to incorporate conditions of the approved POTW pretreatment program, including a requirement that the POTW implement and enforce the approved POTW pretreatment program with respect to the industrial users of the POTW. (*Water Pollution Control Division; 327 IAC 5-19-2; filed Oct 10, 2000, 3:02 p.m.: 24 IR 304*)

327 IAC 5-19-3 POTW pretreatment program requirements

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 3. An approved POTW pretreatment program shall fully and effectively exercise and implement the following requirements:

(1) The POTW must operate under legal authority, enforceable in federal or state court, that authorizes or enables the

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POTW to apply and enforce the requirements of Section 307(b) and 307(c) of the Clean Water Act (33 U.S.C. 1317(b) and 33 U.S.C. 1317(c)), including national pretreatment standards as well as applicable state pretreatment standards and requirements described in 327 IAC 5-18. Such authority may be contained in an ordinance, series of contracts, or joint power agreements, that the POTW is authorized to enact, enter into, or implement, and that are authorized by state law. At a minimum, this legal authority must enable the POTW to do the following:

(A) Deny or condition new or increased contributions of pollutants, or changes in the nature of pollutants, to the POTW by industrial users where the contributions do not meet applicable pretreatment standards and requirements.

(B) Require compliance with all applicable pretreatment standards and requirements by industrial users.

(C) Control, through permit, order, or similar means, the contribution of each industrial user to the POTW to ensure compliance with all applicable pretreatment standards and requirements. In the case of significant industrial users, this control must be achieved through individual permits or equivalent individual control mechanisms issued to each user, except as follows:

(i) At the discretion of the POTW, this control may include use of general control mechanisms if the following conditions are met. All of the facilities to be covered shall:

(AA) involve the same or substantially similar types of operations;

(BB) discharge the same types of wastes;

(CC) require the same effluent limitations;

(DD) require the same or similar monitoring; and

(EE) be controlled under a general control mechanism rather than under individual control mechanisms, if the POTW deems more appropriate.

(ii) To be covered by the general control mechanism, the significant industrial user shall file a written request for coverage that identifies the following:

(AA) Its contact information.

(BB) Production processes.

(CC) The types of wastes generated.

(DD) The location for monitoring all wastes covered by the general control mechanism.

(EE) Any requests in accordance with 40 CFR 403.12(e)(2) for a monitoring waiver for a pollutant neither present nor expected to be present in the discharge.

(FF) Any other information the POTW deems appropriate.

(iii) A monitoring waiver for a pollutant neither present nor expected to be present in the discharge is not effective in the general control mechanism until after the POTW has provided written notice to the significant industrial user that such a waiver request has been granted in accordance with 40 CFR 403.12(e)(2). The POTW must retain:

(AA) a copy of the general control mechanism;

(BB) documentation to support the POTW's determination that a specific significant industrial user meets the criteria in item (i)(AA) through (i)(EE); and

(CC) a copy of the industrial user's written request for coverage;

for three (3) years after the expiration of the general control mechanism. A POTW may not control a significant industrial user through a general control mechanism where the facility is subject to production-based categorical pretreatment standards or categorical pretreatment standards expressed as mass of pollutant discharged per day or for industrial users whose limits are based on the combined waste stream formula or net/gross calculations (40 CFR 403.6(e) and 40 CFR 403.15).

(D) Both individual and general control mechanisms, must be enforceable and contain, at a minimum, the following:

(i) A statement of duration, that may not be more than five (5) years.

(ii) A statement of nontransferability that requires, at a minimum, prior notification to the POTW and provision of a copy of the existing control mechanism to the new owner or operator.

(iii) Effluent limits, including best management practices, based on applicable general pretreatment standards in 327 IAC 5-18, categorical pretreatment standards, local limits, and state and local law.

(iv) Self-monitoring, sampling, reporting, notification, and record keeping requirements, including an identification of the pollutants to be monitored including the process for seeking a waiver for a pollutant neither

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present nor expected to be present in the discharge in accordance with 40 CFR 403.12(e)(2), or a specific waived pollutant in the case of an individual control mechanism, sampling location, sampling frequency, and sample type, based on the applicable general pretreatment standards in 327 IAC 5-18, categorical pretreatment standards, local limits, and state and local law.

(v) Statement of applicable, potential civil and criminal penalties for violation of pretreatment standards and requirements and any applicable compliance schedule. The schedules may not extend the compliance date beyond applicable federal deadlines.

(vi) Requirements to control slug discharges, if determined by the POTW to be necessary.

(E) Carry out all inspection, surveillance, and monitoring procedures necessary to determine, independent of information supplied by industrial users, compliance or noncompliance with applicable pretreatment standards and requirements by industrial users. Representatives of the POTW shall be authorized to enter any premises of any industrial user that is the location of an effluent source or treatment system that is subject to this article or to records that are required to be kept under 40 CFR 403.12(o). Such authority shall be at least as extensive as the authority provided under Section 308 of the Clean Water Act (33 U.S.C. 1318).

(F) Secure remedies for noncompliance through the following means:

(i) Obtain remedies for noncompliance by an industrial user with any applicable pretreatment standard or requirement, including injunctive relief and civil penalties as appropriate. The POTW must also have authority to seek or assess civil or criminal penalties in an amount of not less than one thousand dollars (\$1,000) per day for each violation by industrial users of pretreatment standards and requirements.

(ii) Pretreatment requirements, in addition to those specified in 327 IAC 5-18, that shall be enforceable through the remedies described in item (i) shall include the following:

(AA) The duty to allow or carry out inspections, entry, or monitoring activities.

(BB) Any ordinances, rules, or orders issued by the POTW.

(CC) Any requirements set forth in individual control mechanisms issued by the POTW or the pretreatment rules.

(DD) Any reporting requirements imposed by the POTW or the pretreatment rules.

The commissioner shall have authority to seek judicial relief and may also use administrative penalty authority when the POTW has sought a monetary penalty that the commissioner believes to be insufficient.

(G) Have the authority and procedures to give the following:

(i) Informal notice to the discharger and then immediately and effectively halt or prevent any discharge of pollutants to the POTW that may reasonably appear to present an imminent endangerment to the health or welfare of any person.

(ii) Notice to the affected industrial users, with an opportunity to respond, and then halt or prevent any discharge to the POTW that:

(AA) threatens to interfere with the operation of the POTW; or

(BB) may present an endangerment to the environment.

(H) Comply with the confidentiality requirements set forth in 40 CFR 403.14.

(2) The POTW shall have procedures to ensure compliance with the requirements of an approved POTW pretreatment program. At a minimum, these procedures must enable the POTW to do the following:

(A) Identify and locate all possible industrial users that may be subject to the approved POTW pretreatment program.

Any:

(i) compilation;

(ii) index; or

(iii) inventory;

of industrial users made under this rule must be made available to the commissioner upon request.

(B) Identify the character and volume of pollutants contributed to the POTW by the industrial users identified under clause (A). This information must be made available to the commissioner upon request.

(C) Notify industrial users identified under clause (A) of applicable pretreatment standards and any applicable requirements under Sections 204(b) and 405 of the Clean Water Act (33 U.S.C. 1284(b) and 33 U.S.C. 1345) and Subtitles C and D of RCRA (42 U.S.C. 6921 and 42 U.S.C. 6941).

- (D) Notify each significant industrial user (SIU) of:
- (i) its status as an SIU; and
 - (ii) the requirements that apply as such;
- within thirty (30) days after the commissioner approves the list of SIUs as required by subdivision (6).
- (E) Institute control measures to ensure compliance with all applicable pretreatment standards and requirements. Control measures include permits or administrative orders for the discharge of pollutants into a POTW by industrial users.
- (F) Receive and analyze self-monitoring reports and other notices submitted by industrial users in accordance with self-monitoring requirements in 327 IAC 5-16-5.
- (G) Randomly sample and analyze the effluent from industrial users and conduct surveillance and inspection activities in order to identify, independent of information supplied by industrial users, occasional and continuing noncompliance with pretreatment standards and requirements.
- (H) Inspect and sample significant industrial users at least once a year except as follows:
- (i) Where the POTW has authorized the industrial user subject to a categorical pretreatment standard to forgo sampling of a pollutant regulated by a categorical pretreatment standard in accordance with 40 CFR 403.12(e)(3), the POTW shall sample for the waived pollutant or pollutants at least once during the term of the categorical industrial user's control mechanism. In the event that the POTW subsequently determines that a waived pollutant is present or is expected to be present in the industrial user's wastewater based on changes that occur in the industrial user's operations, the POTW shall immediately begin at least annual effluent monitoring of the industrial user's discharge and inspection.
 - (ii) Where the POTW has determined that an industrial user meets the criteria for classification as a nonsignificant categorical industrial user, the POTW shall evaluate, at least once per year, whether an industrial user continues to meet the criteria in 40 CFR 403.3(v)(2).
 - (iii) In the case of industrial users subject to reduced reporting requirements under 40 CFR 403.12(e)(3), the POTW shall randomly sample and analyze the effluent from industrial users and conduct inspections at least once every two (2) years. If the industrial user no longer meets the conditions for reduced reporting in 40 CFR 403.12(e)(3), the POTW shall immediately begin sampling and inspecting the industrial user at least once a year.
- (I) Evaluate and document, whether each significant industrial user needs a plan or other action to control slug discharges. For industrial users identified as significant prior to November 14, 2005, this evaluation must have been conducted at least once by October 14, 2006. Additional significant industrial users must be evaluated within one (1) year of being designated a significant industrial user. As used in this clause, "slug discharge" means any discharge of a nonroutine, episodic nature, including, at a minimum, an accidental spill or noncustomary batch discharge, which has a reasonable potential to cause interference or pass through, or in any other way violate the POTW's regulations, local limits, or permit conditions. The results of these activities shall be made available to the regional administrator or commissioner upon request. Significant industrial users shall notify the POTW immediately of any changes at its facility affecting potential for a slug discharge. If the POTW decides that a slug control plan is needed, the plan shall contain, at a minimum, the following:
- (i) A description of discharge practices, including nonroutine batch discharges.
 - (ii) A description of stored chemicals.
 - (iii) Procedures for immediately notifying the POTW of slug discharges, including any discharge that would violate a prohibition under 327 IAC 5-18, with procedures for follow-up written notification within five (5) days.
 - (iv) If necessary, procedures to prevent adverse impact from accidental spills, including, but not limited to, the following:
 - (AA) Inspection and maintenance of storage areas.
 - (BB) Handling and transfer of materials.
 - (CC) Loading and unloading operations.
 - (DD) Control of plant site runoff.
 - (EE) Worker training.
 - (FF) Building of containment structures or equipment.

- (GG) Measures for containing toxic organic pollutants including solvents.
- (HH) Measures and equipment necessary for response.
- (J) Investigate instances of noncompliance with pretreatment standards and requirements as indicated:
 - (i) in the reports and notices required under 327 IAC 5-16-5; or
 - (ii) by analysis, inspection, and surveillance activities described in clause (F).Sample taking and analysis and the collection of other information shall be performed with sufficient care to produce evidence admissible in enforcement proceedings or in judicial actions.
- (K) Initiate and effectively prosecute enforcement actions, where appropriate, against industrial users that are violating applicable pretreatment standards or other pretreatment requirements.
- (L) Comply with the public participation requirements of 40 CFR 25 in the enforcement of national pretreatment standards. These procedures shall include provision for at least annually providing public notification, in a newspaper or newspapers of general circulation that provides meaningful public notice within the jurisdiction or jurisdictions served by the POTW of industrial users that, at any time during the previous twelve (12) months, were in significant noncompliance with applicable pretreatment standards or other pretreatment requirements.
- (3) The POTW must have sufficient resources and qualified personnel to carry out the approved POTW pretreatment program as described in subdivisions (1) and (2). However, conditional approval of the POTW's pretreatment program may be requested under section 4(b) of this rule pending acquisition of the required funding.
- (4) The POTW must:
 - (A) develop local limits as required in 327 IAC 5-18-2(b) and 327 IAC 5-18-2(c); or
 - (B) demonstrate that they are not necessary.
- (5) The POTW must develop and implement an enforcement response plan. This plan must contain detailed procedures demonstrating how a POTW will investigate and respond to instances of industrial user noncompliance. The plan must, at a minimum:
 - (A) describe how the POTW will investigate instances of noncompliance;
 - (B) describe the types of escalating enforcement responses the POTW will take in response to all anticipated types of industrial user violations and the time periods within which responses will take place;
 - (C) identify, by title, the official responsible for each type of response; and
 - (D) adequately reflect the POTW's primary responsibility to enforce all applicable pretreatment standards and requirements as detailed in subdivisions (1) and (2).
- (6) The POTW shall prepare a list of its industrial users meeting the criteria in 327 IAC 5-17-22. The list must:
 - (A) identify the criteria in 327 IAC 5-17-22(a) applicable to each industrial user; and
 - (B) where applicable, indicate whether the POTW has made a determination under 327 IAC 5-17-22(b) that the industrial user should not be considered a significant industrial user.

This list, and any subsequent modifications thereto, must be submitted to the commissioner as a nonsubstantial modification of the approved POTW pretreatment program under 40 CFR 403.18(d).

