

Appendix D: Construction

Table of Contents

Implementation of Construction General Permit	1
Construction Enforcement Actions Response	2
Construction Self-Audit Compliance Monitoring.....	15
Combined Review Results	15
Administrative Findings	17
Field BMP Findings	18
BMP Findings of Field BMP Types and Trends	20

Tables¹

Table D-1: Construction Program – SWPPP Implementation July 1, 2015 to June 30, 2016.....	1
Table D-2: Summary of Response to Enforcement Actions July 1, 2015 to June 30, 2016.....	3
Table D-3: Summary of Findings July 1, 2015 to June 30, 2016	16
Table D-4: Summary of Administrative Findings	17
Table D-5: Summary of Field BMP Findings.....	19
Table D-6: Findings of Field BMP Types July 1, 2015 to June 30, 2016.....	20

Figures

Figure D-1: Combined Findings (All Projects), July 1, 2015 to June 30, 2016.....	16
Figure D-2: Administrative Findings (All Projects), July 1, 2015 to June 30, 2016	18
Figure D-3: Field BMP Findings, July 1, 2015 to June 30, 2016	19
Figure D-4: Findings of Field BMP Types July 1, 2015 to June 30, 2016	21

¹ Dashes (-) in this appendix's tables indicate that data is not available.

This page intentionally left blank.

Implementation of Construction General Permit

Table D-1 shows the total number of active construction sites and, of those, the total number requiring a (Storm Water Pollution Prevention Plan) SWPPP, and the total number with a SWPPP. It also shows the number of active construction sites requiring a Water Pollution Control Program (WPCP), and the number with a WPCP.

*Table D-1: Construction Program – SWPPP Implementation
July 1, 2015 to June 30, 2016*

District	Total # of Active Construction Sites	Total # of Active Construction Sites Requiring a SWPPP	Total # of Active Construction Sites with a SWPPP	Total # of Active Construction Sites Requiring a WPCP	Total # of Active Construction Sites with a WPCP
1	16	16	16	-	-
2	13	12	12	1	1
3	18	18	18	-	-
4	73	66	66	7	7
5	18	14	14	4	4
6	22	18	18	4	4
7	60	55	55	5	5
8	29	25	25	4	4
9	5	5	5	-	-
10	20	19	19	1	1
11	39	38	38	1	1
12	23	23	23	-	-
Total	336	309	309	27	27

Construction Enforcement Actions Response

Table D-2 summarizes how enforcement actions related to construction activities were addressed during the 2015-2016 fiscal year. This aspect of the Construction Program is discussed in Section 6 of the Annual Report.

**Table D-2: Summary of Response to Enforcement Actions
July 1, 2015 to June 30, 2016**

District	Enforcement Action Type	Project Name and/or Identification Number	Incident Date	Incident Summary	Caltrans Response Required	Incident Resolution Date	Status
1	13267 Letter	Emergency Waukell Creek Roadway and Culvert Repair	10/20/15	On October 20, 2015, Caltrans began emergency construction to repair a failing culvert on Waukell Creek along State Route 101. Repairs included adding new steel pipe segments to the deteriorated sections and pouring a concrete grout to fill the annular space between the existing and new culverts. On November 20, 2015, concrete grout and grout-contact water discharged into Waukell Creek. Caltrans found 8 dead coastal cutthroat trout and 26 dead Pacific giant salamanders. On March 18, 2016, Caltrans was issued a 13267 Letter requiring the submittal of many technical documents by April 29, 2016.	On March 18, 2016, Caltrans was issued a 13267 Letter requiring the submittal of many technical documents by April 29, 2016.	-	-
2	US EPA Findings of Violation	Antlers Bridge	3/28/2013	Violation General Permit Erosion and Sediment Control and reporting requirements	Response Submitted June 2013, negotiations complete, awaiting final documentation	Pending	Settlement agreement is in place - final resolution and payment is pending.

**Table D-2: Summary of Response to Enforcement Actions
July 1, 2015 to June 30, 2016**

District	Enforcement Action Type	Project Name and/or Identification Number	Incident Date	Incident Summary	Caltrans Response Required	Incident Resolution Date	Status
2	13267 Investigative Order	State Route (SR) 128 Post Miles (PM) 29.75 and 44.3	12/2/15	On December 2, 2015, a Regional Water Board staff observed two stockpile locations in Mendocino County on State Route 128 that were not protected with erosion or sediment control that were nearby state waters with a forecasted rain event to occur within the next day. Animal carcasses were also observed in concentrated areas directly into state waters or locations where they could affect the state waters near these stockpile areas.	Caltrans Districts 1, 2, and 4 are required to provide current Vegetation Management Plans (VMPs) and Vegetation Control Plans (VCPs), a description of their District's storm water pollution prevention controls for maintenance-generated stockpiles and their effectiveness, and provide animal carcass disposal procedures from every maintenance region within their district operating under the Regional Water Board. Caltrans District 1 alone shall also provide a detailed report to address the findings and observations included in the attached inspection memo regarding the stockpiles. Caltrans is required to submit these reports by May 27, 2016.	5/27/2016	Resolved

*Table D-2: Summary of Response to Enforcement Actions
July 1, 2015 to June 30, 2016*

