California Integrated Water Quality System (CIWQS)

Discharger Users Guide

Prepared for:

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and

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Preface

The California Integrated Water Quality System (CIWQS) is a new computer system for the State and Regional Water Boards to track information about places of environmental interest, manage permits and other orders, track inspections, and manage violations and enforcement activities. CIWQS also includes an electronic Self Monitoring Report (eSMR) tool for submission of monitoring reports via an internet web site. CIWQS is part of an overall effort to integrate several disparate legacy systems, compile water quality data, standardize permits, automate processes, and to make data more accessible to Water Board staff, dischargers, the public, and US Environmental Protection Agency.

Initially, CIWQS will focus on supporting the National Pollutant Discharge Elimination System (NPDES) program and its requirements to submit monitoring reports. The internet-based eSMR tool will be deployed in a phased approach, and will be available to dischargers in certain Water Boards starting in the July of 2005.

The purpose of this guide is to provide you with step-by-step instructions for performing tasks in CIWQS. The manual will also serve as a quick reference guide with a full index and glossary. This manual does not attempt to dictate or set policy for either the State or Water Resource Boards. New editions, or amendments to this manual will be published as needed with future software updates.

The CIWQS Users Guide

This manual documents how to use the California Integrated Water Quality System (CIWQS) to report permit information and manage user accounts. It will walk you step-by-step through the entire process of submitting electronic Self Monitoring Reports and provides information on where to find additional information if needed. This section is designed to introduce you to the CIWQS Users Manual so you can use it to find information quickly and effectively

How This Manual is Organized

This manual is divided into two parts. Each part represents a group of related tasks or actions that you will perform within CIWQS.

Part 1 - CIWQS Administration

This section describes how to first register and then login to the system to gain access to the data reporting Modules. It provides an introduction to the CIWQS Modules and navigation within the CIWQS site.

Part 2 - The eSMR

Most of the work you do in CIWQS will revolve around the Self Monitoring Report Module. This part offers step-by-step instruction on how to create and submit data for eSMRs and gives detailed information on how to upload data to the system.

Appendixes and Reference Material

At the end of the manual are several appendixes a glossary and an index. These components are included to provide a quick reference for specific topics and additional information related to the various modules.

Conventions used in this book

Throughout this manual, several conventions are used to distinguish different types of information or actions required to complete tasks.

Icons and Alerts

Various icons are used throughout the manual to highlight warnings or information of note.

Warning – Notifies you when there is the potential for error or data loss. Indicates that special care should be taken.

Cross Reference – Indicates where additional information about a particular topic can be found in another section of the manual

Important/look here/tip/note – Provides additional tips or points of interest

Stop before proceeding – where to make sure you have input the correct information during a step-by-step data information procedure.

Sidebars

In addition to the icons used throughout this book, you will also notice material placed in shaded boxes. This material offers background information, an expanded discussion or a deeper insight about the topic under discussion.

CIWQS Table of Contents

CIWQS Dischargers Users Guide

Part 1

CIWQS Administration

1 User Registration and Login
2 View/Change Information Module

1
User Registration and Login

This chapter addresses the following information:

- User Types and Access Levels
- How to Register
- How to approve/disapprove pending registrations
- How to log in to CIWQS
- How to navigate in CIWQS
- CIWQS Main Menu and Modules

1.1 User Registration

Before you can enter or use CIWQS, you must first register as a User. Registration can happen in one of two ways depending on your role within a Facility.

☞ **CIWQS is a secure system accessed through a login screen where a User enters his or her unique User ID and password. Passwords should be protected to prevent unauthorized individuals from accessing sensitive information. Each User must register individually to obtain a User ID and password.**

1.1.1 User Types and Access Levels

You belong to the group of Users generally referred to as **Dischargers**. This group includes Users affiliated with a Discharger location, such as engineers, responsible executive officers, and authorized consultants or laboratories. In general, this refers to anyone required to submit Self Monitoring Reports (SMRs) to the Water Boards.

This User group is further divided into Users who are designated as **Responsible Executive Officers** at a Facility (someone with signature authority for submitting eSMRs) and those who are not the responsible person but are still authorized to provide information for a Facility (**additional Users**). The Responsible Executive Officer for a Facility has three responsibilities within CIWQS:

1. Register their Facility with CIWQS (if it is not already registered) so that eSMRs can be submitted for the Facility;
2. Approve/Disapprove registration of additional Users for their Facility; and
3. Give final approval for (certify and submit) Self Monitoring Reports by providing an electronic signature certifying data validity.

Additional Users are authorized to view and enter information for their associated facilities but may not electronically sign eSMRs for final submission.

Information on creating and submitting Self Monitoring Reports can be found in Chapter 3.

Registration with CIWQS provides you with a User ID, password, and access to information for the facilities you are affiliated with. Access to information is granted on a Facility-by-Facility basis. You must complete the registration process for each Facility you wish to have access to even if your company or organization operates multiple discharge locations.

You can register for more than one Facility and keep only one User ID and password.

1.1.2 Registering as a Responsible Executive Officer

Registration begins at the CIWQS Login page (Figure 1.1). This site is accessed through the California Water Boards website at www.watergbodies.ca.gov/ciwqs.

Once you have completed registration and have been granted a User ID and password, you will return to this screen to access the Water Quality System.

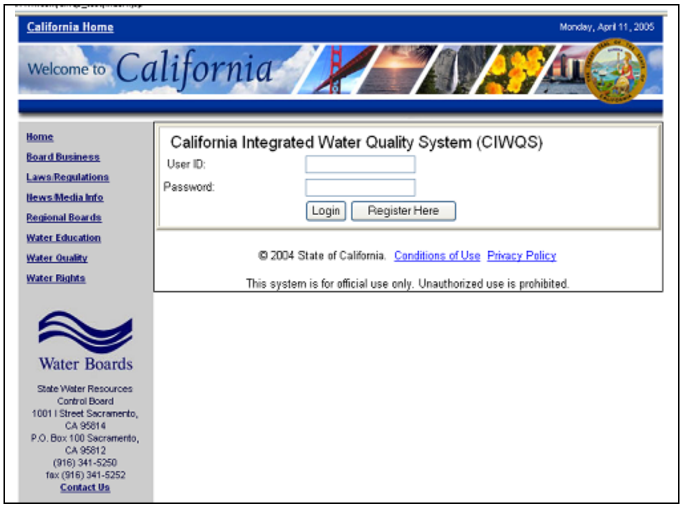


Figure 1.1 The CIWQS Login Page

To begin registration, click the "Register Here" button below the User ID and password fields. This brings you to the New User page (Figure 1.2) where you will indicate your role within the Facility. The top two choices are applicable to Dischargers. The bottom two options are reserved for other types of Users.

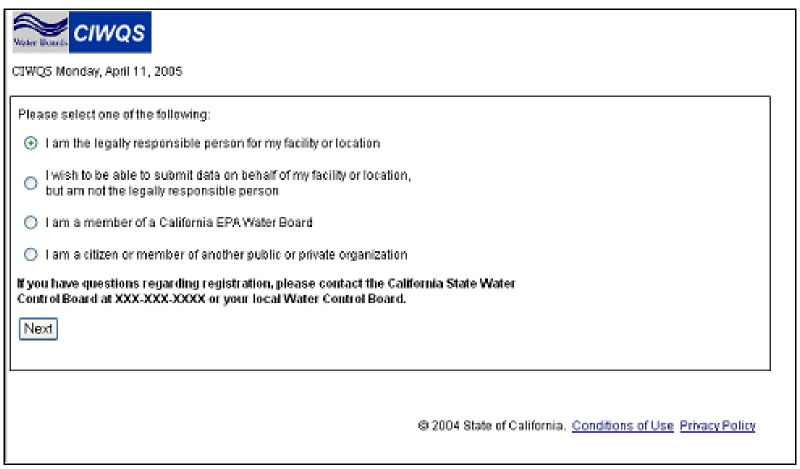


Figure 1.2 The New User Page

Choose the first option (click in he radio button) to indicate that you are the legally responsible person for the Facility and click the "Next" button.

The next page you see will be the Discharger Registration page. Here you can enter information about yourself and the Facility you are representing (Figure 1.3).

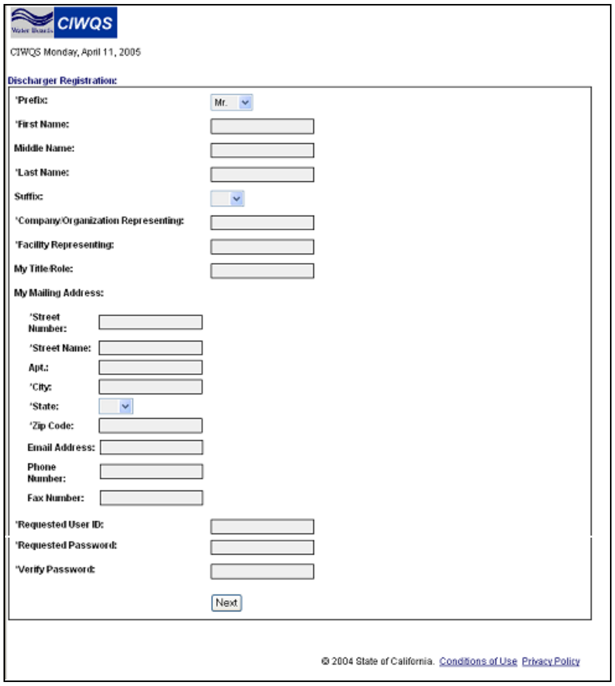


Figure 1.3 Discharger Registration Page

Table 1.1 gives a description of each field and indicates which fields are required to complete registration.

Your entries for Company/Organization and Facility Representing should reflect the registered names for these entities. If you are unsure of the correct spelling or full registered name, contact your local Water Board for additional information.

Once you have verified that your information is correct, click the "Next" button at the bottom of the page. If you have forgotten to fill out a required field or if you have chosen a password that does not meet the security requirements, a message will appear at the top of the screen in red lettering indicating what errors were found within the page.

Multiple Users may register as the responsible representative for a Facility – each User must follow the same process, including completing the signature form.

The next screen that appears is the Electronic Signature Authorization Form (Figure 1.4). A copy of this form is also emailed to the address provided. The Electronic Submittal Authorization Form must be printed out, signed, and mailed to your local Water Board to before your registration can be approved.

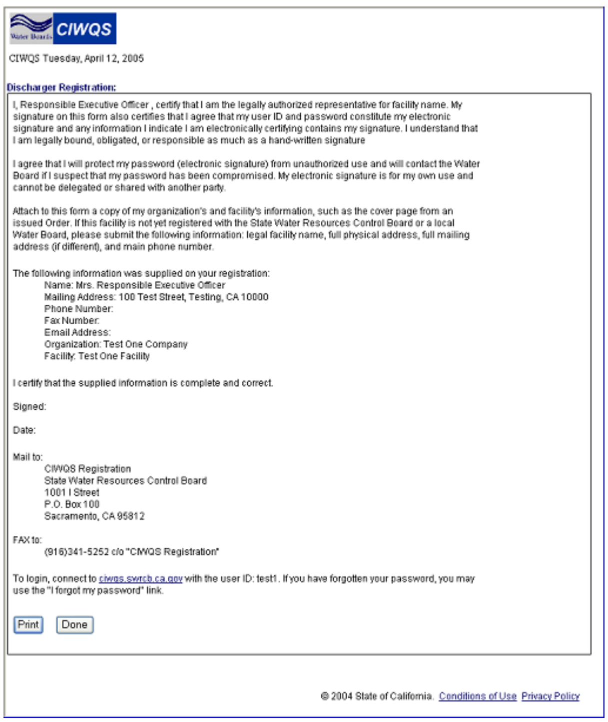
Table 1.1 Fields on the Discharger registration Page

Field Label	Description	Required
Prefix	Select the appropriate Prefix from the drop-down list	Y
First Name	Type in your legal First Name	Y
Middle Name	Type in your legal Middle Name	N
Last Name	Type in your legal Last Name	Y
Suffix	Select the appropriate Suffix from the drop-down list	N
Company/ Organization Representing	Type in the full name of the Company or Organization that you represent.	Y
Facility Representing	Type in the full name of the Facility you represent.	Y
Street Number	Type in the Street Number of your mailing address	Y
Street Name	Type in the Street Name of your mailing address.	Y
Apt.	Type in the Apartment Number of your mailing address	N
City	Type in the City of your mailing address	Y
State	Select the state of your mailing address from the drop-down list	Y
Zip Code	Type in the 5- or 9-digit zip code of your mailing address	Y
E-mail Address	Type in a valid e-mail. E-mail will only be used for CIWQS notifications (including completed registration).	Y
Phone Number	Type in your office phone number using the format 999-999-9999	Y
Fax Number	Type in your office fax number using the format 999-999-9999	N
Requested User ID	Type in a User ID	Y
Requested Password	Type in your requested password. The characters you enter will appear as stars.	Y
Verify Password	Re-type your requested password to verify	Y

Choosing a Password

The password you choose must conform to the rules set by the system. Passwords must be at least 6 characters and must contain a combination of lower case letters, upper case letters, and numbers. All three of these elements must be present in the password. For example "a2Hlkj" is acceptable, but "abcdef" and AbCdEf" are not. Typing a password that does not meet these rules and clicking the "Next" button will result in a registration error.

This form indicates that you accept the terms and conditions for use of the web site and gives permission to use your ID and password as a legally valid electronic signature.


CIWQS

CIWQS Tuesday, April 12, 2005

Discharger Registration:

I, Responsible Executive Officer , certify that I am the legally authorized representative for facility name. My signature on this form also certifies that I agree that my user ID and password constitute my electronic signature and any information I indicate I am electronically certifying contains my signature. I understand that I am legally bound, obligated, or responsible as much as a hand-written signature

I agree that I will protect my password (electronic signature) from unauthorized use and will contact the Water Board if I suspect that my password has been compromised. My electronic signature is for my own use and cannot be delegated or shared with another party.

