

1998 CLEAN WATER ACT (CWA) SECTION 303(d)
LISTING GUIDELINES FOR CALIFORNIA
(August 11, 1997)

A. Introduction

The Total Maximum Daily Load (TMDL) Workgroup¹ identified the need to develop statewide consistency on 303(d) listing issues. At its roundtable meeting on April 30, 1997, the workgroup decided to develop 303(d) listing guidelines that would be acceptable to the Regional Water Quality Control Boards (RWQCB), State Water Resources Control Board (SWRCB), and U.S. Environmental Protection Agency (U.S. EPA). Three work teams were formed to address various 303(d) listing issues. Each team met several times to develop a draft work team product. The work team products were circulated for comment from the TMDL workgroup and the drafts were revised by the work teams. The TMDL workgroup held a second roundtable meeting on July 28, 1997 to review the integrated product of the three work teams, and revisions to the listing guidelines were made (a list of attendees at the TMDL roundtable meetings and work team members is attached).

The guidelines address the following topics: listing/delisting factors, scheduling and prioritization, public notice procedures, the 303(d) list submittal package, and coordination with the Watershed Management Initiative (WMI).

B. Listing Factors

The following factors were developed to provide for consistent statewide decisions on listing California surface water bodies under CWA Section 303(d). However, they are meant to be flexible, and the RWQCBs should exercise judgment based on the specific circumstances for each water body. The listing factors will be reviewed periodically and may be revised to reflect new scientific information or newly developed water quality criteria (e.g., sediment criteria,

¹ An ad hoc workgroup of staff from the Regional Water Quality Control Boards, State Water Resources Control Board, and U.S. EPA that have an interest in 303(d) issues.

criteria for evaluation of wetland functions). Information sources which should be considered include sources listed in 40 CFR 130.7(b)(5) and sources found in Appendix D of the 1996 305(b) Guidance from U.S. EPA.

Water bodies may be listed if any one of these factors is met²:

1. Effluent limitations or other pollution control requirements [e.g., Best Management Practices (BMPs)] are not stringent enough to assure protection of beneficial uses and attainment of SWRCB and RWQCB objectives, including those implementing SWRCB Resolution Number 68-16 "Statement of Policy with Respect to Maintaining High Quality of Waters in California" [see also 40 CFR 130.7(b)(1)].
2. Fishing, drinking water, or swimming advisory currently in effect. This does not apply to advisories related to discharge in violation of existing WDR's or NPDES permit.
3. Beneficial uses are impaired or are expected to be impaired within the listing cycle (i.e. in next two years). Impairment is based upon evaluation of chemical, physical, or biological integrity. Impairment will be determined by "qualitative assessment"³, physical/chemical monitoring, bioassay tests, and/or other biological monitoring. Applicable Federal criteria and RWQCB Water Quality Control Plans determine the basis for impairment status.

² U. S. EPA's national policy is that water bodies impaired by natural conditions should be listed. In light of this policy, the RWQCBs should consider designating such water bodies as a low priority for establishing TMDLs.

³ Qualitative Assessment: An assessment based upon information other than ambient monitoring data. Information used may include land use data, water quality impacts, predictive modeling using estimated input variables, or fish and game biologist surveys. A sole reliance on professional judgment, literature statements (often judgment based), or public comments should not be the only basis for listing.

4. The water body is on the previous 303(d) list and either:
(a) "monitored assessment"⁴ continues to demonstrate a violation of objective(s) or (b) "monitored assessment" has not been performed.
5. Data indicate tissue concentrations in consumable body parts of fish or shellfish exceed applicable tissue criteria or guidelines. Such criteria or guidelines may include SWRCB Maximum Tissue Residue Level values, FDA Action Levels, NAS Guidelines, and U.S. EPA tissue criteria for the protection of wildlife as they become available.
6. The water quality is of such concern that the RWQCB determines the water body needs to be afforded a level of protection offered by a 303(d) listing.

