Summary of Contents

About the Editor xix
About the Contributors xx
Preface xxix
Acknowledgments xxxi

Chapter One
Overview of the Clean Water Act 1
Theodore L. Garrett

Chapter Two
Scope of “The Waters of the United States” Protected by the Clean Water Act 13
Donna M. Downing

Chapter Three
Water Pollution Control under the National Pollutant Discharge Elimination System 35
Karen M. McGaffey, Kelly F. Moser, Aubri N. Margason, and Julie A. Wilson-McNerney

Chapter Four
NPDES Permit Application and Issuance Procedures 67
Randolph L. Hill

Chapter Five
Publicly Owned Treatment Works 95
Alexandra Dapolito Dunn, Nathan Gardner-Andrews, and Amanda Waters

Chapter Six
Pretreatment and Indirect Dischargers 117
Ankur Tohan

Chapter Seven
Regulation of Wetlands: Section 404 133
Hugh Barroll
Summary of Contents

Chapter Eight
Oil and Hazardous Substances Spills: Section 311 161
David G. Dickman

Chapter Nine
Wet Weather Regulations: Control of Stormwater and Discharges from Concentrated Animal Feeding Operations and Other Facilities 205
Randolph L. Hill and Sylvia Horwitz

Chapter Ten
Nonpoint Source Pollution Control 233
Edward B. Witte

Chapter Eleven
Total Maximum Daily Loads: Section 303(d) 251
Steven T. Miano, Kelly A. Gable, and Jessica O’Neill

Chapter Twelve
Enforcement: Sections 309 and 505 277

Chapter Thirteen
Judicial Review: Section 509 343
Karen M. McGaffey, Kathryn C. Rose, and Margaret C. Hupp

Chapter Fourteen
Federal Facilities 351
Jeremy N. Jungreis, Jeanette M. Jungreis, and S. Wayne Rosenbaum

Table of Cases 373
Index 395
Contents

About the Editor xix
About the Contributors xxi
Preface xxix
Acknowledgments xxxi

Chapter One
Overview of the Clean Water Act 1
Theodore L. Garrett
Historical Background 1
Point Source and Dredge/Fill Permits 3
Technology-Based and Water Quality–Based Effluent Limitations 5
Spill of Hazardous Substances, Stormwater, and Nonpoint Sources 7
Enforcement and Judicial Review 8
What Lies Ahead 10

Chapter Two
Scope of “The Waters of the United States” Protected by the Clean Water Act 13
Donna M. Downing
Introduction 13
Congressional and Regulatory Interpretations 14
Judicial Interpretations 17
Riverside and Adjacent Wetlands 18
SWANCC and Isolated Waters 19
Rapanos and Non-navigable Tributaries and Their Adjacent Wetlands 20
Post-Rapanos Judicial Interpretations 22
EPA and Corps Guidance 25
Agency Practice 26
Clean Water Rule 28
Recent Administration Efforts to Revise the Definition of “Waters of the United States” 32
Potential Future Directions 34
Implementation 63
Site-Specific Criteria and Variances 64
   Low Flows 64
   Mixing Zones 65
Compliance Schedules 65

Chapter Four
NPDES Permit Application and Issuance Procedures 67
Randolph L. Hill
Applicability and Scope 67
Types of NPDES Permits 68
   Individual Permits 68
   General Permits 68
Application Requirements 70
   Who Must Apply? 70
   Timing of Application 70
   Content of Application 70
   Signature Requirements 72
Permit Issuance Process 72
   Review for Completeness 72
   Effective Date of Application 72
   Tentative Permit Decision, Issuance of a Draft Permit, and Public Notice 72
   Public Comment and Hearing 73
   Final Permit Decision 74
State Certification of EPA-Issued Permits and EPA Review 74
   of State-Issued Permits 74
State Certification 74
EPA Review 75
   Statutory Authority 75
   Regulatory Standard/MOA 76
   Veto of State-Issued Permits 77
      Basis for Veto 77
      Procedures for Veto 78
Effect of Permit Issuance: Permit Shield 79
Permit Term, Expiration, and APA Extension 80
Special NPDES Program Requirements for New Sources 81
Permit Appeals 82
   EAB Hearing Process 83
      Procedure for Requesting and Obtaining EAB Review 83
   Judicial Review of Final Agency Permit Action 84
Effect of Appeal on the Issued Permit 85
Appeal of General Permits 85
Permit Modification, Revocation, Termination, and Transfer 85
  Permit Modification or Revocation and Reissuance 86
  Permit Modification 86
    Minor Modifications 86
    Major Modifications 87
  Revocation and Reissuance 88
  Permit Termination 89
  Permit Transfers 89
  Procedures for Modification, Revocation and Reissuance,
  or Termination of Permits 89
  Anti-backsliding Prohibitions 91