Attach to this form a copy of my organization's and facility's information, such as the cover page from an issued Order. If this facility is not yet registered with the State Water Resources Control Board or a local Water Board, please submit the following information: legal facility name, full physical address, full mailing address (if different), and main phone number.

The following information was supplied on your registration:
Name: Mrs. Responsible Executive Officer
Mailing Address: 100 Test Street, Testing, CA 10000
Phone Number:
Fax Number:
Email Address:
Organization: Test One Company
Facility: Test One Facility

I certify that the supplied information is complete and correct.

Signed:

Date:

Mail to:
CIWQS Registration
State Water Resources Control Board
1001 I Street
P.O. Box 100
Sacramento, CA 95812

FAX to:
(916)341-5252 c/o "CIWQS Registration"

To login, connect to ciwqs.swrcb.ca.gov with the user ID: test1 . If you have forgotten your password, you may use the "I forgot my password" link.

Print Done

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Figure 1.4 The Electronic Signature Authorization Form

Click the "Print" button to open the Print Setup window and print a copy of the form. When you are finished, click the "Done" button to complete the registration process. You will be returned to the CIWQS Login page.

If your Facility has not yet been registered with the Water Boards, be sure to include the following information when you mail the Electronic Signature Authorization Form:

- Legal Facility name;

- Full physical address;
- Full mailing address (if different); and
- Main phone number.

This information can be found on an issued Permit Order (Figure 1.5)

California Regional Water Quality Control Board
North Coast Region

Order No. R1-2004-0027
NPDES Permit No. CA0023043
I.D. No.1B83100OSON

Waste Discharge Requirements
and
Master Reclamation Permit

For

Forestville Water District
(formerly Forestville County Sanitation District)

Wastewater Treatment, Reclamation, and Disposal Facility

Sonoma County

The California Regional Water Quality Control Board, North Coast Region (hereinafter Regional Water Board), finds that:

1. The Forestville County Sanitation District (CSD) and the Sonoma County Water Agency (SCWA) submitted a Report of Waste Discharge dated November 1, 2001 and applied for revision of its Permit to discharge treated municipal

Figure 1.5 Sample Issued Permit Order Showing Facility Information

Once the Water Board System Administrator receives the Electronic Signature Authorization Form, a record is created for your Facility and you are registered as a system User with the appropriate level of access. An email will be sent to you with your User ID and password and you will be able to login to CIWQS.

This procedure helps protect system integrity by preventing unauthorized Users from creating fictitious facilities, creating duplicate facilities, or entering incorrect data about a Facility.

Electronic Signatures

The procedure used by CIWQS is consistent with the Electronic Signatures in Global and National Commerce Act (E-SIGN), which states that a User affirmatively consents to the use of electronic notices and records. As with E-SIGN, a User must receive notice of his/her rights prior to consenting,. Although E-Sign allows the User to affirmatively consent electronically, the requirement to submit a paper-based signature sheet provides an additional level of protection, as with a bank signature card, via a physical signature for each responsible executive officer on file. Although E-Sign is a Federal program, the State of California has adopted portions of E-SIGN for User s within certain state Agencies.

1.1.3 Registering as an Additional User

Additional Users can self-register once the Facility has been registered by the responsible executive officer. Before an additional User is granted access to the system for a requested Facility, a responsible executive officer for that Facility must approve the registration.

A User's account is disabled – no security privileges are linked – until the first approval is given. After that, an approval is needed for each additional Facility added to the User's account.

To register as an additional User for a Facility, start at the CIWQS Login page at www.waterbodies.ca.gov/ciwqs (Figure 1.1). Click the "Register Here" button to access the New User page (Figure 1.2). On this page, select the second option: "I wish to be able to submit data on behalf of my Facility or location, but am not the legally responsible person." And click the "Next" button.

The next page you will see will be the Discharger Registration page (Figure 1.6). Table 1.2 gives a description of each field on the Discharger Registration page.

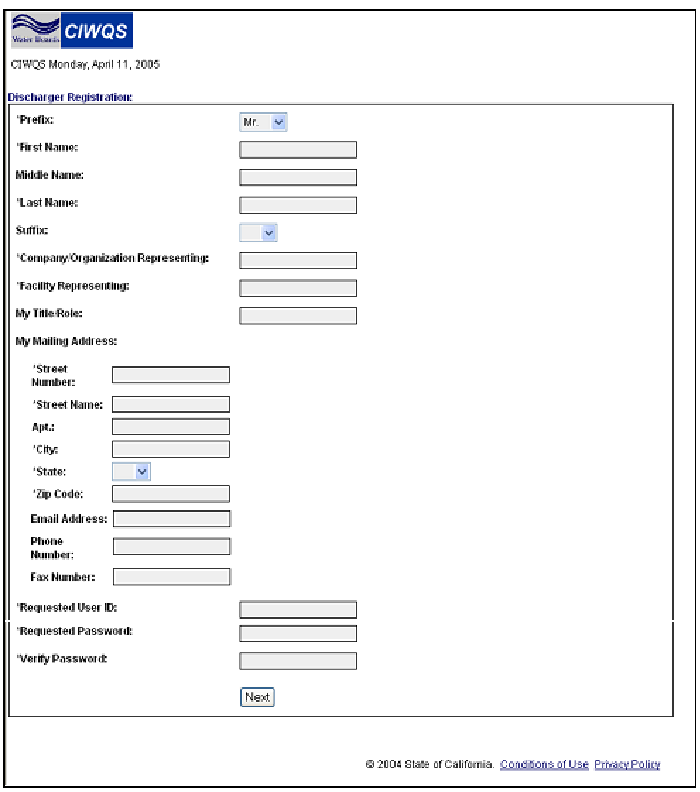


Figure 1.6 The Discharger Registration Page

Table 1.1 Fields on the Discharger registration Page

Field Label	Description	Required
Prefix	Select the appropriate Prefix from the drop-down list	Y
First Name	Type in your legal First Name	Y
Middle Name	Type in your legal Middle Name	N
Last Name	Type in your legal Last Name	Y
Suffix	Select the appropriate Suffix from the drop-down list	N
Company/ Organization Representing	Type in the full name of the Company or Organization that you represent.	Y
Facility Representing	Type in the full name of the Facility you represent.	Y
Street Number	Type in the Street Number of your mailing address	Y
Street Name	Type in the Street Name of your mailing address.	Y
Apt.	Type in the Apartment Number of your mailing address	N
City	Type in the City of your mailing address	Y
State	Select the state of your mailing address from the drop-down list	Y
Zip Code	Type in the 5- or 9-digit zip code of your mailing address	Y
E-mail Address	Type in a valid e-mail. E-mail will only be used for CIWQS notifications (including completed registration).	Y
Phone Number	Type in your office phone number using the format 999-999-9999	Y
Fax Number	Type in your office fax number using the format 999-999-9999	N
Requested User ID	Type in a User ID	Y
Requested Password	Type in your requested password. The characters you enter will appear as stars.	Y
Verify Password	Re-type your requested password to verify	Y

Choosing a Password

The password you choose must conform to the rules set by the system. Passwords must be at least 6 characters and must contain a combination of lower case letters, upper case letters, and numbers. All three of these elements must be present in the password. For example "a2Hlkj" is acceptable, but "abcdef" and AbCdEf" are not. Typing a password that does not meet these rules and clicking the "Next" button will result in a registration error.

Your entries for Company/Organization and Facility Representing should reflect the registered names for these entities. If you are unsure of the correct spelling or full registered name, contact your local Water Board for additional information.

Once you have verified that your information is correct, click the "Next" button at the bottom of the page. If you have forgotten to fill out a required field or if you have chosen a password that does not meet the security requirements, a message will appear at the top of the screen in red lettering indicating what errors were found within the page.

If the Company/Organization and Facility information you entered on the previous page matches at least one record in the CIWQS database, you will be asked to select the correct Company/Organization and Facility from a list (Figure 1.7).

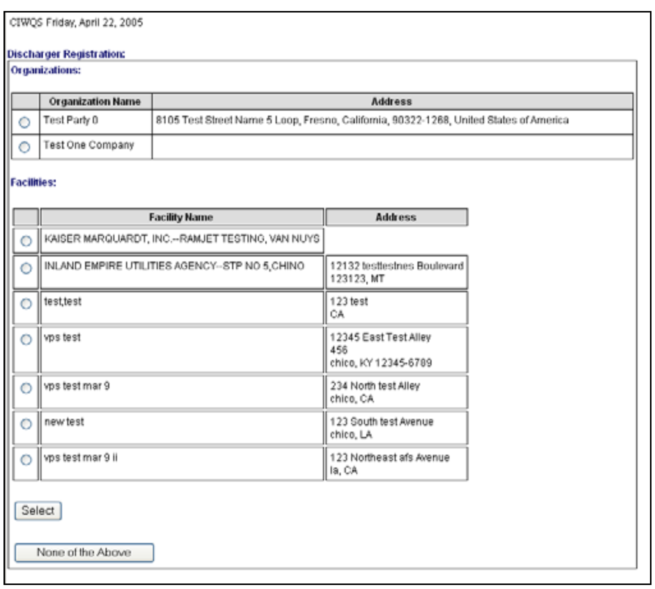


Figure 1.7 Select Your Facility

If you select "None of the Above" or the information you entered did not result in a valid match you will see the following page (Figure 1.8):

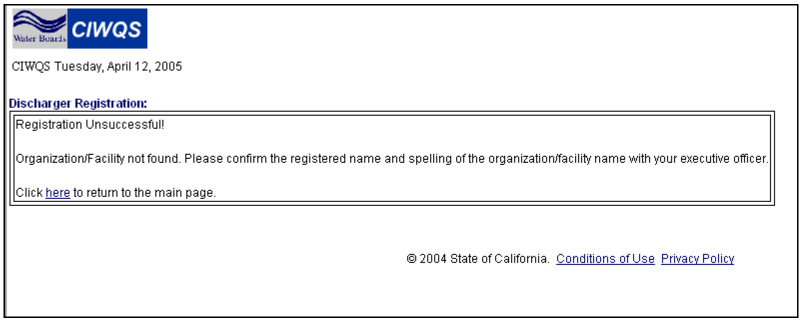


Figure 1.8 "Registration Unsuccessful" Message

If the correct Facility is listed, click the radio button in the correct row and click the "Next" button. This will complete your part of the registration process (Figure 1.9). An email will be sent to *all* Responsible Executive Officers for the selected Facility alerting them of your submitted registration. Only one Responsible Executive Officer needs to approve your registration for it to be validated

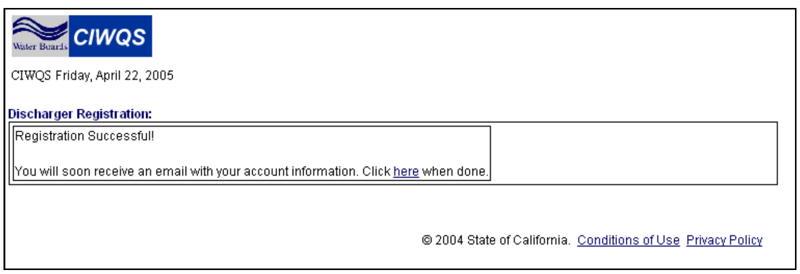


Figure 1.9 "Registration Successful" Message

Once your registration has been approved, an email will be sent to you to with your User ID and password. You will then be able to log in to CIWQS through the login screen.

1.2 Login and the CIWQS Interface

The following sections provide information on how to enter and navigate through the CIWQS interface. The concept of data Modules is also introduced.

1.2.1 How to Login to CIWQS

The California Integrated Water Quality System (CIWQS) can be accessed through the State Water Resources Control Boards Website at www.state.ca.gov/ciwqs (Figure 1.10).

Figure 1.10 The CIWQS Login Page

This screen allows system Users to authenticate their identity by providing a User ID and Password. This step is required to access all system functions. All Users are provided a unique User ID and Password by the system administrator. If you do not yet have a password, you must first register to become a new User.

If you have problems logging in, check your User ID and password information and make sure that the Caps Lock is off on your keyboard. Passwords are case sensitive. If you continue to have problems, contact your local Water Board.

Once you have successfully logged in to CIWQS, you will arrive at the CIWQS Main Menu (Figure 1.11). If you are a responsible person for a Facility and there are pending registrations for additional Users for your Facility, you will be prompted to either approve or disapprove the registration for the additional Users.

See section 1.3 below for information on how to approve/disapprove pending registrations.

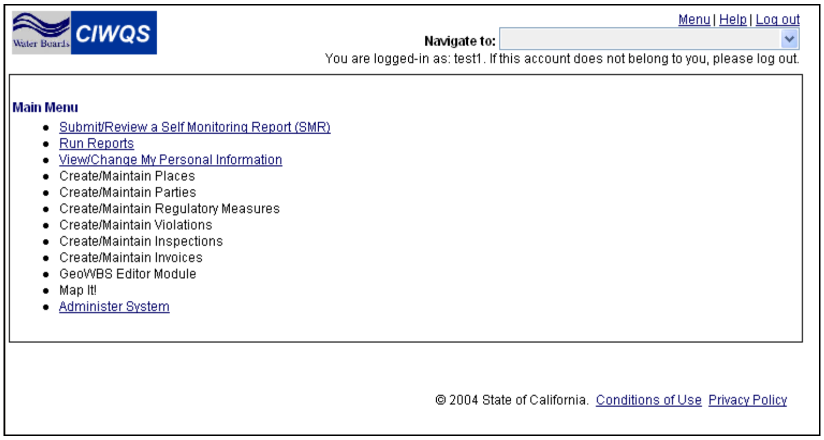


Figure 1.11 The CIWQS Main Menu

1.2.2 CIWQS Main Menu: Introducing the Modules

The home page (main menu) serves as the centerpiece of the system, allowing you to access key functions. It is accessed when you initially login to CIWQS and whenever you select the Main Menu hyperlink at the top of the page. The Main Menu is designed to be "action oriented" and to provide easy access to the tasks you will need to perform.

