

# **Stormwater Pollution Prevention Plan (SWP3)**

Recordkeeper Job Aid

Construction Division

# Construction Recordkeeper Job Aid

## Overview

The Stormwater Pollution Prevention Plan (SWP3) provides a strategy to prevent or minimize sediment and other pollutants originating from construction sites from reaching surface waters of the state during those construction activities. It outlines erosion control, sediment control, and behavioral best management practices (BMP) to control those pollutants.

Development of a SWP3 is required by TxDOT for all state-let construction projects with soil disturbance, with some exceptions.

This overview identifies how to determine if SWP3 applies to a project and summarizes job duties that a construction project recordkeeper may be responsible for regarding SWP3 during the construction phases. This includes wildlife and environmental impacts.

## Resources

- [Stormwater Pollution Prevention Plan \(SWP3\) guidance document](#)
- [ProjectWise File Index](#)
- [Environmental Management System Training Matrix](#)
- STEERS – [TCEQ STEERS Login](#)

## Applications Used

- ProjectWise
- SiteManager
- TxDOT E-forms

## Forms

- Form 2118 – Construction Stormwater Pollution Prevention Plan: Field Inspection and Maintenance Report
- Form 2448 – Environmental Management System Construction Stage Gate Checklist (CSGC)
- Form 2671 – CEI Stormwater Inspector Qualifications
- Form 2672 – TxDOT Stormwater Inspector Qualifications
- Form 2795 – Contractor Staff Designation

## SWP3 Information

While the items cited below are necessary to address the different environmental components during the construction phases based on the project's specifics, the recordkeeper roles and responsibilities will depend on District-specific procedures. Each Area Engineer will ensure that its Area Office correctly covers all activities by whomever they may be assigned to and that the personnel have received the proper training, guidance, and resources. This job aid is not a complete, comprehensive guide. Follow the [Stormwater Pollution Prevention Plan \(SWP3\) guidance document](#), District-specific procedures, and guidance and direction from the District Environmental Quality Coordinator (DEQC).

If there is soil to be disturbed within the project, it will require a SWP3. The area to be disturbed within the project is found in the SWP3 plan sheets, in Section 1.5. Any other environmental issues can be found on the Environmental Permit, Issues, and Commitments (EPIC) plan sheet; the EPIC will also identify if a stormwater permit is required for a project.

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If Municipal Separate Storm Sewer System (MS4) Notifications apply to the project, information will be listed on in the SWP3 plan sheet in Section 1.5. Follow District policy for required notification.

Projects that require a SWP3 are separated into the following categories. Main points of environmental involvement are listed below for each one, but a more complete and detailed list of required documentation can be found in the SWP3 guidance document.

1. Projects without stormwater permit (-1): Less than one acre of soil disturbance
  - SWP3 Binder, when required (Waiver may be granted by AE)
2. Projects with stormwater permit (+1): One or more acres of soil disturbance
  - SWP3 Binder is mandatory per the Texas Commission on Environmental Quality (TCEQ) and U.S. Environmental Protection Agency (EPA)
  - Documenting primary/secondary operator roles
  - TCEQ Small Project (1.0 to 4.9 acres)
  - Small Construction Site Notice (S-CSN) form
  - Delegation of Authority Memo signed by Marc Williams (2023)
- 2a. If a project disturbs 5.0 acres or more of soil, the following additional documentation is also required.
  - TCEQ permit documents to be generated in STEERS system
  - STEERS account setup for authorized personnel
  - Notice of Intent (NOI) – permit application timing & process
  - Delegation of [AE] Signature Authority – allows Project Managers or Construction Manager or Assistant AE to sign inspection reports
  - Notice of Change (NOC) – project/permit detail updates & timing (as needed)
  - Notice of Termination (NOT) – permit closure timing & process
  - Large Construction Site Notice (L-CSN) form

The goal of this document is to provide recordkeepers with the general knowledge of environmental requirements on construction projects and the related resources and guidance documents to fulfill the related project requirements. Below is a general breakdown of the processes for the environmental aspect of construction recordkeeping.

