to the POTW (excluding sanitary, non-contact cooling and boiler blowdown wastewater); contributes a process wastestream which makes up 5 percent or more of the average dry weather hydraulic or organic capacity of the POTW Treatment plant; or is designated as such by the Control Authority on the basis that the Industrial User has a reasonable potential for adversely affecting the POTW’s operation or for violating any Pretreatment Standard or requirement (in accordance with 40 CFR 403.8(f)(6)).

(2) The Control Authority may determine that an Industrial User subject to categorical Pretreatment Standards under § 403.6 and 40 CFR chapter I, subchapter N is a Non-Significant Categorical Industrial User rather than a Significant Industrial User on a finding that the Industrial User never discharges more than 100 gallons per day (gpd) of total categorical wastewater (excluding sanitary, non-contact cooling and boiler blowdown wastewater, unless specifically included in the Pretreatment Standard) and the following conditions are met:

(i) The Industrial User, prior to the Control Authority’s finding, has consistently complied with all applicable categorical Pretreatment Standards and Requirements;

(ii) The Industrial User annually submits the certification statement required in § 403.12(q) together with any additional information necessary to support the certification statement; and

(iii) The Industrial User never discharges any untreated concentrated wastewater.

(3) Upon a finding that an Industrial User meeting the criteria in paragraph (v)(1)(ii) of this section has no reasonable potential for adversely affecting the POTW’s operation or for violating any Pretreatment Standards or requirement, the Control Authority may at any time, on its own initiative or in response to a petition received from an Industrial User or POTW, and in accordance with 40 CFR 403.8(f)(6), determine that such Industrial User is not a Significant Industrial User.

(w) The term Submission means:

(1) A request by a POTW for approval of a Pretreatment Program to the EPA or a Director;

(2) A request by a POTW to the EPA or a Director for authority to revise the discharge limits in categorical Pretreatment Standards to reflect POTW pollutant removals; or

(3) A request to the EPA by an NPDES State for approval of its State pretreatment program.


§ 403.5 National pretreatment standards: Prohibited discharges.

(a)(1) General prohibitions. A User may not introduce into a POTW any pollutant(s) which cause Pass Through or Interference. These general prohibitions and the specific prohibitions in paragraph (b) of this section apply to each User introducing pollutants into a POTW whether or not the User is subject to other National Pretreatment Standards or any national, State, or local Pretreatment Requirements.

(2) Affirmative Defenses. A User shall have an affirmative defense in any action brought against it alleging a violation of the general prohibitions established in paragraph (a)(1) of this section and the specific prohibitions in paragraphs (b)(3), (b)(4), (b)(5), (b)(6), and (b)(7) of this section where the User can demonstrate that:
§ 403.5

40 CFR Ch. I (7–1–09 Edition)

(i) It did not know or have reason to
know that its Discharge, alone or in
conjunction with a discharge or dis-
charges from other sources, would
cause Pass Through or Interference;
and
(ii)(A) A local limit designed to pre-
vent Pass Through and/or Interference,
as the case may be, was developed in
accordance with paragraph (c) of this
section for each pollutant in the User’s
Discharge that caused Pass Through or
Interference, and the User was in com-
pliance with each such local limit di-
rectly prior to and during the Pass
Through or Interference; or
(B) If a local limit designed to pre-
vent Pass Through and/or Interference,
as the case may be, has not been devel-
oped in accordance with paragraph (c)
of this section for the pollutant(s) that
caused the Pass Through or Inter-
ference, the User’s Discharge directly
prior to and during the Pass Through
or Interference did not change substan-
tially in nature or constituents from
the User’s prior discharge activity
when the POTW was regularly in com-
pliance with the POTW’s NPDES per-
mit requirements and, in the case of
Interference, applicable requirements
for sewage sludge use or disposal.

(b) Specific prohibitions.
In addition,
the following pollutants shall not be
introduced into a POTW:

(1) Pollutants which create a fire or
explosion hazard in the POTW, includ-
ing, but not limited to, wastestreams
with a closed cup flashpoint of less
than 140 degrees Fahrenheit or 60 de-
grees Centigrade using the test meth-
ods specified in 40 CFR 261.21;

(2) Pollutants which will cause corro-
sive structural damage to the POTW,
but in no case Discharges with pH
lower than 5.0, unless the works is spe-
cifically designed to accommodate
such Discharges;

(3) Solid or viscous pollutants in
amounts which will cause obstruction
to the flow in the POTW resulting in
Interference;

(4) Any pollutant, including oxygen
demanding pollutants (BOD, etc.) re-
leased in a Discharge at a flow rate
and/or pollutant concentration which
will cause Interference with the POTW.