The options visible on the Main Menu reflect the organization of the database that supports the CIWQS site. The database and, by extension, the Main Menu, are organized into Modules – or groups of tasks. Each Module allows you to perform certain functions within the system.

Your access level determines which Modules you have access to. The Modules you are able to access will be highlighted and underlined – providing a link into the Module.

You will have access to the following Modules:

- Submit/Review a Self Monitoring Report - This Module allows a discharger or their authorized consultants to submit a self-monitoring report (eSMR).
- View/Change my Personal Information – This Module allows you to access your system profile and to change your password.
- Administer System (Responsible Executive Officers only) – This Module allows Responsible Executive Officers to approve or disapprove the registration of additional Users for their Facility.

Dischargers that submit a hard copy of their report will not be granted access to the "Submit a Monitoring Report" module of CIWQS.

The Main Menu page and the subsequent pages you will encounter within CIWQS share some common features, which will be discussed in the following section.

1.2.3 CIWQS Navigation

The CIWQS interface contains several standard features to aid in navigation.

CIWQS Header

The CIWQS header is present on every page of the CIWQS site (Figure 1.12). Its features aid in site navigation and provide links to the CIWQS homepage and CIWQS Help.

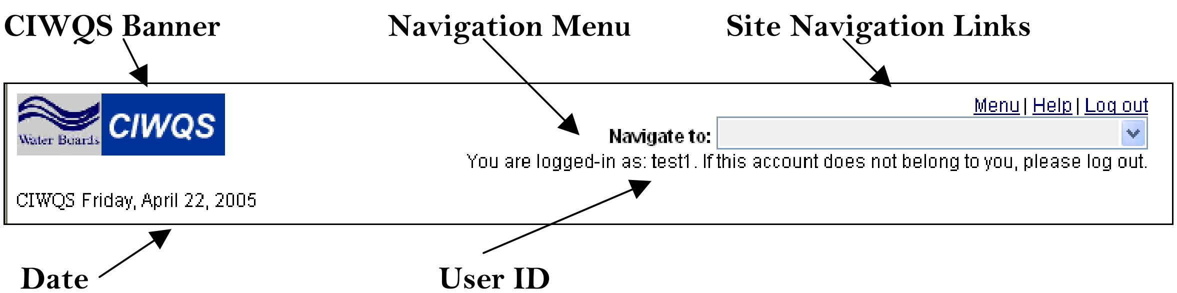


Figure 1.12 The CIWQS Header

CIWQS Banner

- Shows the CIWQS logo along with the Water Boards Logo.
- Links Users back to the CIWQS homepage.

Navigate to drop-down menu:

- Allows you to select one of the Modules
- Selecting a Module will automatically take you to the first page of that Module.

Site Navigation Links

- **Menu**: will return you to the Main Menu from any page within the system
- **Help**: will open a help screen in a pop-up window specific to the page you are located in.
- **Log out**: will log you out of CIWQS and return you to the login page

Date

- Shows the Current Date

User ID

- Tells you what User ID was used to log into the system.

Pop-up Windows in CIWQS

CIWQS uses pop-up windows in several of the Modules. A pop-up link (triggered by selecting a function or a web address hyperlink) opens a new window in your browser and uses a program called JavaScript to do so. It is possible that your web browser has disabled JavaScript. If this is the case, you may have problems viewing the pop-up windows and their content.

If you have problems viewing pop-ups your browser will show an error message. If this happens, re-enable JavaScript on your computer or contact your help desk to find out how to view pop-up windows on your computer.

1.3 How to Authorize an Additional User

Responsible Executive Officers have the responsibility to review and approve or disapprove pending registrations for additional CIWQS Users for their related Facility. When an additional Discharger has registered for a User ID and password via the CIWQS registration Module, an email is sent to all Responsible Executive Officers for the selected Facility with the following text:

> *<Name> has requested an account to submit data on behalf of <facility> on the California Integrated Water Quality System web-site. Please visit ciwqs.swrcb.ca.gov/activate to review the User's application and to activate/refuse activation of this account. This account will not be activated and the User will not be able to submit data on behalf of <facility> until you have visited the above web site and activated the account.*

It is only necessary for *one* Responsible Executive Officer to approve a registration for it to be validated.

When you visit the website indicated (by clicking on the hyperlink in the email text) you will be prompted for your User ID and password to verify your identity. Once you have successfully logged in, you will be presented with the Pending Registrations for Other Dischargers page (Figure 1.13).

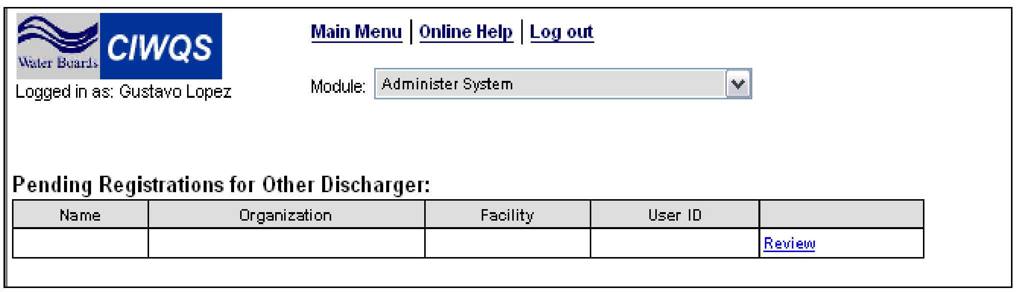


Figure 1.13 The Pending Registrations for Other Dischargers Page

If you are the responsible person for more than one Facility, pending registrations for all facilities will be listed on the Pending Registrations page.

Selecting the "Review" hyperlink will bring you to the User information page (Figure 1.14)

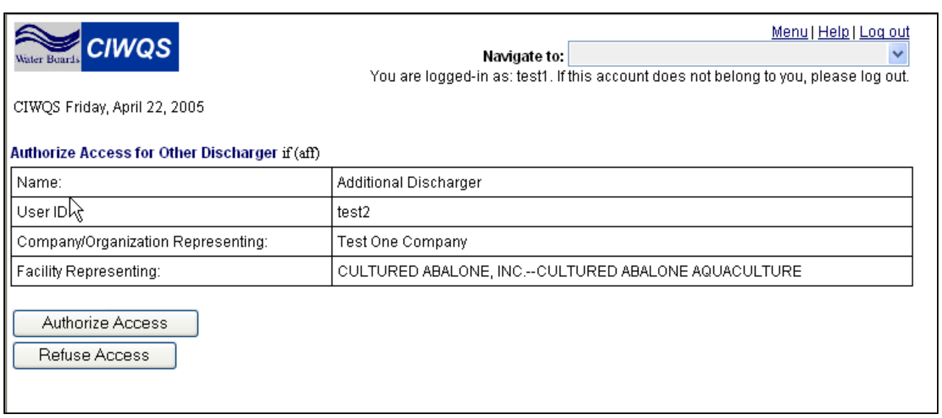


Figure 1.14 The User Information Page

Be sure to carefully consider each registration. Approving a registration grants a User access to Facility information. Disapproving a registration prevents a User from accessing any information.

From this page, you can either approve or disapprove this registration. Clicking the "Authorize Access" button will approve the registration and allow access. Clicking the "Refuse Access" button will disapprove the registration.

If access is authorized, the User's account is activated, appropriate security is provided, and the User is associated with the Facility.

Once the registration has been approved or disapproved, an e-mail is sent to the User with notification that the account is active or has been denied.

2
View/Change Information Module

This chapter addresses the following information:

- How to change your personal information
- How to change your password
- How to add an related Facility
- How to add related Parties
- How to make additional changes

2.1 The View/Change Information Module

The View/Change Information Module serves four functions; it allows you to:

1. Change address information;
2. Change your CIWQS password;
3. Request the addition of a related Facility; and
4. Request additional changes (such as the addition of a related Party or changes to your User ID).

Changes made to personal (address and contact) information, and password information result in immediate updates to information stored in the system. All other changes – such as the addition of a related Party or Facility - are made by System Administrators after a request has been submitted and reviewed.

To access this Module, choose *View/Change My Personal Information* Module from the Main Menu page after logging in to CIWQS. You will be presented with the *View/Change Personal Information* page (Figure 2.1). When the page is opened, it will show the information currently stored within the system.

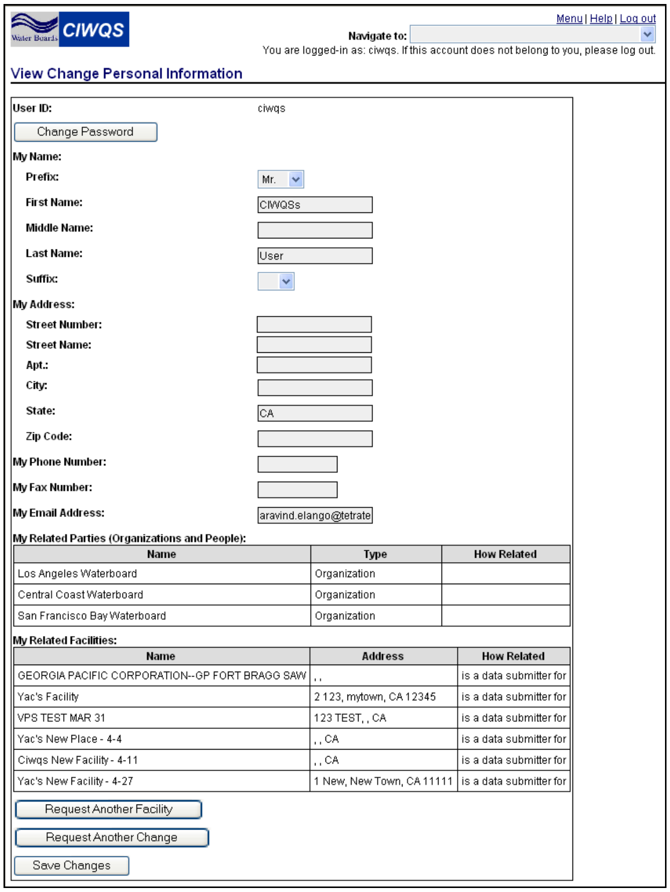


Figure 2.1 The View/Change Personal Information Page

The changes made in the View/Change Information Module are immediate and permanent. Care should be taken when entering new personal information.

2.1.1 Changing Your Password

At the top of the page is your User ID. Directly below this is the “Change Password” button. Clicking this button will bring you to the *Change User Password* page (Figure 2.2).

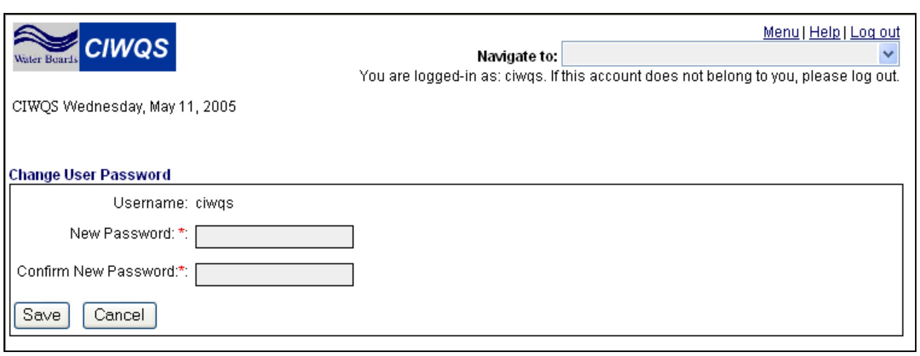


Figure 2.2 The Change User Password Page

To change your password, type in a new password in the "New Password" field and verify your new password by re-typing it into the "Confirm New Password" field.

Click "Save" to save this information and return to the *View/Change Information* page. Click "Cancel" to return to the *View/Change Information* page without changing your password.

2.1.2 Changing Your Personal Information

The editable fields on the *View/Change Personal Information* page contain your personal information. This includes:

- Address Information (Street Number, Street Name, Apt., City, State, Zip Code)
- Phone Number
- Fax Number
- Email Address

To change the information, simply type in your corrections and click the "Save Changes" button at the bottom of the screen.

☞ **The "Save" button only saves information related to your personal information. New password information is saved via the Change User Password page.**

2.2 Related Facilities and Parties

The *View/Change Personal Information* page also shows your related Parties (Organizations and People) and related Facilities. This information is contained in the tables at the bottom of the page.
The table entitled "My Related Parties (Organizations and People)" lists the Name, Type and your relationship with ("How Related") each Organization or Person you are related to. The *Type* field indicates whether the Party is an Organization or a Person. The *How Related* field indicates your relationship to or with that Party.

The table entitled "My Related Facilities" lists the facilities for which you are a case manager. This table indicates the Name, Address and your relationship to each Facility.

2.2.1 How to Add a Related Facility

To request the addition of an additional Facility, click the "Request Another Facility" button at the bottom of the screen. You will be taken to the *Request Another Facility Search* page (Figure 2.3).

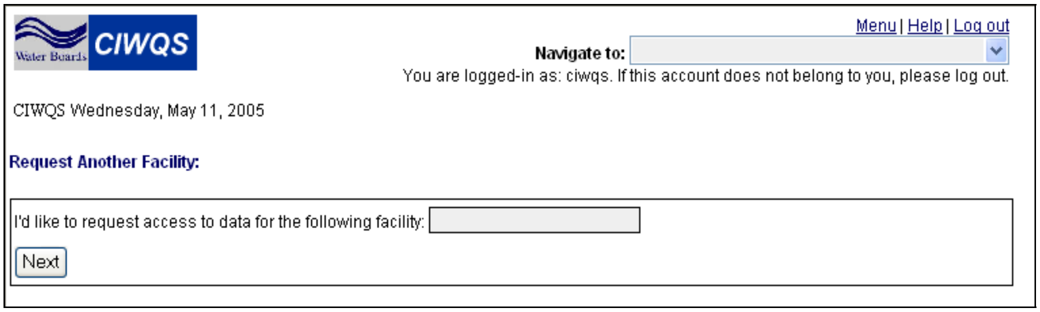


Figure 2.3 The Request Another Facility Search Page

Type in the name of the Facility you wish to add and click the "Next" button. The search field is not case sensitive.