District	Enforcement Action Type	Project Name and/or Identification Number	Incident Date	Incident Summary	Caltrans Response Required	Incident Resolution Date	Status
2	Oral Communication (OC)	Highway 32 Curve Realignment Smokey Creek	6/30/15	Site conditions observed with respect to erosion and sediment control best management practices were basically non-existent, the site was wide open with no erosion control Best Management Practices (BMPs) deployed and there were some token straw wattles deployed (incorrectly) at the toe of the fill slope. Numerous storm drain drop inlets and corrugated metal pipes have been installed with no inlet protections or energy dissipation at the outfalls, cut slopes had been track-walked incorrectly, there were no stabilized construction entrances, and it appeared that the highway was being cleaned with a water tender.	Address the missing erosion and sediment control best management practices. Follow-up inspection and response letter clarified BMPs were removed prior to permanent application of stabilization. There was no precipitation forecast at the time. All slopes were active. Sweeping initiated to address minor tracking.	7/15/16	Resolved
3	Staff Enforcement Letter (SEL)	03-1A842 Y to Cascade	7/27/2015	Correct BMP deficiencies	Corrective actions were implemented as required.	8/3/2015	Resolved
3	OC	I-80 Mystic Pullout Area	7/15/2015	Correct BMP deficiencies	Caltrans completed the corrective actions as required.	7/24/15	Resolved

*Table D-2: Summary of Response to Enforcement Actions
July 1, 2015 to June 30, 2016*

District	Enforcement Action Type	Project Name and/or Identification Number	Incident Date	Incident Summary	Caltrans Response Required	Incident Resolution Date	Status
3	13267 Letter	Sierra Boulevard Snow Storage Facility	4/26/2016	On July 30, 2015, The Lahontan Region Water Board issued Investigative Order No. R6T-2015-0042, which required Caltrans to evaluate groundwater conditions beneath the facility. Due to the location of the piezometers, the direction of groundwater flow was unable to be determined. It was also reported that the concentrations of chloride and total dissolved solids were above the Maximum Contaminant Levels at certain locations. Since the groundwater flow could not be determined, it is unknown if these exceedances will effect Lake Tahoe.	On April 26, 2016, Caltrans was ordered a 13267 Letter, Investigative Order No. R6T-2016-0019 requiring the submittal of a technical report consisting of a Monitoring and Assessment Plan meeting the required water quality objectives for this facility by August 15, 2016.	5/17/2016	The work plan has been submitted and approved. Monitoring wells are planned to be installed the week of September 12, 2016.
3	OC	SR-89 Mousehole	10/8/2015	Caltrans was notified that stockpile maintenance was needed at the site.	Caltrans was required to communicate to the Water Board if maintenance has been completed. The Water Board to perform a follow-up inspection if Caltrans does not communicate.	-	Resolved
3	SEL	SR-89 Mousehole	9/9/2015	Caltrans to complete corrective actions by 9/17/2015.	Caltrans completed corrective actions as required.	9/17/2015	Resolved
3	SEL	SR-89 Mousehole	7/31/2015	Caltrans to correct BMP deficiencies by 8/6/2015.	Caltrans completed corrective actions as required.	8/5/2015	Resolved

**Table D-2: Summary of Response to Enforcement Actions
July 1, 2015 to June 30, 2016**

District	Enforcement Action Type	Project Name and/or Identification Number	Incident Date	Incident Summary	Caltrans Response Required	Incident Resolution Date	Status
3	SEL	SR-89 Mousehole	7/15/2015	Caltrans to complete corrective actions by 7/22/2015.	Caltrans completed corrective actions as required.	7/23/2015	Resolved
3	SEL	03-2A920 EI Dorado (ED), Placer (PLA) 89 Lakeside	8/6/2015	Correct BMP deficiencies	Corrective actions were implemented as required.	8/13/2015	Resolved
3	SEL	03-1A844 ED 89 hot mix asphalt Overlay and Widen	8/13/2015	Correct BMP deficiencies	Corrective actions were implemented as required.	8/20/2015	Resolved
3	SEL	03-2A920 ED, PLA 89 Lakeside	9/14/2015	Corrective actions to be completed.	Corrective actions were implemented as required.	9/21/2015	Resolved
3	SEL	03-1A844 ED 89 hot mix asphalt Overlay and Widen	9/17/2015	Corrective actions to be completed.	Corrective actions were implemented as required.	9/24/2016	Resolved
3	SEL	03-1A845 Tahoma	9/21/2015	Correct BMP deficiencies	Corrective actions were implemented as required.	9/28/2015	Resolved
3	SEL	03-1A845 Tahoma	10/6/2015	Correct BMP deficiencies	Corrective actions were implemented as required.	10/14/2015	Resolved
3	SEL	03-1A842 Y to Cascade	10/7/2015	Correct BMP deficiencies	Corrective actions were implemented as required.	10/14/2015	Resolved
3	Verbal communication	03-1A842 Y to Cascade	5/10/2016	Correct BMP deficiencies	Corrective actions were implemented as required.	5/17/2016	Resolved