## Preconstruction Activities

- Ensure documentation of appropriate training completion is received and on file for project personnel, which may include those from TxDOT, CEI, prime contractor, and subcontractors. This may need to be updated as new personnel get involved or during project reviews.
- Set up SWP3 Binder
- NOI processing and filing, if applicable
- Set up preconstruction meeting agenda (include Environmental section, or may prepare a preconstruction meeting specifically for environmental components of the project)
  - May include District-specific environmental discussion agenda/content

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## During Construction

- Routine SWP3 Binder maintenance – records monitoring
  - SWP3 revisions
  - Change Orders with potential to affect SWP3 or EPIC
- SWP3 qualifications when Department or contractor personnel change or expire
- SWP3 Site Maps/Markup updates are being filed no later than once a month
- Ensure weekly or monthly Form 2118 Inspection Reports are performed promptly and by qualified TxDOT and contractor personnel and file accordingly.
- Monitor to ensure completed Form 2448 Construction Stage Gate Checklists (CSGC) are filed promptly in accordance with District policy.
  - Initial CSGC due within first 30 days of soil disturbance, and
  - Annual CSGCs (or CSGC at 50% completion, if project is short duration less than one year).
  - Additional CSGCs may be required or requested by your District.
- Entering Checklist Event dates in SiteManager in accordance with [SiteManager Checklist Events, Key Dates, and Critical Dates Guidance Document](#) and contract requirements.
- Any additional documentation that may need to be filed for your project can be found in the SWP3 guidance document, e.g., Daily Dewatering Evaluations, Contractor Project Specific Location (PSL) SWP3 Layout, concrete batch plant air quality and stormwater permits, contractor stream and wetland crossing layouts
- If Texas Department of State Health Services (TDSHS) notification is required (mostly performed by DEQCs), refer to District policy.
  - Asbestos/lead survey report validation
  - TDSHS notification preparation, signing, submittal process, and activity licensing-related
  - TDSHS Notification Form
  - Demolition Notification (load-bearing structure demolition, with or without asbestos)
  - Asbestos Abatement Notification [renovation or demolition of structure with asbestos-containing material (ACM)]
  - Amending or cancelling notifications
  - TDSHS invoice payment processing
- Process-related fees
- NOC processing and filing, if applicable

## Closeout

- NOT processing and filing, if applicable
- Update SWP3 Site Maps to ensure BMP removal and vegetative establishment dates are entered or transferred to in-house responsibility
- MS4 Notification of Termination, if required

Reference the “Setting Up the SWP3 Binder in ProjectWise” section beginning on page 5 of this job aid.

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## Best Practices

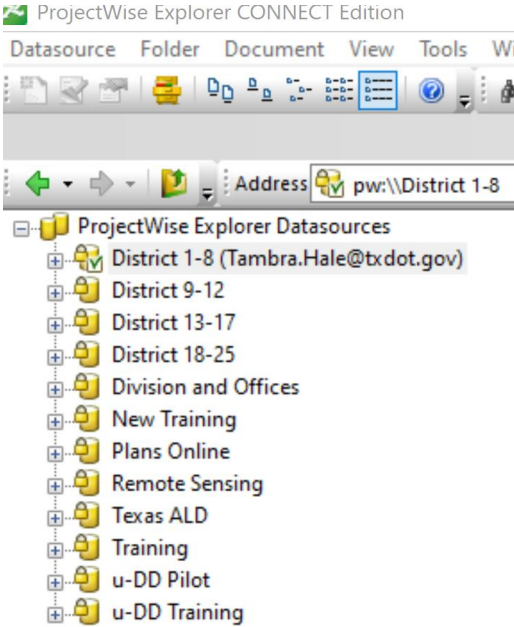
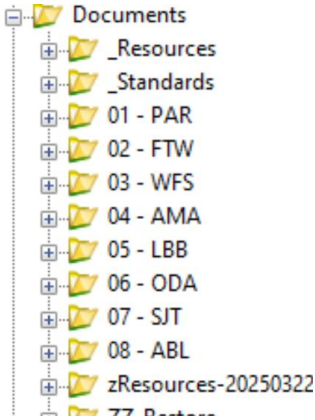
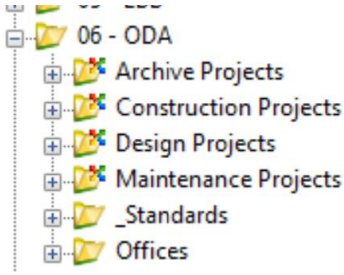
Identify and coordinate with the DEQC(s) to verify responsibilities within your District and project environmental requirements.

- Invite DEQC(s) to the preconstruction meeting or discuss prior to construction.

