



# Enforcement Response Plan

## For More Information

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## Enforcement Activities

Construction Site Erosion and  
Sediment Control  
Illicit Discharge Detection and  
Elimination

## Enforcement Types

Verbal Warnings  
Written Warnings  
Notice of Violations  
Stop Work Orders  
Civil/Criminal Penalties

## Appendices

Appendix A – Non-Compliance  
Notice to Contractors  
Appendix B – Stop Work Order  
Appendix C – Notice of Illegal  
Discharge and Demand for  
Corrective Action Letter

## 1. Introduction and Background

This Stormwater Enforcement Response Plan (ERP) codifies enforcement procedures used by the City of Hanover (City) to enforce provisions of its National Pollutant Discharge Elimination System (NPDES) Statewide Stormwater Permit No. MS400000 (hereafter referred to as the MS4 Permit). Under the MS4 permit, the City is to control the release of pollutants to and discharges from the municipal separate storm sewer system (MS4) which is owned or operated by the City through rules and regulations controlling stormwater discharges. The MS4 Permit will do the following:

- Control the contribution of pollutants to the MS4 by stormwater and non-stormwater discharges associated with industrial activity and the quality of stormwater discharged from sites of industrial activity.
- Prohibit illicit discharges to the MS4.
- Control the discharge to the MS4 from spills, dumping, or disposal of materials other than stormwater.
- Require compliance with conditions in State statutes, rules, permits, contracts, and orders.
- Carry out all inspection, surveillance, and monitoring procedures necessary to determine compliance and non-compliance with permit conditions including the prohibition on illicit discharges to the MS4.

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### 1.1 Purpose

This ERP describes the measures available to the City to exercise its authority. The ERP identifies enforcement procedures designed to encourage a timely response by the discharger. Implementation of the ERP will ensure a consistent response throughout the City and avoid confusion, delays, and disputes over enforcement for stormwater pollution prevention.

An effective enforcement program depends on detailed and comprehensive documentation of all contacts with the alleged violator and of all evidence establishing the violation. Investigations and enforcement actions must be handled quickly. The City is required by the Permit to investigate reports of illicit discharges and initiate enforcement action to eliminate the source(s) of the discharge.

### 1.2 Hanover's Permit History

The City's current MS4 permit was issued by the State of Minnesota's Pollution Control Agency (MPCA) and became effective on August 1, 2013. This permit replaces the previous National Pollutant Discharge Elimination System (NPDES) MS4 permit issued by the MPCA on June 1, 2006. The scope of the current permit includes all stormwater discharges associated with construction sites, industrial facilities, maintenance facilities, and other activities within the MS4's jurisdiction.

### 1.3 Types of Enforcement Actions

The City will use City Code, permits, and penalties to enforce illicit discharges to the City's MS4 system. The City anticipates two general types of stormwater violations: construction sites and illicit discharges or connections to the City's MS4. Potential violators include construction contractors, businesses, industries, private citizens, and other governmental agencies which are detailed below.



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### *1.3.1 Construction Sites*

The City's construction contractors are required to obtain all required permits pertaining to land disturbance activities from various agencies. Permits could include County, DNR, City, or State permits.

The City is responsible for inspection oversight responsibility and must ensure that a trained employee inspects construction activity at sites until final stabilization is achieved. The MS4 permit requires the City to implement a system to monitor contracted construction activities and to enforce Permit provisions. The City is required to list and describe all violations and enforcement responses taken for construction activities in the Annual Report submitted to MPCA.

The City's authority to take enforcement action at construction sites is derived from its city code along with permit language.

### *1.3.2 Illicit Discharges and Connections*

The Permit also requires Hanover to take measures to detect and eliminate illicit discharges and connections to the City's MS4. An illicit discharge is defined as any discharge to a MS4 that is not composed entirely of stormwater, with the exception of allowable non-stormwater discharges and separately permitted discharges. Illicit connections are defined as any man-made conveyance that connects an illicit discharge directly to the MS4. The City is required to implement a program to minimize, detect, investigate, and eliminate illicit discharges and connections, including unauthorized non-stormwater discharges and spills, into the MS4 system.



