

Permitting, Inspection, and Enforcement Procedures for Erosion and Sediment Control on Capital Projects Division of Engineering

Contract Administrator: Mark Feibes, Keith Lovan, Andrew Grunwald, Thomas Clements, Brian Hayes

Resident Project Representatives (RPR): Darrin Wallingford, Jim Gillis, Hilliard Parsons

ESC Plan Reviewer: DOE Contract Administrators

Land Disturbance Permit (LDP) Issuer: Hillard Newman

ESC Compliance Inspector: RPR

Accela Data Entry: DWQ Compliance and Monitoring – Richard Lamey, Kevin Lyne

LDP Permittee: Contractor

Permitting Procedures

1. Contractor shall develop a Stormwater Pollution Prevention Plan / Erosion and Sediment Control Plan (SWPPP/ESC Plan). A SWPPP/ESC Plan template is on the LFUCG website at <https://www.lexingtonky.gov/new-development>.

On some projects, the construction contract documents may contain a SWPPP/ESC Plan prepared by LFUCG's staff engineer or consultant for purposes of establishing bid quantities. If the Contractor chooses to use this SWPPP/ESC Plan to obtain the required permits, the Contractor takes sole responsibility for the content of the SWPPP/ESC Plan and the implementation of the plan during construction.

2. Contractor must submit an application for a Land Disturbance Permit via Accela to the LFUCG Division of Engineering before beginning project construction. The permit application is available at <https://aca3.accela.com/lexky/>.
3. For projects with a disturbed area of > 1 acre, including those in a common plan of development > 1 acre, the permittee must submit a Notice of Intent (NOI) to the KY Division of Water (KDOW) and obtain KYR10 Permit coverage before beginning construction of any kind on the site. The NOI can be submitted electronically at <http://dep.ky.gov/formslibrary/Documents/KYR10PermitPage.pdf>.
4. Contractor cannot start project work until they have obtained the LFUCG Land Disturbance Permit and KYR10 Permit coverage (if applicable – see above).
5. Designated DOE engineering staff will review the SWPPP/ESC Plan, confirm that the Contractor has obtained KYR10 Permit coverage (if applicable – see above), and issue the Land Disturbance Permit.
6. Contractor then installs the initial BMPs, prior to general excavation, grading, etc.
7. The DOE Contract Administrator will issue a Notice-to-Proceed to the Contractor after confirming that the Contractor has obtained KYR10 Permit coverage (if applicable) and the LFUCG Land Disturbance Permit, and the first BMPs have been installed and inspected by the RPR. Contractor then begins the project.

Contractor Responsibilities

Contractor shall:

1. Review and agree to use the SWPPP/ESC Plan as written, or amend it as needed.
2. Attend a pre-construction conference with LFUCG.
3. Post the LFUCG Land Disturbance Permit and KYR10 Permit on the project sign at the site, and keep a copy of the SWPPP/ESC Plan on site and available for review.
4. Follow the SWPPP/ESC Plan; revise and redline it as conditions change on the site.
5. Install and maintain BMPs to prevent sediment from washing into streets, storm sewers, and streams. All runoff from disturbed areas must pass through a BMP before leaving the site.
6. Conduct an ESC inspection at least once every 7 calendar days and within 24 hours after each rainfall of 0.5" or greater.
7. Complete and sign the inspection form after each inspection.
8. Stabilize inactive portions of the site within 14 days of no activity, and provide permanent stabilization within 14 days of reaching final grade.
9. Maintain a 50' vegetative buffer strip along perennial and intermittent streams (including impounded streams), wetlands, sinkholes, and inlets.
10. If work must be done within 50' of a perennial or intermittent stream, wetland, sinkhole, or inlet, complete work as soon as possible and stabilize the area within 24 hours after completing work.
11. File a Notice of Termination with the KY Division of Water and forward to the LFUCG Division of Engineering, and LFUCG Division of Water Quality when construction has been completed and the site is stabilized. Final stabilization is defined as follows from KYR10: "All soil disturbing activities at the site have been completed and either of the two following criteria are met – a uniform (e.g., evenly distributed, without large bare areas) perennial vegetative cover with a density of 70 percent of the native background vegetative cover for the area has been established on all unpaved areas and areas not covered by permanent structures, or equivalent stabilization measures (such as the use of riprap, gabions, or geotextiles) have been employed."
12. Respond promptly to Verbal Warnings and Notices of Violation from LFUCG regarding correcting ESC problems.

