

## 6.2 Monitoring and Reporting Requirements/ Reporting and Record Keeping Requirements

### **Applicability:**

This is guidance about the required reporting and record keeping applicable to all permits, whether construction or operating permits, or domestic or industrial in nature.

### **Content:**

There are several types of reporting and record keeping required for permits including the documentation of: 1) the characteristics of discharges, 2) facility operations and management of residuals (e.g. sludge), and 3) facility or site status and changes of that status. These reporting and record keeping requirements are based on state and federal regulatory provisions (see Legal References below). Many of these regulatory provisions are reflected in the Standard and Special Conditions for NPDES Permits (see Other Links below).

A facility's own sampling and reporting of its effluent quality is the most commonly recognized form of monitoring and reporting. Minimum effluent sampling and reporting requirements are outlined throughout the 10 CSR 20-7.015 regulation and vary based upon the receiving water, design flow, type of treatment and, in some cases, on enforcement action. The provisions of the Effluent Regulation provide guidance for the development of relatively standardized schedules of monitoring and subsequent reporting and also allow permit writer discretion. The regulation states at the close of each Effluent Limitations, Monitoring Requirements section, "The permit writer shall establish monitoring and reporting frequencies and sampling types to fulfill the site-specific informational needs of the department."

Reports of the characteristics of facility effluent, commonly called discharge monitoring reports (DMRs), may be submitted monthly, quarterly, semi-annually or annually depending on the site-specific conditions. See Permits Manual topic 6.2.2 Discharge Monitoring Report Due Dates for additional information.

Whole effluent toxicity (WET) testing and reporting is required for various facilities. A standard form to report the results of WET tests to the agency should be utilized by all permittees. Submission of the completed form is a permit requirement. The form does not take the place of a laboratory report but should accompany the laboratory report as submitted by the permittee. The form includes the minimum reporting requirements for successful completion of a WET test as mandated by 40 CFR 136. Permits Manual topic 5.2 Whole Effluent Toxicity Testing for Compliance Biomonitoring provides detailed information.

Facilities also may be required to sample and report the characteristics of storm water and other periodic discharges. Monitoring should be based on the potential water quality effect and volume of the discharge. The permit writer determines sampling and reporting frequency for the monitoring of discharges related to precipitation events or irregular wastewater releases.

Standard report forms have been developed for the various types of discharges from facilities. These include the:

- Monthly Monitoring Report for larger, publicly owned, domestic wastewater treatment facilities,
- NPDES Monitoring Report for non-municipal domestic wastewater discharges, and
- Whole effluent toxicity testing for compliance biomonitoring (see Other Links below).

In addition, the department can develop a site-specific monitoring report or the permittee can develop a site-specific monitoring report and obtain approval from the department to use the form as their official form.

Industrial facilities can utilize or modify a domestic wastewater monitoring report, or report information about their discharges on a self-developed form approved by the department.

Permittees are also required to report information related to facility operations and the management of residuals, including the land application or other disposal of wastewater and sludge (biosolids). These requirements are also based on provisions of the Permit and Effluent Regulations and the Water Quality Standards (see Legal Requirements below). Most of the provisions are reflected in the Standard and Special Conditions for NPDES Permits.

The monthly monitoring report form for larger POTWs requires submission of operational control parameters. Less detailed operational information for non-municipal wastewater facilities must be reported on an annual basis. No-discharge permit facilities must report, at a minimum, about the amounts of wastewater that is land applied, storage lagoon characteristics, weather conditions in particular precipitation amounts, sludge disposal practices, and information about the soils and crops grown at irrigation sites. The various sections of Forms S, SC and SD require detailed information about most aspects of domestic and industrial sludge (biosolids) management and disposal (see Other Links below).

Facilities are required to report information about:

- Changes in which officials of an organization can submit applications and reports to the department,
- Local planning and zoning agency notifications about construction permit projects,
- Planned physical alterations of the facility,
- Anticipated noncompliance,
- Transfers of the permit to another person or organization,
- Conformance with compliance schedule milestones,
- Noncompliance that endangers human health or the environment within 24 hours of the event,
- Noncompliance related to unanticipated bypasses and plant upsets within 24 hours of the event,
- Violations of maximum daily effluent limits for selected pollutants within 24 hours of the event if listed in the permit,
- All other noncompliance at the time the regular discharge monitoring report is filed, and
- If a POTW will receive any new introduction of pollutants or substantial change in nondomestic pollutants already being received at the facility.

Regulatory provisions related to these reporting requirements are in 10 CSR 20-6.010(2)(D), (4)(I), (7)(C), (8)(A)5, 6 and 9. These state regulatory provisions are derived from various federal regulations, including 40 CFR 122.41(I), 122.44(g) and 122.48. As a background note, 40 CFR 122.41 provides the basis for the Missouri Standard Conditions for NPDES Permits.

