



## GENERAL INFORMATION – DO NOT SUBMIT

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## INDUSTRIAL NPDES PERMIT APPLICATION AND OPERATION PERMIT APPLICATION

### **Applicability of Forms**

Form 1 (General Information) requires you to provide general information on your facility and must be submitted by every applicant for a permit

Form 5 (Certification) must be signed by a responsible official and must be submitted by every applicant for a permit, both NPDES and operation.

Form 2 (Facilities Which Discharge Nonprocess Wastewater) must be completed in conjunction with Form 1 (General Information) and may be used only by operators of facilities which discharge *nonprocess* wastewater which is not regulated by federal effluent limitation guidelines or new source performance standards. Examples of nonprocess wastewater include, but are not limited to, noncontact cooling water, boiler blowdown, and sanitary waste.

Form 3 (Facilities Which Discharge Process Wastewater - Existing Sources) must be completed in conjunction with Form 1 (General Information) and must be used by operators of facilities which discharge process wastewater. Process wastewater is any water which, during manufacturing or processing, comes into direct contact with or results from the production or use of any raw material, intermediate product, finished product, by-product, or waste product.

Form 4 (Facilities Which Discharge Process Wastewater - New Sources) must be completed in conjunction with Form 1 (General Information) and must be used by operators of facilities that are new sources or new dischargers. However, facilities which discharge only nonprocess wastewater that is not regulated by an effluent limitations guideline or new source performance standard may use Form 2. Educational, medical, and commercial chemical laboratories may use this form or Form 3. See the Glossary for definitions of new source and new discharger.

Form 2F (Facilities Which Discharge Storm Water Associated With Industrial Activity) must be completed in conjunction with Form 1 (General Information) and must be used by operators of facilities which discharge storm water associated with industrial activity or by operators of storm water discharges that the State of Iowa is evaluating for designation as a significant contributor of pollutants to waters of the United States, or as contributing to a violation of a water quality standard. See the Glossary for the definition of “Storm Water Associated With Industrial Activity”.

**Where to File Applications** - Please scan and submit the forms, except for the fee invoice, to the following email address: [npdes.permit.application@dnr.iowa.gov](mailto:npdes.permit.application@dnr.iowa.gov). Email attachment size is limited to 25 MB. Please use zip files or other options to submit attachments greater than 25 MB. You may obtain electronic copies of the forms on the DNR website at <http://www.iowadnr.gov/Environmental-Protection/Water-Quality/NPDES-Wastewater-Permitting/NPDES-Forms>. Form 5 of the permit application requires a wet-ink signature. You must sign Form 5 according to the instructions, scan the form, and send it with the other appropriate application forms to the previously noted email address. The \$85 permit application fee and the completed fee invoice must be mailed to the Wallace Building address or paid by credit card as noted on the invoice form.

**Completeness** - Your application will not be considered complete unless you answer every question on each form and pay the \$85 permit application fee. If an item does not apply to you, enter “NA” (for not applicable) to show that you have considered the item.

**Public Availability of Submitted Information** - You may not claim as confidential any information required by this application, whether the information is reported on the forms or in an attachment. Section 402(j) of the Clean Water Act requires that all permit applications will be available to the public. This information will be made available to the public upon request.



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Any information you submit which goes beyond that required by this application you may claim as confidential, but claims for information which are effluent data will be denied. If you do not assert a claim of confidentiality at the time of submitting the information, the information may be made public without further notice to you. Claims of confidentiality will be handled in accordance with Chapter 17A of the Code of Iowa and 567 Chapter 2 of the Iowa Administrative Code.

**Signature Requirements** - Federal and State Regulations require applications to be signed as follows:

For a corporation: by a responsible corporate officer. A responsible corporate officer means (1) A president, secretary, treasurer, or vice president in charge of a principal business function, or any other person who performs similar policy- or decision-making functions; or (2) The manager of manufacturing, production, or operating facilities, if authority to sign documents has been assigned or delegated to the manager in accordance with corporate procedures.

Note: Specific assignments or delegation of authority to responsible corporate officers are not required. The department will presume that these responsible corporate officers have the requisite authority to sign permit applications unless the corporation has notified the Director to the contrary. Corporate procedures governing authority to sign permit applications may provide for assignment or delegation to an applicable corporate position.

For a partnership or sole proprietorship: by a general partner or the proprietor, respectively; or for a municipality, State, Federal, or other public agency: by either a principal executive officer or ranking elected official. A principal executive officer of a public agency includes (1) the chief executive officer of the agency, or (2) a senior executive officer having responsibility for the overall operations of a unit of the agency.