(Water Pollution Control Division; 327 IAC 5-19-3; filed Oct 10, 2000, 3:02 p.m.: 24 IR 305; filed Apr 3, 2009, 1:55 p.m.: [20090429-IR-327060156FRA](#))

327 IAC 5-19-4 Requests for approval of POTW pretreatment programs

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 4. (a) A POTW requesting approval of a POTW pretreatment program shall develop and submit to the commissioner three (3) copies of the POTW pretreatment program description, including the following:

(1) A statement from the municipal attorney or the attorney for those POTW's that have independent legal counsel providing the following:

(A) Proof that the POTW has authority adequate to carry out the approved POTW pretreatment program described in section 3 of this rule, including identification of the legal authority that provides the basis for each procedure specified in subdivision (2).

(B) A copy of any ordinances, regulations, agreements, or other authorities relied upon by the POTW for its administration of the approved POTW pretreatment program.

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(2) A description of the manner in which the POTW will implement the approved POTW pretreatment program requirements, including:

- (A) whether pretreatment standards will be applied to individual industrial users by order or permit; and
- (B) how the POTW intends to ensure compliance with pretreatment standards and requirements, for example, an industrial monitoring plan to:
 - (i) enable the POTW to monitor discharges from its industrial users, including necessary monitoring and analytical equipment; and
 - (ii) enforce them in the event of noncompliance by industrial users.

This submission must include a statement reflecting the endorsement or approval of the local boards or bodies responsible for supervising and funding the POTW pretreatment program if the POTW pretreatment program is approved.

(3) A brief description, including organizational charts, of the POTW organization that will administer the approved POTW pretreatment program. If more than one (1) agency is responsible for the administration of the approved POTW pretreatment program, this description must include:

- (A) identification of the responsible agencies;
- (B) delineation of the responsibilities for each agency; and
- (C) the procedures for coordination among the agencies.

(4) The information specified in section 3(2)(A) and 3(2)(B) of this rule concerning:

- (A) the identity of industrial users subject to the approved POTW pretreatment program; and
- (B) the identity and quantity of pollutants discharged to the POTW by each identified industrial user.

This information shall also be made available to the regional administrator upon request.

(5) A description of the funding levels and the full-time and part-time manpower available to implement the approved POTW pretreatment program.

(b) A POTW may request conditional approval of a POTW pretreatment program pending the acquisition of funding and personnel for certain elements of the program. The request for conditional approval must meet the requirements set forth in subsection (a), except that the submission must demonstrate the following:

- (1) A limited aspect of the POTW pretreatment program does not need to be implemented immediately.
- (2) The POTW has adequate legal authority and procedures to carry out those aspects of the POTW pretreatment program that will not be implemented immediately.
- (3) Funding and personnel for the POTW pretreatment program aspects to be implemented at a later date will be available when needed. The POTW must describe the mechanism by which this funding will be acquired.

Upon receipt of a request for conditional approval, the commissioner shall establish a fixed date for the acquisition of the needed funding and personnel. If funding is not acquired by this date, the conditional approval of the POTW pretreatment program, and any removal allowances granted to the POTW, may be modified or withdrawn.

(c) The requirements for consistency with water quality management plans shall be as follows:

(1) In order to be approved, a POTW pretreatment program shall be consistent with any approved water quality management plan developed in accordance with 40 CFR 130 and 40 CFR 131, where the water quality management plan, pursuant to Section 208 of the Clean Water Act (33 U.S.C. 1288), includes management agency designations and addresses pretreatment in a manner consistent with 40 CFR 403. In order to assure such consistency, the commissioner, upon receipt of a request for approval of a POTW pretreatment program, shall solicit the review and comment of the appropriate planning agency prior to approval or disapproval of the POTW pretreatment program.

(2) Where no Section 208 plan has been approved or where a plan has been approved but lacks management agency designations or does not address pretreatment in a manner consistent with 40 CFR 403, the commissioner shall nevertheless solicit the review and comment of the appropriate planning agency.

(Water Pollution Control Division; 327 IAC 5-19-4; filed Oct 10, 2000, 3:02 p.m.: 24 IR 307)

327 IAC 5-19-5 Approval procedures for POTW pretreatment programs or requests for authority to revise categorical pretreatment standards due to POTW consistent removal

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 5. (a) The commissioner shall review each submission for a POTW pretreatment program approval or request to revise

a categorical pretreatment standard to preliminarily determine whether the submission complies with the requirements of section 3, 4(a), or 4(b) of this rule or this section. After preliminary review, the commissioner shall act according to the following:

(1) If the submission meets the applicable requirements, the commissioner shall notify the POTW and commence permit procedures set forth in 327 IAC 5-3.

(2) If the submission does not comply with applicable requirements, the commissioner shall provide written notice to the POTW and to each person who has requested individual notice. This notification shall identify any defects in the submission and advise the POTW how it can comply with the applicable requirements.

(b) A POTW with an approved POTW pretreatment program shall promptly inform the commissioner of any change in legal authority, staffing, or funding that may significantly affect the ability of the POTW to operate its approved POTW pretreatment program. Whenever this information is submitted and whenever the POTW's NPDES permit is under consideration for reissuance, the commissioner shall review the POTW's ongoing capability to operate its approved POTW pretreatment program. If the commissioner determines that the POTW no longer possesses the capability to adequately run its approved POTW pretreatment program, the commissioner shall promptly notify the POTW of the deficiencies identified. (*Water Pollution Control Division; 327 IAC 5-19-5; filed Oct 10, 2000, 3:02 p.m.: 24 IR 308*)

327 IAC 5-19-6 Revision of an existing approved POTW pretreatment program

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 6. The criteria and procedures in 40 CFR 403.18* govern the revisions to an existing approved POTW pretreatment program.

*This document is incorporated by reference. Copies may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, 100 North Senate Avenue, Thirteenth Floor, Indianapolis, Indiana 46204. (*Water Pollution Control Division; 327 IAC 5-19-6; filed Oct 10, 2000, 3:02 p.m.: 24 IR 308; errata filed Feb 6, 2006, 11:15 a.m.: 29 IR 1936; filed Sep 6, 2018, 11:50 a.m.: 20181003-IR-327170278FRA*)

327 IAC 5-19-7 POTWs not required to have an approved POTW pretreatment program

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 7. A POTW not required to develop an approved POTW pretreatment program shall be required to meet the following:

(1) Comply with a decision of the commissioner who has the responsibility of implementing a POTW pretreatment program that will achieve the objectives stated in 327 IAC 5-16-1(b) if the commissioner determines that a need exists for such a POTW pretreatment program. Generally, such a state pretreatment program will be implemented at the local POTW through the use of procedures comparable to those described under section 3(2) of this rule and, ultimately, the issuance of appropriate industrial wastewater pretreatment permits under 327 IAC 5-21.

(2) Develop, adopt, and enforce a sewer use ordinance that implements the standards for prohibited discharges in accordance with 327 IAC 5-18-2.

(3) Comply with any requirements of the commissioner specified in the POTW's NPDES permit to perform certain elements of an approved POTW pretreatment program, such as monitoring for industrial pollutants in the discharges from the POTW's industrial users.

(*Water Pollution Control Division; 327 IAC 5-19-7; filed Oct 10, 2000, 3:02 p.m.: 24 IR 308*)

Rule 20. Removal Credits

[327 IAC 5-20-1](#)

[327 IAC 5-20-2](#)

[327 IAC 5-20-3](#)

[327 IAC 5-20-4](#)

Prerequisites for revision of categorical pretreatment standards by a POTW

Application for authorization to revise categorical standards

Conditional and provisional authorization to revise categorical standards

Continuation or withdrawal of authorization to revise categorical standards

327 IAC 5-20-1 Prerequisites for revision of categorical pretreatment standards by a POTW

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 1. (a) Any POTW receiving wastewater from an industrial user that is required to meet a categorical pretreatment standard may revise the discharge limits specified by the standard for any specific pollutant or pollutants if the POTW has:

(1) applied for and received authorization from the commissioner to revise the discharge limits for a specific pollutant in accordance with this rule and 327 IAC 5-19-5; and

(2) a POTW pretreatment program approved under 327 IAC 5-19.

(b) The revised discharge limit for a specific pollutant must be:

(1) based upon the POTW's capability to consistently remove that pollutant, as demonstrated in accordance with section 2(b) of this rule; and

(2) calculated as provided in section 2(b)(4) of this rule.

A discharge limit revision for a toxic pollutant, that is listed pursuant to Section 307(a) of the Clean Water Act (33 U.S.C. 1317(a)), must be based on the POTW's ability to remove that toxic pollutant and not the ability to remove indicator or surrogate pollutants.

(c) A POTW with a combined sewer overflow or systems that overflow untreated wastewater into a receiving water at least once annually shall not be able to claim consistent removal of a pollutant unless achieving compliance with one (1) of the following:

(1) The industrial user provides containment, reduction, or otherwise ceases all discharges from the regulated processes of a pollutant for which a removal allowance is requested during all circumstances in which an overflow event can reasonably be expected to occur. Discharges must cease or be reduced, or pretreatment must be increased to the extent necessary, to compensate for the removal not being provided by the POTW. Allowances under this rule will not be granted unless the POTW submits to the commissioner evidence of the following:

(A) All industrial users to which the POTW proposes to apply this rule have demonstrated the ability to contain, reduce, or otherwise cease, during circumstances in which an overflow event can reasonably be expected to occur, all discharges from the regulated processes that contain pollutants for which a removal allowance is requested.

(B) The POTW has identified circumstances in which an overflow event can reasonably be expected to occur, and has a notification procedure or other viable plan in place to ensure that industrial users will learn of an impending bypass in sufficient time to contain, reduce, or cease its discharge to prevent untreated overflow from occurring. The POTW must also demonstrate that it will monitor and verify the data required in clause (C) to ensure that industrial users are containing, reducing, or ceasing operations during POTW overflows.

(C) All industrial users to which the POTW proposes to apply this rule have demonstrated the ability and commitment to collect and make available upon request by the POTW, commissioner, or U.S. EPA regional administrator:

(i) daily flow reports; or

(ii) other data sufficient to demonstrate that all discharges from regulated processes containing the pollutant for which the removal allowance is requested were:

(AA) contained;

(BB) reduced; or

(CC) otherwise terminated;

during all circumstances in which an overflow event was reasonably expected to occur.

(2) The revised discharge limit proposed for a specific pollutant is calculated under section 2(b)(4)(B) of this rule to account for the reduction in POTW removal due to overflows, except as follows:

(A) If an industrial user can demonstrate that overflows do not occur in the POTW's system between the industrial user's discharge and the treatment plant, the POTW may calculate revised discharge limits for the industrial user under section 2(b)(4)(A) of this rule.

(B) After April 19, 1994, consistent removal may be claimed only if efforts to correct the conditions resulting in untreated discharges by a POTW are underway in accordance with the policy and procedures set forth in the EPA Combined Sewer Overflow (CSO) Control Policy (FRL-4732-7)*, published in the Federal Register on April 19, 1994. Revision to discharge limits in categorical pretreatment standards may not be made if a POTW has not committed to efforts to minimize pollution from combined sewer overflows. At a minimum, a POTW must have completed an analysis of combined sewer overflow alternatives in accordance with the requirements of the CSO Control Policy and be making a good faith effort to implement the plan.

(d) A discharge limit revision must not cause or contribute to a violation of the following:

- (1) Applicable water quality standards in the state waters receiving the POTW's effluent.
- (2) The POTW's ability to comply with its NPDES permit limitations and conditions.
- (3) Any sludge requirements that apply to the sludge management method chosen by the POTW.

Alternatively, the POTW can demonstrate to the commissioner that even though it is not presently in compliance with applicable sludge requirements, it will be in compliance when the industrial user to whom the removal credit would apply is required to meet its categorical pretreatment standard as modified by the removal credit. If granting removal credits forces a POTW to incur greater sludge management costs than would be incurred in the absence of granting removal costs, the additional sludge management costs will not be eligible for U.S. EPA grant assistance.

(e) If a POTW has received a construction grant under Section 201(g) of the Clean Water Act (33 U.S.C. 1281(g)) from funds authorized for any fiscal year beginning after September 30, 1978, the POTW shall have completed the analysis required by Section 201(g)(5) of the Clean Water Act (33 U.S.C. 1281(g)(5))* and demonstrated that the revised discharge limits will not preclude the use of innovative or alternative technology otherwise available to the POTW.

(f) An industrial user that wishes to receive a removal allowance must:

- (1) submit to the POTW the information required in 40 CFR 403.12(b)*, including the specification of what, if any, additional treatment or process facilities will be needed to comply with applicable categorical pretreatment standards as approved for revision under this rule;
- (2) enter into a compliance schedule agreement with the POTW to install the needed facilities within the time period provided by the applicable categorical standards; and
- (3) have the POTW submit to the commissioner, within sixty (60) days of the effective date of revision of discharge limits for a particular industrial user, the name and address of the industrial user and the specific discharge limits that were revised.

