

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 5

IN THE MATTER OF:

OHIO DEPARTMENT OF
TRANSPORTATION
1980 WEST BROAD STREET
COLUMBUS, OHIO 43223,

Respondent.

Proceeding to Assess a Class II Civil
Penalty under Section 309(g) of the
Clean Water Act, 33 U.S.C. § 1319(g)

Docket No. CWA-05-2015-0001

CONSENT AGREEMENT AND FINAL ORDER

JURISDICTIONAL ALLEGATIONS



1. This is an administrative action commenced and concluded under Section 309(g) of the Clean Water Act (CWA), 33 U.S.C. § 1319(g), and Sections 22.13(b) and 22.18(b)(2) and (3) of the Consolidated Rules of Practice Governing the Administrative Assessment of Civil Penalties and the Revocation/Termination or Suspension of Permits (the Consolidated Rules) as codified at 40 C.F.R. Part 22, for violations of Section 301(a) of the CWA, 33 U.S.C. § 1311(a).
2. According to 40 C.F.R. § 22.13(b), where the parties agree to settle one or more causes of action before the filing of a complaint, an administrative action may be commenced and concluded simultaneously by the issuance of a consent agreement and final order (CAFO).
3. Complainant is, by lawful delegation, the Director of the Water Division, U.S. Environmental Protection Agency (U.S. EPA) Region 5.
4. Respondent is the Ohio Department of Transportation, 1980 West Broad Street, Columbus, Ohio, an organization of state government under the laws of the State of Ohio. Respondent is a "person" as that term is defined at Section 502(5) of the CWA, 33 U.S.C. § 1362(5), and 40 C.F.R. § 501.2.

5. The parties agree that settling this action without the filing of a complaint or the adjudication of any issue of fact or law is in their interest and in the public interest.

6. Respondent consents to the terms of this CAFO, including the assessment of the civil penalty specified below.

JURISDICTION AND WAIVER OF RIGHT TO HEARING

7. Respondent stipulates that U.S. EPA has jurisdiction over the subject matter of this CAFO and waives any jurisdictional objections it may have.

8. Respondent waives its right to request a hearing as provided at 40 C.F.R. § 22.15(c), any right to contest the allegations in this CAFO, and its right to appeal this CAFO.

9. By executing this CAFO, Respondent does not admit liability or admit Complainant's factual allegations set forth in this CAFO. Respondent's execution of this CAFO does not constitute a waiver or admission of any kind, including without limitation a waiver of any defense, legal or equitable, which Respondent may have in this or any other administrative or judicial proceeding, other than a proceeding to enforce this CAFO.

STATUTORY AND REGULATORY BACKGROUND

10. Section 309(g) of the CWA, 33 U.S.C. § 1319(g), states that: "Whenever, on the basis of any information available the Administrator finds that any person has violated [Section 301 of the CWA, 33 U.S.C. § 1311], ... the Administrator ... may, after consultation with the State in which the violation occurs, assess a ... class II civil penalty under [Section 309(g)(2)(B) of the CWA, 33 U.S.C. § 1319(g)(2)(B)]."

11. Section 301(a) of the CWA, 33 U.S.C. § 1311(a), states that "Except as in compliance with [Section 404 of the CWA] the discharge of any pollutant by any person shall be unlawful."

12. Section 404(a) of the CWA, 33 U.S.C. § 1344(a), states: “The Secretary [of the Army] may issue permits ... for the discharge of dredged or fill material into the navigable waters at specified disposal sites.”

13. Section 502(12)(A) of the CWA, 33 U.S.C. § 1362(12)(A), defines a “discharge of pollutants” as “ ... any addition of any pollutant to navigable waters from any point source.”

14. Section 502(14) of the CWA, 33 U.S.C. § 1362(14), defines “point source” as “ ... any discernible, confined and discrete conveyance, including but not limited to any pipe, ditch, channel, tunnel, conduit, ... [or] discrete fissure... from which pollutants are or may be discharged.”

15. Section 502(6) of the CWA, 33 U.S.C. § 1362(6), defines “pollutant” as “ ... dredged spoil, solid waste, ... biological materials, ... rock, sand [or] agricultural waste discharged into water.”

16. Section 502(7) of the CWA, 33 U.S.C. § 1362(7), defines “navigable waters” as “ ... the waters of the United States”

17. Federal regulations, at 40 C.F.R. § 232.2, define the term “waters of the United States” to include rivers, streams and “wetlands.”