**Use of Certified Laboratory Required** - The results of all analyses submitted as part of a permit application, operation report, order, or rule must be performed by a laboratory certified by this department. A searchable list of certified laboratories is available on the State Hygienic Laboratory website at:  
[http://www.shl.uiowa.edu/labcert/idnr/reports/public/facility\\_form.xml](http://www.shl.uiowa.edu/labcert/idnr/reports/public/facility_form.xml).



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### GLOSSARY – INDUSTRIAL AND OPERATION PERMIT APPLICATION FORMS

NOTE: This Glossary includes terms used in Forms 1, 2, 2F, 3, and 4 and in the instructions.

**ALIQUOT** means a sample of specified volume used to make up a total composite sample.

**BYPASS** means the intentional diversion of waste streams from any portion of a treatment facility or collection system. A bypass does not include internal operational waste stream diversions that are part of the design of the treatment facility, maintenance diversions where redundancy is provided, diversions of wastewater from one point in a collection system to another point in a collection system, or wastewater backups into buildings that are caused in the building lateral or private sewer line.

**COMPOSITE SAMPLE** means a combination of at least 8 sample aliquots of at least 100 milliliters, collected at periodic intervals during the operating hours of the facility over a 24-hour period. A composite sample must be flow proportional; either the time interval between each aliquot or the volume of each aliquot must be proportional to either the stream flow at the time of sampling or the total stream flow since the collection of the previous aliquot. Aliquots may be collected manually or automatically. For GC/MS Volatile Organic Analysis (VOA), aliquots must be combined in the laboratory immediately before analysis. Four (4) (rather than eight) aliquots or grab samples should be collected for VOA. These four samples should be collected during actual hours of discharge over a 24-hour period and need not be flow proportioned.

**CONTACT COOLING WATER** means water used to reduce temperature which comes into contact with a raw material, intermediate product, waste product other than heat, or finished product.

**CWA** means the Clean Water Act (formerly referred to as the Federal Water Pollution Control Act), 33 U.S.C. 1251 et seq.

**DIRECT DISCHARGE** means the discharge of a pollutant as defined below.

**DIRECTOR** means the EPA Regional Administrator or the State Director as the context requires.

**DISCHARGE (OF A POLLUTANT)** means any addition of any pollutant or combination of pollutants to navigable waters or waters of the state from any point source. “Discharge of a pollutant” includes additions of pollutants into navigable waters or waters of the state from surface runoff which is collected or channeled by human activity; discharges through pipes, sewers, or other conveyances owned by a state, municipality, or other person which do not lead to a treatment works; and discharges through pipes, sewers, or other conveyances, leading into privately owned treatment works. “Discharge of a pollutant” does not include an addition of pollutants by any indirect discharger.

**DISPOSAL SYSTEM** means a system for disposing of sewage, industrial waste, or other wastes, or for the use or disposal of sewage sludge. “Disposal system” includes sewer systems, treatment works, point sources, dispersal systems, and any systems designed for the usage or disposal of sewage sludge.

**EFFLUENT LIMITATION** means any restriction imposed by the Director on quantities, discharge rates, and concentrations of pollutants which are discharged from point sources into waters of the state, the waters of the contiguous zone, or the ocean.

**EFFLUENT LIMITATION GUIDELINE** means a regulation published by the U.S. EPA Administrator under Section 304(b) of the Clean Water Act to adopt or revise effluent limitations.

**ENVIRONMENTAL PROTECTION AGENCY (EPA)** means the United States Environmental Protection Agency.

**EXISTING SOURCE or EXISTING DISCHARGER** means any source which is not a new source or a new discharger.



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**FACILITY** means any Hazardous Waste Management facility, Underground Injection Control well, NPDES point source, Prevention of Significant Deterioration stationary source, or any other facility or activity (including land or appurtenances thereto) that is subject to regulation under the Resource Conservation and Recovery Act, Underground Injection Control, National Pollutant Discharge Elimination System, or Prevention of Significant Deterioration programs.

**GRAB SAMPLE** means a representative, discrete, portion of sewage, industrial waste, other waste, storm water, surface, or ground water of at least 100 milliliters taken without regard to flow rate and at a randomly selected time over a period not exceeding fifteen (15) minutes.