*These documents are incorporated by reference. Copies may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, 100 North Senate Avenue, Thirteenth Floor, Indianapolis, Indiana 46204. (*Water Pollution Control Division; 327 IAC 5-20-1; filed Oct 10, 2000, 3:02 p.m.: 24 IR 309; errata filed Feb 6, 2006, 11:15 a.m.: 29 IR 1936; filed Sep 6, 2018, 11:50 a.m.: 20181003-IR-327170278FRA*)

327 IAC 5-20-2 Application for authorization to revise categorical standards

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 2. (a) An application to revise discharge limits for specific pollutants for an industrial user that is, or in the future may be, subject to categorical pretreatment standards must be submitted to the commissioner by a POTW pursuant to this section. The initial application must be submitted after or concurrently with the POTW's request for approval of its POTW pretreatment program. Subsequent applications, if needed, may be submitted by a POTW no more than once every six (6) months upon the occurrence of one (1) or more of the following:

- (1) Promulgation of a categorical pretreatment standard since the previous application.
- (2) An industrial user with new or modified facilities or production changes results in the discharge of a pollutant to the POTW that was not previously discharged and is subject to a categorical standard.
- (3) Any significant increase in removal efficiency attributable to specific identifiable circumstances or corrective measures, such as:

- (A) improvements in operation and maintenance practices;
- (B) new treatment or treatment capacity; or
- (C) a significant change in the influent to the POTW treatment plant.

(b) An application for authorization to revise discharge limits must include the following information:

- (1) A list of pollutants proposed for discharge limit revisions.
- (2) Influent and effluent operational data demonstrating consistent removal or other information, as permitted by the commissioner, that demonstrates consistent removal of the pollutants for which a removal allowance is proposed. These data must meet the following requirements:
 - (A) The data must be representative of yearly and seasonal conditions to which the POTW is subjected for each pollutant proposed for a discharge limit revision.

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- (B) The data must be representative of the quality and quantity of normal effluent and influent flow of the system if the data can be obtained. If the data are unobtainable, alternate data or information may be presented for approval to demonstrate consistent removal.
- (C) The influent and effluent operational data must be obtained through a minimum of twelve (12) composite samples taken at approximately equal intervals throughout one (1) calendar year and meeting the following requirements:
- (i) Each composite sample must consist of discrete, flow-proportional samples taken at equal time intervals not to exceed two (2) hours.
 - (ii) The sampling period must be a minimum of twenty-four (24) hours and each effluent sample must be taken approximately one (1) detention time later than the corresponding influent sample except that, if the commissioner determines that a sampling schedule will not be representative of the actual operation of the POTW treatment plant, an alternative sampling schedule will be required. The detention time must be determined from the flow at the time sampling begins.
 - (iii) If a particular pollutant is measurable in the influent but not in the effluent, the effluent level may be assumed to be the limit of quantitation, and those data may be used by the POTW in its discretion subject to approval by the commissioner.
 - (iv) If the pollutant is not measurable in the influent, the data must not be used.
 - (v) If there are less than eight (8) samples with influent concentrations equal to or above the limit of quantitation, the commissioner may approve alternate means, such as a mass balance, for demonstrating consistent removal. The samples must be evenly distributed over the days of the week so as to include nonworkdays as well as workdays. If the commissioner determines that this schedule will not be most representative of the actual operation of the POTW, an alternative sampling schedule will be approved.
 - (vi) In addition, upon the commissioner's approval, a POTW may utilize an historical data base amassed prior to the effective date of this rule, provided that the data meets the requirements of this subdivision. In order for the historical data base to be approved, it must present a statistically valid description of daily, weekly, and seasonal sewage treatment plant loadings and performance for at least one (1) year.
- (D) Where composite sampling is not an appropriate sampling technique, a grab sample must be taken to obtain influent and effluent operational data and must meet the following requirements:
- (i) A grab sample is required, for example, when the parameters being evaluated are those that may not be held for any extended period because of biological, chemical, or physical interactions that take place after sample collection, therefore affecting the results.
 - (ii) A grab sample is an individual sample and must be collected over a period of time not exceeding fifteen (15) minutes.
 - (iii) Collection of influent grab samples must precede collection of effluent samples by approximately one (1) detention period.
- (E) The sampling and analysis required by clause (C) and this clause must be performed in accordance with the following:
- (i) Techniques prescribed in one (1) of the following:
 - (AA) 40 CFR 136* and its amendments.
 - (BB) Applicable categorical standards.
 - (ii) Applicable sampling and analytical procedures approved by U.S. EPA if one (1) of the following situations exists to make the techniques listed in item (i) inapplicable:
 - (AA) There is no sampling or analytical technique for the pollutant in question.
 - (BB) The administrator determines that the 40 CFR 136 sampling and analytical techniques are inappropriate for the pollutant in question.
- (F) Consistent removal for a specific pollutant must be determined as follows:
- (i) For each sample, the difference between the pollutant concentrations in the influent and effluent must be calculated and expressed as a percentage of the influent concentration.
 - (ii) Removal for the pollutant must be calculated as the average of the lowest fifty percent (50%) of the individual sample removal results. If the number of samples with quantifiable results is between eight (8) and twelve (12), the removal must be calculated as the average of the lowest six (6) sample results.

(iii) All sample data obtained for the measured pollutant according to clause (C) must be reported and used in calculating consistent removal.

(iv) If an alternate means is approved by the commissioner under clause (C) for demonstrating consistent removal, then removal must be calculated as specifically provided by the commissioner.

(3) A list of the industrial subcategories for which discharge limits in categorical pretreatment standards would be revised, including the number of industrial users in each subcategory and an identification of which of the pollutants on the list prepared under subdivision (1) are discharged by each subcategory.

(4) The revised discharge limits proposed for each of the subcategories of industrial users identified in subdivision (3) calculated in the following manner:

(A) The revised discharge limit proposed for the specified pollutant must be calculated using the following formula:

$$Y = \frac{X}{1 - r}$$

Where: X = Pollutant discharge limit specified in the applicable categorical pretreatment standard (expressed in milligrams per liter).

r = POTW's consistent removal rate for that pollutant as established under this rule (percentage expressed as a decimal).

Y = Revised discharge limit for the specified pollutant (expressed in milligrams per liter).

(B) In the case of a POTW that either has combined sewers or has bypassed untreated wastewater into the receiving water at least once annually, and that claims consistent removal of a pollutant under section 1(c)(1) of this rule, the revised discharge limits proposed for the specific pollutant must be calculated using the following formula:

$$r_c = r_m \frac{8760 - Z}{8760}$$

Where: r_m = POTW's consistent removal rate for a specific pollutant.

r_c = Removal corrected by the overflow factor.

Z = Hours per year that overflow occurred between the industrial user and the POTW treatment plant, the hours either to be shown in the POTW's current NPDES permit application or the hours, as demonstrated by verifiable techniques, that a particular industrial user's discharge overflows between the industrial user and the POTW treatment plant.

(5) Data showing the concentrations and amounts of the pollutants in a POTW's sludge that are proposed for discharge limit revisions, and for which sludge disposal or use criteria applicable to the POTW's current method of sludge use or disposal have been published by U.S. EPA or the department must meet the following requirements:

(A) The data must be obtained through a composite sample taken during each of the sampling periods selected to measure consistent removal in accordance with the requirements of subdivision (2)(C). Each composite sample must contain a minimum of twelve (12) discrete samples taken at equal time intervals over a twenty-four (24) hour period. Where a composite sample is not an appropriate sampling technique, grab samples must be taken.

(B) Sampling and analysis of the samples referred to in clause (A) must be performed in accordance with the sampling and analytical techniques described in subdivision (2)(E).

(6) A specific description of the following:

(A) The POTW's current method of use or disposal of its sludge.

(B) Data certifying that the current sludge use or disposal methods comply and will continue to comply with section 1(d) of this rule.

(7) A certification that the POTW has an approved POTW pretreatment program or qualifies for the exception to this requirement found at section 1(c) of this rule.

(8) A certification that the granting of removal credits will not cause a violation of the POTW's NPDES permit limits or conditions.

(c) The application to revise categorical standards must contain the following:

(1) Signature of one (1) of the following:

(A) A principal executive officer.

(B) A ranking elected official.

(C) A duly authorized employee of the POTW, if the employee is responsible for overall operation of the POTW.

(2) A certification by the signatory or an independent consulting engineer, if retained by the POTW to prepare the application, stating, "I have personally examined and am familiar with the information submitted in the attached document, and I hereby certify under penalty of law that this information was obtained in accordance with the requirements of 327 IAC 5-20-2(b). Moreover, based upon my inquiry of those individuals immediately responsible for obtaining the information reported herein, I believe that the submitted information is true, accurate, and complete."

(d) An application to revise categorical standards, upon its submittal by a POTW, will be reviewed, approved, or denied by the commissioner in accordance with the procedures of 327 IAC 5-19-5. Approval of an application only empowers the POTW to revise the specific discharge limits proposed under subsection (b)(4).

(e) If the state has an approved pretreatment program, the regional administrator may agree in the Memorandum of Agreement under 40 CFR 123.24(d)* to waive the right to review and object to submissions for authority to grant removal credits. The agreement does not restrict the regional administrator's right to comment upon or object to permits issued to POTW's except to the extent 40 CFR 123.24(d) allows such a restriction.

(f) Nothing in this rule precludes an industrial user or other interested party from assisting the POTW in preparing and presenting the information necessary to apply for authorization.

*These documents are incorporated by reference. Copies may be obtained from the Government Publishing Office, www.gpo.gov, or are available for review at the Indiana Department of Environmental Management, Office of Legal Counsel, Indiana Government Center North, 100 North Senate Avenue, Thirteenth Floor, Indianapolis, Indiana 46204. (*Water Pollution Control Division; 327 IAC 5-20-2; filed Oct 10, 2000, 3:02 p.m.: 24 IR 310; errata filed Feb 6, 2006, 11:15 a.m.: 29 IR 1937; filed Sep 6, 2018, 11:50 a.m.: [20181003-IR-327170278FRA](#)*)

327 IAC 5-20-3 Conditional and provisional authorization to revise categorical standards

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 3. (a) The requirements for conditional and provisional authorization to revise categorical standards are as follows:

(1) A POTW may submit an application to the commissioner for conditional authority to revise discharge limits contained in categorical pretreatment standards prior to approval of its POTW pretreatment program. The application must conform to the requirements of section 2 of this rule.

(2) The commissioner may approve an application for conditional authority to revise discharge limits if the commissioner determines that consistent removal has been adequately demonstrated for the specific pollutant proposed for discharge limit revision. The public notice and comment procedures of 327 IAC 5-19-5 may be omitted by the commissioner in approving an application under this section. However, at the time the commissioner gives public notice of the POTW's request for approval of its POTW pretreatment program, the commissioner shall also give public notice of the intent to ratify or not ratify the conditional authorization to revise discharge limits.

(3) If the commissioner approves the application for conditional authorization, the POTW may proceed to revise the discharge limits for the specific pollutants identified in the application subject to the following conditions:

(A) Except for section 1(a)(2) of this rule, the conditions specified by section 1 of this rule.

(B) The POTW must submit to the commissioner an application for a POTW pretreatment program approval meeting the requirements of 327 IAC 5-19-2, 327 IAC 5-19-3, and 327 IAC 5-19-4 in a timely manner, not to exceed the time limitation set forth in a compliance schedule for development of a POTW pretreatment program included in the POTW's NPDES permit.

(C) If a POTW grants a conditional revision and the commissioner subsequently makes a final determination, after notice and an opportunity for a hearing, that the POTW failed to comply with the conditions stated in this section, the following shall occur:

(i) The conditional revision shall be terminated by the commissioner.

(ii) An industrial user to whom the revised discharge limits had been applied shall achieve compliance with the applicable categorical pretreatment standard within a reasonable time, though not in excess of the time period prescribed in the applicable categorical pretreatment standard, as specified by the commissioner.

(b) For pollutants that are not currently being discharged, including pollutants expected from new or modified facilities or production changes, application may be made for provisional authorization to revise discharge limits in the applicable categorical

pretreatment standard prior to initial discharge of the pollutant. Consistent removal may be based provisionally on data from treatability studies or demonstrated removal at other comparable treatment facilities where the quality and quantity of influent are similar. The procedures and conditions for provisional authorization shall be those set forth in subsection (a), except as follows:

(1) The information required for the application under section 2(b)(2) and 2(b)(5) of this rule shall be temporarily waived and the treatability data or other alternate basis for projecting removal submitted instead.

(2) Within eighteen (18) months after discharge of the pollutants granted for provisional authorization, the data specified in section 2(b)(2) and 2(b)(5) of this rule shall be gathered and submitted to the commissioner. If the data fail to demonstrate consistent removal of the pollutant, the following shall occur:

(A) The provisional revision shall be terminated by the commissioner.

(B) An industrial user that had been given revised discharge limits shall achieve compliance with the applicable categorical standards within a reasonable time, though not in excess of the time period prescribed in the applicable standards, as specified by the commissioner.

Conversely, if the data confirm consistent removal of the pollutants in question, the commissioner shall ratify the provisional authorization.

(Water Pollution Control Division; 327 IAC 5-20-3; filed Oct 10, 2000, 3:02 p.m.: 24 IR 312)

327 IAC 5-20-4 Continuation or withdrawal of authorization to revise categorical standards

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 4. (a) After a POTW has received authorization to grant removal credits for a particular pollutant regulated in a categorical pretreatment standard, it may automatically extend that removal credit to the same pollutant when it is regulated in other categorical standards, unless granting the removal credit will cause the POTW to violate its sludge requirements or its NPDES permit limits and conditions. If a POTW elects at a later time to extend removal credits to a certain categorical pretreatment standard, industrial subcategory, or one (1) or more industrial users that initially were not granted removal credits, it must notify the control authority.

