

SWPPP/WPCP ANNUAL CERTIFICATION OF COMPLIANCE

CEM-2070 (REV 12/2013)

PROJECT INFORMATION NAME AND SITE ADDRESS	CONTRACT NUMBER/CO/RTE/PM
	PROJECT IDENTIFIER NUMBER
	WDID NUMBER
CONTRACTOR NAME AND ADDRESS	SWPPP PROJECT SITE RISK LEVEL <input type="checkbox"/> Risk Level 1 <input type="checkbox"/> N/A. WPCP <input type="checkbox"/> Risk Level 2 <input type="checkbox"/> N/A. Project resides in the Lake Tahoe Hydrologic Unit and is regulated under Order No. R6T-2011-0019, NPDES No. CAG616002. <input type="checkbox"/> Risk Level 3

**Stormwater Pollution Prevention Plan (SWPPP)/Water Pollution Control Program (WPCP)
Annual Certification of Compliance**

Water Pollution Control Manager Certification

This certification for the project site is based on an inspection of the project site conducted on (date) _____

I certify based on my inspection of the project site that:

- Yes No Water pollution control measures are being implemented in accordance with the SWPPP or WPCP approved for the project, including approved SWPPP/WPCP amendments.
- Yes No The project site and activities thereon are in compliance with the Caltrans Statewide NPDES Permit No. CAS000003, the NPDES General Permit for Stormwater Discharges Associated with Construction and Land Disturbance Activities, Order No. 2009-0009-DWQ, NPDES Permit No. CAS000002, or Order No. R6T-2011-0019, NPDES No. CAG-616002, whichever is applicable.

Contractor Water Pollution Control Manager signature	Date
Contractor Water Pollution Control Manager name	Phone number

Contractor Annual Certification of Compliance

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 ensure that qualified personnel properly gathered and evaluated the information submitted. Based on my inquiry of the person or persons who manage the system or those 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 significant penalties exist for submitting false information, including the possibility of fine and imprisonment for knowing violations.

Contractor signature	Date
Contractor name	Phone number
Title	

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**Required for Private Entity Administered Projects
Private Entity Legally Responsible Person Annual Certification of Compliance**

I certify that the project is in compliance with the project site approved Stormwater Pollution Prevention Plan or Water Pollution Control Program including approved amendments. The project site and activities thereon are in compliance with the Caltrans Statewide NPDES Permit No. CAS000003, the NPDES General Permit for Stormwater Discharges Associated with Construction and Land Disturbance Activities, Order No. 2009-0009-DWQ, NPDES Permit No. CAS000002, or Order No. R6T-2011-0019, NPDES No. CAG-616002, whichever is applicable.

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 ensure that qualified personnel properly gathered and evaluated the information submitted. Based on my inquiry of the person or persons who manage the system or those 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 significant penalties exist for submitting false information, including the possibility of fine and imprisonment for knowing violations.

Legally responsible person signature	Date
Legally responsible person name	Phone number
Title	

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PROJECT INFORMATION NAME AND SITE ADDRESS	CONTRACT NUMBER/CO/RTE/PM
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Resident Engineer Approval of Annual Certification of Compliance

An inspection of the project site for annual certification of compliance was conducted on (date) _____	Annual Certification of Compliance project site inspection conducted by _____
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I certify that I, or personnel acting under my direction and supervision, have inspected the project site and find the following:

Yes No Water pollution control measures are being implemented in accordance with the SWPPP or WPCP approved for the project, including approved SWPPP/WPCP amendments.

Yes No The project site and activities thereon are in compliance with the Caltrans Statewide NPDES Permit No. CAS000003, the NPDES General Permit for Stormwater Discharges Associated with Construction and Land Disturbance Activities, Order No. 2009-0009-DWQ, NPDES Permit No. CAS000002, or Order No. R6T-2011-0019, NPDES No. CAG-616002, whichever is applicable.

The box above is checked "no" based on the project site annual certification inspection, and the following corrective actions are necessary for the project to be in compliance with SWPPP/WPCP or NPDES Permits

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 ensure that qualified personnel properly gathered and evaluated the information submitted. Based on my inquiry of the person or persons who manage the system or those 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 significant penalties exist for submitting false information, including the possibility of fine and imprisonment for knowing violations.

Resident engineer signature	Date of approval
Resident engineer name	Phone number

**Required for Local Agency or Private Entity-Administered Project
Caltrans Oversight Engineer's Concurrence With Annual Certification of Compliance**

I, or personnel acting under my direction and supervision, have reviewed this Annual Certification of Compliance and concur that the project is in compliance with SWPPP or WPCP approved for the project, including approved SWPPP/WPCP amendments and applicable NPDES Permits.

Oversight engineer signature	Date of concurrence
Oversight engineer name	Phone number

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Instructions

General Information

- Projects with either a Stormwater Pollution Prevention Plan (SWPPP) or Water Pollution Control Program (WPCP) require an Annual Certification of Compliance by July 15th of each year.
- Document the project site inspection for annual certification on form CEM-2030, "Stormwater Site Inspection Report."
- A legally responsible person (LRP) or a signatory approved by the LRP must certify the Stormwater Pollution Prevention Plan Annual Certification of Compliance.
 - For Caltrans, the LRP is the district director. The LRP may authorize the project resident engineer to be the approved signatory.
 - For a local agency, the LRP is either a principal executive officer or ranking elected official. The local agency's LRP may authorize the project resident engineer to be the approved signatory. If the local agency's LRP has not approved the local agency's resident engineer to be an approved signatory then the local agency's LRP must sign in the resident engineer signature box of the Annual Certification of Compliance.
 - For a private entity performing work in the state right-of-way under an encroachment permit, the LRP must be one of the following:
 - For a corporation—a responsible corporate officer.
 - For a partnership or sole proprietorship—a general partner or the proprietor, respectively.
 - The private entity's LRP may not authorize an approved signatory.
- File a completed copy of this form in SWPPP/WPCP file category 20.70, Annual Certification of Compliance.
- This form is used for Annual Certification as well as replaces form CEM-2001.

Form**Contract Number/Co/Rte/PM**

For local agency encroachment permit projects, write the encroachment permit number in the Contract Number field.

Project Identifier Number

Caltrans projects starting July 1, 2010, will have a Project Identifier Number (PIN). For projects without a PIN, write "N/A" in the field.

WDID Number

For projects that have Water Pollution Control Program, enter "WPCP" in this field.

SWPPP Projects Site Risk Level

Check the box for the appropriate SWPPP risk level, or N/A for projects residing in the Lake Tahoe Hydrologic Unit, or N/A for projects that have Water Pollution Control Program.