**Table D-2: Summary of Response to Enforcement Actions
July 1, 2015 to June 30, 2016**

District	Enforcement Action Type	Project Name and/or Identification Number	Incident Date	Incident Summary	Caltrans Response Required	Incident Resolution Date	Status
4	13267 Investigative Order	SR 128 PM 29.75 and 44.3	12/2/15	On December 2, 2015, a Regional Water Board staff observed two stockpile locations in Mendocino County on State Route 128 that were not protected with erosion or sediment control that were nearby state waters with a forecasted rain event to occur within the next day. Animal carcasses were also observed in concentrated areas directly into state waters or locations where they could affect the state waters near these stockpile areas.	Caltrans Districts 1, 2, and 4 are required to provide current Vegetation Management Plans (VMPs) and Vegetation Control Plans (VCPs), a description of their District's storm water pollution prevention controls for maintenance-generated stockpiles and their effectiveness, and provide animal carcass disposal procedures from every maintenance region within their district operating under the Regional Water Board. Caltrans District 1 alone shall also provide a detailed report to address the findings and observations included in the attached inspection memo regarding the stockpiles. Caltrans is required to submit these reports by May 27, 2016.	5/27/2016	Resolved
4	SEL	2A250 - Hecker Pass Safety Improvement Project	7/29/2015	Caltrans failed to submit a 2015 report by the due date, 5/31/2015.	Caltrans required to submit the 2015 report.	-	-
5	SEL	Davenport Sediment Removal	7/29/2015	Caltrans did not submit a 2015 report by the due date 5/31/2015.	Caltrans to submit the 2015 report.	-	-
5	SEL	Davenport Sediment Removal	6/28/2015	Caltrans did not submit a 2016 annual report by the May 31st deadline.	Caltrans to submit the 2016 report.	-	-

**Table D-2: Summary of Response to Enforcement Actions
July 1, 2015 to June 30, 2016**

District	Enforcement Action Type	Project Name and/or Identification Number	Incident Date	Incident Summary	Caltrans Response Required	Incident Resolution Date	Status
5	SEL	Highway 246 Passing Lanes Project	6/28/2016	Caltrans did not submit a 2016 annual report by the May 31st deadline.	Caltrans to submit the 2016 report.	-	-
5	SEL	Highway 246 Passing Lanes Project	7/29/2015	Caltrans did not submit a 2015 report by the due date 5/31/2015.	Caltrans to submit the 2015 report.	-	-
5	SEL	Salinas River Bridge Widening Project	6/28/2016	Caltrans did not submit a 2016 report by the due date 5/31/2016.	Caltrans to submit the 2016 report.	-	-
5	SEL	Salinas River Bridge Widening Project	7/29/2015	Caltrans failed to submit a 2015 annual report by the due date 5/31/2015.	Caltrans to submit 2015 annual report.	-	-
6	None	-	-	-	-	-	-
7	Notice of Non-Compliance (NNC)	I-10 HOV Lane and Bridge Widening – Expenditure Authorization (EA) 1170U4	7/7/2015	Failed to submit 2013-14 Annual Report by the due date.	Ordered to submit 2013-14 Annual Report.	6/30/2015	Resolved
7	Notice of Violation (NOV)	Las Flores Maintenance Station	10/19/2015	Caltrans failed to submit 2nd Quarter 2015 report by 7/15/15.	Caltrans was required to submit 2nd Quarter 2015 Report.	-	Resolved

*Table D-2: Summary of Response to Enforcement Actions
July 1, 2015 to June 30, 2016*

District	Enforcement Action Type	Project Name and/or Identification Number	Incident Date	Incident Summary	Caltrans Response Required	Incident Resolution Date	Status
7	Administrative Civil Liability (ACL)	Route 105 Dewatering Project – EA 4S8404	12/23/2015	On October 31, 2014, Caltrans was issued a Settlement Offer No. R4-20140205 for \$21,000 for violation of waste discharge requirements contained in the R4-2013-0043. On October 22, 2015, this was amended to \$36,000. The ACL is to notify Caltrans that the Regional Board Executive Officer has executed the Acceptance and Waiver as a Stipulated Order.	Caltrans is required to pay fines according to the accepted ACL.	1/26/2016	Resolved
8	NOV	3401U4 0800000609 (138 Widening)	3/7/2014 (NOV issued 7/31/15)	Waste Discharge was reported for project work within waters of the state. 4.4.14 the state notified CT that report was incomplete. On 5.16.14, CT submitted additional info. 7.15.14, subsequent to second submittal still incomplete report. 6.5.15 RWB inspector documented extensive work initiate within the waters of the state and ongoing. Response required from CT by 8.17.15	RWQCB requested CT to initiate actions to come into compliance as soon as possible, no later than 8.17.15.	CT, Contractor and RWQCB collaborating to resolve.	A clean up and abatement order was rescinded and waste discharge Requirement (WDR) Permit was issued on July 8, 2016.

**Table D-2: Summary of Response to Enforcement Actions
July 1, 2015 to June 30, 2016**

District	Enforcement Action Type	Project Name and/or Identification Number	Incident Date	Incident Summary	Caltrans Response Required	Incident Resolution Date	Status
8	NOV	0F5403 0800000136 (91 CIP)	5.15.15, 7.19.15, 9.15.15, 1.6.16 (NOV issued 4.27.16)	Between 3.27.15 and 1.6.16, 26 discharges have been reported. The locations are as follows: north side of 91, Serfas Club Drive at WB SR91, Green River Road along SR91, 6th St under I-15, Green River @ Village mobile home park, Green River Rd w/o temporary bicycle parking, Bridge 27 Bent 3, Serfas Club Drive SE side SR91, Maple Street, Pearl and Joy, Pomona Rd.	RWQCB requested that CT submits by 5.26.16 an Action Plan that includes process and procedure modifications to prevent future discharges.	5/26/16	Response letter was submitted on May 26, 2016. The Santa Ana Regional Water Board did not request any more information; therefore, the issue has been resolved.
8	OC	Desert Oasis Roadside Rest Area	11/18/2015	On 1/30/2015, Caltrans received a violation for not submitting a Self-Monitoring Report (SMR), which violated Board Order No. R6V-1997-0096 MRP II.B. On 11/18/2015, Caltrans received an OC from the Regional Board for failing to comply corrective actions for this previous violation.	Caltrans is required to comply with corrective actions and submit a SMR to the Regional Board.	-	-