(b) Following authorization to revise discharge limits from categorical pretreatment standards, the POTW shall continue to monitor and report on the POTW's removal capabilities for all pollutants for which authority to revise limits has been granted. The report shall contain the information required by section 2(b)(2)(A), 2(b)(2)(B), 2(b)(5), and 2(b)(6) of this rule. The data obtained for purposes of this report must be obtained through a composite sample taken on three (3) consecutive days during the reporting period and meet the requirements of section 2(b)(2)(C) of this rule. If no categorical pretreatment standards are yet promulgated relative to the industrial users of a POTW receiving authorization to revise discharge limits or if the POTW has received provisional authorization to revise limits under section 3(b) of this rule, the initial report shall be submitted to the commissioner within sixty (60) days after the earliest date of promulgation of an applicable categorical standard or the date the discharge of pollutants for which provisional authorization was granted commences. In all other cases, the initial report shall be submitted within six (6) months after the date authorization to revise limits was granted. Subsequent reports shall be submitted at six (6) month intervals unless required more frequently by the commissioner.

(c) Approval of authority to revise categorical pretreatment standards will be reexamined whenever the POTW's NPDES permit is reissued or whenever the categorical pretreatment standard is revised by EPA unless the commissioner determines the need to reevaluate the authority earlier as required by subsection (e). In addition, where overflows of untreated waste by the POTW continue to occur, the commissioner may condition continued authorization to revise discharge limits upon the POTW performing additional analysis or implementing additional control measures as is consistent with departmental policy toward POTW bypasses.

(d) After authority to revise discharge limits for a specified pollutant is granted, the revised discharge limits for industrial users of the POTW's system, as well as the consistent removal documented by the POTW for that pollutant, and the other conditions of section 1 of this rule shall be included in the POTW's NPDES permit upon the earliest reissuance or modification (at or following the POTW pretreatment program approval) and shall become enforceable requirements of the POTW's NPDES permit. The removal credits will remain in effect for the term of the POTW's NPDES permit, provided the POTW maintains compliance with the conditions of this rule.

(e) If, on the basis of pollutant removal capability reports received as required by subsection (b) or other information available to it, the commissioner determines that:

(1) one (1) or more of the discharge limit revisions made by the POTW or the POTW itself no longer meets the requirements

of section 1 of this rule; or

(2) such discharge limit revisions are causing or significantly contributing to a violation of any conditions or limits contained in the POTW's NPDES permit;

then the commissioner shall notify the POTW and, if appropriate corrective action is not taken within a reasonable time, not to exceed sixty (60) days (unless the POTW or the affected industrial users demonstrate that a longer time period is reasonably necessary to undertake the appropriate corrective action), either withdraw or require modifications in the revised discharge limits.

(f) The commissioner shall not withdraw or modify revised discharge limits according to subsection (e) without doing the following:

(1) Notifying the POTW and all industrial users to whom revised discharge limits have been applied of the information required by subdivision (2).

(2) Giving written notice of the following:

(A) The reasons for such withdrawal or modification.

(B) The time to be allowed for new compliance dates.

(3) Providing an opportunity for a hearing.

(g) After receiving notice of withdrawal or modification from the commissioner according to subsections (e) and (f), all industrial users to whom revised discharge limits had been applied shall be subject to the modified limits or the discharge limits prescribed in the applicable categorical pretreatment standards, as appropriate, and shall achieve compliance with such limits within a reasonable time, though not in excess of the time period prescribed in the applicable categorical pretreatment standard, as may be specified by the commissioner. (*Water Pollution Control Division; 327 IAC 5-20-4; filed Oct 10, 2000, 3:02 p.m.: 24 IR 313*)

Rule 21. Industrial Wastewater Pretreatment Permit Program

327 IAC 5-21-1	Purpose
327 IAC 5-21-2	Applicability of industrial wastewater pretreatment permits
327 IAC 5-21-3	Permit application submission requirements
327 IAC 5-21-4	Effect of permit issuance
327 IAC 5-21-5	Duration and transferability of an IWP permit
327 IAC 5-21-6	Conditions applicable to all permits
327 IAC 5-21-7	Applicable discharge limitations and related conditions
327 IAC 5-21-8	Schedules of compliance
327 IAC 5-21-9	Monitoring
327 IAC 5-21-10	Recording and reporting of monitoring results
327 IAC 5-21-11	Public notice procedures for IWP permit issuance
327 IAC 5-21-12	IWP permit application and annual fees

327 IAC 5-21-1 Purpose

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 1. The purpose of this rule is to establish an administrative program for the issuance of a permit that specifies a minimum acceptable degree of pretreatment required for the discharge of certain industrial wastewater into a POTW. The applicability of these permits and the procedures for their issuance are defined. (*Water Pollution Control Division; 327 IAC 5-21-1; filed Oct 10, 2000, 3:02 p.m.: 24 IR 314*)

327 IAC 5-21-2 Applicability of industrial wastewater pretreatment permits

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 2. (a) An industrial user shall be required to obtain an IWP permit for a discharge of wastewater into a POTW if one (1) of the following situations exists:

(1) The discharge is from a significant industrial user as defined in 327 IAC 5-17-23 and is discharged into a POTW that

is not required to have an approved POTW pretreatment program under 327 IAC 5-19-1.

(2) The commissioner determines that an IWP permit is needed for effective control of an industrial discharge.

(b) An industrial user subject to the terms of subsection (a) shall submit an application for an IWP permit to the commissioner prior to commencing the discharge of industrial wastewater to a POTW.

(c) An existing industrial user that intends to add a pollutant not limited by the valid IWP permit or increase discharge of a pollutant limited by the IWP permit must apply for an IWP permit modification from the commissioner prior to commencing discharge containing the additional pollutant. (*Water Pollution Control Division; 327 IAC 5-21-2; filed Oct 10, 2000, 3:02 p.m.: 24 IR 314; errata filed Jun 6, 2014, 2:47 p.m.: [20140709-IR-327140205ACA](#)*)

327 IAC 5-21-3 Permit application submission requirements

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-16](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 3. An application for an IWP permit must conform to the following:

(1) Be completed on a form prescribed by the commissioner.

(2) Be signed in accordance with 327 IAC 5-2-22(a).

(3) Be submitted to the commissioner according to the following time requirements:

(A) Not later than one hundred eighty (180) days prior to the expiration date of an existing permit if the industrial user intends to continue discharging to the POTW.

(B) Not later than one hundred eighty (180) days prior to the date when a new industrial discharger intends to commence discharging to a POTW.

(C) In the case of an initial issuance of an IWP permit to a significant industrial user or to an industrial user determined by the commissioner to be subject to the IWP permit requirements, not later than one hundred twenty (120) days after the latter of:

(i) the promulgation of an applicable categorical pretreatment standard; or

(ii) the date of notification by the commissioner of a determination made according to section 2(a)(2) of this rule.

(D) Not later than one hundred twenty (120) days prior to a planned expansion or modification of production or treatment facilities or processes that are likely to cause a significant increase in quantity of pollutants or a change in the nature of pollutants discharged to the POTW by an industrial user with an existing IWP permit.

(4) Include the appropriate fee required under section 12 of this rule.

(*Water Pollution Control Division; 327 IAC 5-21-3; filed Oct 10, 2000, 3:02 p.m.: 24 IR 315; filed May 23, 2022, 9:56 a.m.: [20220622-IR-327200026FRA](#)*)

327 IAC 5-21-4 Effect of permit issuance

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 4. An IWP permit holder shall comply with the requirements of the following:

(1) The IWP permit as issued or modified.

(2) The POTW receiving the permitted industrial discharge.

(3) The local government having jurisdiction over the industrial discharge or the construction or operation of the discharging facility.

(*Water Pollution Control Division; 327 IAC 5-21-4; filed Oct 10, 2000, 3:02 p.m.: 24 IR 315*)

327 IAC 5-21-5 Duration and transferability of an IWP permit

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 5. The provisions of 327 IAC 5-2-6 concerning the duration, continuation, and transferability of NPDES permits also apply to IWP permits issued under this rule. (*Water Pollution Control Division; 327 IAC 5-21-5; filed Oct 10, 2000, 3:02 p.m.: 24*

IR 315)

327 IAC 5-21-6 Conditions applicable to all permits

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 6. (a) The following conditions apply to all IWP permits and must be expressly incorporated into the permit or incorporated by reference into the permit:

(1) Permit conditions specified in 327 IAC 5-2-8(1) through 327 IAC 5-2-8(3), 327 IAC 5-2-8(7) through 327 IAC 5-2-8(9), and 327 IAC 5-2-8(13).

(2) The upset provision according to 327 IAC 5-16-6.

(3) The bypass provision according to 327 IAC 5-16-7.

(4) The enforcement provision according to 327 IAC 5-16-4.

(b) An IWP permit may be modified in whole or in part, revoked and reissued, or terminated during its term for cause in accordance with the pertinent provisions of 327 IAC 5-2-16. An IWP permittee must:

(1) report to the commissioner plans for, or information about, any activity that has occurred, or will occur, that would constitute cause for modification or revocation and reissuance under this section;

(2) comply with the existing IWP permit until it is modified or reissued; and

(3) abide by the commissioner's decision:

(A) to modify or revoke and reissue the permit; and

(B) require submission of a new application as required by section 3 of this rule.

(c) If the permittee does not or will not be able to comply for any reason with any discharge limitation specified in the IWP permit, the permittee shall provide the commissioner with the following information within twenty-four (24) hours of an event of permit noncompliance:

(1) A description of the discharge and cause of noncompliance.

(2) The period of noncompliance, including exact dates and times of the noncomplying event and the anticipated time when the discharge will return to compliance.

(3) Steps being taken to reduce, eliminate, and prevent recurrence of the noncomplying discharge.

(d) The permittee shall take all reasonable steps to minimize any adverse impact to the POTW, or to waters of the state, resulting from noncompliance with the IWP permit. (*Water Pollution Control Division; 327 IAC 5-21-6; filed Oct 10, 2000, 3:02 p.m.: 24 IR 315; filed Sep 6, 2018, 11:50 a.m.: [20181003-IR-327170278FRA](#)*)

327 IAC 5-21-7 Applicable discharge limitations and related conditions

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 7. Permits issued under this rule must ensure compliance with the following as applicable:

(1) The most stringent pretreatment standards and requirements specified in 327 IAC 5-18 that are applicable to a particular discharge. For purposes of this section, a pretreatment standard or requirement is applicable if it applies by its terms to the discharge and becomes effective prior to final issuance of an IWP permit.

(2) With respect to an IWP permit to be issued to an industrial user within one (1) of the industrial categories or subcategories listed in 327 IAC 5-2-1.5, if an applicable categorical pretreatment standard has not yet been promulgated under Section 307(b) or 307(c) of the Clean Water Act (33 U.S.C. 1317(b) or 33 U.S.C. 1317(c)), the permit shall include a condition stating that if such a categorical pretreatment standard is subsequently promulgated that is more stringent than any discharge limit in the permit or controls a pollutant not limited in the permit, the permit shall be promptly modified or revoked and reissued in accordance with such categorical pretreatment standard.

(3) The alternative discharge limitations or standards where warranted by fundamentally different factors under 327 IAC 5-18-5(a).

(4) The best management practices to control or abate the discharge of pollutants where:

(A) numeric effluent limitations are infeasible; or

(B) the practices are reasonably necessary to achieve discharge limitations and standards or to carry out the purposes

of the Clean Water Act (33 U.S.C. 1251).

(5) No permit shall be issued for the discharge of any radiological, chemical, or biological warfare agent or high level radioactive waste.

(6) If the promulgated pretreatment standards, listed in 327 IAC 5-2-1.5, are based on production or equivalent concentration limitations, then equivalent mass limitations may be applied in place of the standard where appropriate in the permit. If equivalent limitations are applied, the permit limitations shall be calculated in accordance with 327 IAC 5-18-4(d).

(7) Discharges that are not continuous shall be particularly described and limited, considering the following factors, as appropriate:

(A) Frequency.

(B) Total mass.

(C) Maximum rate of discharge of pollutants during the discharge.

(D) Prohibition or limitation of specified pollutants by mass, concentration, or other appropriate measure.

(8) If permit effluent limitations or standards imposed at the point of discharge are impractical or infeasible, then effluent limitations or standards for discharges of pollutants may be imposed on internal waste streams prior to mixing with other waste streams or cooling water streams with the following requirements applied:

(A) The monitoring required by section 9 of this rule shall also be applied to the internal waste streams.

(B) The effluent limitations on internal waste streams shall be developed in accordance with the provisions of 327 IAC 5-2-11(h).

(Water Pollution Control Division; 327 IAC 5-21-7; filed Oct 10, 2000, 3:02 p.m.: 24 IR 316; filed Sep 6, 2018, 11:50 a.m.: 20181003-IR-327170278FRA)

327 IAC 5-21-8 Schedules of compliance

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 8. If necessary, an IWP permit shall contain a schedule of compliance established in accordance with 327 IAC 5-2-12(a), 327 IAC 5-2-12(b), 327 IAC 5-2-12(d), 327 IAC 5-2-12.1, 327 IAC 5-18-4(c), and 327 IAC 5-18-8. *(Water Pollution Control Division; 327 IAC 5-21-8; filed Oct 10, 2000, 3:02 p.m.: 24 IR 316)*

327 IAC 5-21-9 Monitoring

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 9. Monitoring requirements shall be specified in an IWP permit:

(1) to assure compliance with discharge limitations and other terms and conditions of the permit;

(2) in accordance with the provisions of 327 IAC 5-2-13(c) through 327 IAC 5-2-13(e); and

(3) may include monitoring for one (1) or more of the following:

(A) Pollutant mass.