18. Federal regulations, at 40 C.F.R. § 230.3(t), define “wetlands” as “ ... those areas that are inundated or saturated by surface or ground water at a frequency and duration sufficient to support, and that under normal circumstances do support, a prevalence of vegetation typically adapted for life in saturated soil conditions.”

ALLEGATIONS OF LIABILITY

19. The property subject to this Order is located in the SE ¼ of Section 9 and NW ¼ of

Section 10, Township 03 North, Range 02 East in Butler County, Ohio (the Site). The current owners of record for the Site are Ms. Linda Shaw Doss (Permanent Parcel Number K461000 9000010) and Mr. William Shaw (Permanent Parcel Number K461000 9000027). The Site is also within the Ohio State Route 27 right-of-way, which is under the ownership of the Respondent. The Respondent did not own all of the property at the time of the discharges described in paragraph 20 below but the Respondent caused those discharges to occur.

20. Respondent, using excavators and bulldozers, excavated sediment to create a diversion channel within Indian Creek on February 25, 2011. The excavated material was used to create a berm along the outside edge of the created diversion channel. A contractor, John R. Jurgensen Company in Cincinnati, Ohio, acting as an agent under contract with the Respondent, using excavators and bulldozers, placed large rocks along Indian Creek from March 1 to March 9, 2011, in order to stabilize the bank along State Route 27 and enhance and expand the diversion berm within the stream bed of Indian Creek. The purpose of the project was to divert Indian Creek away from State Route 27.

21. Respondent's activities at the Site using an excavator and bulldozers resulted in the deposit of sediment and rock into Indian Creek at the Site. EPA estimates the length of impacted streams to be 925 linear feet of Indian Creek. Respondent's excavator and bulldozers constituted "point sources" within the meaning of the definition set forth in Section 502(14) of the CWA, 33 U.S.C. § 1362(14). The sediment and rock constituted "pollutants" within the meaning of the definition set forth in Section 502(6) of the CWA, 33 U.S.C. § 1362(6). The addition of sediment and rock into streams on the Site constituted a "discharge of pollutants" within the meaning of the definition set forth in Section 502(12) of the CWA, 33 U.S.C. § 1362(12).

22. Indian Creek flows to the Great Miami River, a traditional navigable water.
23. Indian Creek is a “waters of the United States” pursuant to 40 C.F.R. § 232.2.
24. At no time during the activities referenced in paragraph 20 and 21 did the Respondent possess a permit from the Secretary of the Army, through the Army Corps of Engineers, under Section 404(a) of the CWA, 33 U.S.C. § 1341(a), authorizing the fill activities in the streambed at the site.
25. Respondent’s deposition of sediment and rock into the streambed at the Site constitutes discharges of pollutants to the waters of the United States without an appropriate permit and consequently violates Section 301(a) of the CWA, 33 U.S.C. § 1415(a).
26. Each day Respondent’s sediment and rock deposits remain in place in the streambed at the Site constitutes a separate violation of Section 301(a) of the CWA, 33 U.S.C. § 1311(a).
27. According to 309(g)(2)(A) of the CWA, 33 U.S.C. § 1319(g)(2)(B), and 40 C.F.R. Part 19, the Administrator may assess a penalty not to exceed \$16,000 for each day of violation of Section 301 of the CWA to a maximum of \$177,500 for these violations.

CIVIL PENALTY

28. Based on an analysis of the factors as specified in Section 309(g)(3) of the CWA, 33 U.S.C. § 1319(g)(3), the facts of this case, Complainant has determined that an appropriate civil penalty to settle this action is \$16,000.
29. Within 30 days after the effective date of this CAFO, Respondent must pay the \$16,000 civil penalty by sending a cashier’s or certified check, payable to the “Treasurer, United States of America,” to:

U.S. EPA, Fines and Penalties
Cincinnati Finance Center
P.O. Box 979077
St. Louis, MO 63197-9000

30. The check must note the case caption and the docket number of this CAFO.
31. A transmittal letter, stating Respondent's name, the case title, Respondent's complete address and the case docket number must accompany the payment. Respondent must send a copy of the check and transmittal letter to:

Regional Hearing Clerk (E-19J)
U.S. EPA, Region 5
77 West Jackson Blvd.
Chicago, IL 60604

Kerryann Weaver (WW-16J)
Wetlands Enforcement Section
U.S. EPA, Region 5
77 West Jackson Blvd.
Chicago, IL 60604

Susan Tennenbaum (C-14J)
Office of Regional Counsel
U.S. EPA, Region 5
77 West Jackson Blvd.
Chicago, IL 60604