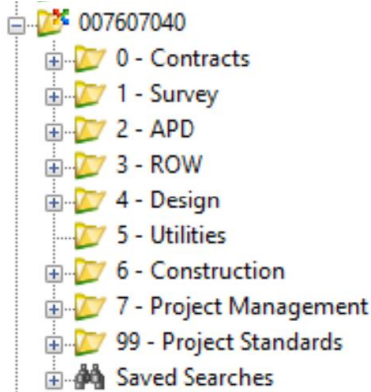


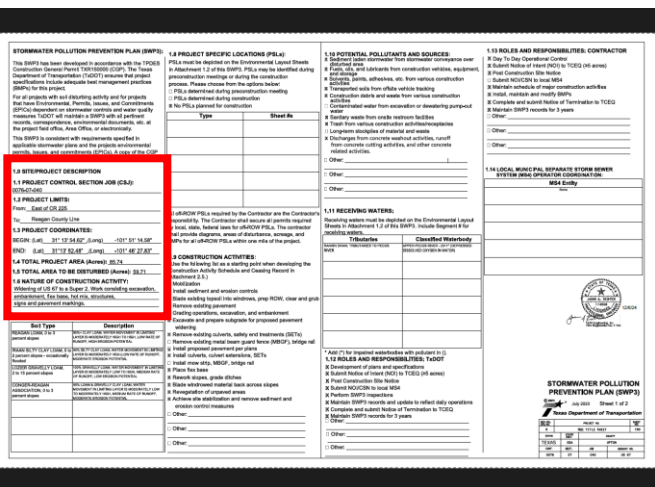
Discuss Environmental requirements with AE and assigned project personnel prior to the preconstruction meeting.

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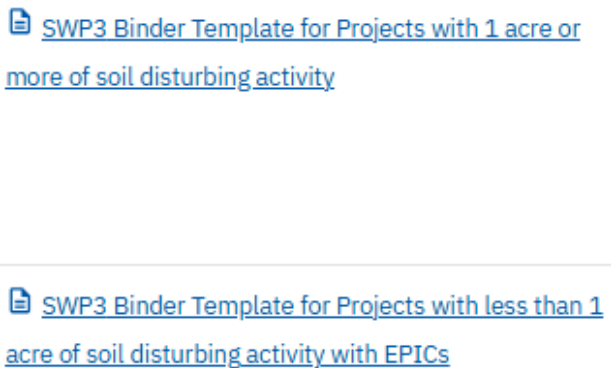
## Setting Up the SWP3 Binder

	<p>1. Log into ProjectWise and select your District's folder set.</p>
	<p>2. Open your District's folder.</p>
	<p>3. Choose Construction Projects.</p>

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	<p>4. Choose your project and open 6 - Construction.</p>
	<p>5. Choose 2. Field Records.</p>
	<p>6. Click 1 INDEX and CONTRACT DOCUMENTS.</p>
	<p>7. Open the plan set and locate the EPIC and environmental sheets toward the end.</p> <p>Look at the SWP3 plan sheet. The site/project description is shown on the left-hand side</p>

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<p>is included in Attachment 2.12 of the SWP3 binder.</p> <p><b>1.0 SITE/PROJECT DESCRIPTION</b></p> <p><b>1.1 PROJECT CONTROL SECTION JOB (CSJ):</b> 0076-07-040</p> <p><b>1.2 PROJECT LIMITS:</b> From: East of CR 225 To: Reagan County Line</p> <p><b>1.3 PROJECT COORDINATES:</b> BEGIN: (Lat) 31° 13' 54.62" (Long) -101° 51' 14.58" END: (Lat) 31° 13' 52.48" (Long) -101° 46' 27.83"</p> <p><b>1.4 TOTAL PROJECT AREA (Acres):</b> 85.74</p> <p><b>1.5 TOTAL AREA TO BE DISTURBED (Acres):</b> 59.71</p> <p><b>1.6 NATURE OF CONSTRUCTION ACTIVITY:</b> Widening of US 67 to a Super 2. Work consisting excavation, embankment, flex base, hot mix, structures, signs and pavement markings.</p> <p>All of resp by lo shall BMP:</p> <p>1.9 (Use Cont Attar X Mo X Ins X Bla X Re</p>	<p>8. Look for the Total Area To Be Disturbed.</p> <p>a. If it is 1 acre or more, the larger environmental Binder will be used.</p> <p>b. If 5 acres or more are identified, additional requirements may apply such as NOI and NOT.</p>
	<p>9. In ProjectWise, expand Folder 3 - Environmental. Depending on the acreage disturbed, delete the 3.01 - Env folder set that does not apply.</p>
	<p>10. Use the SWP3 guidance document to save the files in the corresponding folder under the appropriate tab/heading.</p> <p>11. If there are any waivers for the SWP3 Binder approved during the Preconstruction meeting, file them into the corresponding folder.</p>
<p><b><u>SWP3 Guidance Document</u></b></p> <p>This website has many examples and guidance information for the environmental Binders. Below are direct links to the Binder Templates that list all the documentation and where they are to be placed in the Binder.</p> <ul style="list-style-type: none"> <li>• <a href="#">1 or more acres Binder</a></li> <li>• <a href="#">Less than one acre Binder</a></li> </ul>	