C. Delisting Factors

Water bodies may be delisted for specific pollutants or stressors if any one of these factors is met:

1. Objectives are revised (for example, Site Specific Objectives), and the exceedence is thereby eliminated.
2. A beneficial use is de-designated after U.S. EPA approval of a Use Attainability Analysis, and the non-support issue is thereby eliminated.
3. Faulty data led to the initial listing. Faulty data include, but are not limited to, typographical errors, improper quality assurance/quality control (QA/QC) procedures, or Toxic Substances Monitoring/State Mussel Watch EDLs which are not confirmed by risk assessment for human consumption.
4. It has been documented that the objectives are being met and beneficial uses are not impaired based upon "Monitored Assessment" criteria.

⁴ Monitored Assessment: For aquatic life uses, monitored assessment should be based upon a minimum of Level 2 information, as indicated in the 1996 305(b) guidance [Guidelines for Preparation of the 1996 State Water Quality Assessments ("305(b) Reports"), EPA 841 B-95-001, May 1995; Pages 5-6 through 5-10, Tables 5-2 & 5-3]. There is a need to develop guidance for Minimum Data Requirements for assessing other beneficial uses.

5. A TMDL has been approved by the U.S. EPA.
6. There are control measures in place which will result in protection of beneficial uses. Control measures include permits, clean up and abatement orders, and watershed management plans which are enforceable and include a time schedule.

D. **Priority Ranking, Targeting, and Scheduling**

Priority Ranking

A priority ranking should be provided for listed waters to guide TMDL planning pursuant to 40 CFR 130.7. RWQCBs should apply the following criteria in ranking TMDLs in high (H), medium (M), and low (L) priority categories:

- water body significance (such as importance and extent of beneficial uses, threatened and endangered species concerns and size of water body)
- degree of impairment or threat (such as number of pollutants/stressors of concern, and number of beneficial uses impaired or threatened)
- conformity with related activities in the watershed (such as existence of watershed assessment, planning, pollution control, and remediation, or restoration efforts in the area)
- potential for beneficial use protection or recovery
- degree of public concern
- available information

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All water bodies should be ranked in one of the three categories (H, M and L) . Not all high priority waters need to be targeted in the next two years for TMDLs.

Scheduling and Targeting

Schedules for starting, completing and submitting TMDLs should be provided for all listed waters/pollutants pursuant to 40 CFR 130.7(d)(1). The schedules should provide for submittal of all TMDLs for all listed waters/pollutants on the 1998 list. Given the difficulty of estimating TMDL development time frames, RWQCBs should make best estimates based on TMDL resource planning efforts being conducted pursuant to the WMI process. The schedules should be presented in three levels to reflect degree of certainty regarding the attainability of the schedules.

Level 1: Next Two Years: Some waters should be targeted for TMDL development over the next two years pursuant to 40 CFR 130.7. Waters should be targeted in cases where substantial work on TMDL development is expected during the next two years, even if the TMDL is not scheduled for completion until after the next two years. The schedules for targeted waters should be consistent with the RWQCB's WMI planning chapter. The rationale for targeting a particular set of waters should be documented.

Level 2: Five Year Time Frame: RWQCBs should provide schedules for TMDLs to be initiated over the next five years, resource needs for which should be reflected in the RWQCB's WMI planning chapter (see section G) and addressed in WMI resource allocation decision-making. Schedules should be based on those TMDL activities for which RWQCBs are actively seeking funding support and should include TMDLs for which funding is reasonably likely to become available through other state, federal, or third party (e.g., discharger) sources.

Level 3: Years 5-13: RWQCBs should provide tentative schedules for completing TMDLs for the remaining waters over a period not to exceed 13 years. Schedules should be based on those TMDL activities for which RWQCBs are planning to seek funding support, with appropriate caveats stating that these provisional schedules are dependent on resource availability and further evaluation of TMDL applicability and feasibility.

E. Public Notice Procedures

At a minimum, each RWQCB shall conduct the following public participation activities:

1. Provide a 30-day comment period with public notice of the proposed 303(d) list. The RWQCB should consider the following options to fulfill the public notice requirements:

Option A. RWQCB workshop and adoption of the draft 303(d) list at a public hearing

The RWQCB may conduct a workshop to consider the draft 303(d) list followed by a public hearing to adopt the 303(d) list. A 30-day public notice shall be provided for the workshop and 45-day public notice shall be provided for the public hearing. Written comments should be submitted 15 days prior to the public hearing.

