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**Introduction**

MassDEP *Instructions & Support Materials* are available for download from the MassDEP Web site at [www.mass.gov/dep](https://www.mass.gov/dep).

*Instructions & Support Materials* files contain a series of documents that provide guidance on what needs to be submitted to MassDEP for a complete application.

1. **What is the purpose of this plan approval?**

The WM 16 plan approval serves to protect the public health, welfare and the environment through the control of pollutant discharges to surface water. The WM 16 plan approval is required for any major physical modification to a treatment works with a National Pollution Discharge Elimination System (NPDES) permit, that does not require modification to the permit issued to the facility.

1. **Who must apply?**

Any person with an active, existing NPDES permit regulated by MassDEP in accordance with the provisions of 314 CMR 3.00 may use this application.

1. **What forms must be completed and how do I apply?**

All applications and attachments must be filled out and submitted through the ePlace portal, located here: <https://eplace.eea.mass.gov/citizenaccess>. Please do not mail these forms to MassDEP. NPDES specific information about filing in ePlace is available at this link: <https://www.mass.gov/how-to/wm-16-treatment-works-plan-approval-for-newmodified-facility-associated-with-surface-water>.

If you have an existing NPDES permit, you will first need to do one important step: Claim Your Authorization. This will allow us to link your Plan Approval (WM16) to your existing permit and confirm who you say you are.

First, you will need to create an account in ePlace: [**https://eplace.eea.mass.gov/citizenaccess**](https://eplace.eea.mass.gov/citizenaccess). Once logged in, click on the large blue button on the right “File an Online Application”. After approving the Portal Disclaimer, you will click on “Energy and Environmental Affairs” and check “Apply for an EEA General Request”. When you are in the Application Information Section, please note that “Legacy ID Number” is just your NPDES Permit Number (MA0000000) that you currently hold. Also, in the Documents section, you will also be required to fill out and attached the NPDES Claim Authorization Form located on the website. Please move forward and submit your Claim. It may take DEP a day or two to respond and approve your authorization claim. At that point, you can come into the system and proceed with your Permit Amendment.

After MassDEP has approved your authorization claim (you will receive an email), return to ePlace and log in. Once logged in, click on the large blue button on the right “File an online Application”. To find WM16, you will click on “Energy and Environmental Affairs” and check “Apply for DEP Authorization”. At that point, this application process is located under NPDES. You will need to attach the WM16 application in Documents section (which can be filled out in the MS Word or Adobe Acrobat formats). Once you submit the application you will receive an email that will provide you the record number. If you have not submitted everything on ePlace, this record number should be used when submitting supporting documentation or payment by mail. From the “My Records” button, you will be able to view the status of your application through the review and approval process.

Additional visual instructions to assist you in claiming your authorization and submitting your renewal application are available at: <https://www.mass.gov/how-to/wm-16-treatment-works-plan-approval-for-newmodified-facility-associated-with-surface-water>.

(If you don’t have an existing NPDES permit authorization for your facility, please contact the MassDEP NPDES program directly.)

Since the vast majority of applicants have existing NPDES Permits, please see the more detailed instructions as follows:

1. Log into the ePortal place at: [https://eplace.eea.mass.gov/citizenaccess](https://eplace.eea.mass.gov/citizenaccess%E2%80%AF)
2. If the facility has not yet entered an application in ePlace, first create an account in ePlace.
3. Once logged in, click on the large blue button on the right, “File an Online Application”.
4. Agree to the disclaimer.
5. Scroll to “Energy and Environmental Affairs (EEA, DEP, MDAR, DCR)” and click “Apply for a EEA General Request”. Note that in ePlace all permits are referred to as “Legacy Records”
6. Choose the following
   1. Under, “Which agency is the Legacy Record from?” select MassDEP.
   2. Under, “Which program is the Legacy Record from?” select “NPDES”.
   3. Under, “General Information” include information about your NPDES permit number and expiration date.
   4. Finally, upload and submit a completed version of the NPDES Claim Authorization Form. A link to the Claim Authorization Form is available at the end of these instructions.
   5. Note that you will not be able to continue with submittal of the application until this form has been submitted and approval has been received from MassDEP.
   6. Following submittal of the Claim Authorization Form, wait for MassDEP personnel to approve your access before you can submit the WM07 (this may take a day or two).
7. Upon receiving verification from MassDEP about your access, log in to ePlace and perform the below steps. Note that the above steps only need to be performed the first time you submit information about a facility in ePlace.
   1. Select “File an online Application”. Click on “Energy and Environmental Affairs” and check “Apply for DEP Authorization”. At that point, the WM16 application process is located under NPDES. You will need to attach the WM16 application in Documents section (which can be filled out in the MS Word or Adobe Acrobat formats).
   2. Complete payment information if applicable in ePlace.
   3. Note that you can return to an application provided you select “Save and Return Later”. Once you submit an application you can no longer upload documents without approval from MassDEP personnel.
   4. Once an application has been submitted, you will receive an email that will provide you the record number.
   5. From the “My Records” button, you will be able to view the status of your application through the review and approval processes.
8. Edit your application
   1. You are only able to edit your application if you:
      1. Contact NPDES staff and request edit access.
      2. Are prompted to edit a specific part of your application by request of a staff reviewer via the EIPAS system. In this event, go to <https://eplace.eea.mass.gov/citizenaccess> log into your account and enter or upload the requested information to the specified permit application by clicking “Edit” under the “My Records” tab and resubmit your application. Once submitted, you will once again no longer have editing privileges.