**HAZARDOUS SUBSTANCE** means any of the substances designated under 40 CFR Part 116 pursuant to Section 311 of CWA. (NOTE: These substances are listed in Table 2 of the instructions to Form 3.)

**INDIRECT DISCHARGER** means a nondomestic discharger introducing pollutants to a publicly owned treatment works.

**INDUSTRIAL WASTE** means any liquid, gaseous, radioactive, or solid waste substance resulting from any process of industry, manufacturing, trade, or business, or from the development of any natural resource.

**MGD** means millions of gallons per day.

**MILLIGRAMS PER LITER (MG/L)** means milligrams of solute per liter of solution (equivalent to parts per million-assuming unit density). A microgram (ug) is 1/1000 of a milligram.

**NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM (NPDES)** means the national program for issuing, modifying, revoking and reissuing, terminating, monitoring, and enforcing permits and imposing and enforcing pretreatment requirements, under Sections 307, 318, 402, and 405 of the CWA.

**NEW DISCHARGER** means any building, structure, facility, or installation: (1) from which there is or may be a “discharge of pollutants”; (2) That did not commence the “discharge of pollutants” at a particular “site” prior to August 13, 1979; (3) which is not a “new source”; and (4) which has never received a finally effective NPDES permit for discharges at that “site.” This definition includes an “indirect discharger” which commences discharging into “waters of the United States” after August 13, 1979. It also includes any existing mobile point source (other than an offshore or coastal oil and gas exploratory drilling rig or a coastal oil and gas developmental drilling rig) such as a seafood processing rig, seafood processing vessel, or aggregate plant that begins discharging at a “site” for which it does not have a permit; and any offshore or coastal mobile oil and gas exploratory drilling rig or coastal mobile oil and gas developmental drilling rig that commences the discharge of pollutants after August 13, 1979, at a “site” under EPA’s permitting jurisdiction for which it is not covered by an individual or general permit and which is located in an area determined by the EPA Regional Administrator in the issuance of a final permit to be an area of biological concern. In determining whether an area is an area of biological concern, the EPA Regional Administrator shall consider the factors specified in 40 CFR 125.122(a)(1) through (10).

**NEW SOURCE** means any building, structure, facility or installation from which there is or may be a discharge of pollutants to a navigable water, the construction of which commenced after the promulgation of standards of performance under Section 306 of the Act which are applicable to such source, provided that:

1. The building, structure, facility or installation is constructed at a site at which no other source is located; the building, structure, facility or installation totally replaces the process or production equipment that causes the discharge of pollutants at an existing source; or the production or wastewater generating processes of the building, structure, facility or installation are substantially independent of an existing source at the same site. In determining whether these are substantially independent, factors, such as the extent to which the new facility is integrated with the existing plant and the extent to which the new facility is engaged in the same general type of activity as the existing source, should be considered.



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2. Construction on a site at which an existing source is located results in a modification rather than a new source if the construction does not create a new building, structure, facility or installation meeting the criteria of paragraph “1” but otherwise alters, replaces, or adds to existing process or production equipment.
3. Construction of a new source as defined pursuant to this rule has commenced if the owner or operator has:
  - Begun, or caused to begin, as part of a continuous on-site construction program, any placement, assembly, or installation of facilities or equipment; or significant site preparation work including clearing, excavation, or removal of existing buildings, structures, or facilities which is necessary for the placement, assembly, or installation of new source facilities or equipment; or
  - Entered into a binding contractual obligation for the purchase of facilities or equipment which is intended to be used in the operation of the new source within a reasonable time. Options to purchase or contracts which can be terminated or modified without substantial loss, and contracts for feasibility, engineering, and design studies do not constitute a contractual obligation under this definition.

**NPDES PERMIT** means an operation permit, issued after the department has obtained approval of its National Pollutant Discharge Elimination System (NPDES) program from the U.S. EPA Administrator, that authorizes the discharge of any pollutant into a navigable water.

**NON-CONTACT COOLING WATER** means water used to reduce temperature which does not come into direct contact with any raw material, intermediate product, waste product (other than heat), or finished product.

**OPERATION PERMIT** means a written permit authorizing the operation of a wastewater disposal system or part thereof or discharge source and, if applicable, the discharge of wastes from the disposal system or part thereof or discharge source to waters of the state. An NPDES permit will constitute the operation permit in cases where there is a discharge to a water of the United States and an NPDES permit is required by the Federal Clean Water Act.