(5) Heat in amounts which will in-
hbit biological activity in the POTW
resulting in Interference, but in no
case heat in such quantities that the
temperature at the POTW Treatment
Plant exceeds 40 °C (104 °F) unless the
Approval Authority, upon request of
the POTW, approves alternate tem-
perature limits.

(6) Petroleum oil, nonbiodegradable
cutting oil, or products of mineral oil
origin in amounts that will cause In-
terference or pass through;

(7) Pollutants which result in the
presence of toxic gases, vapors, or
fumes within the POTW in a quantity
that may cause acute worker health
and safety problems;

(8) Any trucked or hauled pollutants,
except at discharge points designated
by the POTW.

(c) When specific limits must be devel-
oped by POTW. (1) Each POTW devel-
oping a POTW Pretreatment Program
pursuant to § 403.8 shall develop and en-
force specific limits to implement the
prohibitions listed in paragraphs (a)(1)
and (b) of this section. Each POTW
with an approved pretreatment pro-
gram shall continue to develop these
limits as necessary and effectively en-
force such limits.

(2) All other POTW’s shall, in cases
where pollutants contributed by
User(s) result in Interference or Pass-
Through, and such violation is likely
to recur, develop and enforce specific
effluent limits for Industrial User(s),
and all other users, as appropriate,
which, together with appropriate
changes in the POTW Treatment
Plant’s facilities or operation, are nec-
essary to ensure renewed and contin-
ued compliance with the POTW’s
NPDES permit or sludge use or dis-
posal practices.

(3) Specific effluent limits shall not
be developed and enforced without in-
dividual notice to persons or groups
who have requested such notice and an
opportunity to respond.

(4) POTWs may develop Best Manage-
ment Practices (BMPs) to implement
paragraphs (c)(1) and (c)(2) of this sec-
tion. Such BMPs shall be considered
local limits and Pretreatment Stand-
ards for the purposes of this part and
section 307(d) of the Act.

(d) Local limits. Where specific prohi-
bitions or limits on pollutants or pol-
lutant parameters are developed by a
POTW in accordance with paragraph (c) above, such limits shall be deemed Pretreatment Standards for the purposes of section 307(d) of the Act.

(e) EPA enforcement actions under section 309(f) of the Clean Water Act.

If, within 30 days after notice of an Interference or Pass Through violation has been sent by EPA to the POTW, and to persons or groups who have requested such notice, the POTW fails to commence appropriate enforcement action to correct the violation, EPA may take appropriate enforcement action under the authority provided in section 309(f) of the Clean Water Act.

§ 403.6 National pretreatment standards: Categorical standards.

National pretreatment standards specifying quantities or concentrations of pollutants or pollutant properties which may be discharged to a POTW by existing or new industrial users in specific industrial subcategories will be established as separate regulations under the appropriate subpart of 40 CFR chapter I, subchapter N. These standards, unless specifically noted otherwise, shall be in addition to all applicable pretreatment standards and requirements set forth in this part.

(a) Category Determination Request—

(1) Application Deadline. Within 60 days after the effective date of a Pretreatment Standard for a subcategory under which an Industrial User may be included, the Industrial User or POTW may request that the Water Management Division Director or Director, as appropriate, provide written certification on whether the Industrial User falls within that particular subcategory. If an existing Industrial User adds or changes a process or operation which may be included in a subcategory, the existing Industrial User must request this certification prior to commencing discharge from the added or changed processes or operation. A New Source must request this certification prior to commencing discharge. Where a request for certification is submitted by a POTW, the POTW shall notify any affected Industrial User of such submission. The Industrial User may provide written comments on the POTW submission to the Water Management Division Director or Director, as appropriate, within 30 days of notification.

(2) Contents of Application. Each request shall contain a statement:

(i) Describing which subcategories might be applicable; and

(ii) Citing evidence and reasons why a particular subcategory is applicable and why others are not applicable. Any person signing the application statement submitted pursuant to this section shall make the following certification:

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.

(3) Deficient requests. The Water Management Division Director or Director will only act on written requests for determinations that contain all of the information required. Persons who have made incomplete submissions will be notified by the Water Management Division Director or Director that their requests are deficient and, unless the time period is extended, will be given 30 days to correct the deficiency. If the deficiency is not corrected within 30 days or within an extended period allowed by the Water Management Division Director or the Director, the request for a determination shall be denied.

(4) Final decision. (1) When the Water Management Division Director or Director receives a submittal he or she will, after determining that it contains all of the information required by paragraph (2) of this section, consider the submission, any additional evidence that may have been requested, and any other available information relevant to the request. The Water Management Division Director or Director will then