

APPENDIX F

STORM WATER PROGRAM DOCUMENTS

1. This memo lays out frame work for documenting policies, procedures, technical notes and the like, related to the City’s responsibilities and interest in surface water quality, particular federally mandated (EPA) and state –implemented (TDEC) NPDES requirements of the Stormwater Phase 2 program.
2. The framework will serve as a means of recording and communicating among City Departments, important documents and decisions in the City’s management of surface water quality issues. It is also intended to maintain the type of documents the EPA and the State expect as evidence of a Stormwater quality management program.
3. Initiating and developing Stormwater-related documents
 - a. Types of documents to be developed and recorded:
 - Management systems, assignments, directives
 - Policy memorandums, statements
 - Standard Operating Procedures (S.O.P)
 - Technical notes
(may also include decisions made in interpreting ordinance and guidance materials)
 - Record of decision
(e.g., precedent or policy-setting decisions; appeal or enforcement-related decision by a City Board that affects policy, interpretation of ordinance)
 - b. Documents may generally be categorized by the persons or persons necessary for adoption of the policy :
 - Department Director
(S. O.P.; department policy; technical note)
 - Multiple department involved – department directors and /or City Managers (S.O.P multi-departmental; technical note)
 - Board, Commission, or City Council
(Policy, record of decision)

The above-listed materials are in addition to basic program elements such as ordinances, guidance manuals, handbooks, and educational materials. See item number 6 below.

Examples of documents needed to be recorded and filed (those in plain font are taken from TDEC Stormwater program audit list)

- Management
 - City and program-related organizational chart /maps
 - Stormwater program staff list and roles and responsibilities

 - S.O.P's
 - Enforcement escalation procedures
 - Dry weather screening SOP
 - Plan review checklists
 - Construction site inspection checklist
 - Post-construction inspection checklist
 - Stormwater Committee structure and responsibility

 - Technical notes
 - Storm water hot spots, definition of, and special conditions related to
 - Priority construction activity, definition
 - Application of ordinance in unusual situations
 - Enforcement
- c. In the absence of specific guidance, staff should use professional judgment (city engineer) in determining the significance of an issue and whether or not a written policy or document needs to be recorded and communicated to other city staff. In some cases, a policy of procedure will be only a short (e.g., a definition) memorandum, nevertheless critical to implementing components of the stormwater program
- d. Where staff find a need for a stormwater-related memorandum (policy, procedure, SOP,etc) after director's approval to proceed, staff may draft the policy and according to department procedures then route the draft to other relevant departments for review and comment or as needed refer the development of the document to the more appropriate department. Indicate a date by which comments should be submitted to author. This will initiate the development of the policy.
- e. Documents which involve, or significantly affect, operations and decisions of more than one department should be reviewed by and in normal cases by approved by those departments' directors. Those

multi-department documents will be forwarded to the City Manager for approval and signature.

4. Format, name, numbering of stormwater program documents

a. Intra-department issues

Certain issues will, or may, relate exclusively to one department. (For example, an S.O.P. for street sweeping.) This type of document can be developed within the department and approved by the director. This document should be forwarded to the Stormwater Coordinator for record keeping purposes.

The department director should have this one department materials filed in a way so that those related to stormwater can be identified through the filing records.

If a department already has a filing system for policy documents, technical notes and so forth, the department may continue to use that numbering system for the stormwater related policies. If the department does not have such a filing system, it shall create a system at least for stormwater related documents. This is also recommended for other programs with state or federal regulatory impact. As a default filing system for storm water related documents, number the document with an initial "SW", then with year and then series. For example: *SW 09 001, for the first document of 2009.*

b. Multi-department issues

Certain stormwater-related issues will involve two or more departments to significant degree. In those cases, the document is confirmed by the City Manager's signature.

The standard procedure shall be this: the document is developed within the departments, signed by the directors, forwarded to the City Manager by the initiating department for final approval, signed by the City Manager and returned to the initiating department. The City Manager, of course many have occasion to issue a policy or other guidance with or without department input.

The department that initiates and develops the issue document shall file it according to its filing and recordkeeping procedures. See paragraphs above under 4 .a. A copy shall be forwarded to the stormwater coordinator.

A department may initiate its own stormwater related documents, or depending on content, may refer the issue to a more involved department. E.g., if Planning Department sees a need for a car wash policy on commercial properties, planning may refer that to the appropriate department for policy development.

In developing an issue-document involving more than one department, the document should include a table in which to record the concurrence of department directors, and the date, for each department director with significant interest in the issue.

- c. Stormwater document master files, numbering, filing
- i. The stormwater coordinator shall use the following heading, titling and numbering the documents :

File no: *SWMP Series* **Date rec:**
Stormwater – category
Dept: *Dept. name* **Dept. doc. no:**
Date: *use date that document is forwarded to mgt for signature*
Re: *primary subject of document*

This heading shall be incorporated onto the first page of the document, as printed from the electronic version or by a stamp, and if necessary on a cover memo that will also include a short description of the material attached.

- ii. Provide a file number according to the following format:

SWMP Year Series
SWMP abbreviates Storm Water Management Program.
Series (001, 002,003,etc.)

- iii. Identify a category for the content of the document. Use the best Description of the following:

- Management
- Policy
- Standard Operating Procedure (S.O.P.)
- Technical note
- Record of decision
- Enforcement
- Other

- iv. The Stormwater coordinator may establish a stormwater web page. The documents may be posted in final form, scanned and in secure pdf format, to the web page, by file number, showing also initiating department and subject title.

5. Communicating stormwater management polices

- a. Upon signature by Department Director, Directors and/or City Manager, as the case may be the Department that initiated the document shall forward a copy to the City's stormwater coordinators, who should ensure that all affected City staff are notified.
- b. At least annually, the stormwater coordinator shall transmit a list of stormwater management documents to department directors and the City Manager. Any documents new to the list shall be briefly summarized.
- c. At least annually, the stormwater coordinator may have the documents posted to the web page.
- d. At least annually, the stormwater coordinator shall host a city employee work session to

6. Related program documents

It is necessary to maintain records of other documents, such as those mentioned above- ordinances, guidance manuals, handbooks, watershed or master planning documents, and educational materials.

The stormwater coordinator shall maintain a list of these and either have copies or refer to the department and place where they are readily available.

7. Approval and adoption:

Department	Concurrence	Date
Building and Codes Director		
Engineering Director		
Legal Department Director		
Parks and Recreation Director		
Planning Director		
Solid Waste Director		
Street Dept. Director		
Water and Sewer Director		
Urban Environmental Director		

The City Manager directs that the procedures herein be adopted. Proposed changes to these procedures should be submitted to the City Manager for approval.

City Manager

Date