Be sure to check the spelling of the Facility you wish to add. If you have difficulty finding the appropriate Facility, use a less-specific keyword search or check with your Water Board to make sure that the Facility is registered.

If the Facility name you entered matches one or more Facilities registered in CIWQS, you will be prompted to select the correct Facility on the *Request Related Facility* page (Figure 2.4).

If the Facility you wish to add appears in the list, select the radio button next to the correct Facility and click the "Select" button. Your request will be sent to the System Administrator.

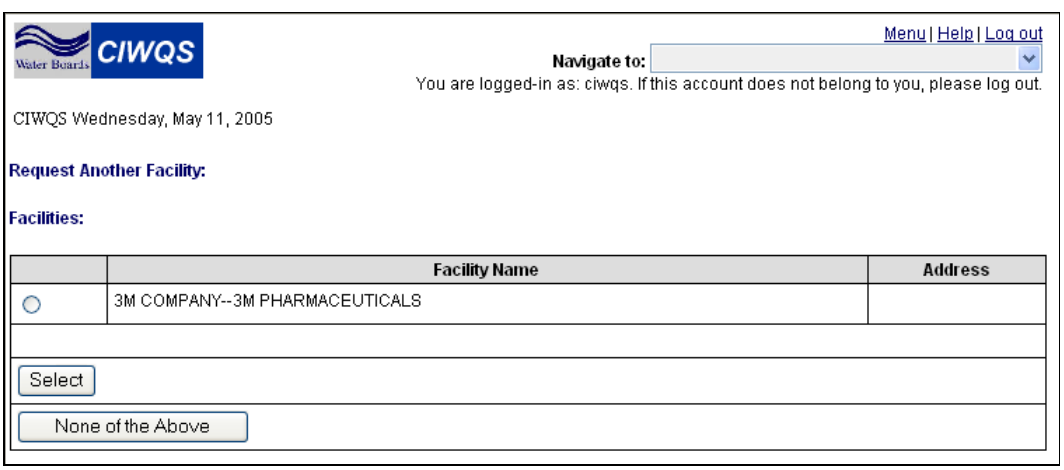


Figure 2.4 The Request Related Facility Page

If the Facility you wish to add does not appear in the list, you can click the "Back" button of your web browser to return to the *Request Another Facility* page and type in another Facility name.

If you select "None of the Above" you will be asked to check for the correct spelling of the Facility and directed back to the main menu (Figure 2.5).

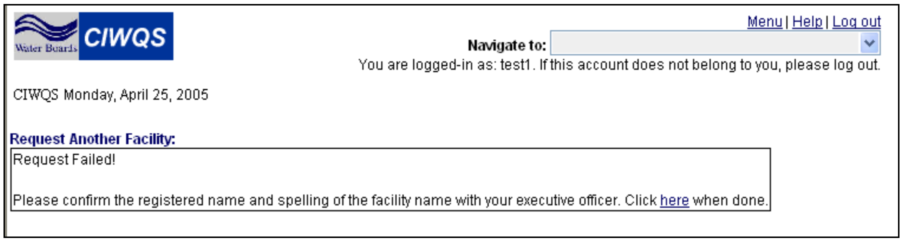


Figure 2.5 Request Another Facility: Request Failed

2.2.2 Requesting Additional Changes

All other changes to your personal profile such as:

- Requesting the addition of a Related Party;
- Changing your User ID; or
- Changing your relationship to or with a related Facility or Party

must be made by a System Administrator. You can request a change by sending an email to your System Administrator. Clicking the "Request Additional Change" button will launch your default email program and create a new message addressed to the System Administrator. Be sure to add an appropriate subject line to your message.

Your email requesting a change will be read and reviewed by a CIWQS Administrator. Your requested changes will be made or the Administrator will contact you with additional questions regarding your email.

The CIWQS Administrator will notify you once changes have been made.

CIWQS Dischargers Users Guide

Part 2

The eSMR

3
eSMR Module

This chapter addresses the following information:

- Introduction to eSMR reports
- How to Find and Select a Report
- The Report Builder Tabs
- Submitting an eSMR

3.1 Introduction

CIWQS provides a vehicle for submitting periodic Self-Monitoring Reports (SMRs), as specified by Regulatory Measures (e.g., Orders). Security features allow all Dischargers to create and edit SMRs, while requiring a higher level of access for certification and submission – i.e., only to executive officers.

This module can be accessed through the CIWQS Main Menu or by using the Navigation drop-down menu found at the top of each page.

3.2 Selecting a Self Monitoring Report

Before data can be entered in a given report, you will first need to select the relevant Facility (if you are authorized to submit data for more than one facility) and Order. Selecting the *Submit/Review a Self-Monitoring Report (eSMR)* Module from the Main Menu will bring you to the *Select Facility* page if you are affiliated with multiple facilities or the *Select Order* page if you are only affiliated with one facility.

3.2.1 Select Facility Page

For Users who are affiliated with multiple Facilities, the first step in submitting an eSMR is selecting the Facility (a Place with “Facility” as its type) for which the report will be submitted. The table on the Select

Facility page shows a list of all of the Facilities you are associated with (Figure 3.1). Table 3.1 describes the table columns.

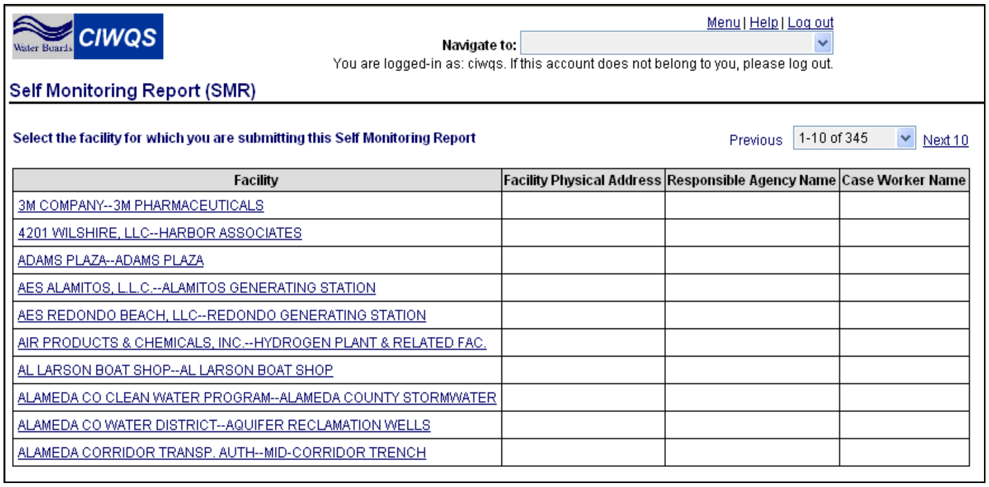


Figure 3.1 The Select Facility page

Table 3.1 Fields on the Select Facility page

Field Name	*Description*
Facility	Identifies the name of the Facility. Clicking on the name brings you to the Select Order page for the selected Facility.
Facility Physical Address	Indicates the physical address of the Facility, if one is available.
Responsible Agency Name	If a Facility has an associated Party with the role/relationship of "agency", the name of the Agency is displayed here. Nothing is shown if more than one Party has the role/relationship of "agency".
Case Worker Name	Shows the name of the Water Board Staff member assigned as the primary contact/case worker for this facility if one has been designated. Nothing is shown if more than one staff member is assigned as a case worker.

When you have found the appropriate Facility, click on the Facility name hyperlink to open the *Select Order* page for that Facility (Figure 3.2).

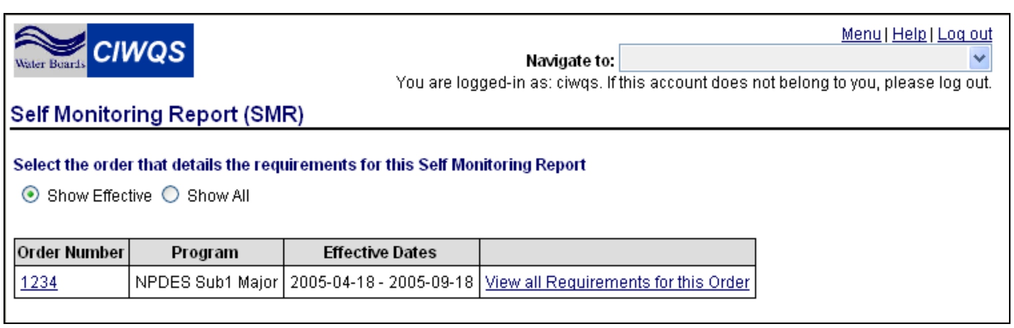


Figure 3.2 The Select Order Page

3.2.2 Select Order Page

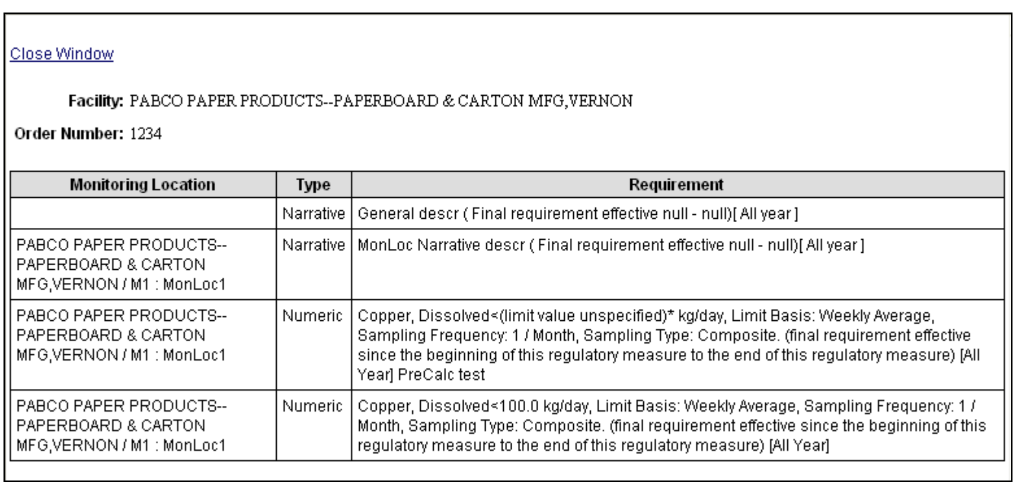
The table on the Select Order page shows all of the active Orders for the selected Facility. The radiobuttons above the table allow you to view all Orders (by selecting the "Show All" radiobutton) or only those Orders that are effective (by selecting the "Show Effective" radiobutton). Table 3.2 lists the Order table fields and provides a description of each.

Table 3.2 Fields on the Select Order Page

Field Name	*Description*
Order Number	Indicates the number of the Order. Clicking on the Order number brings you to the report selection page.
Program	Indicates the regulatory program related to the Order. If there are multiple associated programs, they are all shown.
Effective Dates	Indicates the dates for which the Order is in effect (start and end dates).
View All Requirements for this Order	Shows Order requirements. See description below.

View All Requirements Window

The "View All Requirements for this Order" Hyperlink will open a new window showing a listing, across all reports, of all narrative, limit/monitoring, and reporting Requirements in the Order (Figure 3.3). The Requirements table indicates the Monitoring Location, Type and details of the Requirement and is sorted first by Monitoring Location and then by Requirement type. Any Requirement that is associated with multiple Monitoring Locations will be listed multiple times.



Close Window

Facility: PABCO PAPER PRODUCTS--PAPERBOARD & CARTON MFG,VERNON

Order Number: 1234

Monitoring Location	Type	Requirement
	Narrative	General descr (Final requirement effective null - null)[All year]
PABCO PAPER PRODUCTS--PAPERBOARD & CARTON MFG,VERNON / M1 : MonLoc1	Narrative	MonLoc Narrative descr (Final requirement effective null - null)[All year]
PABCO PAPER PRODUCTS--PAPERBOARD & CARTON MFG,VERNON / M1 : MonLoc1	Numeric	Copper, Dissolved<(limit value unspecified)* kg/day, Limit Basis: Weekly Average, Sampling Frequency: 1 / Month, Sampling Type: Composite. (final requirement effective since the beginning of this regulatory measure to the end of this regulatory measure) [All Year] PreCalc test
PABCO PAPER PRODUCTS--PAPERBOARD & CARTON MFG,VERNON / M1 : MonLoc1	Numeric	Copper, Dissolved<100.0 kg/day, Limit Basis: Weekly Average, Sampling Frequency: 1 / Month, Sampling Type: Composite. (final requirement effective since the beginning of this regulatory measure to the end of this regulatory measure) [All Year]

Figure 3.3 View All Requirements Window

Click the "Close Window" hyperlink to close the View All Requirements window.

3.2.3 Select Reports Page

Selecting an Order Number from the table on the *Select Order* page will bring you to the *Select Reports* page (Figure 3.4). This page lists all Reports assigned to this Order and shows the status for each Report.

You will only have access to Reports that are Past Due or due in the Future. For In Progress Reports, the following rules apply:

1. If a Discharger started the In Progress report, the report can be opened and edited by any authorized User from that Discharger. A Water Board User cannot open he report until the report is marked Submitted.
2. If a Water Board User started the In Progress report, only Water Board Users with access to that Facility can open (and edit, if authorized) the report until the report is marked Completed ("Submitted").

