

Appendix B

SECTION 1



New York State Department of Environmental Conservation
Division of Water



Report of Noncompliance Event

To: DEC Water Contact _____ DEC Region: _____

Report Type: ___ 5 Day ___ Permit Violation ___ Order Violation ___ Anticipated Noncompliance ___ Bypass/Overflow ___ Other

SECTION 2

SPDES #: NY- _____ Facility: _____

Date of noncompliance: ___ / ___ / ___ Location (Outfall, Treatment Unit, or Pump Station): _____

Description of noncompliance(s) and cause(s): _____

Has event ceased? (Yes) (No) If so, when? _____ Was event due to plant upset? (Yes) (No) SPDES limits violated? (Yes) (No)

Start date, time of event: ___ / ___ / ___, ___ : ___ (AM) (PM) End date, time of event: ___ / ___ / ___, ___ : ___ (AM) (PM)

Date, time oral notification made to DEC? ___ / ___ / ___, ___ : ___ (AM) (PM) DEC Official contacted: _____

Immediate corrective actions: _____

Preventive (long term) corrective actions: _____

SECTION 3

Complete this section if event was a bypass:

Bypass amount: _____ Was prior DEC authorization received for this event? (Yes) (No)

DEC Official contacted: _____ Date of DEC approval: ___ / ___ / ___


Describe event in "Description of noncompliance and cause" area in Section 2. Detail the start and end dates and times in Section 2 also.

SECTION 4

Facility Representative: _____ Title: _____ Date: ___ / ___ / ___

Phone #: (_____) _____ - _____ Fax #: (_____) _____ - _____

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.

 _____
Signature of Principal Executive Officer or Authorized Agent

INSTRUCTIONS

The Division of Water developed this standardized form to simplify the reporting of noncompliance events. The SPDES Permit General Conditions, require that certain discharges of untreated or partially treated sewage must be reported orally within either 2 hours¹ or 24 hours and also in writing within five (5) days as required by the appropriate regulation. All other permit noncompliance shall be reported as attachments to the Discharge Monitoring Report (DMR). This form should be used for these events as well as to report noncompliance relating to consent orders, scheduled events and bypass events.

All necessary information can readily be reported to DEC on this form. Additional information required to describe the event can be attached. **Please make additional copies of this form and use as needed.** Instructions are provided below. For questions on form use please contact the appropriate office listed below for the county where your permitted facility is located. Thank you for your cooperation.

Instructions to complete and submit Noncompliance Report

1. Provide facility information and all applicable event details in Sections 1 through 3. Dates should be completed in month/day/year format.
2. Provide your name, title, business phone number, and date report was completed in Section 4. Use additional sheets as needed to provide full detail of the event in Section 2.
3. For 5-day written reports, mail or fax the completed form to the appropriate DEC Regional Office listed below. Attach all other noncompliance reports to the DMR submittal (be sure to attach to each set of DMR copies) or mail separately if related to consent order/scheduled event noncompliance. After hours and weekend reporting of unusual discharge events of other noncompliance must be reported through the DEC Telephone Hotline, which is 1-800-457-7362.

DEC Regional Offices:

| | | |
|--|---|--|
| <p><u>REGION 1</u></p> <p>Regional Water Engineer NYS SUNY , Bldg. 40 Loop Road Stony Brook, NY 11790-2356 Phone: 631-444-0405 Fax: 631-444-0373</p> <p>Counties: Nassau Suffolk</p> | <p><u>REGION 2</u></p> <p>Regional Water Engineer One Hunters Point Plaza 47-40 21st St. Long Island City, NY 11101-5407 Phone: 718-482-4900 Fax: 718-482-6516</p> <p>Counties: Queens Bronx New York Richmond Kings</p> | <p><u>REGION 3 **</u></p> <p>Regional Water Engineer 21 So. Putt Corners Rd New Paltz, NY 12561-1696 Phone: 845-256-3000 Fax: 845-255-0714</p> <p>Counties: Rockland Dutchess Sullivan Orange Ulster Putnam Westchester</p> |
| <p><u>REGION 4</u></p> <p>Regional Water Engineer 1150 North Westcott Rd. Schenectady, NY 12306-2014 Phone: 518-357-2045 Fax: 518-357-2398</p> <p>Counties: Montgomery Albany Otsego Rensselaer Columbia Delaware Schoharie Greene Schenectady</p> | <p><u>REGION 5 **</u></p> <p>Regional Water Engineer Route 86, P.O. Box 296 Ray Brook N.Y. 12977-0296 Phone: 518-897-1241 Fax: 518-897-1245</p> <p>Counties: Clinton Hamilton Franklin Essex Saratoga Warren Fulton Washington</p> | <p><u>REGION 6 **</u></p> <p>Regional Water Engineer Region 6 Suboffice State Office Bldg. 207 Genesee St. Utica, NY 13500 Phone: 315-793-2554 Fax: 315-793-2748</p> <p>Counties: Lewis Jefferson Herkimer Oneida St. Lawrence</p> |
| <p><u>REGION 7</u></p> <p>Regional Water Engineer 615 Erie Blvd West Syracuse, NY 13204-2400 Phone: 315-426-7506 Fax: 315-426-7402</p> <p>Counties: Madison Cayuga Broome Onondaga Oswego Chenango Tioga Tompkins Cortland</p> | <p><u>REGION 8</u></p> <p>Regional Water Engineer 6274 East Avon-Lima Rd Avon, NY 14414-9519 Phone: 585-226-2466 Fax: 585-226-2830</p> <p>Counties: Orleans Genesee Chemung Schuyler Seneca Livingston Steuben Ontario Monroe Wayne Yates</p> | <p><u>REGION 9</u></p> <p>Regional Water Engineer 270 Michigan Avenue Buffalo, NY 14203-2999 Phone: 716-851-7070 Fax: 716-851-7009</p> <p>Counties: Allegany Erie Cattaraugus Niagara Wyoming Chautauqua</p> |

** **REGION 3 Suboffice**
Regional Water Staff
200 White Plains Rd., 5th Floor
Tarrytown, NY 10591-5805
Phone: 914-332-1835
Fax: 914-332-4670

REGION 5 Suboffice
Regional Water Staff
Box 220, Hudson St Extension
Warrensburg, NY 12885-0220
Phone: 518-623-1200
Fax: 518-623-4193

REGION 6 Suboffice
Regional Water Staff
317 Washington St.
Watertown, NY 13601-3787
Phone: 315-785-2513
Fax: 315-785-2422

¹ This requirement reflects proposed pending regulations.