**OPERATOR** means the person responsible for the overall operation of a facility.

**OTHER WASTE** means heat, garbage, municipal refuse, lime, sand, ashes, offal, oil, tar, chemicals, and all other wastes which are not sewage or industrial waste.

**OUTFALL** means a point source.

**OWNER** means the person who owns a facility or part of a facility.

**PERMIT** means an authorization, license, or equivalent control document issued by EPA or an approved State to implement the requirements of 40 CFR Parts 122, 123, and 124.

**POINT SOURCE** means any discernible, confined, and discrete conveyance, including but not limited to any pipe, ditch, channel, tunnel, conduit, well, discrete fissure, container, rolling stock, concentrated animal feeding operation, concentrated aquatic animal production facility, vessel or other floating craft from which pollutants are or may be discharged. This term does not include return flows from irrigated agriculture or agricultural storm water runoff.

**POLLUTANT** means sewage, industrial waste, or other waste.

**PRIMARY INDUSTRY CATEGORY** means any industry category listed in the NRDC Settlement Agreement (Natural Resources Defense Council v. Train, 8 ERC 2120 [D.D.C. 1976] modified 12 ERC 1833 [D.D.C. 1979]). Primary industries are also listed in Table 1 of the Form 3 Instructions.

**PROCESS WASTEWATER** means any water which, during manufacturing or processing, comes into direct contact with or results from the production or use of any raw material, intermediate product, finished product, by-product, or waste product.



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**PUBLICLY OWNED TREATMENT WORKS or POTW** means any device or system used in the treatment of municipal sewage or industrial wastes of a liquid nature which is owned by a municipal corporation or other public body created by or under Iowa law and having jurisdiction over disposal of sewage, industrial wastes or other wastes, or a designated and approved management agency under Section 208 of the Act (a State or municipality). This definition includes any sewers, pipes, or other conveyances only if they convey wastewater to a POTW providing treatment.

**SECONDARY INDUSTRY CATEGORY** means any industry category which is not a primary industry category.

**SEWAGE** means the water-carried waste products from residences, public buildings, institutions, or other buildings, including the bodily discharges from human beings or animals together with such groundwater infiltration and surface water as may be present.

**STORMWATER ASSOCIATED WITH INDUSTRIAL ACTIVITY** means the discharge from any conveyance which is used for collecting and conveying storm water and which is directly related to manufacturing, processing or raw materials storage areas at an industrial plant. The term does not include discharges from facilities or activities excluded from the NPDES program under 40 CFR 122. For the categories of industries identified in paragraphs “1” through “10” of this definition, the term includes, but is not limited to, storm water discharges from industrial plant yards; immediate access roads and rail lines used or traveled by carriers of raw materials, manufactured products, waste material, or by-products used or created by the facility; material handling sites; refuse sites; sites used for the application or disposal of process waste waters (as defined at 40 CFR part 401); sites used for the storage and maintenance of material handling equipment; sites used for residual treatment, storage, or disposal; shipping and receiving areas; manufacturing buildings; storage areas (including tank farms) for raw materials, and intermediate and finished products; and areas where industrial activity has taken place in the past and significant materials remain and are exposed to storm water.

For the categories of industries identified below in “1” to “9” and “11”, the term includes only storm water discharges from all the areas (except access roads and rail lines) that are listed in the previous sentence where material handling equipment or activities, raw materials, intermediate products, final products, waste materials, by-products, or industrial machinery are exposed to storm water. For the purposes of this paragraph, material handling activities include the storage, loading and unloading, transportation, or conveyance of any raw material, intermediate product, finished product, by-product, or waste product. To qualify for this exclusion, a storm-resistant shelter is not required for: drums, barrels, tanks and similar containers that are tightly sealed with bands or otherwise secured and have no taps or valves, are not deteriorated and do not leak; adequately maintained vehicles used in material handling; and final products other than products that would be mobilized in storm water discharge. The term excludes areas located on plant lands separate from the plant's industrial activities, such as office buildings and accompanying parking lots as long as the drainage from the excluded areas is not mixed with storm water drained from the above described areas. Industrial facilities (including industrial facilities that are Federally, State, or municipally owned or operated) that meet the description of the facilities listed in “1” to “11” of the definition include those facilities designated under 40 CFR 122.26(a)(1)(v). The following categories of facilities are considered to be engaging in “industrial activity” for purposes of this definition.

