Introduction
The Industrial General Permit (Order 2014-0057-DWQ), referred to as the IGP for the purposes of this document, regulates storm water discharges associated with industrial activities. Dischargers are required to certify and submit all permit-related compliance documents via the Storm Water Multiple Application and Report Tracking System (SMARTS). Dischargers shall certify and submit these documents which include, but are not limited to, Permit Registration Documents (PRDs) including Notices of Intent (NOIs), No Exposure Certifications (NECs), and Storm Water Pollution Prevention Plans (SWPPPs), as well as Annual Reports, Notices of Termination (NOTs), Level 1 ERA Reports, and Level 2 ERA Technical Reports.

This guide was developed to assist Dischargers in submitting their NOIs, NECs, NOTs, and Annual Reports, as well as, viewing/printing Receipt Letters, monitoring the status of submitted documents, and viewing their application/renewal fee statements through SMARTS. This guide contains general guidance, detailed information on how to access SMARTS, how to complete the required applications, a list of acronyms, frequently asked questions, and a glossary. This guidance document is a “living document” and will be updated as necessary.

For additional questions, contact the SMARTS Help Center at:

1-866-563-3107
stormwater@waterboards.ca.gov

Monday through Friday (excluding State Holidays) 8:00 a.m. - 5:00 p.m.
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1.0 SMARTS Quick Start Guide

1. SMARTS User Registration
   All SMARTS users must Sign Up for an individual SMARTS User Account.

2. Link User Accounts
   The Legally Responsible Person (LRP) can link LRPs, Duly Authorized Representatives (DARs), and Data Entry Persons (DEPs) to assist in managing new and existing Permit Registration Documents (PRDs).

3. Important: A signed hardcopy of the LRP Electronic Authorization (eAuthorization) Form must be mailed to the State Water Board for each Organization’s LRP and DAR certifying and submitting information to the State Water Board in SMARTS (See Section 2.0).

4. Hardcopy submittals to the State Water Board
   a. Fee Statement and checks
   b. Signed Electronic Authorization (eAuthorization) Forms
      Mailed to: Storm Water Section
                  P.O. Box 1977
                  Sacramento, CA 95812-1977

5. SMARTS Checklists
   SMARTS Recertification of an existing Industrial General Permit NOI
   - LRP must Sign Up for a SMARTS account
   - Certify and submit the Industrial NOI information
   - Upload a Storm Water Pollution Prevention Plan (See Section X of the IGP)
   - Upload a separate Site Map (See Section X.E of the IGP)

   SMARTS Registration for a new Industrial General Permit NOI
   - LRP must Sign Up for a SMARTS account
   - Certify and submit the Industrial NOI application
   - Upload a Storm Water Pollution Prevention Plan (See Section X of the IGP)
   - Upload a separate Site Map (See Section X.E of the IGP)
   - Verify that your eAuthorization form has been mailed in for this Organization
   - Mail $1,632 check (or pay online via SMARTS), and the SMARTS fee statement to the State Water Board

   SMARTS Registration for a new No Exposure Certification (NEC)
   - LRP must Sign Up for a SMARTS account
   - Certify and submit the Industrial NEC application (includes checklist)
   - Upload a Site Map (See Section X.E of the IGP)
   - Verify that your eAuthorization form has been mailed in for this Organization
   - Mail $200 check (or pay online via SMARTS), fee statement to the State Water Board

   SMARTS Registration for a new Notice of Non Applicability (NONA)
   - LRP must Sign Up for a SMARTS account
   - Certify and submit Industrial NONA application
   - Verify that your eAuthorization form has been mailed in for this Organization
   - Upload a No Discharge Technical Report certified by a California licensed professional engineer
2.0 SMARTS USER REGISTRATION

User Roles in SMARTS
In order to use SMARTS you must be registered in the database as a Legally Responsible Person (LRP), Duly Authorized Representative (DAR), or a Data Entry Person (DEP). The account roles and responsibilities for each of the User Accounts are shown in Figure 1. For detailed descriptions of the User Accounts, refer to Section C.7 of the Frequently Asked Questions.

![Figure 1 – Signatory Roles and Responsibilities](image)

Structure of Organizations in SMARTS
Organization ID: The numerical identification code given to an Organization when it is created in SMARTS.