(B) Pollutant concentration.

(C) Other appropriate measurement for each pollutant as well as other parameters and conditions specified in the permit.

(Water Pollution Control Division; 327 IAC 5-21-9; filed Oct 10, 2000, 3:02 p.m.: 24 IR 316)

327 IAC 5-21-10 Recording and reporting of monitoring results

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 10. An IWP permittee shall record and report the results of monitoring required under section 9 of this rule according to the requirements:

(1) specified in the IWP permit; and

(2) of 327 IAC 5-2-14 and 327 IAC 5-2-15.

(Water Pollution Control Division; 327 IAC 5-21-10; filed Oct 10, 2000, 3:02 p.m.: 24 IR 317)

327 IAC 5-21-11 Public notice procedures for IWP permit issuance

Authority: [IC 13-14-8](#); [IC 13-15-1-2](#); [IC 13-15-2-1](#); [IC 13-18-2](#); [IC 13-18-3](#)

Affected: [IC 13-11-2](#); [IC 13-13-5-1](#); [IC 13-18-4](#)

Sec. 11. An IWP permit shall be issued by the commissioner in accordance with the following:

(1) Prior to permit issuance, a public notice containing the information specified in 327 IAC 5-3-12(a) through 327 IAC 5-3-12(c) and a copy of the briefing memo shall be provided to the following:

(A) The permit applicant.

(B) The POTW receiving the discharge.

(C) Any interested person who has:

(i) specifically requested the notice and statement of basis for a particular draft permit; or

(ii) requested to be placed on a mailing list for receipt of such information on all IWP permits proposed for issuance.

(2) A thirty (30) day comment period on the draft permit shall be opened by the commissioner who shall duly consider comments received during this period in the final determination on the issuance of the permit.

(3) 327 IAC 5-3-14 concerning permit issuance and effective date of the permit.

(4) 327 IAC 5-3-15 concerning response to comments received pursuant to subdivision (1).

(5) 327 IAC 5-3-16 concerning judicial review of a IWP permit issued pursuant to this rule.

(Water Pollution Control Division; 327 IAC 5-21-11; filed Oct 10, 2000, 3:02 p.m.: 24 IR 317)

327 IAC 5-21-12 IWP permit application and annual fees

Authority: [IC 13-13-5-2](#); [IC 13-14-8](#); [IC 13-16](#); [IC 13-18-4-1](#)

Affected: [IC 36-1-2-23](#)

Sec. 12. (a) The fees in this section apply to IWP permit applications and annual operations as follows:

(1) Fees are not refundable after staff review and processing of the permit application has commenced.

(2) Application fees must be submitted with the application according to the time requirements in section 3 of this rule.

(b) For IWP permits, a person shall submit the following fees:

(1) An NPDES application fee for a new or renewed IWP permit according to the following:

(A) One hundred dollars (\$100) for a major pretreatment facility.

(B) One hundred dollars (\$100) for a minor pretreatment facility.

(2) An NPDES application fee for an IWP permit modification request or variance request according to the following:

(A) Fifty dollars (\$50) for a major pretreatment facility.

(B) Fifty dollars (\$50) for a minor pretreatment facility.

(3) An annual operation fee of three hundred fifty dollars (\$350).

(Water Pollution Control Division; 327 IAC 5-21-12; filed May 23, 2022, 9:56 a.m.: [20220622-IR-327200026FRA](#))

**Rule 22. Classification of Wastewater Treatment Plants; Examination and Certification of Operators
(Repealed)**

(Repealed by Water Pollution Control Division; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#))

Rule 23. Wastewater Treatment Plant Classification and Operator Certification

[327 IAC 5-23-1](#)

Applicability

[327 IAC 5-23-2](#)

Definitions

[327 IAC 5-23-3](#)

Classification of nonindustrial wastewater treatment plants

[327 IAC 5-23-4](#)

Classification of industrial wastewater treatment plants

[327 IAC 5-23-5](#)

Reclassification of wastewater treatment plants

[327 IAC 5-23-6](#)

Owner or governing body responsibilities

327 IAC 5-23-7	Certified operator in responsible charge
327 IAC 5-23-8	Certified operator classifications
327 IAC 5-23-9	Certified operator educational and experience requirements
327 IAC 5-23-10	Substitution of educational and experience requirements
327 IAC 5-23-11	Requirements to become an apprentice or a certified operator
327 IAC 5-23-12	Application for an apprentice to become a certified operator
327 IAC 5-23-13	Examinations
327 IAC 5-23-14	Continuing education requirements for apprentices and certified operators
327 IAC 5-23-15	Approval of continuing education credit
327 IAC 5-23-16	Training course provider approval and requirements
327 IAC 5-23-17	Certificates and certification cards
327 IAC 5-23-18	Reciprocity and provisional certificates
327 IAC 5-23-19	Suspension or revocation of certification

327 IAC 5-23-1 Applicability

Authority: [IC 13-14-8](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 1. (a) This rule applies to the following persons or entities involved in the operation of a wastewater treatment plant:

- (1) An apprentice or a certified operator.
- (2) A person applying to become an apprentice or a certified operator.
- (3) The owner or governing body of a wastewater treatment plant.

(b) This rule does not apply to the following:

- (1) Pits and ponds used to capture stormwater or groundwater when any of the following conditions exist:
 - (A) The pit or pond is designed and used solely for purposes of stormwater detention or retention.
 - (B) The pit or pond does not receive or treat industrial or sanitary wastewater.
 - (C) The pit or pond is aerated, and the aeration is intended only:
 - (i) for aesthetics; or
 - (ii) to provide for dissolved oxygen, but not for the purpose of promoting biological growth or treatment of organic loading.
- (2) The discharge and management of wastewater discharged from pipelines conducting hydrostatic testing, unless the commissioner finds it necessary, on a case-by-case basis, to classify the discharge in accordance with section 4(a) of this rule.

(Water Pollution Control Division; 327 IAC 5-23-1; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#))

327 IAC 5-23-2 Definitions

Authority: [IC 13-14-8](#); [IC 13-18-11-13](#)

Affected: [IC 13-11-2-258](#); [IC 13-18-11](#)

Sec. 2. In addition to the definitions in [IC 13-11-2](#) and 327 IAC 5-1.5, the following definitions apply throughout this rule:

- (1) "Acceptable experience" means employment in the actual hands-on operation, maintenance, management, or supervision of a wastewater treatment plant that:
 - (A) is obtained under the supervision of a certified operator; and
 - (B) demonstrates to the commissioner that the applicant's experience meets the requirements described in this rule.
- (2) "Applicant" means a:
 - (A) person who has submitted a state application form seeking:
 - (i) classification as an apprentice; or
 - (ii) certification as a wastewater treatment plant operator;whether or not the person is currently employed at a wastewater treatment plant; or
 - (B) training course provider seeking course approval.
- (3) "Application" means a written request submitted to the commissioner asking for:

- (A) classification as an apprentice;
 - (B) certification as a wastewater treatment plant operator; or
 - (C) training course approval.
- (4) "Apprentice" means a person who has successfully passed the wastewater treatment certification examination but has not fulfilled either the educational or experience requirements, or both, necessary to qualify to be a certified operator for a specific classification.
- (5) "Certificate" means an appropriate document issued by the department containing the following information:
- (A) The name of the person being certified.
 - (B) Affirmation that the named person has fulfilled the requirements for certification contained in this rule.
 - (C) The classification of the wastewater treatment certified operator.
 - (D) The date of issuance.
 - (E) An identification number unique to each certificate.
- (6) "Certification card" means a card issued by the department to a person who has fulfilled the requirements to be a wastewater treatment certified operator and contains the following information:
- (A) The name and certificate number of the person.
 - (B) The classification of the wastewater treatment certified operator.
 - (C) An expiration date.
- (7) "Certified operator" means a person who:
- (A) has met the requirements of this rule; and
 - (B) holds a current certificate and certification card for wastewater treatment issued by the department.
- (8) "Contact hour" means an instructional session of at least fifty (50) minutes duration that:
- (A) is approved by the commissioner; and
 - (B) led by a qualified instructor or lecturer.
- (9) "Design population equivalent" means the population equivalent for which the plant is designed.
- (10) "Full time" means working at the wastewater treatment plant for a minimum of one thousand five hundred sixty (1,560) hours each year.
- (11) "General contact hour" refers to a contact hour from an industrial session that addresses general matters that enhance the performance of the certified operator's responsibilities but are not directly related to wastewater treatment plant and sewer system operations, maintenance, management, or supervision.
- (12) "Industrial treatment plant" means a wastewater treatment plant owned by either a private or government entity that is designed and operated to treat primarily wastewater from industrial processes, but does not include a POTW that receives and treats a portion of incoming wastewater from industrial processes.
- (13) "Nonindustrial treatment plant" refers to a POTW, semipublic facility, privately owned treatment work, state or federally owned wastewater treatment facility that primarily treats sanitary wastewater, as defined in 327 IAC 2-1.3-2(47).
- (14) "Population equivalent" or "PE" means the calculated population that would contribute the equivalent amount of biochemical oxygen demand (BOD) per day using a base of seventeen-hundredths (0.17) pound of five (5) day BOD per capita per day.
- (15) "Responsible charge experience" means the amount of time an operator works at the wastewater treatment plant in responsible charge of the plant, a work shift, or a major unit of treatment.
- (16) "Responsible charge operator" or "operator in responsible charge" means one (1) of the following:
- (A) The wastewater treatment certified operator officially designated by the principal executive of the NPDES permit holder or owner of the wastewater treatment plant.
 - (B) An operator who makes process control or system integrity decisions about the overall daily operation, maintenance, management, or supervision of a wastewater treatment plant necessary to meet the performance requirements and limits of the assigned permit and any applicable local ordinance or other regulatory requirements.
- (17) "Technical contact hour" refers to a contact hour from an instructional session that addresses technical matters related directly to wastewater treatment plant and sewer system operations, maintenance, management, or supervision.
- (18) "Training course" means an instructional session that deals with one (1) or more of the following, as determined by the commissioner:
- (A) Technical matters related directly to wastewater treatment.

(B) General matters related to the responsibilities of a wastewater treatment certified operator.

(19) "Training provider" means a person or organization that conducts or presents a training course approved under this rule.

(20) "Wastewater treatment plant" has the meaning set forth in [IC 13-11-2-258](#) and also includes wastewater treatment plants in Indiana owned or operated by the federal government.

(Water Pollution Control Division; 327 IAC 5-23-2; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#))

327 IAC 5-23-3 Classification of nonindustrial wastewater treatment plants

Authority: [IC 13-14-8](#); [IC 13-18-11-2](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 3. A nonindustrial wastewater treatment plant is classified based on the design population equivalent of the plant as follows:

(1) Class I-SP includes all waste stabilization ponds, whether controlled discharge or continuous discharge, regardless of flow.

(2) Class I includes wastewater treatment plants having a design population equivalent of less than two thousand (2,000).

(3) Class II includes wastewater treatment plants having a design population equivalent:

(A) equal to or greater than two thousand (2,000); and

(B) less than ten thousand (10,000).

(4) Class III includes wastewater treatment plants having a design population equivalent:

(A) equal to or greater than ten thousand (10,000); and

(B) less than or equal to forty thousand (40,000).

(5) Class IV includes wastewater treatment plants having a design population equivalent greater than forty thousand (40,000).

(Water Pollution Control Division; 327 IAC 5-23-3; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#))

327 IAC 5-23-4 Classification of industrial wastewater treatment plants

Authority: [IC 13-14-8](#); [IC 13-18-11-2](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 4. (a) An industrial wastewater treatment plant is classified based on the type of treatment provided, design population equivalent, and the average daily flow as follows:

(1) Class A-SO includes wastewater treatment plants having one (1) or more of the following:

(A) Primary solids removal facilities used only for removal of solids, such as:

(i) settling tanks;

(ii) settling ponds;

(iii) sand filters; or

(iv) screens.

(B) Tanks, ponds, centrifuges, or other facilities used to separate floatable oils and solids.

(C) pH adjustment.

(D) Activated carbon filtration or membrane filtration systems with replaceable filter cartridges.

Wastewater flow is not a limiting factor in the Class A-SO classification of an industrial wastewater treatment plant.

(2) Class A includes wastewater treatment plants having one (1) or more of the following:

(A) Secondary treatment facilities that treat wastewater loads of less than two thousand (2,000) design population equivalent, such as:

(i) anaerobic or aerobic waste stabilization ponds;

(ii) trickling filter;

(iii) activated sludge-type treatment plants;

(iv) aerated lagoons; or

(v) other biological treatment facilities.

(B) Spray, broad, or ridge and furrow irrigation facilities that treat a wastewater flow of less than two hundred

thousand (200,000) gallons per day.

(C) Groundwater remediation systems using only air stripping that discharge less than twenty-five thousand (25,000) gallons per day.

(3) Class B includes wastewater treatment plants having one (1) or more of the following:

(A) Secondary treatment facilities that treat wastewater loads equal to or greater than two thousand (2,000) design population equivalent and less than ten thousand (10,000) design population equivalent, such as:

- (i) anaerobic or aerobic waste stabilization ponds;
- (ii) trickling filter;
- (iii) activated sludge-type treatment plants;
- (iv) aerated lagoons; or
- (v) other biological treatment facilities.