Chapter Five
Publicly Owned Treatment Works 95
Alexandra Dapolito Dunn, Nathan Gardner-Andrews, and Amanda Waters
  Applicability and Scope 95
  Effluent Limitations Applicable to POTWs 95
    Technology-Based Limitations 95
    Water Quality–Based Limitations 97
  POTW NPDES Permit Requirements 97
  POTW Pretreatment Programs 99
    Applicability 100
    Pretreatment Standards 100
      Categorical Standards 100
      Prohibited Discharge Standards 101
    Substantive Requirements 101
    Streamlining Rule 102
    Submission and Approval Procedures 102
    Modifications and Current Trends 103
  Sewage Sludge Use and Disposal 104
    Round One Sludge Regulations 105
    Regulations for Sewage Sludge Incineration 107
    Round Two Sludge Regulations 108
  Sewer Overflows 109
    Combined Sewer Overflows 110
    Sanitary Sewer Overflows 112
  Wet Weather Enforcement 114
  Integrated Planning 114
Chapter Six
Pretreatment and Indirect Dischargers
Ankur Tohan
Overview 117
Objectives 117
Definitions 117
Applicability 118
General Pretreatment Requirements 119
Categorical Pretreatment Standards 121
Applicability and Basis 121
Combined Wastestream Formula 124
Deadlines 124
Innovative Technology Deadline Extensions 124
Modifications and Variances of Categorical Pretreatment Standards 125
Removal Credits 125
Fundamentally Different Factors Variances 126
Net/Gross Calculation 126
Reporting, Monitoring, and Record Maintenance 127
Industrial Users Subject to Categorical Standards 127
Baseline Monitoring Reports 127
Compliance Reports 127
Periodic Reports 127
Industrial Users Not Subject to Categorical Standards 129
Reporting Obligations Applicable to All Industrial Users 129
Slug Load Notification 129
Notification of Hazardous Waste Discharges 129
Notification of Changed Discharge 130
Records Maintenance 130
Enforcement 130

Chapter Seven
Regulation of Wetlands: Section 404
Hugh Barroll
Introduction 133
Regulated Activities 134
Geographical Scope of Jurisdiction 136
“Waters of the United States” 136
Wetlands 141
<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Removal and Response Authority</td>
<td>172</td>
</tr>
<tr>
<td>Authority to Act</td>
<td>172</td>
</tr>
<tr>
<td>Substantial Threats to Public Health or Welfare</td>
<td>173</td>
</tr>
<tr>
<td>Federal Response Units</td>
<td>173</td>
</tr>
<tr>
<td>Responder Immunity</td>
<td>174</td>
</tr>
<tr>
<td>Response Planning</td>
<td>174</td>
</tr>
<tr>
<td>Federal Response Contingency Plans</td>
<td>174</td>
</tr>
<tr>
<td>Facility and Vessel Response Plans</td>
<td>176</td>
</tr>
<tr>
<td>Non-Transportation-Related Facility Response Plans</td>
<td>177</td>
</tr>
<tr>
<td>Marine Transportation-Related Facility Response Plans</td>
<td>178</td>
</tr>
<tr>
<td>Offshore Facility Response Plans</td>
<td>179</td>
</tr>
<tr>
<td>Vessel Response Plans</td>
<td>180</td>
</tr>
<tr>
<td>Response Planning Requirements for Edible Oils</td>
<td>181</td>
</tr>
<tr>
<td>Response Planning Requirements for Non-Tank Vessels</td>
<td>181</td>
</tr>
<tr>
<td>Liability for Response Costs and Damages</td>
<td>182</td>
</tr>
<tr>
<td>Liability for Oil Discharges under the OPA</td>
<td>182</td>
</tr>
<tr>
<td>OPA Limits of Liability for Response Costs and Damages</td>
<td>186</td>
</tr>
<tr>
<td>Defenses and Exclusions to Liability under the OPA</td>
<td>188</td>
</tr>
<tr>
<td>Financial Responsibility Requirements under the OPA</td>
<td>190</td>
</tr>
<tr>
<td>Oil Spill Liability Trust Fund (OSLTF)</td>
<td>192</td>
</tr>
<tr>
<td>Gulf Coast Restoration Trust Fund</td>
<td>193</td>
</tr>
<tr>
<td>Enforcement</td>
<td>195</td>
</tr>
<tr>
<td>Criminal Sanctions</td>
<td>195</td>
</tr>
<tr>
<td>Administrative Civil Penalties</td>
<td>196</td>
</tr>
<tr>
<td>Judicial Civil Penalties</td>
<td>197</td>
</tr>
<tr>
<td>Factors to Be Considered in Determining Civil Penalty Amounts</td>
<td>199</td>
</tr>
<tr>
<td>Withholding of Port Clearance for Vessels Liable for Civil Penalties</td>
<td>200</td>
</tr>
<tr>
<td>Civil Enforcement Orders</td>
<td>201</td>
</tr>
<tr>
<td>Administrative Enforcement Provisions</td>
<td>202</td>
</tr>
<tr>
<td>The Section 311 Savings Clause</td>
<td>202</td>
</tr>
</tbody>
</table>