Figure 2 shows the basic structure of Organizations in SMARTS to manage applications associated with a User Account. Organizations are specified by their Organization ID and name. When creating a new Organization in SMARTS, the user will be asked to provide the Organization name, address, business type, and Federal Tax ID.

Hints on Organizations:
- Organizations help keep track of the multiple applications managed under a User Account or collection of linked User Accounts.
- Each Organization may be managed by up to three LRPs.
- Each Organization must have eAuthorization Forms submitted by LRPs and DARs certifying and submitting information to the State Water Board for that Organization. The eAuthorization Form will apply to all applications grouped under that Organization.
- It is not required to have a separate Organization established for each WDID. In fact, this practice will complicate your SMARTS User Account with unnecessary Organization IDs. It is advised to only establish multiple Organizations when they create meaningful distinction among multiple WDIDs.

![Figure 2. Basic Structure of Organizations in SMARTS](image)
SMARTS User Registration Steps
If you are not registered in SMARTS and wish to be registered as a LRP, DAR, or DEP for your facility, follow the steps below:

1. Start by going to the SMARTS login screen at: https://smarts.waterboards.ca.gov

![Login Screen]

2. Click on “Sign Up.”

![Sign Up Screen]

3. Select one of the User Account types and select “Continue to Next Step.”

![Select User Type]

   a. If the User Account type selected is LRP, you will be asked whether you are creating a record for a business not registered in SMARTS, or if you are replacing an LRP for an existing
NOTE: If you are replacing a current LRP, you will need a Secret Code Number (SCN) to register in SMARTS. Contact the SMARTS Help Center at stormwater@waterboards.ca.gov or 1-866-563-3107 for assistance.

4. A form corresponding to the user responsibility will appear. You will be asked to provide your User Account details. The User ID along with a Password will be sent to the e-mail address entered in the form. You will need this User ID and Password to log into SMARTS. Please verify that the e-mail address is valid and accurate.

NOTE: All fields with a red asterisk (*) are mandatory.

5. You will be asked to provide your User Account security details. Please choose the security questions, enter the respective answers and complete the form. When you are done, click “Continue to Complete Registration.”
6. Print the Electronic Authorization (eAuthorization) Form, sign with blue ink, and send the hardcopy to the State Water Board. If the eAuthorization Form is not received within 60 days, your account will be deactivated. In order to certify and submit any reports to SMARTS, the eAuthorization Form must be received. LRPs and DARs must have eAuthorization Forms signed by the appropriate LRP or DAR who will be certifying and submitting information to the State Water Board for an account.

7. If you are registering as an LRP, you must print, sign, and send the form to the address below:

**Regular mail:**
State Water Board  
Division of Water Quality  
Attn: SMARTS Registration  
P.O. Box 1977  
Sacramento, CA 95812

**Express Mail:**
State Water Board  
Division of Water Quality  
Attn: SMARTS Registration  
1001 I Street - 15th Floor  
Sacramento, CA 95814

8. The verification that your SMARTS account has been set up correctly is the confirmation e-mail sent from the system with your temporary SMARTS login password.
1.0 LINKING USER ACCOUNTS

SMARTS was built to allow the LRP to link additional users to assist the LRP in managing new and existing Permit Registration Documents (PRDs). LRPs can link any number of Duly Authorized Representatives (DAR) and/or Data Entry Persons (DEP) to their account. The initial LRP can also link up to two back up LRPs per Organization. SMARTS allows an LRP to have multiple Organizations under one User ID therefore allowing additional flexibility when linking Duly Authorized Representatives, or Data Entry Persons to different Organizations.

An LRP with multiple Organizations can link DARs or DEPs to one, some, or all Organizations. Once the DAR and/or DEP are linked, they can begin initiating new PRDs for the LRP.

Since each Organization can have one or more WDIDs associated, SMARTS allows the LRP to link the DARs or DEPs to one, some, or all WDIDs. Once linked, the DARs or DEPs can view and edit PRDs.

DARs have the authorization to certify and submit reports on behalf of the LRP (DEPs do not). DARs can also link DEPs but cannot link other DARs to an Organization or WDID. Follow the steps below for linking user accounts:

1. Log into SMARTS:
   a. Open https://smarts.waterboards.ca.gov/
   b. Enter your User ID & password.
   c. After logging in, select the menu item “Manage Linked Users”

NOTE: DARs must be currently linked to an LRP in order to link DEPs. DARs cannot link
other DARs. DEPs do not have this option.