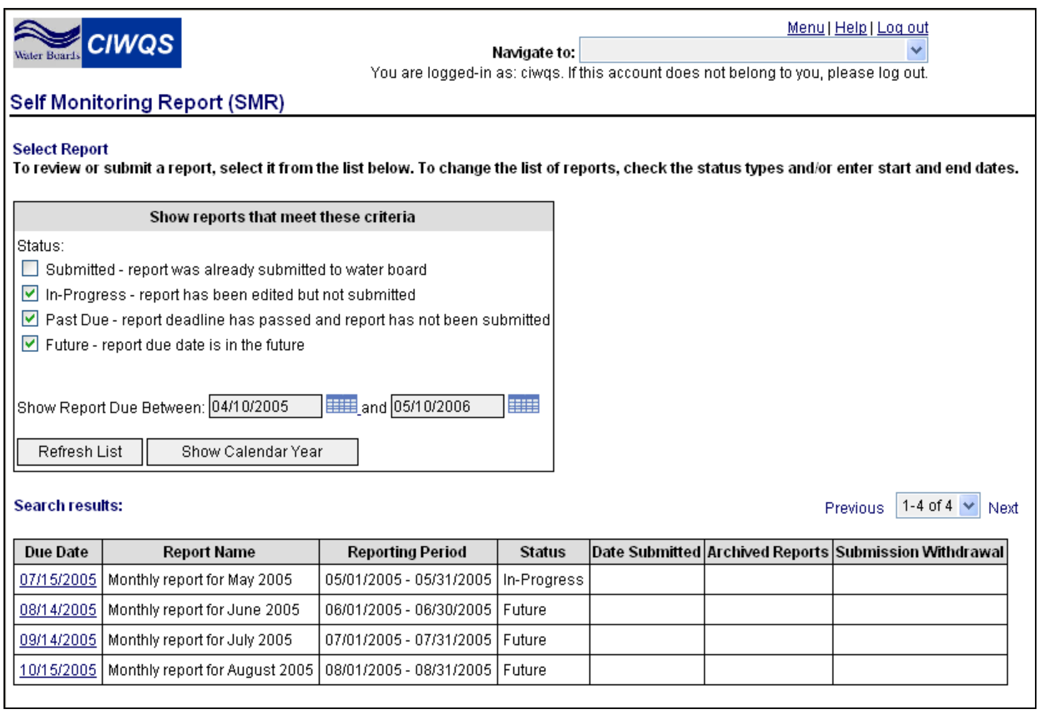


Figure 3.4 Select Reports Page

The Reports available for the selected Order can be filtered using the fields at the top of the page. Reports can be filtered based on their status

(Submitted, In Progress, Past Due, or Future) or by their due dates. Report status types are described in Table 3.3.

Table 3.3 Report status and accessibility

Report Status	Description
Past Due	The due date is prior to today
Future	The due date is today or later
In Progress	The report has been started, but not submitted (report status defaults to "In Progress" when it is first opened)
Submitted	The report has been submitted and has been locked against further updates

Click the "Refresh List" to refresh the table to view only those Reports that match the search criteria. Click the "Show Calendar Year" button to show only those Reports with due dates within the calendar year.

Table 3.4 lists the fields shown in the Reports table and provides a description of each. Reports are first sorted by status (In Progress, Past Due, Due, Submitted) and then chronologically by due date.

Table 3.4 Reports Table Fields and Descriptions

Field Name	Description
Due Date	Shows the due date for the report in MM/DD/YYYY format. Clicking on this link will open the Report Builder for the selected Report. Submitted Reports will be opened in read-only mode.
Report Name	Displays the name of the Report using the format: report type + reporting frequency (if repeating) + specific month or date (e.g., "monthly monitoring for January, 2004" or "Compliance Report for March 15, 2005").
Reporting Period	Shows the reporting period for the Report in MM/DD/YYYY-MM/DD/YYYY format.
Status	Displays the status for the Report.
Date Submitted	For Submitted Reports, the Submitted date is displayed.

Click the "Download Report" hyperlink in the *Archived Reports* field to open a window containing a PDF version of the Report. This feature is only available for Submitted Reports.

If you wish to withdraw a Report that has already been submitted, contact your Regional Water Board Case Manager.

When a Report is withdrawn, all data, such as violations (potential and confirmed), enforcement actions, penalties, etc. will remain in the system. These items must be manually rescinded.

☞ **If you wish to save a copy of the report prior to withdrawal, the PDF version should be printed or saved to another location.**

Click the hyperlink in the *Due Date* field to open the Report in the Report Builder for editing and submission. You will be prompted to verify that you wish to begin editing the selected Report. Click "OK" to begin editing the report and enter the Report Builder. Click "Cancel" to return to the Select Reports page.

☞ **Once you start editing a Report, its status is changed to "In Progress".**

3.3 Report Builder

The *Report Builder* page allows you to enter data for and submit Self Monitoring Reports. This page can be accessed by selecting a Report from the *Select Reports* page. The Report Builder is a multi-tabbed page. Each tab captures a related set of information about a Report.

There are nine tabs on the Report Builder page:

- View Report Requirements Tab – Displays a Report showing all requirements for the selected Report (both narrative and numeric). This is the default tab when the report is first opened.
- No Discharge Tab – Allows the input of one or more Monitoring Locations that had no discharge during the reporting period and therefore require no results.
- Narrative Tab – Allows entry of results for requirements defined as "Narrative" in the Order/Permit.
- Pre-Calculated Tab – Allows for the entry of results for requirements defined as "Pre-Calculated" in the Order/Permit.
- EDF/CDF Tab - Allows for the uploading of raw data in electronic format.
- Raw Data Tab – Allows for the manual entry of raw data.

- Attachments Tab – Allows for the attachment of any file (e.g., digital photo, supporting word processing, PDF, diagram, etc.) to a submission.
- Error Check Tab - Runs several routines to determine potential compliance issues and other submission errors.
- Cover Letter Tab – Allows the submitter to create a cover letter for this submission.

3.3.1 View Report Requirements Tab

The View Report Requirements tab is the first page you will see when you open the Report Builder for a particular Report. This tab shows a complete list of both narrative and numeric Requirements for a Report (Figure 3.5).

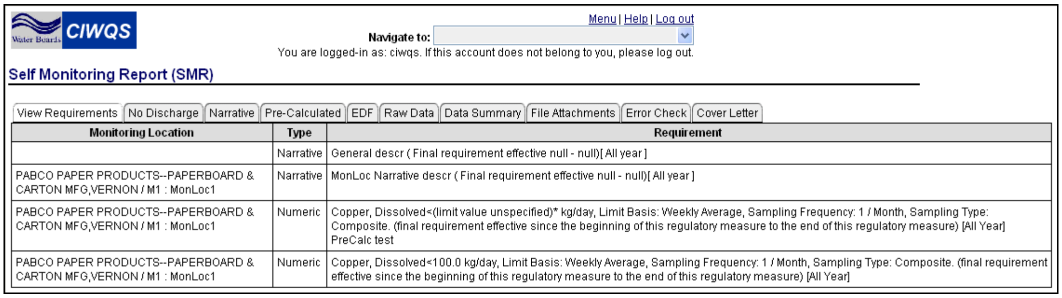


Figure 3.5 View Report Requirements Tab

The Requirements displayed have been entered via the *Create/Maintain Regulatory Measures* Module. They are brought up automatically for use in the *eSMR* Module. Information for the displayed Requirements will be added and modified in the remaining tabs.

See Chapter 5 for more information on Regulatory Measures.

Requirements are sorted first by Monitoring Location and then by Requirement type.

3.3.2 No Discharge Tab

The No Discharge tab allows you to note that certain locations had no discharge during the reporting period and, therefore, compliance with items in the Order may not be required (Figure 3.6).

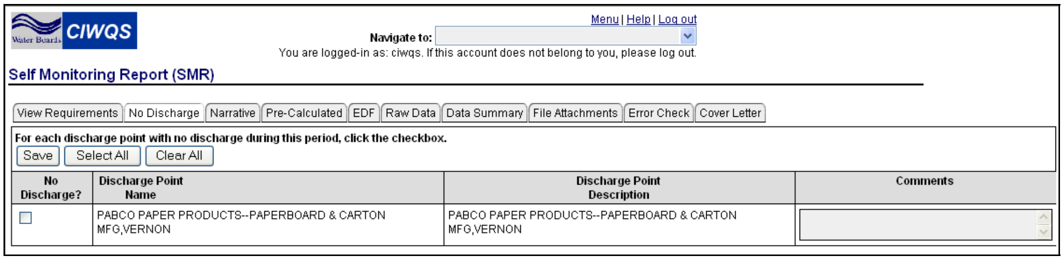


Figure 3.6 No Discharge Tab

The table shown lists the name and description of all Discharge Points associated with the Report (assigned via the *Regulatory Measures* Module).

Checking the box in the *No Discharge?* field indicates that there was no discharge for the indicated Discharge Point for the entire period. Optionally, comments can be added in the *Comments* field to explain the selection.

If all Discharge Points associated with a Monitoring Location are marked as “No Discharge” in a report, this means that the requirements associated with that Monitoring Location might not be applicable.

If a Monitoring Location has multiple associated Discharge Points and at least one of those Discharge Points had discharge for the reporting period, the requirements for that Monitoring Location are still applicable.

Partial-Period No Discharge

A partial reporting period with no discharge (called a “partial-period no discharge”) is not indicated on this form. In cases where there was no discharge for a partial reporting period, results data must still be provided on the Narrative, Pre-Calculated, and Raw/EDF tabs (as described in the sections below).

Additional information should be attached to the eSMR (via the Attachments tab) to indicate a partial-period no discharge.

Click the “Select All” button to mark all associated Discharge Points as “No Discharge”. Click the “Clear All” button to de-select all of the Discharge Points.

Click the “Save” button to update the record with the indicated “No Discharge” Points.

When you have entered or updated new information in the No Discharge Tab be sure to click the "Save" button at the top of the tab. Your data will be lost if you do not save the new information.

3.3.3 Narrative Requirements Tab

This tab allows you to respond to any Requirement that was defined as a Narrative Requirement (Figure 3.7). Narrative Requirements are typically for the entire Facility or general Requirements pertaining to the Order/Report, although some requirements may be defined for specific Monitoring Locations.

To begin entering information for the Narrative Requirements, you must first select a Monitoring Location from the dropdown menu at the top of the Tab (sorted alphabetically by identifier). This will retrieve the table to show only those narrative Requirements associated with the selected Monitoring Location. Alternatively, select "General" from the list to view all Requirements not associated with a specific Monitoring Location.

For maximum flexibility, even those Monitoring Locations indicated, as "No Discharge" will appear.

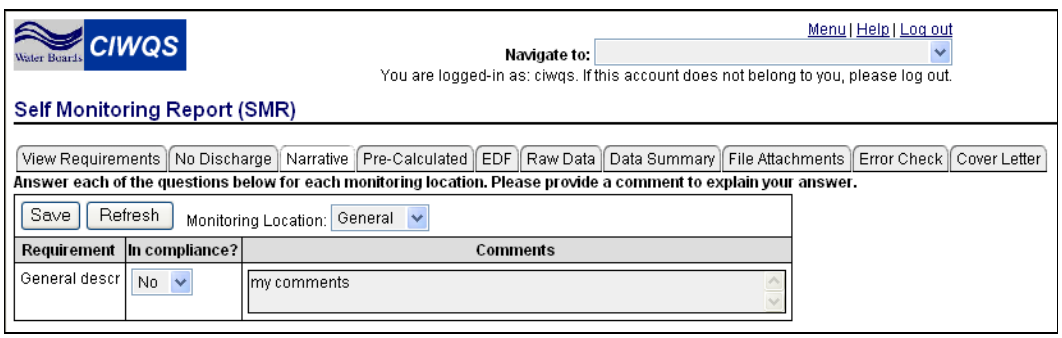


Figure 3.7 Narrative Requirements Tab

For each Requirement listed, select the appropriate value from the *In Compliance?* dropdown menu. There are three possible responses:

- Yes – Requirement was met
- No – Requirement was not met
- N/A – compliance was not required during this monthly reporting period (e.g., the Requirement states "When total monthly rainfall exceeds 15 inches…" and there has not been at least 15 inches of rainfall during this month).

Each row must have a value selected in the *In Compliance?* field in order to pass the error checks.

The *Comments* field is a free entry text field. This field is required for any Requirement with a "No" value in the *In Compliance?* field and optional if either of the other values is selected.

An Closer Look at Requirement Types

There are three basic types of Requirements:

- Narrative;
- Numeric/limits (including monitoring); and
- Reporting.

Narrative Requirements are text-based. They do not contain individual fields for various components and therefore cannot be automatically evaluated for compliance by the system. Most Narrative Requirements are created for the entire Regulatory Measure or Facility. In some cases, however, a Narrative Requirement may be written for a specific Monitoring Location.

Limit and Monitoring Requirements are closely related and so can be entered on a single form. These Requirements require the creation of Numeric Requirements, which define various limits. Limit/Monitoring Requirements are typically placed on a specific Monitoring Location.

Reporting Requirements are used by the system to determine what reports are due.

When you have finished entering data for the Narrative Requirements associated with the selected Monitoring Location (or "General" Requirements), click the "Save" button. You may then make another selection from the *Monitoring Location* dropdown menu to enter values for the Requirements associated with the other Monitoring Locations.

When you have entered or updated new information in the Narrative Tab be sure to click the "Save" button at the top of the tab. Your data will be lost if you do not save the new information.