1. Facilities subject to storm water effluent limitations guidelines, new source performance standards, or toxic pollutant effluent standards under 40 CFR Subchapter N (except facilities with toxic pollutant effluent standards which are exempted under category (xi) of this definition);
2. Facilities classified as Standard Industrial Classifications 24 (except 2434), 26 (except 265 and 267), 28 (except 283 and 285), 29, 311, 32 (except 323), 33, 3441, 373;
3. Facilities classified as Standard Industrial Classifications 10 through 14 (mineral industry) including active or inactive mining operations (except for areas of coal mining operations meeting the definition of a reclamation area under 40 CFR 434.11(1)) because the performance bond issued to the facility by the appropriate SMCRA authority has been released, or except for areas of non-coal mining operations which have been released from applicable State or Federal reclamation requirements after 12/17/1990 and oil and gas exploration, production, processing, or treatment operations, or transmission facilities that discharge storm water contaminated by contact with, or that has come into contact with, any overburden, raw material, intermediate products, finished products, byproducts or waste products located on the site of such operations; (inactive mining operations are mining sites





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that are not being actively mined, but which have an identifiable owner/operator; inactive mining sites do not include sites where mining claims are being maintained prior to disturbances associated with the extraction, beneficiation, or processing of mined materials, nor sites where minimal activities are undertaken for the sole purpose of maintaining a mining claim);

4. Hazardous waste treatment, storage, or disposal facilities, including those that are operating under interim status or a permit under Subtitle C of RCRA;
5. Landfills, land application sites, and open dumps that receive or have received any industrial wastes (waste that is received from any of the facilities described under this subsection) including those that are subject to regulation under Subtitle D of RCRA;
6. Facilities involved in the recycling of materials, including metal scrap yards, battery reclaimers, salvage yards, and automobile junkyards, including, but not limited to, those classified as Standard Industrial Classification 5015 and 5093;
7. Steam electric power generating facilities, including coal handling sites;
8. Transportation facilities classified as Standard Industrial Classifications 40, 41, 42 (except 4221-4225), 43, 44, 45 and 5171 which have vehicle maintenance shops, equipment cleaning operations, or airport deicing operations. Only those portions of the facility that are either involved in vehicle maintenance (including vehicle rehabilitation, mechanical repairs, painting, fueling, and lubrication), equipment cleaning operations, airport deicing operations, or which are otherwise identified under paragraphs (i)-(vii) or (ix)-(xi) of this definition are associated with industrial activity;
9. Treatment works treating domestic sewage or any other sewage sludge or wastewater treatment device or system, used in the storage treatment, recycling, and reclamation of municipal or domestic sewage, including land dedicated to the disposal of sewage sludge that are located within the confines of the facility, with a design flow of 1.0 mgd or more, or required to have an approved pretreatment program under 40 CFR 403. Not included are farm lands, domestic gardens or lands used for sludge management where sludge is beneficially reused and which are not physically located in the confines of the facility, or areas that are in compliance with 40 CFR 503;
10. Construction activity including clearing, grading and excavation activities except operations that result in the disturbance of less than 5 acres of total land area which is not part of a larger common plan of development or sale. Effective March 10, 2003, construction activity including clearing, grading and excavation activities except operations that result in the disturbance of less than 1 acre of total land area which is not part of a larger common plan of development or sale;
11. Facilities under Standard Industrial Classifications 20, 21, 22, 23, 2434, 25, 265, 267, 27, 283, 285, 30, 31 (except 311), 323, 34 (except 3441), 35, 36, 37 (except 373), 38, 39, 4221-4225 (and which are not otherwise included within paragraphs “2” to “10”).

**STORMWATER RUNOFF** means water discharged as a result of rain, snow, or other precipitation.

**TOXIC POLLUTANT** means any pollutant listed as toxic under Section 307(a)(1) of CWA.

**TOXICITY TEST** means any test which includes the use of aquatic algal, invertebrate, or vertebrate species to measure acute or chronic toxicity, and any biological or chemical measure of bioaccumulation.

**UPSET** means an exceptional incident in which there is unintentional and temporary noncompliance with technology-based permit effluent limitations because of factors beyond the reasonable control of the permittee. An upset does not include noncompliance to the extent caused by operational error, improperly designed treatment facilities, inadequate treatment facilities, lack of preventive maintenance, or careless or improper operation.

**WATER OF THE STATE** means any stream, lake, pond, marsh, watercourse, waterway, well, spring, reservoir, aquifer, irrigation system, drainage system, and any other body or accumulation of water, surface or underground, natural or artificial, public or private, which are confined within, flow through or border upon the state or any portion thereof.