2. To link new users to an Organization, select "Link New User."

   a. Step 1 - Enter the User ID of the individual you want to link and then click “Go to Step 2.”

   NOTE: The User ID is case sensitive.
   NOTE: If you are a Duly Authorized Representative trying to link other users, you must first be linked to a facility WDID.

   b. Step 2 - Review User Account Details to verify the correct User ID was entered, then click “Go to Step 3.”

   NOTE: There may be duplicate Organizations listed in the drop down (unfortunately, this is due to our previous database structure). Each Organization record may have different WDID number(s) associated.
   NOTE: Only an LRP can assign the LRP Role to a User(s). Duly authorized Representatives can only assign Data Entry Person role.

   c. Step 3 - Select an Application or WDID Number(s) to Link to the User and click “Link Application”.

   NOTE: There may be duplicate Organizations listed in the drop down (unfortunately, this is due to our previous database structure). Each Organization record may have different WDID number(s) associated.
   NOTE: Only an LRP can assign the LRP Role to a User(s). Duly authorized Representatives can only assign Data Entry Person role.
i. SMARTS will add the Application ID/WDID(s) to the table.

NOTE: If you linked the Application or WDID number in error, click “Delink” on the right side of the list to remove the record.

ii. To link all application or WDID numbers at once, click “Link All Applications.”

iii. Once all applicable application(s) are added, click “Go to Step 4.”

<table>
<thead>
<tr>
<th>Application ID</th>
<th>WDID</th>
<th>Operator And Address</th>
<th>Facility And Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>408529</td>
<td>03C360043</td>
<td>Test Owner Company 10011 Street Sacramento, CA 9614</td>
<td>Proposed Elementary School 10011 Beaumont, CA 92223</td>
</tr>
</tbody>
</table>

d. Step 4 - Select Yes or No to link the user to any future applications started for this Organization.

NOTE:
“Yes” = system will automatically link the user to any new Notice of Intent applications started in the future.
“No” = user is only linked to the applications specified in Step 3. The user will not have access to any future applications started.

i. If you have multiple Organization records to link, click “Add Another Organization” and repeat Step 2 through Step 4.

ii. When finished linking the user to existing records, click “Complete Linking User.” The user will now appear in the list of Managed Linked Users.
3. You can modify the following:
   a. Add additional Organization records
   b. Add additional application records
   c. Delink user from individual or all records

4. To add additional Organization records:
   a. Select an Organization Name from the drop down menu.
   b. Select the Role to link the person to the Organization record
   c. Click the “Link Organization” button
   d. If you want to link the person to all Organization records:
      i. Skip Step 1 through Step 3
      ii. Click the “Link All Organizations” button

   e. To add additional application records, locate the applicable Organization record from the list and click on “View/Link Applications”. A section will expand showing applications currently linked to the user.
i. To link a specific application to the user, select the application record from the Application/WIDID drop down box.

ii. To link all Application/WIDID numbers associated with the Organization record, click “Link All Applications”

5. Delinking a user from individual or all records.

a. To delink a user from all Organizations and applications:
   
i. From the Managed Linked Users main menu, click on the Account ID of the user you wish to delink.
   
   ii. Click on the Delink User Account button.
   
   iii. Click OK to remove all records from the User account.

b. To delink a user from specific Organizations:
   
i. Locate the Organization record and click “Delink” on the right.
c. To delink a user from specific Applications:
   i. Locate the Organization record and click on “View/Link Applications.”
   ii. Locate the application record and click “Delink.”

2.0 RECERTIFYING FACILITY WDID

Existing Dischargers must recertify their WDID through SMARTS. The system performs best in Internet Explorer versions 9 or 10. If you do not have Internet Explorer, you may encounter system glitches; call the State Water Board with any that may arise and we can troubleshoot with you. The recertification requires a recertified NOI, an uploaded Storm Water Pollution Prevention Plan (SWPPP), an uploaded Site Map, and an Electronic Authorization Form signed by the LRP and sent by mail.

Note: The designated Legally Responsible Person (LRP) must complete the recertification process (definition: 40CFR122.22, see FAQ section C.7).

1. Start by going to the SMARTS login screen at: https://smarts.waterboards.ca.gov
2. Select the Industrial Permit Recertification “Click here” link.

