

## **Inspection Module Business Rules - Detailed**

For additional information on data entry including business processes and more business rules, visit the CIWQS intranet page at <http://waternet.waterboards.ca.gov/oima/ciwqs/index.shtml>.

The CIWQS Inspection module is for tracking site visits of regulated places (i.e. facilities that have permit coverage) or unregulated places. If the site is unregulated, an unregulated regulatory measure should be created. The inspections may be performed by Water Board staff, EPA, or a contractor.

Inspection records may be created either for planned or performed inspections. If planned inspections are created, do not create a new record for the performed inspection.

The place that was or is going to be inspected must be linked to the inspection record. The place record must already exist in CIWQS before starting the inspection record.

An inspection that evaluates compliance with one of the statewide stormwater permits and a regulatory measure that is tracked in CIWQS should be recorded both in SMARTS and in CIWQS.

### **Inspection Entry**

This tab includes the basic information of the inspection.

### **Inspection Type<sup>\*</sup>**

The inspection type describes the kind of inspection that was performed or is planned. It is a required field. If the inspection is planned to be one type of inspection, but another type is actually performed, be sure to change the type when the record is completed after the inspection is performed.

The following is a list of the applicable inspection types and their definitions.

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<sup>\*</sup> Required Field

Inspection Type	Description
Type A compliance inspection	A comprehensive inspection of a regulated facility <sup>1</sup> that includes a thorough pre-inspection review of Board files and a detailed on-site inspection. Included in the inspection is a review of all pertinent records and in most cases collection of samples for analysis. See APM Chapter 4 ( <a href="http://waternet/docs/apm250/chapter04.pdf">http://waternet/docs/apm250/chapter04.pdf</a> ) for a more complete description.
AGT SPCC inspection	An inspection of an above ground tank site and review of the site's spill prevention control and counter measure plan.
Type B compliance inspection	A routine inspection of a regulated facility <sup>1</sup> , which is less intensive than an "A" level inspection and usually does not include sampling. See APM Chapter 4 ( <a href="http://waternet/docs/apm250/chapter04.pdf">http://waternet/docs/apm250/chapter04.pdf</a> ) for a more complete description.
Complaint inspection	Includes any inspection made in response to a complaint or reported incident, such as a spill
Field Oversight	Inspection or site visit to confirm clean-up work is being performed.
Follow-up inspection (enforcement)	Includes inspections specifically made to verify compliance with enforcement mandates. For this type of inspection, link the enforcement action under "link regulatory measure," in addition to the underlying regulatory measure (if it exists).
Follow-up inspection (noncompliance)	Includes inspections specifically made to verify corrections of noncompliance where no enforcement action has been initiated.
Miscellaneous inspection	An inspection not covered by any other category.
MS4 Audit	An evaluation of an MS4 program or program component that could possibly lead to enforcement. It must include a site visit. An inspection record with inspection type of "MS4 Audit" must be recorded for each co-permittee program evaluated.
NOT Inspection	Conducted in response to submittal of a Notice of Termination (NOT) to end coverage under a general order.
Pre-harvest Inspection	Inspection performed after project submittal and prior to the commencement of a harvest project and encompasses review of logging roads, water crossings and other items that may be impacted by the harvest project.
Pre-project Timber Program Inspection	Inspection performed after project submittal and prior to the commencement of a project under the timber program, except harvesting.
Pre-requirement Inspection	Includes any inspection specifically made to assist in preparing, modifying or rescinding Waste Discharge Requirements.

<sup>1</sup> A regulated facility in this table is one that is linked to non-enforcement regulatory measure, including certifications and waivers. Inspections of sites regulated by just enforcement actions should be classified as a follow-up inspection (enforcement).

Pretreatment Audit	An audit of an industrial pretreatment program that includes review of the program authority (e.g. sewer use ordinance), pretreatment records review, and industrial facility field inspections. See APM Chapter 11 for details.
Pretreatment Compliance Inspection	An inspection of an industrial pretreatment program that includes pretreatment records review and industrial facility field inspections. See APM Chapter 11 for details.