Option B. RWQCB adoption of the draft 303(d) list at a regular Board meeting

The RWQCB may adopt the 303(d) list at a regular Board meeting. A 30-day public notice of the RWQCB's intent to consider adoption of the draft 303(d) list, TMDL priority ranking and scheduling should be provided. The public notice shall solicit written comments on the draft 303(d) list. Written comments should be submitted 7 days prior to the RWQCB meeting.

Option C. RWQCB adoption of the draft 303(d) list at a public hearing (no workshop)

The RWQCB may adopt the 303(d) list at a duly noticed public hearing (45-day public notice). The public notice shall solicit written comments on the draft 303(d) list. Written comments should be submitted 15 days prior to the RWQCB meeting.

2. Prepare a responsiveness summary (40 CFR part 25) responding to all written comments on the draft 303(d) list received by the cut-off date.

The RWQCB should consider the following:

Provide 90-day public notice of RWQCB's intent to consider revisions to 303(d) list, establish TMDL priority ranking and development schedule. This notice should outline the criteria used for listing decisions and which watersheds will be assessed in this listing cycle. The notice shall solicit information, data, and other relevant factors to assist RWQCB staff in the preparation of the draft 303(d) list and TMDL priority ranking/schedule.

F. 303(d) List Submittal Package

At a minimum, each RWQCB should submit to the SWRCB the following information with the 303(d) list submittal:

1. 303(d) list of water bodies (referenced on maps, if feasible), pollutant or stressors, pollutant sources, extent of impairment (e.g. miles of stream, acres of estuary), TMDL priority ranking and schedule for TMDL development for all listed water bodies by the RWQCB; and
2. list of water bodies and associated watersheds (referenced on maps, if feasible) which were assessed in the current cycle; and
3. factors used to list or delist specific waterbodies (see sections B and C). Criteria used to prioritize TMDL development (see section D.1.). Criteria used to generate TMDL development schedules (see section D.2.); and
4. documentation for TMDL priority ranking and scheduling decisions, which may include an estimate of resource needs for high priority water bodies for TMDL development; and
5. documentation of the public participation process
 - a. public notice(s)
 - b. responsiveness summary; and

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6. list of RWQCB file(s) which contain the individual water body assessment data, information, etc. upon which the listing decision was made (note: a RWQCB may choose to submit the data assessment information in lieu of the minimum list of files to the SWRCB as part of the submittal package. This may be warranted for some water bodies where there is significant controversy).

G. Coordination with the Watershed Management Initiative (WMI)

RWQCBs should conduct the 303(d) assessment consistent with each region's schedule outlined in the WMI chapter for updating the Water Quality Assessment (WQA). The WQA includes the 303(d) listing. The TMDL priority ranking and scheduling shall also be consistent with the WMI chapter. In order to assure this consistency, each RWQCB should:

1. include the 303(d) listing/review schedule for each watershed in the regions' WMI chapter; and
2. include the TMDL priority ranking and scheduling in the regions' WMI chapter; and
3. include resource allocation projections for conducting the 303(d) listing assessment in the regions' WMI chapter.
4. in cases where the RWQCB focused the 303(d) listing/review on a subset of watersheds in the region, public comments on water bodies outside of targeted watersheds will be directed to the WMI process for prioritization.

Attendees at TMDL Roundtable Meetings (4/30 & 7/28) and Work Team Members

Bruce Gwynne, RB1*
Tom Mumley, RB2
Angela Carpenter, RB3*
Debbie Smith, RB4
Shirley Birosik, RB4
Heather Trim, RB4*
Ana Corado, RB4*
Jerry Bruns, RB5*
Sue Yee, RB5*
Judith Unsicker, RB6*
Leanne Chavez, RB7
Dong Vu, RB7
Hope Smythe, RB8*
Kristin Schwall, RB9
David Barker, RB9*
Mark Flachsbart, US EPA
Joe Karkoski, US EPA*
David Smith, US EPA*
Ken Coulter, SWRCB
Carl Henriet, SWRCB
Stefan Lorenzato, SWRCB
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John Norton, SWRCB
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