Forms and assistance are available as follows:

* 1. The MassDEP NPDES Treatment Works Plan Approval Without Permit Modification Application must be submitted to MassDEP through ePlace only. This form is located at <https://www.mass.gov/how-to/wm-16-treatment-works-plan-approval-for-newmodified-facility-associated-with-surface-water>.
     + For assistance regarding online filing, contact the ePlace Help Desk Team at 844-733-7522 or [ePlace\_helpdesk@mass.gov.](mailto:ePlace_helpdesk@mass.gov)
     + For technical assistance with the WM 16, please refer to the following regional list of contacts. Find your region at:<https://www.mass.gov/service-details/massdep-regional-offices-by-community>:
       - CERO: Daniel Kurpaska, 857-207-2000, [daniel.j.kurpaska@mass.gov](mailto:daniel.j.kurpaska@mass.gov);
       - NERO: Susannah King, 857-300-3294, [susannah.king@mass.gov](mailto:susannah.king@mass.gov);
       - SERO: Jeffrey Gould, 857-262-5437, [jeffrey.gould@mass.gov](mailto:jeffrey.gould@mass.gov);
       - SERO (Cape & Islands): Andrew Osei, 857-383-7042, [andrew.osei@mass.gov](mailto:andrew.osei@mass.gov); and
       - WERO: Hem Pokharel, 617-455-7957, [hem.pokharel@mass.gov](mailto:hem.pokharel@mass.gov).
  2. TheWM 16 NPDES Treatment Works Plan Approval without Permit Modification Application. This form is located here:   
     <https://www.mass.gov/how-to/wm-16-treatment-works-plan-approval-for-newmodified-facility-associated-with-surface-water>.
  3. The Certification Statement for the engineering report and the plans and specifications. This form is located here:   
     [https://www.mass.gov/lists/wastewater-permits-and-reporting-forms.](https://www.mass.gov/lists/wastewater-permits-and-reporting-forms.%20)
  4. An Engineering Report stamped and signed by a Massachusetts Registered Professional Engineer. Guidance for this report is located on the last page of this instruction document.
  5. The following other potential requirements, intended to serve as a guide to the applicant, may need to be completed but do not necessarily include all additional requirements:
  + Application for operator certification/facility rating in accordance with 257 CMR 2.00 may be needed.
  + Other state or local approvals.

**Note**: Applications may require Massachusetts Environmental Policy Act (MEPA) review. Please carefully examine 301 CMR 11.00, the MEPA Regulations, to determine if your project exceeds the MEPA review thresholds, or for more information contact the MEPA Unit of the Executive Office of Environmental and Energy Affairs (100 Cambridge Street, Boston, MA 02202; 617-626-1031). MassDEP cannot complete the technical review of the permit application until the MEPA process has been concluded. Copies of MEPA filings (with reference to any applicable Transmittal numbers) should be sent to the appropriate program offices in Boston and the MEPA Coordinator in the appropriate Regional Office.