32. This civil penalty is not deductible for federal tax purposes.
33. If Respondent does not timely pay the civil penalty, U.S. EPA may bring an action to collect any unpaid portion of the penalty with interest, nonpayment penalties and the United States' enforcement expenses for the collection action. Respondent acknowledges that the validity, amount and appropriateness of the civil penalty are not reviewable in a collection action.
34. Respondent must pay the following on any amount overdue under this CAFO. Interest

will accrue on any overdue amount from the date payment was due at a rate established by the Secretary of the Treasury pursuant to 26 U.S.C. § 6621(a)(2). Respondent must pay the United States' enforcement expenses, including but not limited to attorneys' fees and costs incurred by the United States for collection proceedings. In addition, Respondent must pay a quarterly nonpayment penalty each quarter during which the assessed penalty is overdue.

GENERAL PROVISIONS

35. This CAFO resolves Respondent's liability, and any liability of Respondent's owners, parents, subsidiaries, affiliates, related corporations and entities, insurers, reinsurers, indemnitors, stockholders, officers, directors, employees, agents, servants, successors and assigns for only federal civil penalties for the violations and facts alleged in this CAFO.

36. This CAFO does not affect the right of the U.S. EPA or the United States to pursue appropriate injunctive or other equitable relief or criminal sanctions for any violations of law.

37. This CAFO does not affect Respondent's responsibility to comply with the CWA or other applicable federal, state and local laws or regulations.

38. This CAFO is a "final order" for the purposes of any future enforcement action under Section 309 of the CWA, 33 U.S.C. § 1319.

39. The terms of this CAFO bind Respondent and Respondent's owners, parents, subsidiaries, affiliates, related corporations and entities, insurers, reinsurers, indemnitors, stockholders, officers, directors, employees, agents, successors and assigns.

40. Each person signing this consent agreement certifies that he or she has the authority to sign for the party whom he or she represents and to bind that party to its terms.

41. Each party agrees to bear its own costs and fees, including attorneys' fees, in this action.

42. This CAFO constitutes the entire agreement between the parties.

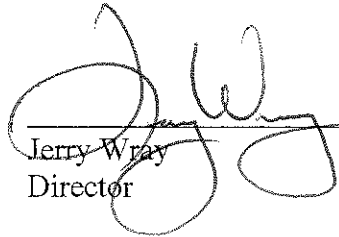
43. The effective date of this CAFO is the date it is filed with the Regional Hearing Clerk, after having been signed by the Regional Administrator and subject to the requirements of Section 309(g)(4)(C) of the CWA, 33 U.S.C. § 1319(g)(4)(C).

44. Complainant is providing public notice of and reasonable opportunity to comment on the proposed issuance of the CAFO according to Section 309(g)(4) of the CWA, 33 U.S.C. § 1319(g)(4).

In the Matter of: Ohio Department of Transportation, Columbus, Ohio
Docket No: CWA-05-2015-0001

Ohio Department of Transportation, Respondent

9-12-2014
Date




Jerry Wray
Director

U.S. Environmental Protection Agency, Complainant

10-8-14
Date



Tinka G. Hyde, Director
Water Division

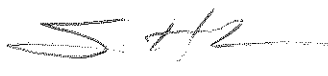
**Reviewed as to Form
Office of Chief Legal Counsel
Ohio Department of Transportation**

9/9/14

In the Matter of: Ohio Department of Transportation, Columbus, Ohio
Docket No: CWA-05-2015-0001

FINAL ORDER

This Consent Agreement and Final Order, as agreed to by the parties, will become effective immediately upon filing with the Regional Hearing Clerk. **IT IS SO ORDERED.**

Date: 12-5-14

By: 
Susan Hedman
Regional Administrator
U.S. Environmental Protection Agency
Region 5

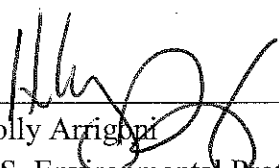


CERTIFICATE OF SERVICE

I, Holly Arrigoni, hereby certify that an original of the Consent Agreement and Final Order (Docket No. CWA-05-2015-0001) was filed with the Regional Hearing Clerk on _____, and that a copy was served by United States Mail, Certified and Postage Prepaid, on the

December 9, 2014 upon the following:

Ohio Department of Transportation
1980 West Broad Street
Columbus, Ohio 43223



Holly Arrigoni
U.S. Environmental Protection
Agency - Region 5 (WW-16J)
77 W. Jackson Blvd.
Chicago, IL 60604