Chapter Nine

Wet Weather Regulations: Control of Stormwater and Discharges from Concentrated Animal Feeding Operations and Other Facilities  
Randolph L. Hill and Sylvia Horwitz   
Stormwater                             
Phase I Stormwater Discharges         
  Discharges Associated with Industrial Activity  
    Industrial Stormwater Discharges to Separate Storm Sewer Systems  
    Exclusions                                                           
    Conditional Exclusion for No Exposure of Industrial Activities and Materials in Stormwater  

| Liability for Oil Discharges under the OPA | 182 |
| OPA Limits of Liability for Response Costs and Damages | 186 |
| Defenses and Exclusions to Liability under the OPA | 188 |
| Financial Responsibility Requirements under the OPA | 190 |
| Oil Spill Liability Trust Fund (OSLTF) | 192 |
| Gulf Coast Restoration Trust Fund | 193 |
| Enforcement | 195 |
| Criminal Sanctions | 195 |
| Administrative Civil Penalties | 196 |
| Judicial Civil Penalties | 197 |
| Factors to Be Considered in Determining Civil Penalty Amounts | 199 |
| Withholding of Port Clearance for Vessels Liable for Civil Penalties | 200 |
| Civil Enforcement Orders | 201 |
| Administrative Enforcement Provisions | 202 |
| The Section 311 Savings Clause | 202 |
Types of Permit Applications for Discharges Associated with Industrial Activity 211
Discharges from Large and Medium Municipal Separate Storm Sewer Systems 214
Application Requirements for Large and Medium Municipal Separate Storm Sewer Systems 215
NPDES Permit Conditions for Municipal Separate Storm Sewer Systems 215
Compliance Deadlines 217
Phase II Stormwater Discharges 218
Discharges from Small Construction Activity 218
Discharges from Small Municipal Separate Storm Sewer Systems 219
Phase II Permit Application Deadlines 221
Concentrated Animal Feeding Operations 221
Definition of CAFO 222
Which Facilities Qualify as AFOs? 222
Which AFOs Are CAFOs by Definition? 224
Which AFOs May Be Designated CAFOs? 225
CWA Requirements Applicable to CAFOs 226
Prohibition on Unpermitted Discharges 226
Which CAFOs Require NPDES Permits? 227
Effluent Limitations Applicable to CAFOs 227
Other Wet Weather Discharges 230
Silviculture 230
Aquatic Animal Production or Aquaculture 231
Aquatic Animal Production Facilities 231
Aquaculture Projects 232
Combined Sewer Overflows and Sanitary Sewer Overflows 232

Chapter Ten
Nonpoint Source Pollution Control 233
Edward B. Witte
Introduction 233
Definition 235
Original Control Provisions in the Clean Water Act of 1972 236
CWA Section 208 236
CWA Section 303(e) 236
Water Quality Management Plans under Sections 208 and 303(e) 237
Enactment of Section 319 in the Water Quality Act of 1987 237
State Assessment Reports under Section 319(a) 237
State Management Programs under Section 319(b) 237
Grants for State Management Programs under Section 319(h) 238
TMDL Litigation 266
   Before the TMDL: Initial Litigation, Constructive Submission, and Challenges to 303(d) Lists 267
   Challenges to Establishment of TMDLs 270
Specific Pollutants Subject to TMDLs 271
   Nutrients 272
   Sources of Heat 272
   Trash 273
   Sediment 273
Multistate Issues 274
TMDLs and the Endangered Species Act 275

Chapter Twelve
Enforcement: Sections 309 and 505 277
Civil Judicial Enforcement 277
Beth S. Ginsberg, Jason T. Morgan, and James T. Graves
   Statutory Authority 277
   Enforcement Trends 278
   EPA's Enforcement Jurisdiction 280
   Venues and Statutes of Limitations 280
   Standards of Liability 282
   Elements of Proof 282
      Discharge of a Pollutant 283
      Navigable Waters 284
      Point Source 284
      Unitary Waters Case 284
   Trial Considerations 285
      The Right to a Jury 285
      DMRs as Evidence of Liability 285
      Prevailing Party Considerations 285
   Defenses 286
      Regulatory Defenses 286
      Additional Affirmative Defenses 286
         The Permit Shield 287
         Res Judicata or Claim Preclusion 288
         Estoppel 288
         Mootness 288
         Laches 289
         Impossibility 289
         Bankruptcy 289
         Degree of Harm and Good Faith 290
Contents