**Lead Inspector Type\***

The Lead Inspector Type describes the category of the inspector who performed the inspection. This field is required and defaults to “State.”

USEPA Contractor	Inspection conducted by a contractor managed by USEPA.
USEPA	Inspection conducted by USEPA staff.
Joint USEPA and State (USEPA Lead)	Inspection in which both USEPA staff and Water Board staff are present, but USEPA staff is the primary contact.
Joint USEPA and State (State Lead)	Inspection in which both USEPA staff and Water Board staff are present, but Water Board staff is the primary contact.
State	Inspection conducted by Water Board staff.
State Contractor	Inspection conducted by a contractor managed by the Water Boards.

**Status\***

This is the status of the inspection and is a required field. The following are the valid values for this field.

Status	Description
Cancelled	The activity was planned at one time, but is no longer planned
Performed	The activity has been completed. It may have been a planned activity or it may have been an unplanned activity.
Planned	The activity has been scheduled, but has not yet been cancelled or performed.

**Dates – Planned Inspections#**

If the inspection is being scheduled for a future date, use the planned start and end dates. When you enter a start date, the end date defaults to the same date because most inspections are only one day. However, if the inspection is planned to be

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# Conditionally Required

conducted within a time period, such as a month, enter the beginning of the month as the planned start date and the end of the month as the planned end date.

If the “Planned” dates change, change the date in the fields; do not create a new planned inspection.

When the inspection is completed, the actual start and end dates must be entered into the existing record. Again, the end date defaults to the start date, but may be over-written for multiple day inspections. The actual dates may or may not be the same as the planned dates.

### **Dates – Unplanned Inspections<sup>#</sup>**

If the inspection record is being entered after the inspection is performed, leave the planned dates blank. Enter the actual start and end dates. Because most inspections are less than a day in duration, the end date defaults to the start date, but may be over-written for multiple day inspections.

The actual inspection dates must be completed for performed inspections. Without these dates, inspection queries based on dates cannot find the records.

### **Inspection Results**

This is an optional field for summarizing inspections. The following table lists the valid values for this field.

<b>Inspection Result</b>	<b>Description</b>
Additional Info Required	Insufficient information was recorded or given during inspection and additional information needs to be obtained.
Follow-up Inspection Needed	Corrective action was ordered and a Follow-up Inspection is required to make sure the actions were taken.
No Further Action	No follow-up inspection issues were identified.

### **Workplan Commitment**

This optional field is used for tracking inspections that were planned or performed as part of annual workplan commitments. Check this box to indicate whether the inspection is part of workplan planning.

### **Link a Regulatory Measure<sup>\*</sup>**

Link the regulatory measure(s) that the inspection is checking compliance with. If the regulatory measure is an enrollee, you must link the enrollee record, not the general order regulatory measure. If there are no preexisting regulatory measures, create an unregulated regulatory measure and link it here. Except for Pre-requirement

Inspections, the inspection date should be after the effective date of the regulatory measure.

There can be more than one linked regulatory measure if there is an order and an enforcement action and the inspection is checking compliance with both. Another example is if a site has multiple regulatory measures associated with different programs. For instance, the site is regulated with a WDR and a dewatering permit and the inspection was checking compliance with both of them, both of the regulatory measures should be linked here. If however, the inspection was only checking compliance with one of them, only that regulatory measure should be linked.

### **Link an Inspection**

Use this field when one inspection led to another. For example, if an inspection resulted in requiring the discharger to complete actions and a later inspection checked the completion of those actions, the two inspections should be linked.

### **Program\***

An inspection must be associated with at least one program and can be associated with multiple programs. For example, if a site has both a an NPDES dewatering permit and a 401 Certification, and the inspection checks compliance with both of those regulatory measures, both NPDES and 401 Certification program types should be related. If the inspection only evaluated compliance with the 401 Certification, only the 401 Certification program should be related to the inspection.

This field must be completed for any queries that use program as criteria, such as workplan reports.

### **Summary\***

This required field contains the most important points of the inspection. For example, “The following violation was observed: water ponding in field (violation of provision C.5). Discharger to submit revised discharge plan and pictures.” This field is displayed in reports. No more than 500 characters can be stored in this field.