**Table D-2: Summary of Response to Enforcement Actions
July 1, 2015 to June 30, 2016**

District	Enforcement Action Type	Project Name and/or Identification Number	Incident Date	Incident Summary	Caltrans Response Required	Incident Resolution Date	Status
8	OC	Desert Oasis Roadside Rest Area	2/24/2016	Desert Oasis Roadside rest area, OC - Caltrans failed to provide results for several parameters related to flow monitoring, effluent quality, and order conditions. This violated Board Order No. R6V-1997-0096 MRP I.A.1 and I.B., respectively.	Caltrans to provide report providing all available information based upon the existing equipment and the water system servicing frequency (wastewater flows are based indirectly upon water system information). Caltrans stated that there is no equipment installed to meet the requirement of daily flow monitoring.	-	-
9	OC	Coso Junction Roadside Rest	1/8/2016	Caltrans failed to submit SMR report, which violates Board Order No. R6v-1985-0026 MRP II.	Caltrans submitted the report. Report was not forwarded within the RWQCB to the appropriate recipient.	2/24/2016	RWQCB forwarded to the appropriate recipient.
9	OC	Division Creek Roadside Rest	1/8/2016	Caltrans failed to submit SMR report, which violates Board Order No. R6v-1986-0002 MRP II.	Caltrans submitted the report. Report was not forwarded within the RWQCB to the appropriate recipient.	2/24/2016	RWQCB forwarded to the appropriate recipient.
10	None	-	-	-	-	-	-
11	NOV No. R9-2016-05015	EA 2T2004, PI 1100020191, 11-SD-805 Bridge Widening and HOV Lane Construction	1/16/2016	Failure to comply with discharge prohibition and effluent standards, failure to implement good housekeeping measures for construction materials, waste management, vehicle storage and maintenance. Failure to implement erosion and sediment control BMP's and failure to implements for inspection, maintenance and repair.	Implement corrective actions and respond to the items listed in NOV. Sent respond to RWQCB on 07/07/16	7/7/2016	Resolved

**Table D-2: Summary of Response to Enforcement Actions
July 1, 2015 to June 30, 2016**

District	Enforcement Action Type	Project Name and/or Identification Number	Incident Date	Incident Summary	Caltrans Response Required	Incident Resolution Date	Status
11	401 Certification Reporting Requirement No. R9-2013-0193	EA 282504, PI 1100000315, Chollas Creek BMP Retrofit Project	4/11/2014	Caltrans did not provide the reports that were due to the first 2 year for 401 Water Quality Certification	Sent the report to Regional Water Quality Control Board	7/12/2016	Resolved
11	NOV	EA 056321, 11-SD-11 State Route 11 and the Otay ME Facility	3/22/2016	Failed to pay the required annual fee for the amount of \$100.00	Paid the fee to Regional Water Quality Control Board	6/30/2016	Resolved
11	SEL	Caltrans District 11	8/18/2015	Caltrans received a staff enforcement letter (09C-015) for the Certified Dredge Program in the California Integrated Water Quality System (CIWQS) database.	Caltrans to update the information associated required in the Certified Dredge Program in the CIWQS database.	-	-
11	13267 Letter	Mouth of Chollas Creek	10/26/2015	Caltrans along with a few other parties is required by this Investigative Order (IO) (R9-2015-0058) to submit technical reports to determine point and/or non-point sources of discharges that caused sediment contamination at the mouth of Chollas Creek.	Caltrans is required to submit a technical report regarding potential point and/or non-point sources of discharges that caused sediment contamination at the mouth of Chollas Creek.	-	-
12	-	-	-	-	-	-	-
HQ	-	-	-	-	-	-	-

This page intentionally left blank.

Construction Self-Audit Compliance Monitoring

Combined Review Results

The Construction Compliance Evaluation Plan (CCEP) outlines the independent quality assurance portion of the self-audit program implemented by Caltrans for evaluating construction activities at construction sites as required by the National Pollutant Discharge Elimination System (NPDES) Statewide Stormwater Permit Waste Discharge Requirements (WDRs) for Caltrans (Order No. 2012-0011-DWQ; NPDES No. CAS000003) (Permit, section E.2.m.2) Field Activities Self-Audit). The plan assesses compliance with water quality requirements, evaluates stormwater contract administration, and incorporates independent quality assurance. The data gathered provides information to ascertain whether an appropriate level of stormwater pollution control is achieved at construction sites, as well as evaluates trends and recommends improvements to the program.

In the third quarter of 2015, Caltrans revised CCEP to meet regulatory changes over the past several years and implemented a new approach to assess the appropriate level of stormwater pollution control at construction sites. This revised *Stormwater Management Plan - Construction Compliance Evaluation Plan* [CTSW-PL-16-999](#) got approval by SWQCB on July 5, 2016. The Independent Quality Assurance (IQA) review process includes the following activities:

- Developing and maintaining a list of construction projects for review;
- Providing 24-hour notification of IQA site review to the Resident Engineer (RE), Senior RE, Construction Manager, and District Construction Storm Water Coordinator;
- Conducting the site review and completing the Construction Review Report;
- Initiating the Corrective Action process;
- Collecting and tracking the IQA site review report and Project Construction Stormwater Review Report (PCSR); and
- Initiating the Enforcement Response Program (ERP).