Remedies 290
   Civil Penalties 290
   Injunctions 292
   Consent Decrees 292
Civil Administrative Enforcement 292
Mark A. Ryan and Gary A. Jones
   Administrative Compliance Orders 293
   Administrative Penalties 294
      Class I Penalty Actions 295
      Class II Penalty Actions 295
   Factors Affecting Amount of Penalties 296
   Subpoenas 297
   Rights of Interested Persons 298
   Collection of Unpaid Administrative Penalties 298
   Appeals 299
      Role of the EAB 299
      EAB Workload 299
   Appeal as of Right 300
   Discretionary Appeal: Interlocutory Review 300
   Sua Sponte Review 300
   Oral Argument 301
   Standard of Review before the EAB 301
   Deference Generally 302
   Deference on Evidentiary Issues 302
   Deference on Penalties 302
   Deference to Other Adjudicatory Bodies 303
   Reconsideration 303
   Remands from the EAB 304
   Binding Impact of EAB Decisions 304
   Judicial Review 304
   Sources of Information about EAB Practice 305
   Preemption 305
   Information Requests 306
Criminal Enforcement 307
James D. Oesterle
   Introduction and Overview 307
   Criminal Enforcement Resources 308
   Commonly Charged CWA Offenses 309
   The Mental State Requirement 309
      Knowing Violations 310
         Willful Blindness Doctrine 312
         Responsible Corporate Officer 312
      Negligent Violations 314
Common Criminal Offenses
   Direct Discharge 315
   Discharges to Sewer Systems/Pretreatment Violations 315
   Falsification and Tampering 316
   Knowing Endangerment 317
   Oil or Hazardous Substances Violations 319
      Prohibited Discharges of Oil or Hazardous Substances:
         33 U.S.C. § 1321(b)(3) 319
      Failure to Report Spills: 33 U.S.C. § 1321(b)(5) 320
   Related Water Pollution Statutes 321
      Rivers and Harbors Act of 1899 321
      Marine Protection, Research, and Sanctuaries Act
         (Ocean Dumping Act) 322
      Act to Prevent Pollution from Ships 322
      Generally Applicable Criminal Statutes 322
      Exercise of Prosecutorial Discretion 323

Citizen Suits
   Melanie Shepherdson 324
      Statutory Authority 324
      Legislative Intent and Authority 324
      Types of CWA Citizen Suits 325
         Section 505(a): Failure to Comply with Act 326
         Section 505(b): Government Failure to Comply with
            Mandatory Duty 327
      Statutory Requirements for Citizen Suits 329
         Notice 329
         Preexisting Prosecutions 330
         Venue 332
      Standing 332
      Defenses 336
         Ongoing Violation and Mootness 336
         Statute of Limitations 337
      Intervention 338
      Remedies 338
         Civil Penalties 338
         Department of Justice Comments on Consent Decrees 339
         Attorney’s Fees and Costs 339

Chapter Thirteen
   Judicial Review: Section 509 343
      Karen M. McGaffey, Kathryn C. Rose, and Margaret C. Hupp 343
      Jurisdiction 343
         Federal Court of Appeals 343
         District Court Jurisdiction 348
Justiciability: Ripeness and Exhaustion of Administrative Remedies

Ripeness 349
Exhaustion of Remedies 350

Chapter Fourteen

Federal Facilities 351

Jeremy N. Jungreis, Jeanette M. Jungreis, and S. Wayne Rosenbaum

Introduction 351
What Are Federal Facilities, and Who Has Regulatory Authority on Federal Lands? 352
Application of the Clean Water Act on Federal Lands 354
Sovereign Immunity of Federal Facilities—the Control and Abatement of Water Pollution via Section 313 of the Clean Water Act 355
The Test 357
Results in Discharge or Runoff 357
Requirement 357
Control and Abatement of Water Pollution 358
Same Manner as Any Nongovernmental Entity 358
Stormwater Regulation at Federal Facilities 359
Municipal MS4 Regulation 359
Federal Facility MS4s Generally Operate under Phase II MS4 Permits 360
Determining What Constitutes the MS4 for a Federal Facility 360
Construction 361
Industrial 361
Fees and Taxes Assessed on Federal Facilities for CWA Compliance 362
General Framework and Requirements of Federal Fiscal Law 362
The Cardin Amendment: Game Changer or Isolated Response to Federal Agency Recalcitrance? 363
CWA Enforcement against Federal Facilities 364
EPA and State Enforcement 364
Citizen Enforcement of CWA Violations on Federal Facilities 366
Enforcement of Water Quality Standards against Federal Agencies under Federal Administrative Procedures Act (APA) 367
Other Legal Authority over Water Quality on Federal Lands 369
Legislative Action and Implementation 369
Executive Action 369
Conclusion 371

Table of Cases 373
Index 395