Standard Conditions for NPDES Permits (Part I-A-1.b. and Part III-K-3.) require that monitoring results must be submitted on forms provided or approved by the department. These forms are commonly called Discharge Monitoring Reports (DMRs) or annual reports (see the Other Links

Section below). Monitoring reports can be required on a monthly, quarterly, or annual basis and operating permits can require several monitoring and reporting frequencies within a single operating permit. Reporting due dates are based upon the issuance date of the permit (see 6.2.2 Discharge Monitoring Report (DMR) Due Dates).

The NPDES Standard Conditions also specify the record keeping (records retention) requirements for permittees. Records related to effluent quality, facility status, compliance schedule information, notifications of noncompliance and bypassing should be retained by the facility for a minimum of three years (See Standard Conditions, Part I-A-7.). Records related to sludge (biosolids) management must be retained for a period of five years (See Standard Conditions, Part III-K-1.). NPDES Standard Conditions require permittees to keep facility records on-site or at another designated location so that they can be made available upon inspection.

## Legal References:

### *Code of State Regulations:*

<a href="#">10 CSR 20-6.010(2)(D)</a>	Construction and Operating Permits - Applications
<a href="#">10 CSR 20-6.010(4)(I)</a>	Construction and Operating Permits - Construction Permits
<a href="#">10 CSR 20-6.010(7)(C)</a>	Construction and Operating Permits - Schedule of Compliance
<a href="#">10 CSR 20-6.010(8)(A)5., 6. and 9</a>	Construction and Operating Permits - Terms and Conditions of Permits
<a href="#">10 CSR 20-7.015</a>	Effluent Regulations
<a href="#">10 CSR 20-7.031(3)(I)</a>	Water Quality Standards - General Criteria

### *Code of Federal Regulations*

<a href="#">40 CFR 122.41(l)(1) through (7)</a>	EPA Administered Programs: The NPDES - Conditions applicable to all permits
<a href="#">40 CFR 122.44 and .44(g)</a>	EPA Administered Programs: The NPDES - Establishing limitations, standards, and other permit conditions
<a href="#">40 CFR 122.48</a>	EPA Administered Programs: The NPDES - Requirements for recording and reporting of monitoring results

## Other Links:

[3.2.8 Site-Specific Permits Monitoring and Reporting](#)

[3.5.8 No-Discharge Permits Monitoring and Reporting](#)

[5.2 Whole Effluent Toxicity \(WET\) Testing for Compliance Biomonitoring](#)

Standard Conditions for NPDES Permits, [Parts I](#), [Part II](#) & [Part III](#)

[Special Conditions for NPDES Permits \("Simple Seven"\)](#)

[Appendix U \[http://www.dnr.mo.gov/env/wpp/permits/manual/U\\_0.pdf\]](http://www.dnr.mo.gov/env/wpp/permits/manual/U_0.pdf)

[Appendix V - Suggested Wording of Permit Conditions](#) (Includes documents that are located on T:\New Library)

The following forms are available at [R.2 - Permittee Reporting Forms](#):

Monthly Monitoring Record for Wastewater Treatment Facilities, Form--MO 780-1306 (07/04) [PDF](#)

NPDES Monitoring Report for Non-Municipal Wastewater Discharges, Form--MO 780-1307 (07/04) [PDF](#)

Annual NPDES Operations Report for Non-Municipal Wastewater Discharges, Form—MO 780-1308 (07/04) [PDF](#)

Whole Effluent Toxicity (WET) Test Report Form--MO 780-1899 (12/04) [PDF](#)

Form S – Section 1. Domestic Sludge Reporting, Form--MO 780-1636 (06/04) [Fill-in PDF](#)

Form S – Section 2. Laboratory Results – Form SA and Form SB--MO 780-1630 (06/04) [Fill-in PDF](#)

Form S – Section 3. Land Application, Form--MO 780-1629 (06/04) [Fill-in PDF](#)

Form SC – Land Application of Biosolids with Low Metals Concentrations

Form SD – Cumulative Metal Loadings for Land Application of Biosolids

Form S – Section 4. Sludge Hauling, Form--MO 780-1635 (06/04) [Fill-in PDF](#)

Form S – Section 5. Sludge Disposal Lagoon, Form--MO 780-1634 (06/04) [Fill-in PDF](#)

Form S – Section 6. Sludge Incineration, Form--MO 780-1633 (06/04) [Fill-in PDF](#)

**Key Words:**

Monitor, monitoring, reporting, discharge monitoring reports, DMRs, operational testing, operational reporting, sludge,

**Page ID:** 6.2 Reporting and Record Keeping

**Revised By:** Camilla Hammond/James Penfold

---

**Modification Date:** 06/22/2005