3.3.4 Pre-Calculated Requirements Tab

The Pre-Calculated Requirements tab allows you to report data for Numeric Requirements that were marked as “Pre-Calculated” when they were created. This indicates that raw data (either manually entered or uploaded via EDF) cannot be used to determine compliance. This tab allows for the input of requirements that require you to enter summary-level data (Figure 3.8)

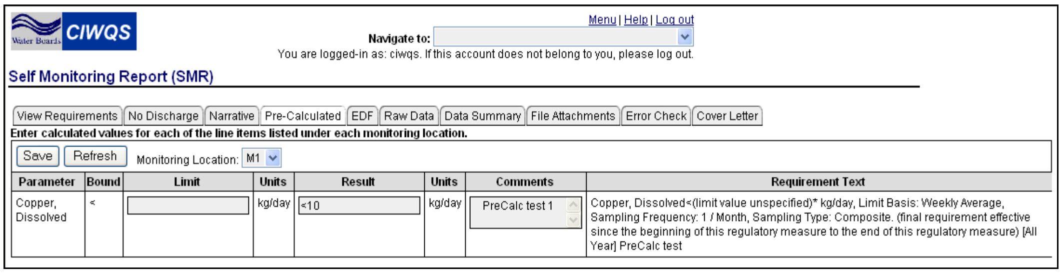


Figure 3.8 Pre-Calculated Requirements Tab

To begin entering information for the Pre-Calculated Requirements, you must first select a Monitoring Location from the dropdown menu at the top of the Tab (sorted alphabetically by identifier). Selecting a Monitoring Location will retrieve the table to show only those Pre-Calculated Requirements associated with the selected Monitoring Location. By default, the first Monitoring Location is shown.

Table 3.5 lists the fields shown in the Pre-Calculated Requirements table and gives a description of each.

Table 3.5 Fields in the Pre-Calculated Requirements Table

Field Name	*Description*
Parameter	Displays the Requirement’s parameter, as defined in the Order (e.g., “Arsenic”).
Bound	Indicates if this is an upper (<, <=) or lower (>, =>) bound Requirement.
Limit	Enter the calculated numeric limit. Where the system can extract a specific numeric limit from the Requirement, it will be displayed here and the field will be Read-Only.
Units	Indicates the units for the limit and results.
Result	Enter the actual Pre-Calculated Result. **The result must be in the same units as the limit.**
Comments	Enter text related to the Requirement. A comment is required for any Requirement where the limit/bound and result indicate possible non-compliance.

Because this is a Monitoring Location-specific data entry page, a list of all Pre-Calculated Requirements across all monitoring Locations will not be shown here. These can be viewed on the View Requirements Tab.

When you have finished entering data for the Requirements for the selected Monitoring Location, click the “Save” button. You may then make another selection from the *Monitoring Location* dropdown menu to enter values for the Requirements associated with the other Monitoring Locations.

Clicking the “Refresh” button will update the table if you select a new Monitoring Location from the dropdown menu.

When you have entered or updated new information in the Pre-Calculated Tab be sure to click the “Save” button at the top of the tab. Your data will be lost if you do not save the new information.

3.3.5 EDF/CDF Tab

The EDF/CDF tab allows you to upload raw data to CIWQS in Electronic Deliverable Format (EDF) or in CIWQS Data Format (CDF) (Figure 3.9). Hyperlinks on the page will direct you to web sites with additional information about the format and to tools that will aid in the transfer of data to CIWQS (through the SWRCB). This release of CIWQS will support EDF version 1.2i (July 2002).

CDF files will be converted to EDF files before they are uploaded to CIWQS.

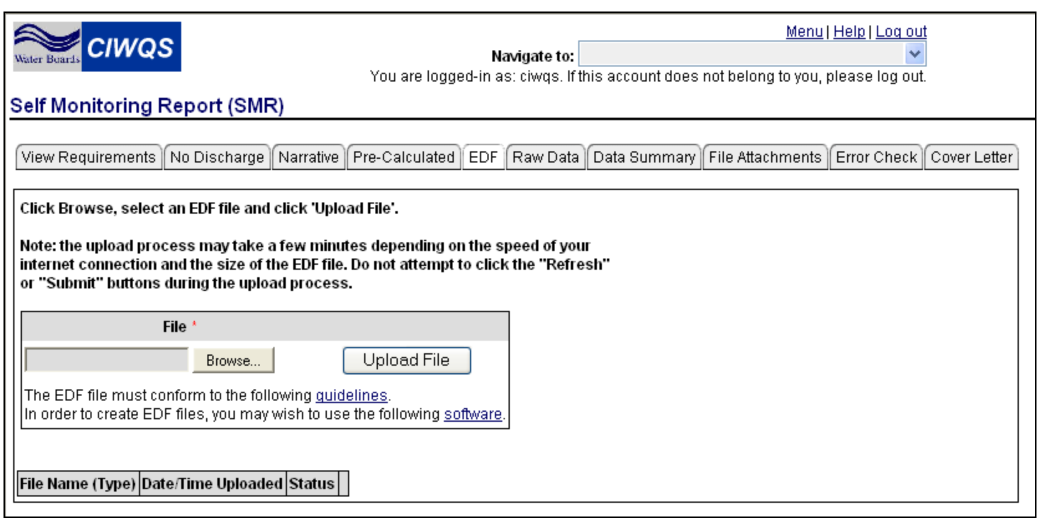


Figure 3.9 The EDF/CDF Tab

See Chapter 4 for a closer look at the Electronic Deliverable Format and how data can be uploaded to CIWQS

To upload a file, type a file location into the *File* field or click the "Browse" button to view the Choose File window (Figure 3.10). Navigate to the file you wish to upload and click the "Open" button to bring it to the EDF/CDF tab. The file location of the selected file will be shown in the *File* field.

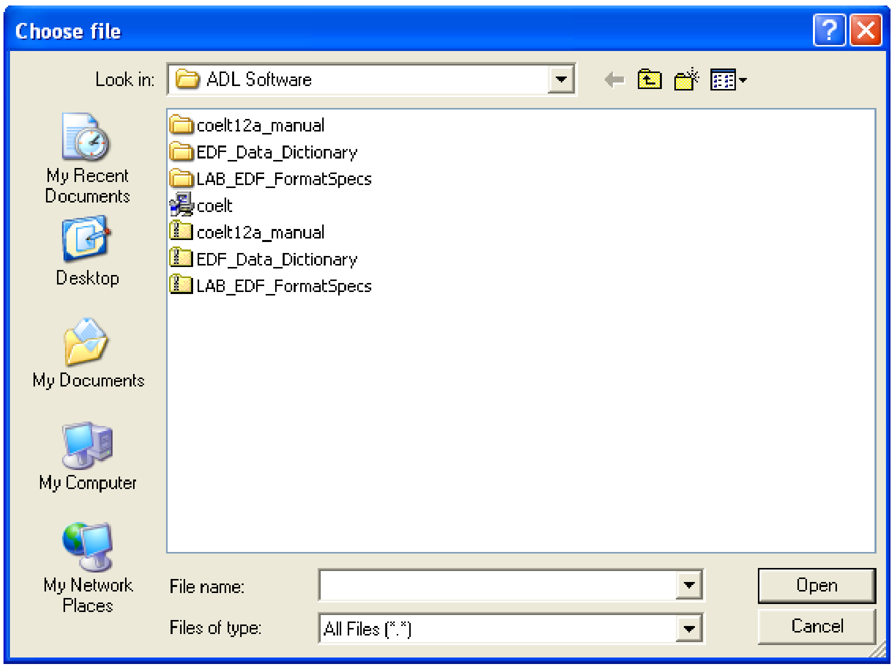


Figure 3.10 The Choose File Window

Click the "Upload File" button to upload the selected document to the EDF/CDF Tab.

Uploaded documents are displayed in the table. Here, the File Name, Date/Time Uploaded and Status of the EDF files are displayed. The table is sorted by file name.

Uploaded EDF files should be named in a manner which makes it clear what the file contains (e.g. Facility name and report date, lab name) and should end in ".zip". If multiple EDF files are uploaded, each must contain a unique name. EDF files uploaded to CIWQS should *not* be password encrypted.

The Document Status field will display "OK" if the file passes the CIWQS virus scanner. It will display "Unavailable" if the virus scanner detects that it may contain a virus.

An EDF file can be removed from the table by clicking the "Delete" hyperlink at the end of the row (only before the Report is Submitted).

Clicking on the file name will download the entire associated EDF file via your browser's standard file download capabilities.

3.3.6 Raw Data Tab

As an alternative to uploading data in EDF format, you can manually enter raw data via the Raw Data tab (Figure 3.11).

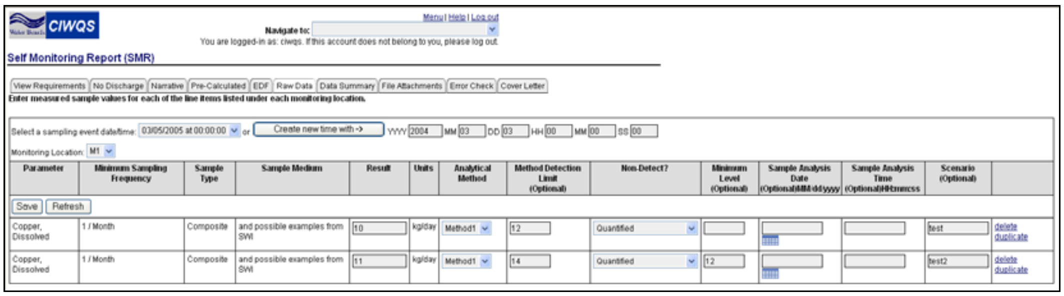


Figure 3.11 The Raw Data Tab

Create a Sampling Event

All raw data entries must be associated with a sampling event. Established sampling events will be listed in the dropdown menu at the top of the tab. To create a new sampling event, enter date and time information into the available fields and click the "Create New Time with ->" button. For example, to enter the Date/Time "05/17/2005 at 4:32:00" enter:

- "2005" in the YYYY field (for the year);
- "05" in the MM field (for the month);
- "17" in the DD field (for the day);
- "04" in the HH field (for the hour);
- "32" in the MM field (for the minutes); and
- "00" in the SS field (for the seconds).

Once you have selected/created a Date/Time, select a Monitoring Location from the *Monitoring Location* dropdown menu. Click the "Refresh" button to update the table with the Parameters associated with the selected Monitoring Location and sampling event. You can now enter raw data for that Location.

The table shown for any Monitoring Location will be auto-populated with the set of Parameters applicable for the given reporting period. Not all Parameters for an Order will be reported for every sampling period.

Table 3.6 lists the fields in the Parameter table and gives a description of each.

Table 3.6 Parameter Table Fields

Field Name	*Description*
Parameter	A Parameter row is automatically created for each Parameter that is specified in the Order for the selected Monitoring Location that could be sampled during the entered date/time sampling event.
Minimum Sampling Frequency	This field retrieves the required (by the Order) monitoring sampling frequency for the selected Monitoring Location and Parameter.
Sample Type	Shows the required (by the Regulatory Measure) sample type for the selected Monitoring Location and Parameter.
Sample Medium	Displays the required sample medium, as specified in the Requirement in the Regulatory Measure for the selected Monitoring Location and Parameter.
Result	Enter the measured result. If the sample measurement was below the detection limit, do not enter a value.
Units	Retrieves the required (by the Order) units for the selected Monitoring Location and Parameter. If the sampling was not performed in these units, you must manually convert before entering the data.
Analytical Method	Select the Analytical Method used from the dropdown menu.
Method Detection Limit (Optional)	Enter the method detection limit in the units specified for the Parameter. **This field is required if "Not Detected" is selected from the *Non-Detect?* field.**
Non-Detect?	If the sample was below the method detection limit, no result is entered and "Not Detected" is selected from the dropdown menu. The default value is "Quantified".
Minimum Level (Optional)	Enter the minimum level in the units specified for the Parameter.
Sample Analysis Date (Optional)	Enter the date the sample was analyzed in the format MM/DD/YYYY.
Sample Analysis Time (Optional)	Enter the time the sample was analyzed in the format HH:MM:SS.
Scenario (Optional)	Enter in the appropriate Scenario information.

It is your responsibility to ensure that the units used to report the sample are the same as the units specified in the Order. Failure to do so may result in errors (potential non-compliance events) being flagged in the system.

Parameter Scenarios

Parameter scenarios are described when the associated Order is created (via the Regulatory Measures Module). A scenario describes conditions for which a Parameter measurement will be in compliance. For example, a Requirement to monitor Lead may include the scenario, “when dilution is less than xxx”. If the actual measurement is greater than the stated value in the scenario, the data will be marked as non-compliant.

The scenario text input via the Raw Data Tab must exactly match the scenario text entered for the Order.

Click the “delete” hyperlink to delete the Parameter row from the table. Deleting the row from the table does not remove it from the Order record. It simply indicates that no sample was taken for that Parameter during this reporting period.

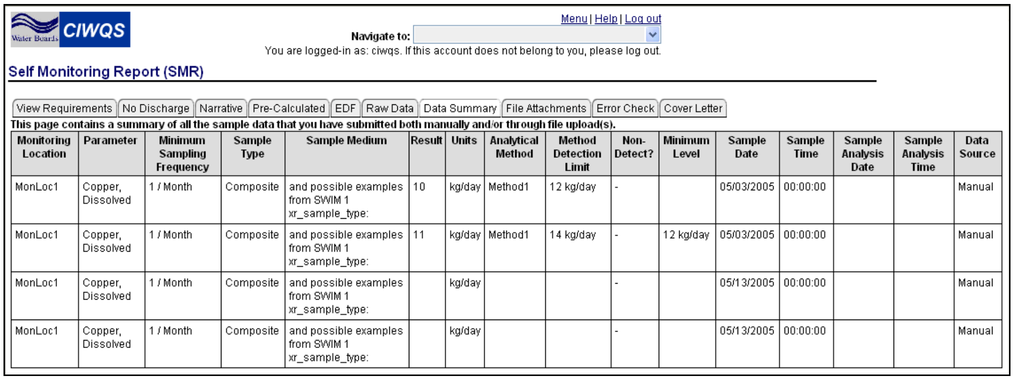
Click the “duplicate” hyperlink to create a new row that contains the same Parameter, sampling frequency, sample type, sample medium, and units. This allows duplicate Parameters to be entered.