3. Do you have a SMARTS user ID? (The WDID and SCN are *not* your user ID or password). Please note: user accounts are **non-transferable**. If you have not personally set up a user account, create a new user account at this time by selecting No.
   
   a. If you have already created a SMARTS account, select **YES**. The system will prompt you to login to your account (If you forgot your user ID or password, contact the SMARTS Helpdesk).
   
   b. If you have never created a SMARTS account, select **NO**. Please complete the user registration and log back in with the temporary password to complete the recertification.
4. Once you have logged in, enter your WDID and Secret Code Number (SCN) in the following format. (The first letter of the WDID is a letter I (as in India) and not the number 1.)

Example:

WDID:  I999999
SCN:  XXXX99999

5. Please update the facility information by completing the fields on the NOI. Please be sure to correct and/or complete all of the fields that are followed by a red asterisk.
6. Scroll to the bottom of the page, answer the security question, and click “Certify.” (If you do not see the Certify button, you are not registered as an LRP. Please contact us with any questions.)

7. If everything is complete, you will see a confirmation screen. Print your Electronic Authorization Form and send this Original form to our office with a blue ink, wet signature. (If you have any issues downloading the form, open the file with Adobe Acrobat Reader or save it as a .pdf).

8. To complete the recertification, the Storm Water Pollution Prevention Plan (SWPPP) and Facility Site Map **must** be uploaded. Any SMARTS user linked to the WDID may upload the documents. By clicking “Upload SWPPP,” shown below, you will be directed to the Attachments tab where you can upload your SWPPP and Site Map. By clicking “Upload SWPPP Later” you will need to upload your SWPPP and Site Map at a later time before the deadline. For instructions on uploading the SWPPP and Site Map, see Section 5.

9. To verify that you have completed the recertification processes the recertify acknowledgement screen should display (see step 8 above). Another way is when you are in the Active NOI the top right should show the “Certified Date”, if this is not blank, the certification worked:
3.0 UPLOADING A SWPPP AND FACILITY SITE MAP

To complete your SMARTS registration process, the Storm Water Pollution Prevention Plan (SWPPP) and Facility Site Map must be uploaded. A NONA does not require uploading a SWPPP or Site Map. A NEC requires a Facility Site Map, but does not require a SWPPP. Any SMARTS user linked to the WDID Number may upload the document(s). To upload the SWPPP and Facility Site Map(s) follow the instructions below:

1. To login into SMARTS, open Internet Explorer and visit: https://smarts.waterboards.ca.gov/
2. Enter your User ID and password.
3. Once into SMARTS select: “Industrial General Permit”; then “Active NOIs”; then the NOI for which you plan to upload the SWPPP and Site Map.

4. Select the Attachments tab and click “Upload Attachment.”

5. The Attachment File type must be selected to “Facility Site Map” for your Facility Site Map and “SWPPP” for your SWPPP. Once you have chosen the correct file and File Type, click “Upload File.”

6. To verify that the SWPPP and Site Map have been uploaded under the correct file type, return to the Attachments tab and find your files in the “Attached files” list with the File Types “SWPPP” and “Facility/Site Map,” respectively. Clicking on the Attachment ID will open the file.
NOTE: The SWPPP and Site Map must be attached in separate files in order to be in compliance with the IGP.

4.0 NEW NOTICE OF INTENT (NOI)

New Dischargers registering for NOI coverage under the IGP shall certify and submit Permit Registration Documents (PRDs) via SMARTS at least seven (7) days prior to commencement of industrial activities. The PRDs required for submittal through SMARTS are a certified NOI, an uploaded SWPPP, an uploaded Site Map, an application fee, and an Electronic Authorization Form, signed by the LRP and sent by mail.

1. To Start a New NOI, go to the “Select Program to Access” list and click “Industrial General Permit.” Under the Industrial Permit Menu, select “New Application” and “Statewide Industrial General Permit Notice of Intent.”

2. Select the Organization (Company) record and click “Next.”
3. Enter Contact information (Note: Operator information defaults to the Organization selected. To update the company name or address, go to “Update User Profile” in the main menu.)