Inspection Procedures for the Resident Project Representative

Monthly Field Inspection (two times a month if crossing a stream or in a floodplain):

1. Ensure the LFUCG Land Disturbance Permit and KYR10 Permit are posted at the site
2. Ensure SWPPP/ESC Plan is available for review
3. Ensure that the weekly and rain event completed inspection forms are available for review
4. Walk the perimeter of the entire site
5. Note downgradient controls
 - Inspect ditches and sheet flow areas
 - Silt fences working?
 - Ditches vegetated / stabilized?
 - Significant sediment discharges?
6. Walk around internal disturbed areas
 - Idle for more than 14 days . . . stabilized?
7. Inspect all inlets and ditches
 - Inlets protected, ditches stabilized?
8. Check out material / fuel storage areas
 - Spills? Leaks? Leaching pollutants? Litter / waste managed?
9. Inspect concrete washout(s)
10. Inspect the construction entrance / exit
11. Inspect the 50 ft vegetated buffer strip adjacent to waterways (stabilized within 24 hours)
12. Communicate inspection findings to Contractor, note issues that need attention
13. Complete the LFUCG inspection checklist
14. Give the checklist to DWQ C&M for entering into Accela

Important Items for the Permittee / Contractor / RPR to Verify:

- Posted permits, plans, and inspection reports
- Graded / inactive areas stabilized with seed, mulch, blankets, mats, etc.
- Stabilized, non-eroding ditches
- Maintained silt fences and protected curb / drop inlets
- No mud on the street
- Trash and litter managed
- No disturbance in 50 ft buffer zone adjacent to streams, wetlands, sinkholes, and inlets, unless approved; areas within the 50 ft buffer must be stabilized within 24 hours

Enforcement Procedures

1. When the RPR identifies erosion and sediment control deficiencies, the RPR shall issue a verbal warning to the Contractor to address the deficiencies. If the deficiencies are not addressed after two verbal warnings, the RPR shall notify the Contract Administrator of the deficiencies. **Refer to the attached Compliance Assistance Guidance.**
2. The Contract Administrator shall use all available means in the contract to obtain compliance, including stopping work or withholding payment until the issue is resolved. Notices of Violation may be issued if necessary.

Compliance Assistance Guidance for DOE Capital Inspectors

Observed Condition	Verbal Warning to Correct within 3-5 days	Verbal Warning to Correct within 24 hours (See Note 1)	Contract Administrator Uses Contract Terms and Conditions to Achieve Compliance
Construction Entrance to Public Road	Rock pad poorly installed/maintained	Rock pad not installed	
	Small amount of sediment on road	Rock pad completely covered with soil Significant amount of sediment on road	
Unstabilized Areas	Flat inactive disturbed areas not stabilized in 14 days	Ditches not stabilized immediately after construction	
		Disturbed, inactive slopes not stabilized within 14 days	Disturbed, inactive slopes above waterways and within 50 ft of wetlands, floodplains, critical areas not stabilized within 24 hours
Inlet Protection	Sediment needs to be removed around inlet protection	Curb inlet protection not in place or improperly installed	Discharge of concrete wash water, chemicals, other pollutants into inlets, streams, wetlands, etc.
Silt Fencing	Does not match SWPPP/ESC Plan but critical areas and roads are protected	Silt fence not installed per plan	
	Does not comply with Stormwater Manual but is functional	Blowouts have occurred with discharge of sediment to critical areas	
	Needs maintenance/repair, but is not near an inlet or surface water	Not trenched in, is not functional	
		Needs repaired in critical areas	
Soil Stockpiles	No perimeter controls, downstream BMPs in place	No perimeter controls, downstream BMPs not in place	
Permit Violations		Permit expired	Site not permitted
		Permit not posted or available on site	
		Contact name/phone not posted	
		No self-inspection reports; reports not on site	
		Self-inspection reports not current	
		SWPPP/ESC Plan not on site	
		Minor unapproved construction activities in 50 ft buffer zone around sinkholes, streams, wetlands, etc.	Major unapproved construction activities in the 50 ft buffer zone around sinkholes, streams, wetlands, etc.
	Construction has started, BMPs not installed		

1. Refer issue to Contract Administrator after 2nd Verbal Warning.
2. Refer repeat or chronic offenders to the Division Director for an enforcement conference.
3. Critical areas are streams, wetlands, sinkholes, and inlets.