(B) Spray, broad, or ridge and furrow irrigation facilities that treat a wastewater flow equal to or greater than two hundred thousand (200,000) gallons per day and less than one million (1,000,000) gallons per day.

(C) Chemical or physical treatment facilities that process or treat wastewater flow equal to or greater than twenty-five thousand (25,000) gallons per day and less than fifty thousand (50,000) gallons per day using one (1) of the following methods:

- (i) Cyanide destruction.
- (ii) Chromium reduction.
- (iii) Coagulation and flocculation.
- (iv) Air flotation.
- (v) Air stripping.
- (vi) Advanced oxidation.
- (vii) Activated carbon filtration.
- (viii) Membrane filtration.
- (ix) Steam stripping.

(D) Groundwater remediation treatment systems using chemical or membrane treatment and designed to treat twenty-five thousand (25,000) gallons per day or greater.

(4) Class C includes wastewater treatment plants having one (1) or more of the following:

(A) Secondary treatment facilities that treat wastewater loads equal to or greater than ten thousand (10,000) design population equivalent and less than forty thousand (40,000) design population equivalent, such as:

- (i) anaerobic or aerobic waste stabilization ponds;
- (ii) trickling filter;
- (iii) activated sludge-type treatment plants;
- (iv) aerated lagoons; or
- (v) other biological treatment facilities.

(B) Spray, broad, or ridge and furrow irrigation facilities that treat a wastewater flow equal to or greater than one million (1,000,000) gallons per day and less than four million (4,000,000) gallons per day.

(C) Chemical or physical treatment facilities that process or treat wastewater flow equal to or greater than fifty thousand (50,000) gallons per day and less than two hundred thousand (200,000) gallons per day using one (1) of the following methods:

- (i) Cyanide destruction.
- (ii) Chromium reduction.
- (iii) Coagulation and flocculation.
- (iv) Air flotation.
- (v) Air stripping.
- (vi) Advanced oxidation.
- (vii) Activated carbon filtration.
- (viii) Membrane filtration.
- (ix) Steam stripping.

(5) Class D includes wastewater treatment plants having one (1) or more of the following:

(A) Secondary treatment facilities that treat wastewater loads equal to or greater than forty thousand (40,000) design population equivalent, such as:

- (i) anaerobic or aerobic waste stabilization ponds;
- (ii) trickling filter;
- (iii) activated sludge-type treatment plants;
- (iv) aerated lagoons; or
- (v) other biological treatment facilities.

(B) Chemical or physical treatment facilities that process or treat a wastewater flow equal to or greater than two hundred thousand (200,000) gallons per day using one (1) of the following methods:

- (i) Cyanide destruction.
- (ii) Chromium reduction.
- (iii) Coagulation and flocculation.
- (iv) Air flotation.
- (v) Air stripping.
- (vi) Advanced oxidation.
- (vii) Activated carbon filtration.
- (viii) Membrane filtration.
- (ix) Steam stripping.

(C) Deep well disposal systems, thermal evaporators, or incinerators used in conjunction with liquid waste disposal.

(D) An industry utilizing a highly complex wastewater treatment method.

(b) If an industrial wastewater treatment plant has more than one (1) treatment process despite having only one (1) wastewater treatment plant, that industrial wastewater treatment plant is classified into the classification of the most complex component of wastewater treatment performed in relation to the following factors:

- (1) Secondary treatment PE.
- (2) Spray irrigation volume.
- (3) Chemical treatment volume.

(c) A wastewater treatment plant using one (1) or more treatment methods not specifically described in subsection (a) or

(b) shall be classified by the department based on the treatment technology type and size. (*Water Pollution Control Division; 327 IAC 5-23-4; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#)*)

327 IAC 5-23-5 Reclassification of wastewater treatment plants

Authority: [IC 13-14-8](#); [IC 13-18-11-2](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 5. (a) A wastewater treatment plant may be reclassified by the commissioner if any of the following situations exist:

- (1) The wastewater treatment plant utilizes special or complex equipment or features of design requiring more difficult operation.
- (2) The wastewater is unusually difficult to treat.
- (3) More than ordinary chemical, bacteriological, or biological nutrient removal controls are required.
- (4) An unusually high degree of skill is required in the operation of the wastewater treatment plant to ensure continuous production of effluent that meets the water quality requirements of the receiving stream and the NPDES permit limitations.
- (5) A significant change occurs to the wastewater treatment plant by the addition or removal of the following:
 - (A) Flow volume.
 - (B) Equipment.
 - (C) Pollutant loading.
 - (D) Wastestreams.
 - (E) Treatment processes.

(b) When considering reclassification of a wastewater treatment plant, the commissioner shall do the following:

- (1) Base reclassification of the wastewater treatment plant on information:
 - (A) supplied by the governing body or owner in a construction permit application for modification of the wastewater treatment plant;

(B) supplied by the governing body or owner in a NPDES or industrial waste pretreatment (IWP) permit application or application for modification of an NPDES or IWP permit; or

(C) identified by the department that is applicable to the classification of the wastewater treatment plant.

(2) Give written notice of a reclassification to the governing body or owner and to the responsible charge operator indicating the following:

(A) The classification of certified operator that is necessary to supervise the reclassified wastewater treatment plant.

(B) A date by which time a certified operator:

(i) is required to comply with clause (A); and

(ii) must be in responsible charge of the reclassified wastewater treatment plant.

(c) The permittee shall notify the commissioner of any significant change or planned change to the wastewater treatment plant or contributing wastestreams that may be cause for a change in classification. (*Water Pollution Control Division; 327 IAC 5-23-5; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#)*)

327 IAC 5-23-6 Owner or governing body responsibilities

Authority: [IC 13-14-8](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 6. The owner or governing body of a wastewater treatment plant is responsible for the following:

(1) Providing adequate funding and oversight of the wastewater treatment plant to ensure proper:

(A) operation;

(B) maintenance;

(C) management; and

(D) supervision.

(2) Placing each wastewater treatment plant under the direct supervision and responsible charge of a certified operator who holds a current certification that corresponds to the classification of certified operator allowed to operate the wastewater treatment plant in accordance with section 8 of this rule.

(3) Notifying the commissioner of the name of the certified operator in responsible charge.

(4) Submitting written notification to the commissioner not later than thirty (30) days after the occurrence of a change in either of the following:

(A) The person serving as the certified operator in responsible charge of the wastewater treatment plant.

(B) Conditions or circumstances that were used as the basis for the original classification of the wastewater treatment plant.

(5) The responsibilities of the owner or governing body described in this section may not be delegated.

(*Water Pollution Control Division; 327 IAC 5-23-6; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#)*)

327 IAC 5-23-7 Certified operator in responsible charge

Authority: [IC 13-14-8](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11-8](#)

Sec. 7. (a) A certified operator in responsible charge shall do the following:

(1) Spend sufficient time at each facility for which the certified operator in responsible charge is required to accomplish all expectations as described in this section.

(2) Make process control or system integrity decisions about the overall daily operation, maintenance, management, and supervision of the wastewater treatment plant necessary to meet the performance requirements and limits of:

(A) the permit;

(B) local ordinances; and

(C) other applicable regulatory requirements.

(3) Provide direction or supervision to ensure written and electronic monitoring reports are prepared in accordance with a system designed to:

(A) assure that qualified personnel properly gather and evaluate the information submitted; and

(B) certify that the information submitted is true, accurate, and complete, to the best of the knowledge and belief of

the certified operator, based on inquiry of:

- (i) the person who manages the system; or
- (ii) the person directly responsible for gathering the information.

(b) A certified operator may be designated as being in responsible charge of more than one (1) wastewater treatment plant if the following requirements are met:

(1) The certified operator provides adequate supervision to each wastewater treatment plant under the certified operator's responsible charge by spending sufficient time on a regular basis, either onsite or through remote monitoring of the wastewater treatment plant, to ensure that:

- (A) the certified operator is knowledgeable of the actual operations;
- (B) test reports and results are representative of the actual operational and compliance conditions; and
- (C) the certified operator is fulfilling the duties described in subsection (a).

(2) For each affected wastewater treatment plant, the certified operator in responsible charge ensures proper:

- (A) operation;
- (B) maintenance;
- (C) management; and
- (D) supervision.

(3) Each wastewater treatment plant under the responsible charge of a single certified operator is achieving the performance requirements and limits in the:

- (A) assigned permit;
- (B) local ordinances; and
- (C) other applicable regulatory requirements.

(c) An apprentice must not be designated as the certified operator in responsible charge of a wastewater treatment plant.

(d) The commissioner may request submission of documentation of the following:

(1) Information about each wastewater treatment plant under the responsible charge of a certified operator, including the:

- (A) name;
- (B) location; and
- (C) classification.

(2) The amount of time that the certified operator in responsible charge spends at each wastewater treatment plant identified in subdivision (1).

(3) The duties and responsibilities of the certified operator in responsible charge at each wastewater treatment plant.

(e) If a certified operator in responsible charge of a wastewater treatment plant does not meet the requirements of this section, or if the commissioner identifies concerns with the operation of the wastewater treatment plant under the supervision of the certified operator, the commissioner may initiate an action, including an enforcement action to:

- (1) restrict the number of wastewater treatment plants under that certified operator's responsible charge;
- (2) specify the amount of time that the certified operator in responsible charge shall be required to spend in the operation of each wastewater treatment plant;
- (3) suspend or revoke the wastewater treatment plant operator's certificate in accordance with section 19 of this rule and [IC 13-18-11-8](#); or

(4) require the certified operator to take specific action to correct violations of this section.

(Water Pollution Control Division; 327 IAC 5-23-7; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#))

327 IAC 5-23-8 Certified operator classifications

Authority: [IC 13-14-8](#); [IC 13-18-11-3](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 8. A certified operator may possess a current certification in one (1) or more of the ten (10) classes of certified operators and may operate classifications of wastewater treatment plants as follows:

- (1) A Class I-SP certified operator is certified to operate wastewater treatment plants classified as Class I-SP.
- (2) A Class A-SO certified operator is certified to operate wastewater treatment plants classified as Class A-SO.
- (3) A Class I certified operator is certified to operate wastewater treatment plants classified as:
 - (A) Class I-SP;

- (B) Class I;
- (C) Class A-SO; and
- (D) Class A.
- (4) A Class A certified operator is certified to operate wastewater treatment plants classified as:
 - (A) Class A-SO; and
 - (B) Class A.
- (5) A Class II certified operator is certified to operate wastewater treatment plants classified as:
 - (A) Class A-SO;
 - (B) Class A;
 - (C) Class I-SP;
 - (D) Class I; and
 - (E) Class II.
- (6) A Class B certified operator is certified to operate wastewater treatment plants classified as:
 - (A) Class A-SO;
 - (B) Class A; and
 - (C) Class B.
- (7) A Class III certified operator is certified to operate wastewater treatment plants classified as:
 - (A) Class A-SO;
 - (B) Class A;
 - (C) Class I-SP;
 - (D) Class I;
 - (E) Class II; and
 - (F) Class III.
- (8) A Class C certified operator is certified to operate wastewater treatment plants classified as:
 - (A) Class A-SO;
 - (B) Class A;
 - (C) Class B; and
 - (D) Class C.
- (9) A Class IV certified operator is certified to operate wastewater treatment plants classified as:
 - (A) Class A-SO;
 - (B) Class A;
 - (C) Class I-SP;
 - (D) Class I;
 - (E) Class II;
 - (F) Class III; and
 - (G) Class IV.
- (10) A Class D certified operator is certified to operate wastewater treatment plants classified as:
 - (A) Class A-SO;
 - (B) Class A;
 - (C) Class B;
 - (D) Class C; and
 - (E) Class D.

(Water Pollution Control Division; 327 IAC 5-23-8; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#))

327 IAC 5-23-9 Certified operator educational and experience requirements

Authority: [IC 13-14-8](#); [IC 13-18-11-3](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 9. (a) Educational and experience requirements necessary to become a certified operator in each of the classes of wastewater treatment plants are as follows:

- (1) Class I-SP and Class A-SO certified operator applicants must have attained the following:

- (A) A high school diploma or equivalent education.
- (B) Three (3) months of full-time acceptable experience at a wastewater treatment plant.
- (2) Class I and Class A certified operator applicants must have attained the following:
 - (A) A high school diploma or equivalent education.
 - (B) Nine (9) months of full-time acceptable experience at a wastewater treatment plant.
- (3) Class II and Class B certified operator applicants must have attained the following:
 - (A) A high school diploma or equivalent education.
 - (B) Two (2) years of full-time acceptable experience at a wastewater treatment plant.
- (4) Class III and Class C certified operator applicants must have attained the following:
 - (A) A high school diploma or equivalent education.
 - (B) Three (3) years of full-time acceptable experience with two (2) of the three (3) years in a position of responsible charge operator at a wastewater treatment plant of one (1) or more of the following classes:
 - (i) Class II.
 - (ii) Class III.
 - (iii) Class IV.
 - (iv) Class B.
 - (v) Class C.
 - (vi) Class D.
- (5) Class IV and Class D certified operator applicants must have attained the following:
 - (A) One (1) or more of the following educational degrees:
 - (i) A bachelor's degree with a major in engineering, chemistry, or a biological science.
 - (ii) An associate degree in a curriculum related to wastewater treatment.
 - (B) Five (5) years of full-time acceptable experience with two (2) of the five (5) years in a position of responsible charge operator at a wastewater treatment plant of one (1) or more of the following classes:
 - (i) Class III.
 - (ii) Class IV.
 - (iii) Class C.
 - (iv) Class D.