During the reporting period, July 1, 2015 through June 30, 2016, Caltrans conducted 236 IQA reviews. A summary of the results from the inspections performed during the reporting period at each Caltrans District is included in the tables below.

The IQA reviewer evaluated stormwater compliance at a construction site by comparing observed site conditions, including project stormwater contract administration, with the following:

- SWRCB regulatory drivers, e.g., the CGP and the Caltrans Statewide Permit;
- Permits, Licenses, Agreements, Certifications and Approvals, and the Lahontan RWQCB Permit, as applicable;
- Caltrans' latest Standard Specifications and Standard Plans.

For detailed information on the CCEP and IQA review process, consult the *Year-End Performance Report, A Summary of Construction Compliance Reviews – July 1, 2015 – June 30, 2016* (CTSW-RT-16-321.04.2) September 2016, included in Appendix D as an attachment on the CD.

Figure D-1 and Table D-3 present a summary of the total numbers of IQA review findings for the 236 reviews conducted statewide from July 1, 2015 to June 30, 2016. The total numbers are further divided into totals of administrative and field BMP findings. Some districts were visited more than others because of the number of available projects and the project ranking process. Items of note in the following table are as follows:

- 236 IQA Reviews were conducted in the reporting period
- Construction projects were visited in all districts

- Very few administrative findings were noted during the IQA review. Administrative findings averaged less than one per IQA review.
- Field BMP findings averaged approximately 10 per IQA review.

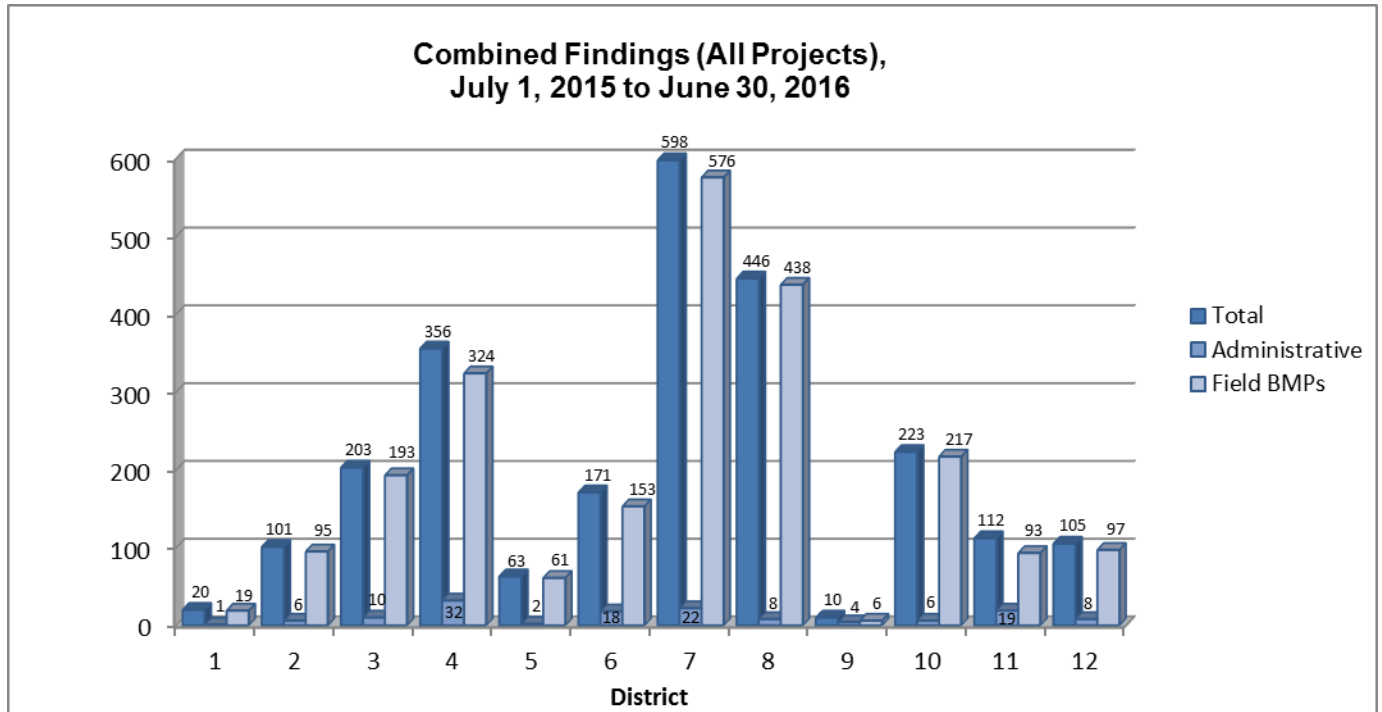


Figure D-1: Combined Findings (All Projects), July 1, 2015 to June 30, 2016

*Table D-3: Summary of Findings
July 1, 2015 to June 30, 2016*

District	Number of Sites Reviewed	Number of Findings		
		Total	Administrative	Field BMPs
1	10	20	1	19
2	14	101	6	95
3	19	203	10	193
4	39	356	32	324
5	13	63	2	61
6	18	171	18	153
7	40	598	22	576
8	21	446	8	438
9	4	10	4	6
10	16	223	6	217
11	26	112	19	93
12	16	105	8	97
Total	236	2,408	136	2,272

Administrative Findings

Table D-4 and Figure D-2 summarize the Administrative Findings from reviews conducted statewide from July 1, 2015 to June 30, 2016. The administrative findings are separated into several categories as defined below:

- Plans and Permits: Queries the IQA reviewer with two questions - whether the SWPPP is located on site and was it developed by a QSD.
- Training: Queries the IQA reviewer with two questions - whether the WPCM is certified as a QSD (or QSP for WPCP construction projects) and is the contractor conducting regular training with adequate documentation.
- SMARTS: Queries the IQA reviewer with one question - whether appropriate annual reporting is uploaded into SMARTS.
- Active Treatment System (ATS): Queries the IQA reviewer with one question - for construction projects that employ an ATS, are all the required procedures of the ATS followed.
- Construction Site Monitoring: Queries the IQA reviewer with three questions - whether all of the site monitoring has been completed, and if a NAL has been exceeded, has a report been developed and reported to the SWRCB.
- Tahoe Permit: Queries the IQA reviewer with three questions - for projects within the Tahoe Permit, has a Restoration Monitoring Plan been developed, are there waste prohibition exemptions on file (100 year floodplain), and have all analytical information been uploaded into SMARTS within 5 days.

Some of the results in the table to note are:

- No findings were encountered for administrative categories SMARTS and Tahoe Permit.
- Findings in the Training category have been encountered the most of all administrative categories.
- Construction Site Monitoring is mostly implemented at reviewed sites. The IQA reviewer at eighty-four percent (84%) of the construction projects encountered no construction site monitoring findings.

Table D-4: Summary of Administrative Findings

District	Number of Sites Reviews	Total Findings	Administrative Category					
			Plans and Permits	Training	SMARTs	Active Treatment Systems	Construction Site Monitoring	Tahoe Permit
1	10	1	0	0	0	0	1	0
2	14	6	0	4	0	0	2	0
3	19	10	2	8	0	0	0	0
4	39	32	4	19	0	1	8	0
5	13	2	0	1	0	0	1	0
6	18	18	0	13	0	0	5	0
7	40	22	0	14	0	0	8	0
8	21	8	0	6	0	0	2	0
9	4	4	0	3	0	0	1	0
10	16	6	0	4	0	0	2	0
11	26	19	2	12	0	0	5	0
12	16	8	0	6	0	0	2	0
Total	236	136	8	90	0	1	37	0

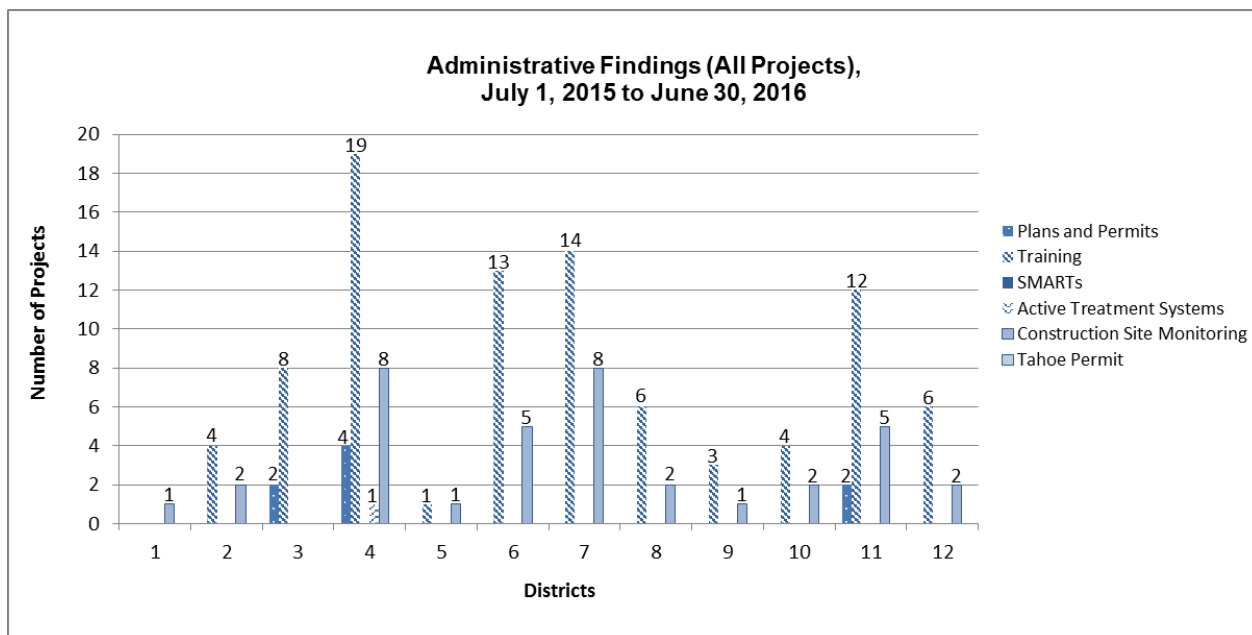


Figure D-2: Administrative Findings (All Projects), July 1, 2015 to June 30, 2016

Field BMP Findings

Table D-5 and Figure D-3 present a summary of Field BMP Findings for reviews conducted statewide by District from July 1, 2015 to June 30, 2016. The field BMP findings have six standard field BMP categories as follows:

- **Soil Stabilization:** Includes preservation of vegetation, temporary cover of DSAs, temporary run-on and run-through control, and streambank stabilization.
- **Sediment Control:** Includes temporary perimeter control, temporary face of slope controls, temporary check dams and temporary drain inlet protection.
- **Tracking Control:** Includes stabilized construction entrance, stabilized construction roadways, and tire washes.
- **Wind Erosion Control:** Includes the control of dust throughout the construction site.
- **Non-Stormwater Control:** Includes dewatering, paving and sawcutting operations, temporary stream crossings and clear water diversions, equipment cleaning, fueling, and maintenance, pile driving operations, and working near and over water.
- **Materials and Waste Management Control:** Includes material storage and use, stockpile management, spill prevention and control, and waste management including solid, hazardous, contaminated soil, concrete, sanitary, and liquid wastes.