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### 2. Methods of Discovery of Non-Compliance

Reports of a stormwater violation or non-compliance may come from one the following several sources:

- Reports from City Staff – Illicit discharges and discharges of sediment or other pollutants from the construction sites, facilities, or other sources within the City's MS4 may be observed by City staff as they conduct normal activities such as driving to or from job sites or when inspecting other activities. Such non-compliances could include water and wind erosion, sediment tracking onto local streets, poor housekeeping, incorrect location of concrete washouts, and failed or ineffective best management practices (BMPs).
- Permit Compliance Activities – Non-compliances may be discovered through Permit-required inspections or monitoring, including construction site inspections, dry weather screening, and stormwater sampling.
- Contractor Compliance Activities – A construction contractor's failure to comply with the State's Construction General Permit requirements such as conducting and submitting inspection reports, obtaining annual certifications, preparing and implementing Stormwater Pollution Prevention Plans (SWPPPs).
- Reports from the Public – Public complaints may come directly to City or through other local, state or federal government agencies.



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### 3. Construction Site Erosion and Sediment Enforcement and Post-Construction Stormwater Management

This section imposes the obligation of an applicant to perform their duties in an honest, diligent, and cooperative manner.

The following section describes the City's authority and the mechanisms for enforcing Permit provisions on construction sites within the boundaries of the City's MS4 jurisdiction.

#### 3.1 Compliance Requirements

Compliance with stormwater permits and laws on construction projects within the City's MS4 must be enforced according to these Enforcement Response Procedures.

- Applicants are to comply with the State's NPDES CGP, City, and County permits for regulated construction projects, including the obligation to file a NOI and obtain authorization under the State CGP for each construction project or site. The applicant shall also file a NOT for each construction project or site, either terminating their responsibility if final stabilization has been achieved, or transferring it to another owner for completion.

#### 3.2 Construction Enforcement

When stormwater non-compliance is identified by the City enforcement actions will be taken promptly but no later than 7 days following identification of the non-compliance. The City will take appropriate sanctions against the applicant based on the nature and severity of the situation. Non-compliances will be classified as minor or major violation. Major violations are generally those acts or omissions that lead to a discharge of pollutants to stormwater. Minor violations are generally instances of non-compliance that do not directly result in such a discharge. Serious discharges or an imminent threat of discharge on a project may require an immediate escalation to a higher level of enforcement. The level of enforcement response will depend upon several of the following factors:

- Severity of the violation: the duration, quality, and quantity of pollutants, and effect on public safety and the environment
- The violator's knowledge (either negligent or intentional) of the regulations being violated
- A history of violations and /or enforcement actions individual or contractor
- The potential deterrent value of the enforcement action



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The City will use a progressive enforcement policy, escalating the response when an applicant fails to respond in a timely manner. If the City identifies a deficiency in the implementation of the approved SWPPP or amendments and the deficiency is not corrected immediately or by a date requested by the City, the project is in non-compliance. The timeframes to complete corrective actions and the name or position title of responsible person(s) for conducting enforcement will be documented in the notice. The recommended sequence of enforcement actions are detailed below.

### *3.2.1 Verbal Warning*

This action is a verbal exchange between an inspector or the resident engineer and the alleged violator. The information exchanged will be documented by the inspector. Typically, no letter is written if the problem is corrected immediately and the inspector or resident engineer observes the corrective action and deems it appropriate.

### *3.2.2 Written Warning*

A warning letter may be issued if the non-compliance continues for 7 days after the verbal warning is issued, if the non-compliance cannot be corrected while the inspector is on site, or if the non-compliance is a significant violation. The warning letter will document the reasons why the discharge is illegal and will provide a deadline for compliance. Based on the type and severity of the non-compliance, the period between the verbal and written warnings may not wait the full 7 days. Compliance is required within 7 days to avoid additional enforcement actions; however, if the situation warrants, a shorter or longer deadlines maybe permissible. A sample letter to violators is provided in Appendix A.

### *3.2.3 Stop Work Order*

If the verbal and written warnings do not result in corrective action by the documented deadline, the City may stop work (full or partial shutdown) at the construction site. Upon successful corrective action in response to a stop work order and upon approval by the City, work may begin at the site. Example Stop Work Orders are provided in Appendix B.

#### *3.2.3.1 Temporary Suspension of Work*

If immediate action is required due to an imminent threat of discharge or if the contractor does not respond to the warning letter within the required time frame, the City may temporarily suspend work on the project until the corrective action has been completed.



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### *3.2.3.2 Require Corrective Action*

The City may require the permit holder to undertake corrective or remedial action to address any release, threatened release, or discharge of the hazardous substance, pollutant or contaminant, water, wastewater, or stormwater.