4. Enter facility location and contact information

   a. To determine your facility’s Latitude and Longitude coordinates, click the “Lookup Map” link.
b. Enter the address or zoom in on the map and click on the location to determine the latitude and longitude and click “Set Coordinates” to populate the Facility tab in SMARTS.

c. Total Areas of Industrial Activities and Materials Exposed to Precipitation: Includes all areas of industrial activities at the facility and industrial materials exposed to the elements and is mobilized by storm water runoff, snowmelt runoff, and storm water surface runoff and drainage. Industrial materials is defined (but is not limited to): raw materials, recyclable materials, intermediate products, final products, by product, waste products, fuels, materials such as solvents, detergents, and plastic pellets; finished materials such as metallic products; raw materials used in food processing or production; hazardous substances designated under Section 101(14) of Comprehensive Environmental Response, Compensation, and Liability Act (CERLCA); any chemical the facility is required to report pursuant to Section 313 of Title III of Superfund Amendments and Reauthorization Act (SARA); fertilizers; pesticides; and waste products such as ashes, slag, and sludge and that are used, handled, stored, or disposed in relation to a facility’s industrial activity.

d. If a mining Standard Industrial Classification (SIC) code is selected, answer the inactive mine questions.
e. Enter receiving water information in the “Addl. Facility Info” tab.

5. New Discharger Determination for facilities **not directly discharging to an impaired water body**: New Dischargers applying for NOI coverage under this General Permit are required to select the industrial pollutants present at the facility from their watershed. If this describes your facility, skip step 7-8 below.

6. “List of identified pollutants within the impaired watershed”
   a. Select “Yes” for all industrial pollutants that are “Present at the Facility”. (Note: Dischargers are required to monitor for these pollutants in Section XI.B.6.e of the IGP).
   b. Then select “No” under the “New Facility Determination” (see arrow below)

*NOTE: the New Discharger Determination screens below are being updated this month to be more user friendly, if you have any questions about this portion, please email stormwater@waterboards.ca.gov before proceeding with the screens.

7. New Discharger Determination for facilities **that are directly discharging to an impaired water body**: New Dischargers applying for NOI coverage under this General Permit that will be directly discharging to a water body with a 303(d) listed impairment or through an MS4 that directly discharges to an impaired water body are ineligible for coverage unless the Discharger submits data and/or information, prepared by a QISP. See Section VII.B and Appendix 3 of the IGP.

8. “List of identified pollutants within the impaired watershed”
   a. Select “Yes” for all industrial pollutants that are in the impaired receiving water under the “Present at the Facility” column. (Note: Dischargers are required to monitor for these pollutants in Section XI.B.6.e of the IGP).
b. Then select “Yes” under the “New Facility Determination”

9. Enter the billing information (Once the WDID number is assigned, this tab will also show the status and history of annual invoices).

10. Go to the “Attachments Tab” and upload the SWPPP and Site Map and verify that the documents have been uploaded. For instructions on uploading the SWPPP and Site Map, see Section 5.

Direct Discharges: Select “Yes” only for the industrial pollutants related to this water body for industrial pollutants that may be present at the facility.

Select “Yes” if the facility directly discharges to an impaired water body.

You are considered a New Discharger and a QISP is required IF one or more if “No” is selected for A-C as follows:
- A: “No”
- B: “No”
- C: “No”

If the Dischargers is a New Discharger, a QISP demonstration is required, and this box will appear. Select “Yes” upload the document as “Supporting Documentation”. The NOI cannot be completed until this documentation has been uploaded.
11. Certify and submit the NOI:
   
a. Under the Certification tab, perform the completion check and fix any errors.

b. Only the LRP can certify the NOI.

12. Mail check, fee statement, and eAuthorization form (if applicable) to:

   Storm Water Section
   PO Box 1977
   Sacramento, CA 95812-1977
13. To verify that the NOI application was submitted, the “Status” of the application should display “Submitted to the Water Board” Note: any applicable eAuthorization and payment must be mailed in so that the State Water Board can issue a WDID number.

5.0 NO EXPOSURE CERTIFICATION (NEC) FOR NEW AND EXISTING DISCHARGERS

New Dischargers registering for NEC coverage shall electronically certify and submit PRDs via SMARTS by October 1, 2015, or at least seven (7) days prior to commencement of industrial activities, whichever is later. The NEC requires an uploaded Site Map, an application fee, and an Electronic Authorization Form, signed by the LRP and sent by mail.

1. To Start a New NEC, go to the “Select Program to Access” list and click “Industrial General Permit.” Under the Industrial Permit Menu, select “New Application” and “Statewide Industrial General Permit No Exposure Certification.”
2. Select the Organization (Company) record and click “Next.”