(b) In Class III, Class C, Class IV, and Class D wastewater treatment plants, the individual supervising and responsible for a major section of the plant or an operating shift may be credited with experience as responsible charge operator to meet the requirements of subsection (a)(4) and (a)(5).

(c) Part-time experience shall be credited at a proportionally lower rate.

(d) Educational and experience requirements may be met by substitution of other education or experience in accordance with section 10 of this rule. (*Water Pollution Control Division; 327 IAC 5-23-9; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#)*)

327 IAC 5-23-10 Substitution of educational and experience requirements

Authority: [IC 13-14-8](#); [IC 13-18-11-3](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 10. (a) The department may make substitutions for education and experience provided in the application if the minimum requirements for the desired classification of operator certification in section 9 of this rule are not met.

(b) Education that exceeds the minimum educational requirements can be substituted for the experience requirements in section 9 of this rule.

(c) Acceptable experience that exceeds the minimum experience requirements can be substituted for the educational requirement in section 9 of this rule.

(d) The department shall consider the following information in determining if a substitution is approvable:

- (1) Subject matter of course work completed and how it relates to wastewater treatment.
- (2) Hours of course work completed that are applicable to wastewater treatment or a related field of study.
- (3) Type of experience in wastewater treatment or a related field of work.
- (4) Amount of time completed in wastewater treatment experience or experience in a related field of work.

(5) Other information relevant to the ability of the applicant to perform the duties of a certified operator.

(e) In accordance with 327 IAC 8-12-3.2(e), Grade WT 3, Grade WT 4, and Grade WT 5 operators are considered to have met the educational requirements necessary to take the Class A-SO wastewater treatment certification examination. (*Water Pollution Control Division; 327 IAC 5-23-10; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#)*)

327 IAC 5-23-11 Requirements to become an apprentice or a certified operator

Authority: [IC 13-14-8](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11-6.5](#)

Sec. 11. (a) To become a wastewater treatment plant apprentice, a person must:

(1) submit a completed form approved by the Indiana archives and records administration (IARA), as described in subsection (f) or (g), to the department for approval; and
(2) upon approval by the department of the completed form, pass the corresponding classification of wastewater treatment certification examination.

(b) To be approved to become a wastewater treatment certified operator, a person must:

(1) have the formal education specified in section 9 of this rule;
(2) have the experience specified in section 9 of this rule in the field of wastewater treatment that:
(A) demonstrates the applicant's technical knowledge;
(B) can be verified based on information from available sources, primarily the applicant's wastewater treatment plant employer; and
(C) is the result of satisfactory accomplishment of wastewater treatment plant work;
(3) submit a completed application on a form approved by the IARA for use by the department, as described in subsection (g), to the department for approval; and
(4) pass the wastewater treatment certification examination, unless exempted under [IC 13-18-11](#).

(c) A person may apply for a reciprocal license under section 18 of this rule to become a certified operator.

(d) A person may take the wastewater treatment certification examination before obtaining the educational and experience requirements specified in section 9 of this rule and become an apprentice for a specific classification of wastewater treatment plant. Upon passing the examination, the applicant will be issued an apprentice certificate and card which is effective for not more than six (6) years.

(e) A person who fails to achieve a minimum passing score on the wastewater treatment certification examination may retake the examination in accordance with the following:

(1) The person shall submit a new application and fee for approval to take the examination.
(2) Prior to resubmitting an application or being allowed to retake the examination, a person who has failed the examination three (3) consecutive times may be required to attend and pass a technical examination preparation course that:
(A) is approved by the department;
(B) is directly related to wastewater treatment; and
(C) includes a minimum of eight (8) hours of instruction.

(3) The person must submit the documentation required in this section on a form approved by the IARA for use by the department, as described in subsection (f) or (g).

(f) An applicant applying to become an apprentice must include the following information and fee on a form approved by the IARA for use by the department:

(1) Classification requested.
(2) A nonrefundable thirty dollar (\$30) application fee to the department.
(3) Contact information and date of birth for the applicant.
(4) Information about previous Indiana applications and current certification information for an applicant who is a certified operator, if applicable.

(g) An applicant applying to become a certified operator, or, as an alternative option to subsection (f), an applicant looking to become an apprentice must provide the following information and fee on a form approved by the IARA for use by the department:

(1) Type of certification and classification requested.
(2) A nonrefundable thirty dollar (\$30) application fee to the department.
(3) Contact information and date of birth for the applicant.

- (4) Information about previous Indiana applications and current certification information for an applicant who is a certified operator, if applicable.
- (5) Information on educational background for the applicant.
- (6) Information on specialized training or classes relevant to the certification.
- (7) Information on operational experience history for the applicant.
- (8) Information on responsible charge experience for the applicant.
- (9) Signed statements by the applicant and the applicant's supervisor.
- (h) For certification renewals, the commissioner shall complete the following:
 - (1) Issue a renewal notification to each certified wastewater treatment plant operator stating the following:
 - (A) The expiration date of the certified operator's certification card.
 - (B) The thirty dollar (\$30) nonrefundable fee required for certification card renewal.
 - (2) Notify operators of the need to renew the certification card:
 - (A) at least thirty (30) days before the expiration of the certification card; and
 - (B) to the last known address or electronic mail address filed with the commissioner.
 - (i) To renew a certification card, a certified wastewater treatment plant operator shall:
 - (1) meet the continuing education requirements of section 14 of this rule;
 - (2) submit the renewal fee; and
 - (3) either:
 - (A) sign and return the renewal notification to the commissioner; or
 - (B) submit the complete renewal application electronically.

(j) The commissioner shall deny renewal of a certification card that is not renewed within the time limit established in this section and [IC 13-18-11-6.5\(c\)](#).

(k) Except for an allowance of up to twelve (12) months from the end date of deployment by the U.S. military, a wastewater treatment plant operator who fails to renew a certificate for more than one (1) year following the expiration date may not receive a renewal certificate without reexamination.

(l) A certified operator whose certification has expired may not work as an operator in responsible charge until the certification is renewed or reinstated and effective. (*Water Pollution Control Division; 327 IAC 5-23-11; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#)*)

327 IAC 5-23-12 Application for an apprentice to become a certified operator

Authority: [IC 13-14-8](#); [IC 13-18-11-3](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 12. (a) An apprentice is required to fulfill the following requirements to become a certified operator:

- (1) Meet the educational and experience requirements in section 9 of this rule that are applicable to the class of examination that the apprentice passed.
- (2) Fulfill the continuing education requirement in section 14(a) of this rule.
- (3) Complete a certification application on a form approved by the Indiana archives and records administration (IARA) for use by the department, as described in subsection (d), that:
 - (A) contains true and accurate information to the best of the knowledge of the apprentice; and
 - (B) is free of omissions and misrepresentations, either of which may result in rejection of the application or revocation of a certificate previously granted.
- (4) Submit a completed certification application and fee to the commissioner not later than six (6) years after the date of successfully completing the wastewater treatment certification examination.
- (b) If an apprentice does not fulfill the requirements of subsection (a) and receive certification as a certified operator within six (6) years, then, to become a certified operator, the apprentice must submit a complete application on a form approved by the IARA for use by the department, as described in subsection (d), to retake the examination and obtain a passing score.
- (c) Upon receipt of a complete application, the commissioner shall do the following:
 - (1) Review a certification application and supporting documents and make a decision concerning the eligibility of an apprentice for wastewater treatment plant operator certification.
 - (2) Issue a wastewater treatment plant operator certificate designating competency in the appropriate wastewater treatment

classification to each apprentice who:

- (A) submits a complete and timely application;
- (B) meets the necessary requirements of education, experience, and continuing education; and
- (C) has successfully completed the appropriate examination within the prior six (6) years.

(d) An apprentice seeking to become a certified operator must complete a form approved by the IARA for use by the department and submit a request for certification to the department with the following information and fee:

- (1) Type of classification requested and apprentice card number with the expiration date.
- (2) Contact information and date of birth for the applicant.
- (3) Information about previous Indiana applications and current certification information for an applicant that is a certified operator, if applicable.
- (4) Indicate if the applicant has ever been the subject of a wastewater license suspension or revocation proceeding or investigation, and if so, include the following:
 - (A) Date of the investigation or proceeding.
 - (B) Result of the investigation or proceeding.
- (5) Information on educational background for the applicant, including original transcripts, if applicable.
- (6) Information on continuing education relevant to certification.
- (7) Information on operational experience history for the applicant.
- (8) Information on responsible charge experience for the applicant.
- (9) Signed statements by the applicant and the applicant's supervisor.

(Water Pollution Control Division; 327 IAC 5-23-12; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#))

327 IAC 5-23-13 Examinations

Authority: [IC 13-14-8](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 13. (a) The department shall prepare and maintain a standardized examination to reflect the duties and responsibilities required of each classification of wastewater treatment plant operator as follows:

- (1) The examination must include questions that demonstrate the knowledge, ability, and judgment of the applicant to do the following:
 - (A) Read and write the English language for the purpose of:
 - (i) interpreting service manuals and work orders; and
 - (ii) submitting reports.
 - (B) Make computations, including calculating volumes and areas.
 - (C) Keep accurate records.
- (2) The examination must be conducted at least annually.
- (3) The examination may be administered:
 - (A) electronically; and
 - (B) through an independent third party administrator approved by the commissioner.
- (b) A person seeking to take the examination must meet the following requirements:
 - (1) Complete an application on a form approved by the Indiana archives and records administration (IARA) for use by the department as described in section 11(g) of this rule, or complete an application on a form approved by the IARA for use by the department as described in section 11(f) of this rule, as appropriate, that:
 - (A) contains true and accurate information to the best of the knowledge of the applicant; and
 - (B) is free of omissions and misrepresentations, either of which may result in:
 - (i) rejection of the application; or
 - (ii) revocation of a certificate previously granted.
 - (2) Submit the application and fee to the commissioner as follows:
 - (A) If applying to take the examination administered on paper, the application must be submitted not later than forty-five (45) days preceding the date of the examination.
 - (B) If applying to take the examination electronically, there is no application deadline.
 - (3) The fee described herein is separate and distinct from a fee that may be charged to the applicant by the authorized third

party administrator for taking the examination.

(c) The commissioner shall:

(1) review the application and supporting documents concerning the eligibility of the applicant for wastewater treatment certification examination; and

(2) when an application demonstrates the applicant meets all of the requirements, issue a written notification in the form of an admission slip:

(A) providing the time and place of the examination to be presented by the applicant at the examination; or

(B) authorizing the applicant to schedule a location and time for the electronic examination with the approved independent third party administrator.

(d) An applicant who has received an approval letter to take an examination may submit a written request to the commissioner for a postponement to take the examination as follows:

(1) Only one (1) postponement for each applicant is allowed.

(2) The written request for postponement must be submitted prior to the expiration date of the approval letter:

(A) except in the case of a demonstrated emergency; or

(B) when a person is prevented from taking the examination in a timely manner due to U.S. military deployment.

(e) An applicant who has received an approval letter to take an examination is considered to have failed that examination if any of the following occurs:

(1) The applicant:

(A) does not attend the examination; and

(B) has not requested a postponement in accordance with subsection (d).

(2) The applicant is caught cheating on an examination, which will make an applicant ineligible to take a wastewater operator certification examination for a period of two (2) years following the examination date.

(3) The applicant scores less than seventy percent (70%) correct answers.

(f) The commissioner shall manage completed examinations as follows:

(1) The commissioner shall notify an applicant of the examination result in writing or electronically.

(2) The commissioner and the third party administrator shall retain examination papers or electronic records with an opportunity afforded to an applicant for review of the graded examination up to ninety (90) days after the date the applicant completed the examination if the applicant submits the following to the commissioner:

(A) A written or electronic request for review of the graded examination.

(B) A statement affirming the applicant's understanding that examination review does not include the right to copy or transmit, by any means, the examination or any portion of it.

(g) A person previously certified as a wastewater treatment plant operator in accordance with this rule who has failed to meet the renewal requirements in section 11(h) of this rule must fulfill the following to obtain a new certification:

(1) Meet the qualifications of this rule.

(2) Except as described in subsection (h), retake an examination and achieve a passing score.

(h) A person who was prevented from taking the examination in subsection (g)(2) in a timely manner due to U.S. military deployment may request a waiver from the requirement to retake the examination for a period not to exceed twelve (12) months from the end date of the deployment.

(i) A person who obtains a wastewater treatment plant operator certification by reciprocal recognition or a provisional wastewater treatment plant operator certificate in accordance with section 18 of this rule is not required to take an examination.