### *3.2.3.3 Revocation of Permit*

The City may revoke any permit issued to the permit holder if corrective action is not completed by the documented deadline.

### *3.2.3.4 Abatement*

The City may correct the deficiency or hire a contractor to correct the deficiency if corrective action is not completed by the documented deadline. The issuance of a permit constitutes a right-of-entry for the City or its contractor to enter the construction site for the purpose of correcting deficiencies in erosion control. If the City corrects the deficiency or hires a contractor to correct the deficiency, the City may require reimbursement to the City for all costs incurred in correcting stormwater pollution control deficiencies, pursuant to City Code.



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### 4. Illicit Discharges and Connection Enforcement

The Permit requires the City to implement and enforce a program that ensures that the City effectively prohibits non-stormwater discharges into its MS4. In addition, neighboring property owners are not allowed to occupy, use or interfere with public ROW without permission. Any discharge/connection without permission is an illegal encroachment on the City's MS4. A discharge/connection can be discovered in two ways, either through routine inspection or due to a complaint.

Similarly to the process in **Section 3.2**, notification of observed illicit connections or discharges will be carried forward to the alleged illegal connector/discharger by the inspector or observer. The City will use the following progressive enforcement policy, escalating the response when a discharger fails to respond in a timely manner.

#### 4.1 Verbal Warning

When a routine inspection of the drainage system identifies an illegal connection/discharge to the City's MS4 system, the inspector documents the discharge on a IDDE Inspection Form or in their City electronic management system, which will be provided to the City Engineer within 48 hours, as well as notify other departments and agencies as appropriate.

If the source of the connection is evident, the observer/inspector will contact the connector/discharger directly by phone or in person to discuss elimination. The communication will include requesting any permits or other authorizations and providing a follow up date (within 15 days). If the discharge is permitted or authorized (documentation is required), no further action is required; if the discharge is not authorized, it will need to be addressed or ceased within 15 days.

#### 4.2 Written Warning

If after 15 days of the verbal warning the illicit connection/discharge has not been corrected, the Public Works Director will issue a "Notice of Illegal Discharge and Demand for Corrective Action" letter to the property owner (example letter in Appendix C). The letter will request that the connection/discharge be ceased or removed within 30 days. A follow up inspection will be performed by a City staff member to ensure compliance. If the connection/discharge has not been corrected, the incident will be referred internally to the City Engineer for further review.

#### 4.3 Removal of Connection/Discharge

The City may remove the illegal connection/discharge if it has not been corrected within a suitable timeframe. If the City removes the illegal connection/discharge, the responsible party is subject to civil action for damages.





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### 4.4 Civil Action

If the illegal connection/discharge is not corrected within 60 days of observation, the City Engineer may forward the matter to be considered for further legal action. Additional measures will be escalated as needed to achieve compliance.

#### *4.4.1 Minnesota Pollution Control Agency*

Authority to administer the state MS4 permit in Minnesota rests with the MPCA. The MPCA has several enforcement mechanisms for violations of NPDES rules, including fines.

#### *4.4.2 United States Environmental Protection Agency*

Although the USEPA delegated authority for the NPDES Program to the state of Minnesota, the USEPA reserves the authority to apply fines in addition to fines issued by the MPCA. Federal environmental regulations based on the Clean Water Act allow the USEPA to levy fines on dischargers of up to \$27,500 per day per violation.

## 5. Emergency Response Conditions

The City's MS4 Permit identifies "discharges from emergency situations where federal rules specify washing as the preferred method to assure public safety" as an authorized non-stormwater discharge. Discharges or flow from firefighting activities and other discharges authorized by the City and/or State Duty Officer that are necessary to protect public health and safety are not subject to enforcement action.



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### 6. Reporting Requirements

The City shall provide a list and description of all violations and their resolutions, including any enforcement actions taken against contractors, corporations, or other entities in the Annual Report to MPCA. At a minimum, the inspector should document the source of the complaint, the date, the time, the contact person (if any), a description of the nature of the non-compliance or illicit discharge, actions taken, and final resolution.

At a minimum, the City shall document the following for each MCM:

1. Name of the person responsible for violating the terms and conditions of the permittee's regulatory mechanism(s).
2. Date(s) and location(s) of the observed violation(s).
3. Description of the violation(s).
4. Corrective action(s) (including completion schedule) issued by the permittee.
5. Referrals to other regulatory organizations (if any).
6. Date(s) violation(s) resolved.