1. **What is the application fee?**

Refer to 310 CMR 4.10 and “Schedule of Permit Application Fees and Timelines” located at: [https://www.mass.gov/lists/massdep-fees-timelines.](https://www.mass.gov/lists/massdep-fees-timelines.%20)

|  |  |
| --- | --- |
| WM 16 New/Modified Plan Approval for Surface Water Discharge (NPDES) Facilities, without Permit Modification | $980 |

The ePlace online application form will take you directly to a screen where you can pay the fee (where applicable). The fee can be paid online via credit card or electronic check with a service fee. You can also choose to pay by mail. Payments sent by mail should be in the form of a check or money order made payable to Commonwealth of Massachusetts. The record number should be written on the check or money order.

Mail the payment to: MassDEP, P.O. Box 4062, Boston, MA 02211. Once you submit the application online you will receive an email that will provide you the record number as well as a reminder on how to mail payment of the permit fee. The Department will not begin review of the application until the fee is paid.

1. **Where can I get a copy of the timelines and information on annual compliance fees?**

The timelines and current annual compliance fees are available on the MassDEP Website at the following location: <https://www.mass.gov/lists/massdep-fees-timelines>. In cases where extraordinary compliance work is required, a higher fee may be developed.

If you fail to pay the annual compliance fee, your permit could be suspended or revoked.

1. **How long is this plan approval in effect?**

There is no time limit for plan approvals. (Please note that NPDES Permits are effective for 5 years.)

1. **Is submitted information available to the public?**

To see a copy of your application after submittal, visit <https://eeaonline.eea.state.ma.us/EEA/PublicApp>. Please note that this is made available to the public also.

Information contained in these applications will, upon request, be made available to the public. However, you may request confidential treatment for certain supplementary information which you submit in support of an application. No information on the WM 16 NPDES Treatment Works Plan Approval Application may be claimed as confidential.

1. **Where can definitions be referenced?**

See applicable regulations (listed in Question 9 below).

1. **What are the regulations that apply to this plan approval and where can I get copies?**

These regulations include, but are not limited to:

a. Surface Water Discharge Program, [314 CMR 3.00;](https://www.mass.gov/regulations/314-CMR-3-surface-water-discharge-permit-program)

b. Water Quality Standards, [314 CMR 4.00](https://www.mass.gov/regulations/314-CMR-4-the-massachusetts-surface-water-quality-standards);

c. Operation, Maintenance and Pretreatment Standards for Wastewater Treatment Works, [314 CMR 12.00](https://www.mass.gov/regulations/314-CMR-12-operation-maintenance-and-pretreatment-standards-for-wastewater-treatment);

d. Wastewater Treatment Operator Certification Regulations, [257 CMR 2.00](https://www.mass.gov/regulations/257-CMR-200-certification-of-operators-of-wastewater-treatment-facilities);

e. Timely Action and Fee Provisions, [310 CMR 4.00; and](https://www.mass.gov/regulations/310-CMR-400-timely-action-schedule-and-fee-provisions)

f. Administrative Penalty Regulations, [310 CMR 5.00.](https://www.mass.gov/regulations/310-CMR-500-administrative-penalty-regulations)

Hard copies may be purchased at:

State Bookstore

Massachusetts State House

Room 116

Boston, MA 02133

617-727-2834

State House West Bookstore

436 Dwight Elm Street

Springfield, MA 01103

413-784-1376

Unless otherwise specified in instructions to the forms, each item in each form must be answered. To indicate that each item has been considered, enter "NA" for not applicable, if a particular item does not fit the circumstances or characteristics of your facility or activity.

Some items in the forms require narrative explanation. If more space is necessary to answer a question, attach a separate sheet entitled "Additional Information".

This form must be completed by all applicants for NPDES plan approvals.

*Item 1*

Identify the applicable permit category.

*Item 2*

Enter the applicant’s contact information.

*Item 3*

Enter the facility's official or legal name followed by the complete mailing address of the office where correspondence and billing should be sent; the location of the facility producing the discharge; the telephone number of the facility; and an e-mail address.

Enter the name of the facility holding the surface water discharge (NPDES) permit. Also enter the permit number.

*Section B – Surface Water Discharge Application- Certification*

All permit applications shall be signed as follows:

A. For a corporation, by a responsible corporate officer

B. For a partnership or sole proprietorship, by a general partner or the proprietor, respectively; or

C. For a municipality, State, Federal, or other public agency: by either a principal executive officer, or ranking elected official.