<table>
<thead>
<tr>
<th>Select</th>
<th>Organization ID</th>
<th>Organization Name</th>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑️</td>
<td>610378</td>
<td>Ventura Harbor Boatyard Inc</td>
<td>1415 Sailmaker Dr Ventura CA 93001-4301</td>
</tr>
<tr>
<td>☑️</td>
<td>622108</td>
<td>Test12345</td>
<td>q234 asdf CA 1111111111</td>
</tr>
</tbody>
</table>

3. Existing Dischargers click on “Apply for NEC” to fill out the NEC Checklist. New Dischargers should continue to the Facility Information Tab.

4. Enter the required information, including location and contact information. If Total Area of Industrial Activities and Materials Exposed to Storm Water equals zero, the option to file the NEC will appear.
5. Select “Yes” if you are eligible to file an NEC.

6. Complete the NEC checklist. Total Area of Industrial Activities and Materials Exposed to Storm Water must be equal to zero and all statements must be marked as “No Exposure” in order to continue.

7. Enter billing information. Once the NEC ID number is assigned, this tab will also show the status and history of annual invoices.
8. Upload the required documents (Facility Site Map). For instructions on uploading the Site Map, see Section 5.

9. Certify and submit the NEC:
   
a. Only the LRP can certify the NEC.  
   NOTE: For existing Dischargers the NEC is automatically approved upon certification and no Fee is required.

   b. An NEC ID is assigned when the application fee is received.

   c. The NEC must be recertified annually.
10. To verify that the NEC application was submitted, the “Status” of the application should display “Submitted to the Water Board.” Note: any applicable eAuthorization and payment must be mailed in so that the State Water Board can issue an NEC ID number.

6.0 NOTICE OF NON-APPLICABILITY (NONA)

This General Permit allows industrial facilities to submit a Technical Report in the SMARTS system claiming either they have designed their facility to contain storm water so that there is no discharge of storm water to Waters of the United States or their facility is not hydrologically connected to Waters of the United States. The No Discharge Technical Report shall be signed (wet signature and license number) by a California licensed Professional Engineer. Entities who are claiming “No Discharge” through the NONA shall meet the following eligibility requirements in Section XX.C of the IGP.

The NONA is submitted through SMARTS and it is intended to show that the General Permit requirements do not apply to the facility. An eAuthorization form is required in order to submit a NONA. A technical report must be submitted if the facility claims no discharge to Waters of the United States. Follow these steps to submit a NONA:

1. To Start a New NONA, go to the “Select Program to Access” list and click “Industrial General Permit.” Under the Industrial Permit Menu, select “New Application” and “Industrial Notice of Non-Applicability.”

2. Enter all required Operator Information:
3. Enter all required facility contact information and the location. Select the SIC code from the dropdown list.

   a. To determine your facility’s Latitude and Longitude coordinates, click the “Lookup Map” link.

   b. Enter the address or zoom in on the map and click on the location to determine the latitude and longitude and click “Set Coordinates” to populate the “Facility” tab in SMARTS.
4. Enter the reason for filing a NONA in the “Additional Facility Info” tab.
5. Under the Attachments tab, click “Upload Attachment” and select the File Type “No Discharge Technical Report.”

6. NONA Submittal and Certification
   a. Only the LRP can certify the NONA. 
      NOTE: No Fee is required and ID is automatically assigned on submittal.
7. To verify that the NONA application was submitted, the “Status” of the application should display “Submitted to the Water Board.” To verify that the application was submitted, the “Status” of the application should display “Submitted to the Water Board.” Note: any applicable eAuthorization must be mailed in to the State Water Board.

7.0 MONITORING AND ANNUAL REPORT

Monitoring Report (Ad Hoc Report)
Dischargers are required to submit all sampling and analytical results for all individual or Qualified Combined Samples through SMARTS. The Ad Hoc Report is used to submit monitoring results through SMARTS.

1. From the Reports link, select the Reporting Year and click “Search.” Then click on the correct facility from the list.

2. Select the Event Type and click “Start Monitoring Report”:
   a. Qualifying Storm Event
   b. Non-Storm Water Discharge Event
   c. Non-qualifying storm event
3. All tabs are now available to enter data.