### **General Notes**

General notes are items of interest, which may or may not be the most important part of the inspection. For example, “performing maintenance on pond banks at time of inspection” or “two of five aerators operating at time of inspection.” No more than 2000 characters can be stored in this field.

### **Related Parties Tab**

This tab records people that are associated with an inspection.

There must be one and only one related party with the role of Inspector (Lead). There may also be other inspectors.

The start date for the party/inspection relationship can remain the date that it is being entered into the system (the default date). The end date should be left blank unless an assigned staff moves to a different project and a new staff is assigned, while the inspection is still being dealt with. If it is a historical inspection, updates should not be made to the related parties.

Inspections performed by a contractor must also have an Inspector (Lead). The party may be the specific person or a generic contractor person, for instance, “Tetra Tech Inspector.”

The appropriate party/inspection relationships are as follows:

Role	Description
Assigned	This relationship can be used for regional board staff assigned to the regulatory measure and/or place associated with the inspection or that must do the follow-up work related to a contractor lead inspection.
Coordinator	Person that coordinates the inspection, if separate from the Inspector (Lead)
Facility/Site Representative	Person representing the site.
Inspector (Lead) *	The individual that has the primary responsibility for conducting the inspection for the Water Board.
Inspector	An individual responsible for inspecting a facility that is not the Lead Inspector for the Water Board. This may be an inspector from another agency.
Interested Party	A party that has investments or responsibilities not otherwise stated in the inspection.

### **Alleged Inspection Violations**<sup>#</sup>

Violations that are discovered during the inspection must be linked to the inspection and listed on the Alleged Inspection Violations Tab. This should not include violations discovered through review of self-monitoring reports that are discovered during the file review. To create a new violation, click the “Launch Violation Wizard” button. Creating a violation this way automatically creates the link between the violation and the inspection and pre-populates many of the required violation fields.


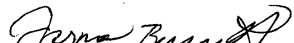
If the violation record already exists in CIWQS, click the “search” button to search for that violation record and link the violation and inspection.

### **Additional Info**

The Additional Info Tab includes the optional “Inspection Rating field.” This field allows users to summarize the results of the inspection with a number.

**Attachments**

Electronic copies of the finished inspection report should be uploaded on this tab. Portable Data Format (PDF) should be used, when possible.

<b>APPROVAL SECTION</b>			
<b>Approver</b>	<b>Printed Name</b>	<b>Signature</b>	<b>Date</b>
<b>Business Rules Team</b>	<b>Committee Members Present</b>	<b>Approved as Meeting Agenda Item</b>	<b>6/7/12</b>
<b>CIWQS Quality Assurance Lead</b>	<b>Eric Maag</b>		<b>6/29/12</b>
<b>Statewide CIWQS Coordinator</b>	<b>Jarma Bennett</b>		<b>6/29/12</b>

**Summary of Changes**

<b>Version</b>	<b>Summary of Major Changes</b>	<b>Date</b>
1	Original version controlled document	2/9/09
2	<ul style="list-style-type: none"> <li>▪ Guidance regarding SMARTS added</li> <li>▪ MS4 Audit added</li> <li>▪ Reference to unregulated reg measures added</li> <li>▪ Stormwater inspection types removed</li> </ul>	5/4/10
3	<ul style="list-style-type: none"> <li>▪ Clarification that sampling is not the single determination between a Type A and Type B inspections</li> <li>▪ Link to Administrative Procedures Manual provided.</li> <li>▪ Add drop down menu values that are present in CIWQS but are not to be used</li> </ul>	5/3/2011
4	<ul style="list-style-type: none"> <li>▪ Added text box regarding data entry documentation page</li> <li>▪ Reviewed for consistency of required/conditionally required fields with data entry screens based on audit results</li> <li>▪ Clarified actual start and end dates are required for planned inspections</li> <li>▪ Removed reference to items that are no longer selectable</li> <li>▪ Added timber inspection types</li> </ul>	6/29/12