Results to note are as follows:

- Approximately forty-eight percent (48.5%) of the total findings were in the field BMP category of Materials and Waste Management Control.

- Approximately thirty-five percent (34.5%) of the total findings were in the field BMP category of Sediment Control.
- Approximately seventeen percent (16.5%) of the total findings were in the field BMP categories of Soil Stabilization, Tracking Control, and Non-Stormwater Control.

Table D-5: Summary of Field BMP Findings

District	Number of Sites Reviews	Total Findings	Administrative Category					
			Soil Stabilization	Sediment Control	Tracking Control	Wind Erosion Control	Non-Stormwater Control	Material & Waste Management
1	10	19	0	10	1	0	0	8
2	14	95	8	27	3	0	3	54
3	19	193	25	91	8	1	9	59
4	39	324	15	122	8	1	11	167
5	13	61	9	17	5	0	5	25
6	18	153	10	36	18	0	5	84
7	40	576	55	190	25	7	23	276
8	21	438	22	127	20	0	16	253
9	4	6	0	2	0	0	0	4
10	16	217	18	62	14	0	10	113
11	26	93	8	56	7	3	4	15
12	16	97	4	44	2	1	3	43
Total	236	2,272	174	784	111	13	89	1,101

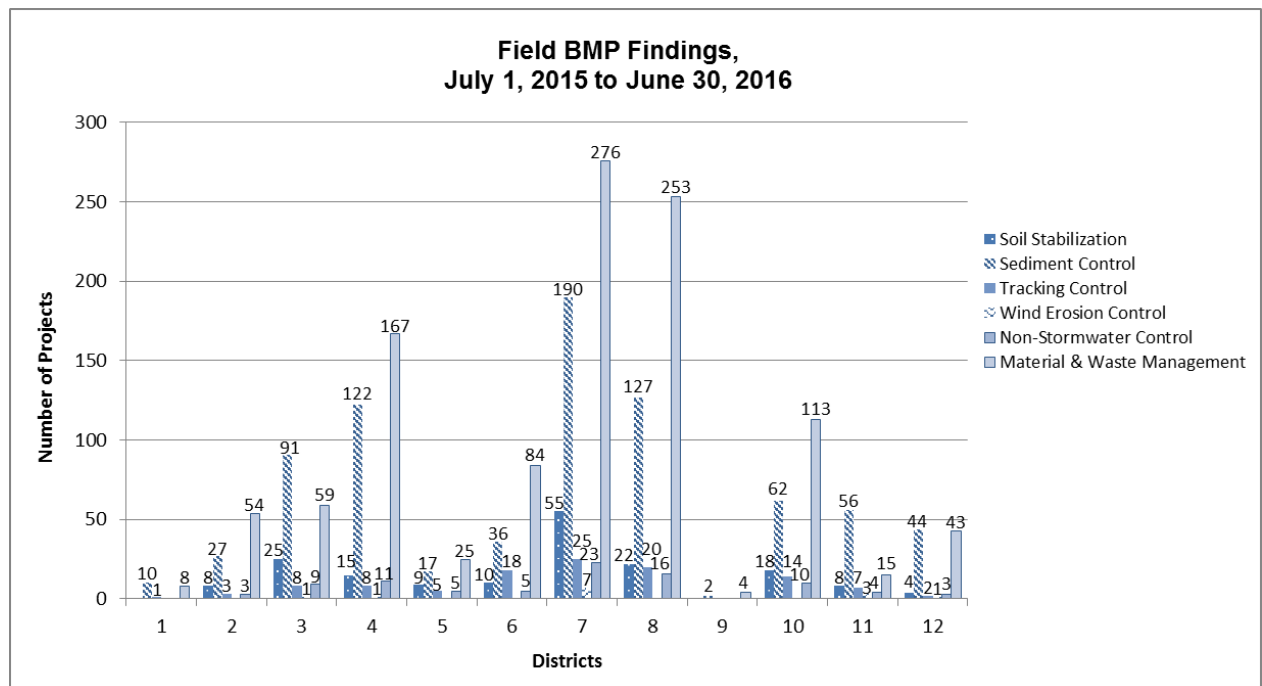


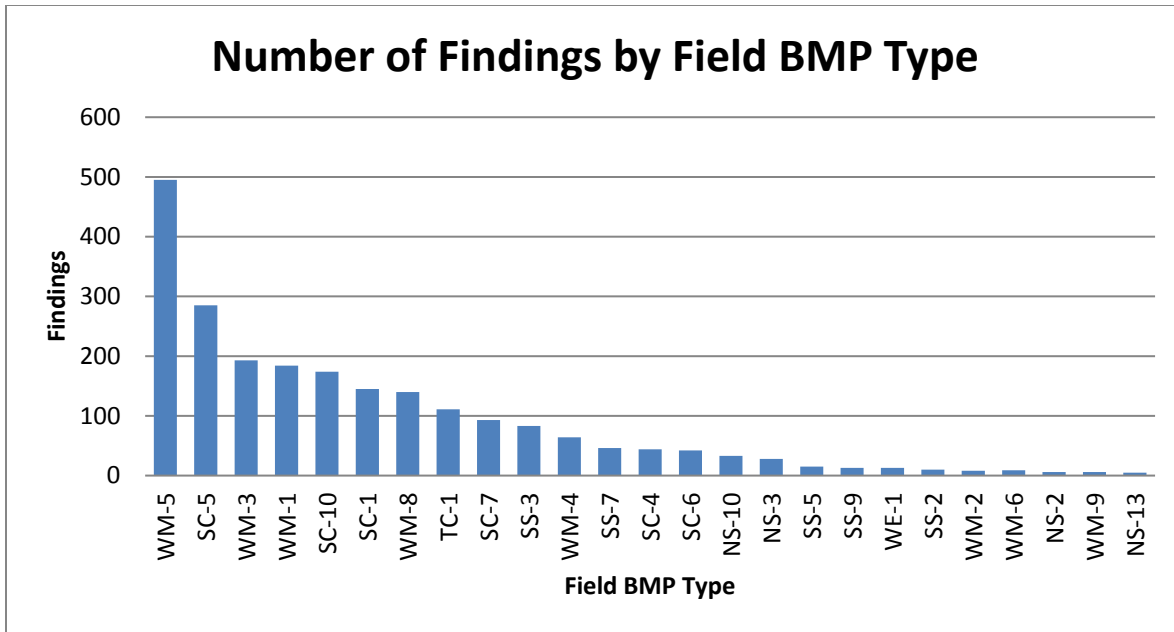
Figure D-3: Field BMP Findings, July 1, 2015 to June 30, 2016

BMP Findings of Field BMP Types and Trends

The trends for the most and least effective BMPs observed during the July 1, 2015 to June 30, 2016 fiscal year are summarized in Table D-6 and Figure D-4. Each field BMP type has standards that regulate the correct application (e.g., is the BMP implemented or implemented as intended?), the correct installation or placement, using the correct materials, and proper maintenance. The following table indicates the number of findings for each field BMP type that did not meet one of these listed standards.

*Table D-6: Findings of Field BMP Types
July 1, 2015 to June 30, 2016*

BMP Category	BMP Type	BMP Name	Number of Findings
Soil Stabilization	SS-1	Scheduling	1
	SS-2	Preservation of Existing Vegetation	10
	SS-3	Hydraulic Mulch	83
	SS-5	Soil Binder	15
	SS-6	Straw Mulch	2
	SS-7	Geotextiles, Mats, Plastic Covers and Erosion Control Blankets	46
	SS-9	Earth Dikes/Drainage Swales and Lined Ditches	13
	SS-10	Outlet Protection/Velocity Dissipation Devices	1
Sediment Control	SS-11	Slope Drains	3
	SC-1	Silt Fence	145
	SC-4	Check Dams	44
	SC-5	Fiber Rolls	285