When you have finished entering data for the selected Monitoring Location, click the “Save” button. You may then make another selection from the *Sampling Time* and *Monitoring Location* dropdown menus (or create a new Sampling Time) to enter data for the Parameters associated with the other Monitoring Locations.

When you have entered or updated new information in the Raw Data Tab be sure to click the “Save” button at the top of the tab. Your data will be lost if you do not save the new information.

3.3.7 Sample Data Summary Tab

The Sample Data Summary tab allows you to review all uploaded and manually entered data in one read-only screen (Figure 3.12). No data entry is possible on this page.



Monitoring Location	Parameter	Minimum Sampling Frequency	Sample Type	Sample Medium	Result	Units	Analytical Method	Method Detection Limit	Non-Detect?	Minimum Level	Sample Date	Sample Time	Sample Analysis Date	Sample Analysis Time	Data Source
MonLoc1	Copper, Dissolved	1 / Month	Composite	and possible examples from SWIM 1 xr_sample_type:	10	kg/day	Method1	12 kg/day	-		05/03/2005	00:00:00			Manual
MonLoc1	Copper, Dissolved	1 / Month	Composite	and possible examples from SWIM 1 xr_sample_type:	11	kg/day	Method1	14 kg/day	-	12 kg/day	05/03/2005	00:00:00			Manual
MonLoc1	Copper, Dissolved	1 / Month	Composite	and possible examples from SWIM 1 xr_sample_type:		kg/day			-		05/13/2005	00:00:00			Manual
MonLoc1	Copper, Dissolved	1 / Month	Composite	and possible examples from SWIM 1 xr_sample_type:		kg/day			-		05/13/2005	00:00:00			Manual

Figure 3.12 The Sample Data Summary Tab

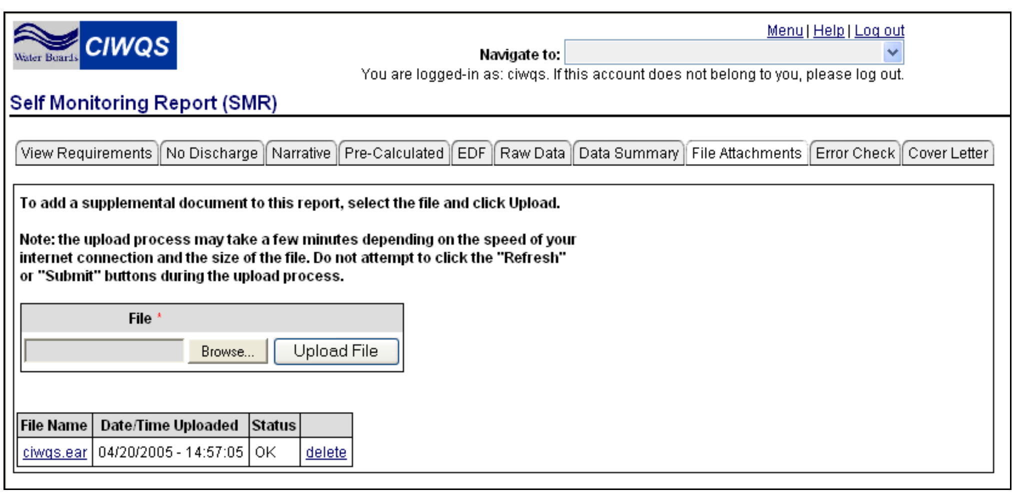
The table shows all data that has been reported for this eSMR. There are two key differences in the way data is displayed on this page (as opposed to how it is displayed on the Narrative, Pre-Calculated and Raw Data tabs):

1. The *Non Detect?* Field shows "-" for "no" and "ND" for "yes".
2. The *Data Source* field shows "manual" if the Raw Data tab was used for entry. If the data came from an EDF/CDF, this field shows the name of the uploaded file.

3.3.8 File Attachments Tab

The Attachments tab allows you to attach a file (e.g. word processing, graphics or photo, spreadsheet) to the sSMR (Figure 3.13). This tab can be used to add supporting information to the submission.

EDF and CDF files should be uploaded via the EDF/CDF tab, not through the attachments tab.



File Name	Date/Time Uploaded	Status	
ciwqs.ear	04/20/2005 - 14:57:05	OK	delete

Figure 3.13 The Attachments Tab

To add a file to the record, type a file location into the File field or click the "Browse" button to view the Choose File window (as in Figure 3.10). Navigate to the field you wish to upload and click the "Open" button to add it to the Attachments Tab. The file location of the selected file will be shown in the File field. Click the "Upload File" button to upload the selected file.

The *File Name*, Date/Time Uploaded and *Status* are shown for each uploaded file in the table. The table is sorted by file name.

A particular file name can be used only once per report.

An attachment can be removed by clicking the Delete from Submission link at the end of each row. Clicking on the file name will download the associated file via your browser's standard download capabilities.

This table can be viewed for any eSMR until it has been marked as Submitted.

3.3.9 Error Check Tab

The Error Check tab provides a way to check data before it is submitted for review. The Error Check tab serves four related functions:

1. Reviewing the data on the Narrative, Pre-Calculated, EDF and Raw Data tabs to ensure that required data is not missing and that certain mistakes were not made;
2. Flagging narrative and pre-calculated requirements that may not be in compliance;
3. Running computations on raw data (entered or uploaded as EDF files) to check compliance; and
4. Producing a report for review.

Further information about the details of an Error check can be found in Appendix A.

Data that does not pass the Error Check is flagged as a non-compliance event and is displayed in the table on the Error Check tab (Figure 3.14). Non-compliance events are classified as Narrative, Numeric or Reporting.

The Error Check must be run before an eSMR can be submitted. When the Error Check tab is first viewed, no errors will be reported in the table. To run the Error Check, click the "Check Report for Errors" button. This will initiate the check and populate the Error Report table with any errors encountered.

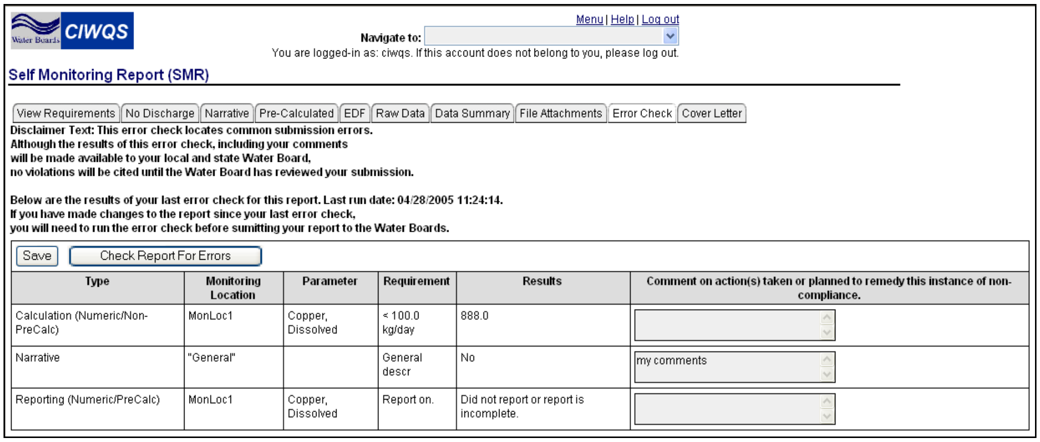


Figure 3.14 The Error Check Tab

Running the Error Check will delete any comments entered in previous checks.

Table 3.7 lists the fields in the Error Report table and gives a description of each.

Table 3.7 Fields of the Error Report Table

Field Name	*Description*
Type	Displays the type of error encountered (narrative, numeric or reporting).
Monitoring Location	Shows the Monitoring Location ID where the error occurred
Parameter	Indicates the Parameter (if any) of the Requirement.
Requirement	Shows the text of the Requirement or a description of the expected results.
Results	Displays the results that caused the error. For narrative requirements, this is the text (comments) entered by the User. For (pre-calculated) limit requirements, this is the value entered by the User. For (system calculated based on raw data) limit requirements, this is the calculated value. For other requirements, this is the applicable value or text.
Comments	Enter information about the error, including reasons, how the error is being remedied, etc.

When you have entered or updated new information in the Error Check Tab be sure to click the "Save" button at the top of the tab. Your data will be lost if you do not save the new information.

3.3.10 Cover Letter Tab

The Cover Letter tab performs two functions: it allows you to add a cover letter to the eSMR submission and provides a gateway to the Certify and Submit page where you will formally submit the eSMR, and all of its related data, for review (Figure 3.15).

Figure 3.15 The Cover Letter Tab

The Cover Letter

The cover letter is a vehicle for providing additional or supplementary information regarding the eSMR submission. Text can be input directly into the text box shown on the first page of the Cover Letter Tab or it can be uploaded as a text file.

You will also have the option of downloading a template cover letter. The link to the template is provided at the top of the tab as a hyperlink. Clicking on this hyperlink will initiate the download of the document to your computer.

To upload a document, type the file name and location into the field next to the large text field or click the “Browse” button to locate the file on your computer.

When you have entered or updated new information on this first page of the Cover Letter Tab be sure to click the “Save” button at the top of the tab. Your data will be lost if you do not save the new information.

Certify and Submit

The Certify and Submit feature of the Cover Letter Tab allows you to submit the eSMR to the appropriate Water Board for review. This page functions as an electronic signature for submission of eSMRs.

Only authorized staff can submit an eSMR for a facility. Non-authorized users will not be granted access to this page.

To submit the eSMR, click the “Certify & Submit” button, located next to the “Save” button at the top of the Cover Letter tab.

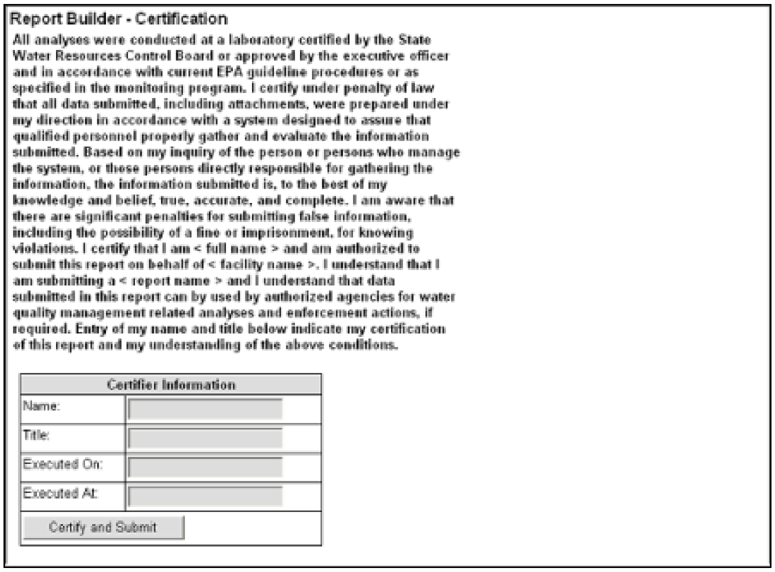
Before you attempt to submit an eSMR, the following conditions must be met:

1. The Error Check must have been run at least once;
2. No data has changed since the last time the Error Check was run; and
3. The date the Error Check was last run is the same as today’s date.

If any of these conditions is not met, you will receive the error message: “You must check/re-check for errors before certifying and submitting” and access to the Certify and Submit page will be refused.

If you have met all of the conditions, you will be granted access to the Certify and Submit page (Figure 3.16).

You will be asked to enter you full legal name (the same one used for registration purposes), title, and the location from which the form is being submitted (“Executed at” field). The “Executed On” date will be pre-populated by the date and time when the user entered the form. The Certify and Submit button will not be enabled until all four fields are filled out.



Report Builder - Certification

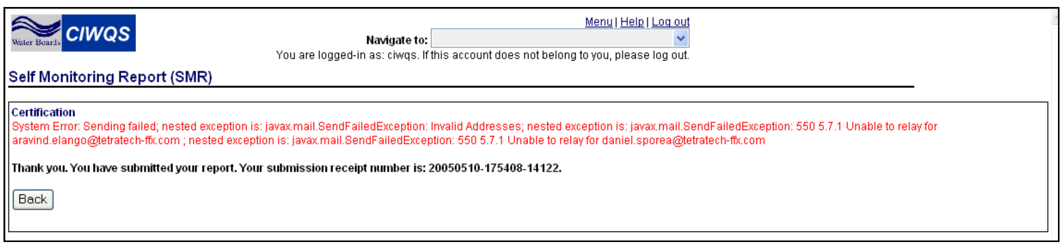
All analyses were conducted at a laboratory certified by the State Water Resources Control Board or approved by the executive officer and in accordance with current EPA guideline procedures or as specified in the monitoring program. I certify under penalty of law that all data submitted, including attachments, were prepared under my direction in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons 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 there are significant penalties for submitting false information, including the possibility of a fine or imprisonment, for knowing violations. I certify that I am < full name > and am authorized to submit this report on behalf of < facility name >. I understand that I am submitting a < report name > and I understand that data submitted in this report can by used by authorized agencies for water quality management related analyses and enforcement actions, if required. Entry of my name and title below indicate my certification of this report and my understanding of the above conditions.

Certifier Information	
Name:	
Title:	
Executed On:	
Executed At:	

Certify and Submit

Figure3.16 The Certify and Submit Page

When you have entered data in all four fields, click the "Certify and Submit" button to submit the eSMR. If your submission is successful, you will receive a certification message with a receipt number for the submission (Figure 3.17).



CIWQS Water Boards

Menu | Help | Log out

Navigate to:

You are logged-in as: ciwqs. If this account does not belong to you, please log out.