TheWM 16 NPDES Treatment Works Plan Approval without Permit Modification Application. This form is located here: <https://www.mass.gov/how-to/wm-16-treatment-works-plan-approval-for-newmodified-facility-associated-with-surface-water>.

The Certification Statement for the engineering report and the plans and specifications. This form is located here: [https://www.mass.gov/lists/wastewater-permits-and-reporting-forms.](https://www.mass.gov/lists/wastewater-permits-and-reporting-forms.%20)

An Engineering Report stamped and signed by a Massachusetts Registered Professional Engineer. Guidance for this report is located on the last page of this instruction document.

*Please be advised, upon issuance of a permit, you will be responsible for paying the Annual Compliance Assurance Fee (ACF) as required by 310 CMR 4.00.  Failure to make timely payment of an ACF may result in the revocation of the permit and the denial of any other pending permit application that you have filed with MassDEP.  In addition, if you owe any past due ACF for any MassDEP permit, this permit application may be denied under M.G.L. c. 21A, sec.18.*

*This approval is required for any major physical modifications to the treatment works that do not involve a modification to the existing \ surface water discharge (NPDES) permit. Any proposed major treatment works project must be supported by an engineering report providing the design information and basis for the project.* *The engineering report and plans & specifications shall be* ***stamped and signed*** *by a Massachusetts Registered Professional Engineer.*

*Submission of plans & specifications to the MassDEP for the proposed modifications to the treatment works may be required to be submitted with the application or at any time during the application’s review. In all cases, formal submission of the final plans and specifications will be required by 90 days prior to the start-up of the approved modifications.*

*The Certification Statement for the engineering report and the plans & specifications is required to be submitted with this approval request.*

**Engineering Report Requirements**

The engineering report shall include a detailed description of the project, design data and sufficient technical detail so that MassDEP can fully review the design of the project and assess any related permit compliance issues. Depending on the scope of the project, some or all of the following information may be required with the application:

a. a general description of the facility (municipal system, industrial facility, school, etc.);

b a listing of raw materials used, such as but not limited to, chemicals, cleaning products, petroleum products, etc;

c. a description of the sources of water supply including quantity and quality requirements;

d. an identification of the sources of all sanitary and industrial wastes streams together with the quantity of flow and waste stream characteristics, including seasonal flow fluctuations, if any. In accordance with 310 CMR 30.302, a determination of whether any industrial waste stream is a hazardous waste stream shall be made for each industrial waste stream;

e. a description of any by-product recovery systems;

f. a listing and description of wastewater treatment studies performed;

g. a description of liquid waste flow control measures;

h. a description of any existing wastewater treatment system, including all design parameters;

i. a description of reclaimed water opportunities;

j. a description of any anticipated new processes;

k. a description of the proposed effluent quality;

l. a listing and evaluation of wastewater treatment alternatives capable of meeting applicable effluent quality;

m. a narrative description of the modification to the treatment works, based upon the preceding evaluation, with detailed design criteria, including flows and loads, number and size of unit processes and appurtenant facilities, unit loading, and a preliminary layout;

n. a hydraulic profile in graphic form, on a sheet no larger than 11 inches by 17 inches, including the final effluent disposal area with water surface elevations at average, peak, and low flow conditions;

o. a flow schematic, on a sheet no larger than 11 inches by 17 inches, including return lines, chemical feed lines, and sampling points;

p. a description of redundancy requirements;

q. a discussion whether this is the initial phase of a larger project and, if so, how the design will accommodate future phases;

r. a description of odor control provisions, as necessary;

s. a description of safety provisions;

t. a description and location of all chemicals stored, including spill containment provisions;

u. an implementation schedule for the recommended plan;

v. treatability and pilot study data on the ability of the proposed treatment system to treat the proposed discharge and meet applicable federal, state, and local requirements;

w. an examination of the potential impact of any proposed discharge on municipal and private water supply wells, or POTW's, or surface water, whichever is applicable.

The engineering plans and specifications of the proposed wastewater treatment works (not to be submitted until 90 days prior to the startup of the treatment works) shall include, at a minimum, the following:

a. materials of construction and specifications for the wastewater treatment works components;

b. materials of construction and specifications for all wastewater collection system components;

c. specifications for all instrumentation and alarms;

d. a site plan and general plant layout;

e. plan views and profile views, including dimensions showing existing and proposed piping and processing units related to wastewater collection, treatment, and disposal.