	SC-6	Gravel Bag Berm	42
	SC-7	Street Sweeping and Vacuuming	93
	SC-9	Temporary Straw Bale Barrier	1
Tracking Control	SC-10	Storm Drain Inlet Protection	174
	TC-1	Stabilized Construction Entrance/Exit	111
Wind Erosion Control	WE-1	Wind Erosion Control	13
Non-Stormwater Control	NS-1	Water Conservation Practices	3
	NS-2	Dewatering Operations	6
	NS-3	Paving and Grinding Operations	28
	NS-4	Temporary Stream Crossing	1
	NS-5	Clear Water Diversion	1
	NS-6	Illicit Connection/Illegal Discharge	1
	NS-8	Vehicle and Equipment Cleaning	3
	NS-9	Vehicle and Equipment Fueling	4
	NS-10	Vehicle and Equipment Maintenance	33
	NS-11	Pile Driving Operations	1
	NS-13	Materials and Equipment Use Over Water	5
Materials and Waste Management	NS-14	Concrete Finishing	3
	WM-1	Material Delivery & Storage	184
	WM-2	Material Use	8
	WM-3	Stockpile Management	193
	WM-4	Spill Prevention and Control	64
	WM-5	Solid Waste Management	495
	WM-6	Hazardous Waste Management	9
	WM-7	Contaminated Soil Management	1
	WM-8	Concrete Waste Management	140
	WM-9	Sanitary/Septic Waste Management	6
WM-10	Liquid Waste Management	1	



*Figure D-4: Findings of Field BMP Types
July 1, 2015 to June 30, 2016*

The top ten BMPs with the most field BMP findings total 1903 findings, which represent eighty-four percent (83.8%) of all the findings. Nine of this year’s top ten findings were the same as last year. WM-4, Spill Prevention and control dropped out of the top ten (eighth position last year (2015) dropping to eleventh position this year) and was replaced by SS-3, Hydraulic Mulch (eleventh position last year (2015) climbing to tenth position this year). The data shows that the types of BMPs resulting in the most findings have not changed significantly between the 2015 and 2016 YEPR. This conclusion was the same for the 2014 and 2015 YEPR.

These ten field BMP types are as follows:

1. WM-5, Solid Waste Management	495
2. SC-5, Fiber Rolls	285
3. WM-3, Stockpile Management	193
4. WM-1, Material Storage and Delivery	184
5. SC-10, Storm Drain Inlet Protection	174
6. SC-1, Silt Fence	145
7. WM-8, Concrete Waste Management	140
8. TC-1, Stabilized Construction Entrance/Exit	111
9. SC-7, Street Sweeping and Vacuuming	93
10. SS-3, Hydraulic Mulch	83
Total	1,903

This page intentionally left blank.