(Water Pollution Control Division; 327 IAC 5-23-13; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#))

327 IAC 5-23-14 Continuing education requirements for apprentices and certified operators

Authority: [IC 13-14-8](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 14. (a) Prior to receiving a license as a certified operator, an apprentice shall earn cumulative contact hours based on the number of years the apprentice classification is held as follows:

(1) An Apprentice I-SP and Apprentice A-SO must earn the following minimum contact hours, including the portion required to be technical contact hours:

INDUSTRIAL WASTEWATER PRETREATMENT PROGRAMS AND NPDES

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
Total Contact Hours	2.5	5	7.5	10	12.5	15
Technical Portion Contact Hours	2.0	3.5	5.5	7	9	11

(2) An Apprentice I, Apprentice A, Apprentice II, and Apprentice B must earn the following minimum contact hours, including the portion required to be technical contact hours:

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
Total Contact Hours	5	10	15	20	25	30
Technical Portion Contact Hours	3.5	7.5	11	14	17.5	21

(3) An Apprentice III, Apprentice C, Apprentice IV, and Apprentice D must earn the following minimum contact hours, including the portion required to be technical contact hours:

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
Total Contact Hours	10	20	30	40	50	60
Technical Portion Contact Hours	7	14	21	28	35	42

(b) Prior to renewing a certification card, a certified operator shall earn the following minimum number of contact hours, including the portion required to be technical contact hours, during the period of time between the effective date and expiration date of the certification:

Certified Operator Classification	Total Contact Hours	Technical Portion Contact Hours
Class I-SP	8	6
Class A-SO	8	6
Class I	15	11
Class A	15	11
Class II	15	11
Class B	15	11
Class III	30	21
Class C	30	21
Class IV	30	21
Class D	30	21

(c) A person having more than one (1) apprenticeship or operator certification may receive contact hours from a single approved continuing education course to be applied to each apprenticeship or operator certification to which the subject matter is applicable. (*Water Pollution Control Division; 327 IAC 5-23-14; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#)*)

327 IAC 5-23-15 Approval of continuing education credit

Authority: [IC 13-14-8](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 15. (a) The commissioner shall only approve continuing education contact hour credit that meets the criteria of:

- (1) section 16 of this rule; or
- (2) subsection (b).

(b) The following procedures apply to a certified operator seeking contact hour credit for a course that is not approved under section 16 of this rule:

- (1) The training course provider must submit a petition using a form approved by the Indiana archives and records administration (IARA) for use by the department, as described in subsection (f), prior to course completion or as soon as practical afterwards but not later than ninety (90) days after training completion.
- (2) The petition must contain the information required by section 16(a)(2) of this rule.
- (3) The certified operator must supply written proof of attendance at the wastewater treatment continuing education course within ninety (90) days following course completion.

(4) A person who is prevented from submitting documentation of course attendance in a timely manner due to U.S. military deployment may submit the documentation within a period not to exceed twelve (12) months from the end date of the deployment.

(c) The commissioner shall not grant credit for a course that has been repeated within a renewal period.

(d) A certified operator who is an instructor or speaker at a wastewater treatment continuing education course shall receive the same number of contact hours as the students of the course for not more than one (1) presentation of the training.

(e) The commissioner shall not grant partial credit for participation in less than a complete wastewater treatment continuing education course for:

- (1) instructors;
- (2) speakers; or
- (3) students.

(f) As required under subsection (b), the following information must be included on a form approved by the IARA for use by the department:

- (1) Indicate if the applicant is an operator or an apprentice.
- (2) Training course approval number.
- (3) Technical contact hours and general contact hours earned.
- (4) Information on the continuing education course, including the total number of contact hours attended and verified by the instructor and training course provider.
- (5) Information on continuing education credit hours to be applied.
- (6) Signed statements by the applicant and instructor.

(Water Pollution Control Division; 327 IAC 5-23-15; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#))

327 IAC 5-23-16 Training course provider approval and requirements

Authority: [IC 13-14-8](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11](#)

Sec. 16. (a) To obtain approval to provide continuing education credit courses, a training course provider shall meet the following requirements:

(1) The training course provider shall submit an application and receive continuing education course approval from the commissioner before publicly offering a wastewater treatment continuing education course.

(2) The application must be:

- (A) submitted not later than ninety (90) days after training completion in order to be considered for approval;
- (B) accompanied by a written course outline or brochure; and
- (C) submitted on a form approved by the Indiana archives and records administration for use by the department and contain:

- (i) the name, address, telephone number, and electronic mail address of the course sponsor, training provider, or other contact person;
- (ii) the name of the course;
- (iii) specific topics that are included in the course presentations;
- (iv) the amount of time devoted to each topic;
- (v) the number of technical and general whole or half contact hours being requested;
- (vi) the instructor's name and qualifications, including:
 - (AA) educational background;
 - (BB) professional experience; and
 - (CC) current professional affiliations;
- (vii) the schedule, anticipated locations, and number of times the training is anticipated to be offered;
- (viii) the method of training delivery, such as:
 - (AA) onsite lecture;
 - (BB) electronic means; or
 - (CC) other means as specified by the training course provider;
- (ix) the method of attendance verification for record keeping and reporting, such as:

- (AA) sign in and sign out sheets;
- (BB) electronic tracking;
- (CC) date stamping; or
- (DD) other means as specified by the training course provider; and
- (x) an applicant's signature indicating that all information provided is accurate.
- (3) The continuing education course must meet the following requirements:
 - (A) The course deals with one (1) or more of the following matters as determined by the commissioner:
 - (i) Technical matters related directly to wastewater treatment plant and sewer system operations, maintenance, management, or supervision.
 - (ii) General matters that enhance the performance of the certified operator's responsibilities but are not directly related to wastewater treatment plant and sewer system operations, maintenance, management, or supervision.
 - (B) Each instructor and speaker is qualified by academic work or practical experience to teach the proposed wastewater treatment continuing education course.
- (b) The training course provider may award contact hours in full or half hour increments based on the length of the instructional session.
- (c) A training course provider shall generate records of each wastewater treatment continuing education course conducted that include the following:
 - (1) The date or dates of the wastewater treatment continuing education course.
 - (2) The name of each person in attendance at the wastewater treatment continuing education course.
 - (3) The length of time of the course.
 - (4) The number of technical and general hours in the course.
 - (5) The instructor's name.
 - (6) The course name and approval number.
 - (7) The name of the organization sponsoring the course.
- (d) Records required by subsection (c) must be maintained for a four (4) year period following the presentation of each wastewater treatment continuing education course.
- (e) A training course provider must submit the information required by subsection (c) to the commissioner. Information not included on the form described in subsection (a)(2)(C) must be submitted as a supplement or an attachment to the form within ninety (90) days of the conclusion of the wastewater treatment continuing education course. (*Water Pollution Control Division; 327 IAC 5-23-16; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#)*)

327 IAC 5-23-17 Certificates and certification cards

Authority: [IC 13-14-8](#); [IC 13-18-11-4](#); [IC 13-18-11-13](#)

Affected: [IC 13-18-11-6.5](#)

Sec. 17. (a) A wastewater treatment plant operator certificate:

- (1) is issued after an applicant successfully completes the examination for the appropriate classification;
- (2) must specify the:
 - (A) month and year that the applicant qualified; and
 - (B) date the certificate was issued;
- (3) must be validated by a current certification card; and
- (4) is not valid if obtained through:
 - (A) fraud;
 - (B) deceit; or
 - (C) the submission of incomplete or inaccurate data on the examination application.
- (b) A certification card:
 - (1) may be issued for a time period of not more than thirty-six (36) months; and
 - (2) expires on the date printed on the card.
- (c) To obtain a replacement or duplicate certificate, a certified operator shall submit a written request to the commissioner, including the following information:
 - (1) The class of the wastewater treatment plant operator.

- (2) The date of issuance of the original certificate, if known.
- (3) The certificate number.

(Water Pollution Control Division; 327 IAC 5-23-17; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#))

327 IAC 5-23-18 Reciprocity and provisional certificates

Authority: [IC 13-14-8](#); [IC 13-18-11-13](#)
Affected: [IC 13-18-11-9](#); [IC 13-18-11-12](#)

Sec. 18. (a) The commissioner may issue a certificate to a person from another state or U.S. territory by reciprocity if the requirements of [IC 13-18-11-9](#) are met and the person submits a complete application on a form approved by the Indiana archives and records administration (IARA) for use by the department that includes the following information and fee:

- (1) Type of certification and classification requested.
- (2) Provide a nonrefundable thirty dollar (\$30) application fee to the department.
- (3) Proof of current certification from another state or U.S. territory.
- (4) Contact information and date of birth for the applicant.
- (5) Information about previous Indiana applications and current certification information for an applicant that is a certified operator, if applicable.
- (6) Provide the following information on the applicant's current certification in another state:
 - (A) Certification number and expiration date.
 - (B) Whether the certificate was obtained by a written examination.
 - (C) State contact person and contact information.
 - (D) Mailing address.
- (7) Information on educational background for the applicant.
- (8) Information on specialized training or classes relevant to the certification.
- (9) Information on operational experience history for the applicant.
- (10) Information on responsible charge experience for the applicant.
- (11) Signed statements by the applicant and the applicant's supervisor.

(b) For a certification renewal, a person that was issued a certificate through reciprocity must meet the requirements in section 11(h) of this rule in order to renew the certificate in the future, including continuing education requirements.

(c) A provisional wastewater treatment plant operator certificate is available in accordance with [IC 13-18-11-12](#) and requires a person to submit an application to the department using the following steps:

- (1) The governing body or owner shall submit a written request stating the reason a provisional certification is needed to fill a vacant certified operator in responsible charge position, such as:
 - (A) resignation;
 - (B) retirement;
 - (C) extended illness;
 - (D) death;
 - (E) suspension;
 - (F) revocation; or
 - (G) other cause.

(2) The written request required by subdivision (1) must include a completed application on a form approved by the IARA for use by the department, as described in subsection (d), demonstrating that the provisional certificate nominee currently meets the educational and experience requirements for the appropriate class of certification.

(d) A person nominated to be a wastewater treatment plant provisional operator must complete a form approved by the IARA for use by the department. The form provided by the department shall require the submittal of the following information and fee:

- (1) Type of certification and classification requested.
- (2) Provide a nonrefundable thirty dollar (\$30) application fee to the department.
- (3) Contact information and date of birth for the applicant.
- (4) Information about previous Indiana applications and current certification information for an applicant that is a certified operator, if applicable.
- (5) Information on educational background for the applicant.

- (6) Information on specialized training or classes relevant to certification.
- (7) Information on operational experience history for the applicant.
- (8) Information on responsible charge experience for the applicant.
- (9) Signed statements by the applicant and the applicant's supervisor.
- (e) The commissioner shall issue a provisional certificate to the applicant:
 - (1) in the form of a letter that specifies the conditions of the certification; and
 - (2) that is valid for a period of ninety (90) days with a maximum extension period not to exceed a total of one (1) year.
- (f) The provisional certificate must include the following:
 - (1) An examination admission letter authorizing the nominee to schedule an examination within the ninety (90) day term of the provisional certificate.
 - (2) Discontinuation of the nominee acting as a provisional operator if the nominee does not obtain a passing score on the examination.

(Water Pollution Control Division; 327 IAC 5-23-18; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#))

327 IAC 5-23-19 Suspension or revocation of certification

Authority: [IC 13-14-8](#); [IC 13-18-11-13](#)

Affected: [IC 4-21.5](#); [IC 13-18-11-8](#)

- Sec. 19. (a) The commissioner may suspend or revoke the wastewater treatment certificate of a certified operator or apprentice in accordance with [IC 13-18-11-8](#).
- (b) During the period of certification suspension or revocation, a wastewater treatment plant operator whose operator certificate has been suspended or revoked may not do the following:
- (1) Be designated as the operator in responsible charge or as an operator in responsible charge for a work shift.
 - (2) Supervise maintenance activities.
 - (3) Supervise laboratory testing.
 - (4) Collect, prepare, or sign self-monitoring documentation, including, but not limited to, the following:
 - (A) Laboratory bench sheets.
 - (B) State monthly monitoring reports.
 - (C) State monthly reports of operation.
 - (D) Federal discharge monitoring reports.
 - (E) Noncompliance notifications.
 - (F) Bypass/overflow reporting forms.
 - (G) Other wastewater treatment plant self-monitoring documentation.
 - (5) Perform laboratory analysis on samples to be used for compliance purposes.
 - (6) Be a training provider or course instructor of a continuing education course.
- (c) A wastewater treatment plant operator or apprentice whose certificate has been suspended may apply for reinstatement in accordance with the following:
- (1) The period of suspension must have expired.
 - (2) A written request for reinstatement is submitted to the commissioner with proof of the following:
 - (A) All requirements of the suspension have been met.
 - (B) The number of contact hours that would have been required for the operator classification during the period of the suspension of the operator's certificate have been met.
 - (d) A wastewater treatment plant operator whose certificate has been revoked may apply to the commissioner for recertification after a five (5) year period has elapsed following the effective date of the revocation.
 - (e) If the commissioner determines that cause exists to allow recertification, the wastewater treatment plant operator must:
 - (1) qualify in accordance with this rule, including:
 - (A) having earned the number of contact hours that would have been required for the operator classification during the period of the revocation of the certification; and
 - (B) not using work experience that was the cause of the certification being revoked to be counted as creditable experience; and
 - (2) take the certification examination for the classification requested for recertification and obtain a passing score on the

examination.

(f) An apprentice whose certificate has been revoked may apply to the commissioner for a new apprentice certificate after a five (5) year period has elapsed following the effective date of the revocation.

(g) If the commissioner determines that cause exists to allow the issuance of a new apprentice certificate, the person must reapply in accordance with section 11 of this rule. (*Water Pollution Control Division; 327 IAC 5-23-19; filed Nov 6, 2023, 10:44 a.m.: [20231206-IR-327180365FRA](#)*)

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