Self Monitoring Report (SMR)

Certification

System Error: Sending failed; nested exception is: javax.mail.SendFailedException: Invalid Addresses; nested exception is: javax.mail.SendFailedException: 550 5.7.1 Unable to relay for aravind.elango@tetratech-ffx.com ; nested exception is: javax.mail.SendFailedException: 550 5.7.1 Unable to relay for daniel.sporea@tetratech-ffx.com

Thank you. You have submitted your report. Your submission receipt number is: 20050510-175408-14122.

Back

Figure 3.17 Certification Message

3.3.11 Important Information Regarding Data Submission

Once a report is certified and submitted, the system locks the data in the report, generates a PDF version, and makes the data available in read-only mode to both the Discharger and authorized Water Board staff. An e-mail receipt is sent to the submitting Discharger and Water Board case manager with the following text:

> *This e-mail is to confirm receipt of your <report name, including due date>, in accordance with the requirements of Order <Order Number>. This report was submitted for <facility name> on <date/time> by <name of user certifying>.*
>
> *If you need to contact your local Water Board, your case manager is <case manager's name> (<phone number>).*

4
Uploading Data to CIWQS

This chapter addresses the following information:

- Data formats
- How to Register
- How to approve/disapprove pending registrations

4.1 Introduction

Self-Monitoring Report data can be uploaded to CIWQS using the Electronic Deliverable Format (EDF). EDF is a data standard for transferring electronic data files between data producers (e.g. labs and facilities) and data users (Water Boards).

This release of CIWQS will support EDF version 1.2i (July 2002). Additional information about the EDF can be found in "The Electronic Deliverable Format (EDF) version 1.2i Format Specifications" document prepared by ArsenaultLegg, Inc. (available here).

CIWQS supports both EDF formats:

- The relational format (six files: sample, quality control, test, results, narrative, and control limits); and
- The flat file format (two files: control limits and flat file).

4.2 Uploading Data to CIWQS

This release of CIWQS will focus on importing only those fields necessary to match the data required by the raw data screen. Additional data will not be imported into database fields. Note, however, that the original EDF file will be stored as a binary large object in the database; therefore, all data in the submission can be viewed. As the original EDF file will be stored, as the CIWQS database expands to include additional fields, these EDF files may be re-imported.

4.2.1 File Preparation

Prior to submission, the following tools may be used to prepare and validate an EDF submission:

- COELT (U.S. Army Corps of Engineers Loading Tools): A software tool designed for data entry, data export, data verification, and data reporting. Analytical laboratories use this tool to generate EDF deliverables.
- EDCC (Electronic Deliverable Consistency Checker): A software tool designed to verify lab EDF deliverables for compliance to the EDF format.

Links to these tools can be found on the California SWRCB website.

Although CIWQS performs a specific set of verifications, it does not perform all of the checks found in EDCC. The use of this program by submitters is highly recommended!

4.2.2 File Considerations

EDF files must be compressed in ZIP format. Tools such as PDZip, WinZip, and Windows XP's compressed folders all use the zip format. By compressing the various files into a single ZIP file, this ensures that the different files that comprise a submission do not become separated.

The ZIP file should contain:

- EDCC.TXT: An EDCC error report in test format. This file is not used by CIWQS, but will be stored for possible review. *Relational or Flat File*;
- EDFNAR.TXT: Any narrative text. *Relational only*;
- EDFSAMP.TXT: Sample data. *Relational only*;
- EDFTEST.TXT: Test data. *Relational only*;
- EDFRES.TXT: Results data. *Relational only*;
- EDFQC.TXT: Quality Control data. *Relational only*;
- EDFCL.TXT: Control Limits data. *Relational or Flat File*; and
- EDFFLAT.TXT: Flat File. *Flat File only*.

Uploaded EDF files should be named in a manner that makes it clear what the file contains (e.g., facility name and report date, lab name) and should end in ".zip". If multiple EDF files are uploaded, each must contain a unique name. EDF files uploaded to CIWQS should *not* be password encrypted. Table 10.1 shows how data is mapped from the EDF files to the CIWQS data fields.

Table 10.1 EDF Data Mapping

CIWQS Field	*Relational File*	*Field (EDFFLAT for Flat File)*
Report ID	*The upload is related to the report by CIWQS when the EDF file is uploaded.*	
Monitoring Location	Sample	FIELD_PT_NAME
Sample Event Date	Sample	LOGDATE
Sample Event Time	Sample	LOGTIME
Parameter	Results	PARLABEL (only PVCCODE=primary)
Minimum Sampling Frequency	*Pulled from the Regulatory Measure related to this Report. This is the sampling frequency for the matching Monitoring Location and Parameter.*	
Sample Type	*Pulled from the Regulatory Measure related to this Report. This is the sample type for the matching Monitoring Location and Parameter.*	
Sample Medium	Sample	MATRIX
Units	Results	UNITS
Sample Date	Sample	LOGDATE
Sample Time	Sample	LOGTIME
Result	Results	PARVAL (only PARVQ=equals; see "non-detect")
Method Detection Limit	Results	LABDL
Minimum Level		*Not available in EDF, so not populated.*
Non-Detect	Results	*If PARVQ=< and PARVAL=method detection limit, then this is a non-detect*
Analytical Method	Results	ANMCODE
Sample Analysis Date	Results	ANADATE
Sample Analysis Time	*This information is not available from an EDF submission and will be left blank.*	

EDF files must contain no errors to upload. This will result in the generation of an error message within CIWQS. In some cases, an error may prevent a downstream error from being discovered.

4.2.3 Code Value Mapping

Several files are entered as codes in the EDF format, CIWQS, or both. Any value that is a code in CIWQS will have a cross-map to the possible EDF values/codes. If a value is reported in an EDF that does not have a mapped value in CIWQS, the submission is rejected.

CIWQS Dischargers Users Guide

Appendix

Appendix A

Error Checks used to produce the Error Check Report

1. Narrative Check

Review of the Narrative requirements involves checking the *In Compliance?* field on the Narrative Tab and flagging any row that has “No” as an answer.

Tab	*Field*	*Check*	*Requirement*	*Results*
Narrative	In Compliance?	Any row that has “In Compliance?” as “No” is a non-compliance event.	<Narrative Requirement Text>	<Narrative Requirement Comments>

2. Numeric Checks

Tab	*Field*	*Check*	*Requirement*	*Results*
Pre-Calculated	Limit, Bound, Result	If bound is “<” and limit ≥ result, this is a non-compliance event.	<Full text of requirement>	<Results>
Pre-Calculated	Limit, Bound, Result	If bound is “≤” and the limit > result, this is a non-compliance event.	<Full text of requirement>	<Results>
Pre-Calculated	Limit, Bound, Result	If bound is “>” and the limit ≤ result, this is a non-compliance event.	<Full text of requirement>	<Results>
Pre-Calculated	Limit, Bound, Result	If bound is “≥” and the limit < result, this is a non-compliance event.	<Full text of requirement>	<Results>
Raw/EDF (Data Summary)	Limit, Bound, Calculated Result	If bound is “<” and limit ≥ result, this is a non-compliance event.	<Full text of requirement>	<Results>
Raw/EDF (Data Summary)	Limit, Bound, Calculated Result	If bound is “≤” and the limit > result, this is a non-compliance event.	<Full text of requirement>	<Results>
Raw/EDF (Data Summary)	Limit, Bound, Calculated Result	If bound is “>” and the limit ≤ result, this is a non-compliance event.	<Full text of requirement>	<Results>
Raw/EDF	Limit, Bound,	If bound is “≥” and the limit	<Full text of	<Results>

Tab	Field	Check	Requirement	Results
(Data Summary)	Calculated Result	< result, this is a non-compliance event.	requirement>	

Reporting Checks

Tab	Field	Check	Requirement	Results
Narrative	In Compliance?	There must be a value for each row.	Every narrative requirement must be shown to be in compliance, out of compliance, or N/A for this report.	One or more narrative requirements do not have a compliance status.
Narrative	Comments	For each row with “In Compliance?” of “No,” there must be a comment.	Each out of compliance narrative requirements must have a comment describing the action(s) taken/planned to return to compliance.	The following narrative requirement for monitoring location <monitoring location identifier> is out of compliance, but no comments were provided: <narrative requirement text>
Pre-Calculated	Limit	There must be a limit specified for each row.	Each pre-calculated requirement must specify a numeric limit.	The following pre-calculated requirement for monitoring location <monitoring location identifier> does not have a specified limit: <requirement text>
Pre-Calculated	Results	Results must be provided for each row.	Each pre-calculated requirement must have a result.	The following pre-calculated requirement for monitoring location <monitoring location identifier> does not have a specified result: <requirement text>
Pre-Calculated	Comments	For each row where the comparison of the limit and the result (based on the bound) yields a non-compliance	Each non-compliant pre-calculated requirement must have a comment describing the action(s)	The following pre-calculated requirement for monitoring location <monitoring location identifier> is out of

Tab	Field	Check	Requirement	Results
		event, there must be a comment.	taken/planned to return to compliance.	compliance, but no comments were provided: <requirement text>
Raw Data/EDF (Data Summary)	Result	A result must be entered on each line, unless the "non-detect" checkbox is checked.	All samples must specify a numeric result or must be marked as "non-detect."	The sample on line <line number> for monitoring location <monitoring location> does not indicate non-detect and does not contain a numeric result.
Raw Data/EDF (Data Summary)	Non-Detect	Non-Detect can only be used if there is no numeric result.	Samples below the detection level (non-detect checked) must not indicate a numeric result.	The sample on line <line number> for monitoring location <monitoring location> does indicate non-detect and also shows a numeric result.
Raw Data/EDF (Data Summary)	Sample Date	Sample date is required.	A sample date is required for each sample.	The sample on line <line number> for monitoring location <monitoring location> indicates no sample date.
Raw Data/EDF (Data Summary)	Method Detection Limit	For each row marked as Non-Detect, the Method Detection Limit is required.	The method detection limit must be specified for each non-detect sample.	The sample on line <line number> for monitoring location <monitoring location> is marked as non-detect, but does not specify the method detection limit.
EDF	Units	Each row must specify units that are in the units reference table.	Uploaded data must be reported in units accepted by the system.	A sample was reported with units "<invalid units>."
EDF	Units	The units must match the parameter.	Uploaded data must contain units that are compatible with the parameter.	A sample for "<parameter>" was reported in "<units>."
EDF	Parameter	Each row must use a parameter from the reference table. No synonyms were found.	Uploaded data must specify parameters accepted by the system.	A sample was reported with parameter "<parameter>."

Tab	Field	Check	Requirement	Results
EDF	Parameter	Each row must use a parameter from the reference table. The value is found as a synonym.	Uploaded data must specify parameters accepted by the system.	A sample was reported with parameter "<reported parameter>." This is a synonym for "<official parameter>." The same should be reported as "<official parameter>."
Narrative, Pre-Calculated, Raw, EDF	All Fields	If a monitoring location is marked as No Discharge, but there is data in any other section for the monitoring location, this is a non-compliance event.	Monitoring locations without discharge should not have any data reported.	Data was reported for monitoring location <monitoring location>, which has been indicated as having no flow during this reporting period.
Raw/EDF (Data Summary)	Various	If there is insufficient raw data to compute a result, this is a non-compliance event.	Sufficient sample information must be provided for each non-pre-calculated limit.	There was insufficient information provided to evaluate the following limit: <requirement text>.
General	Report Due Date	If the due date is prior to today's date, this is a non-compliance event. Note: until the repot is submitted, the results of this check may not be correct and may indicate a false negative (i.e., no non-compliance event will be discovered).	This report was due on <due date>.	As of <today's date>, this report has not been submitted.

Limit Bases

The system also runs through each numeric (limit) Requirement and attempts to locate the raw data in support of the results. The "limit basis" is used to run the calculation on the raw data. If there is insufficient raw data to make the proper computation, this is shown as a "reporting" non-compliance event.

The limit basis, as indicated in the limitation requirement (Chapter 5), tells the system how to compute the "actual" value from raw data (submitted either via the raw data screen or via EDF). The following limit bases will be used to calculate from raw data:

Limit Basis	*Calculation*
Maximum Daily	The daily discharge (see definition below) is computed.
Average Monthly	The average (mean) of the daily discharge values (see definition below) for a given calendar month (first of the month to the last of the month) is computed. All values used to compute the mean will have the same month and year, but may have different days.
Average Weekly	The average (mean) of the daily discharge values (see definition below) for a given week (Sunday to Saturday) is computed. In a given month, there will be multiple week-periods. If the last week of the month doesn't end of Saturday, the check is done in the following month. For example, September, 2004 ends on a Thursday. The weekly average for the last week of September is actually not computed until the end of the first week in October (which would not be reported until later). Note that is a permit starts mid-week, no values need to be submitted for that first week. A full week is required to have any values due.
Annual Average	The average (mean) of the daily discharge values (see definition below) for a given calendar year (January 1 to December 31) is computed.
(Rolling) 6-Month Median	The system will perform a series of calculations, one for each day in the monitoring period, that looks at the mean of the prior 180 days of data. There will be one "rolling" check per day in the period (e.g., for a monthly report with 31 days, there will actually be 31 separate "rolling" checks).
Instantaneous Maximum	"Instantaneous" is defined as a single sample value. No computation is performed, except for the comparison.
Instantaneous Minimum	"Instantaneous" is defined as a single sample value. No computation is performed, except for the comparison.

Additional Checks

"Daily Discharge" is either:

- The total mass of a pollutant discharged during a calendar day (when the units are of type "mass") or
- The average (mean) measurement of the pollutant over the calendar day (when the units are of any type except "mass)

Calendar day is defined as 12:00am (00:00:00) to 11:59 (23:59:59). Values in a single calendar day will have the same month, day, and year.

Therefore, if the units are of type "mass," all sample measurements for a parameter are summed for a given day to calculate the daily discharge. For all other units, all sample measurements for a parameter are averaged (mean) for a given day to calculate the daily discharge.

All other limit bases will be required to be "pre-calculated" and will require the discharger to perform the "roll-up" calculations before submission.