4. From the Mon Locs (Monitoring Location) tab, click “Create New Monitoring Location.”

   a. Enter Monitoring Location Information:
      i. Discharge Point Type: Effluent, Influent, Internal, Receiving Water
      ii. TMDL or Ocean Discharge
      iii. Monitoring Location Name (25 Characters)
5. List of Monitoring Locations:
   a. Can change status to Active/Inactive.
   b. Can only delete if no data has been entered.

<table>
<thead>
<tr>
<th>Monitoring Location Name</th>
<th>Discharge Point Type</th>
<th>Description</th>
<th>Latitude</th>
<th>Longitude</th>
<th>Status</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test 11</td>
<td>Effluent Monitoring</td>
<td></td>
<td>32</td>
<td>-121</td>
<td>Active</td>
<td>Delete</td>
</tr>
<tr>
<td>Cienega</td>
<td>Effluent Monitoring</td>
<td></td>
<td></td>
<td></td>
<td>Inactive</td>
<td>Delete</td>
</tr>
<tr>
<td>Pcteau</td>
<td>Effluent Monitoring</td>
<td></td>
<td>37.12345</td>
<td>-124.12346</td>
<td>Active</td>
<td>Delete</td>
</tr>
<tr>
<td>Amarillo</td>
<td>Internal Monitoring</td>
<td>A Beach</td>
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6. Begin entering raw data from the Raw Data tab:
   a. Raw Data Fields
      i. Select Monitoring Location
      ii. Enter Percent of Total Discharge (Area or Flow weighted)
      iii. Enter Sample Date and Time
      iv. Enter Estimated Discharge Start Date
      v. Enter Estimated Discharge Start Time
      vi. Enter Parameter Results
      vii. Select Analytical Method
      viii. Enter Method Detection Limit (MDL)
      ix. Enter Reporting Limit (RL)
      x. Analyzed By
      xi. Delete
7. Raw Data Screen Functions:
   a. Default Parameters automatically added.
   b. Can add additional Parameters:
      i. Current event entry
      ii. All Reporting Periods
8. Parameter Entry Tool - The Parameter Entry Tool (PETl) allows Dischargers with many sampling points to enter their results into a spreadsheet and upload the results to SMARTS instead of the manual data entry in the “Raw Data” tab.

a. Open PET in MS Excel:

![Parameter Entry Tool (PET) Tool](image)
b. Select Data Entry Tab:

c. When finished go to General tab to create a CDF for Upload.

d. Save zip file to computer.

e. During save, system will validate data content.

f. Correct Errors in Excel spreadsheet and re-upload.

g. Discharger to complete Raw Data Entry:
9. Discharger to complete Raw Data Entry:
   a. Cannot delete PET data from “Data Summary tab”.
   b. Must delete PET file and re-upload corrected data.

### Annual Report
The Discharger is required to certify and submit via SMARTS an Annual Report no later than July 15th of each Reporting Year. This Annual Report consists of a compliance checklist, an explanation of any non-compliance of requirements within the reporting year, an identification all revisions (and page numbers) made to the SWPPP within the reporting year, and the date(s) of the Annual Evaluation. See Section XVI of the IGP for more information. The first electronic Annual Report for the IGP is due July 15, 2016. The Annual Report is currently being programmed in SMARTS and when it is available, guidance on completing this report will be added to this help guide.
8.0 FREQUENTLY ASKED QUESTIONS*

*The frequently asked questions are intended solely as guidance. This document is not intended to implement, interpret, or make specific any regulations or to create any new substantive or procedural requirements. This document is not intended, nor can it be relied on, to create any rights enforceable by any party in litigation with the State Water Quality Control Boards or the Regional Water Quality Control Boards. In the case of any conflict with existing statutes, regulations, or orders, the actual statute, regulation or order governs. This guidance may be revised at any time without public notice.

A. General

1. How do I know if I need coverage under the Industrial General Permit (Order 2014-0057-DWQ)?

   A broad range of industrial facilities are required to obtain permit coverage per federal regulations. Facilities that must obtain permit coverage include manufacturing facilities, mining operations, disposal sites, recycling yards, transportation facilities, and other industrial facilities. See Attachment A of the Industrial Storm Water General Permit (IGP) for a complete list of facilities that are required to obtain coverage. Click here to view a list of the Standard Industrial Classification (SIC) codes that may be required to obtain coverage under the IGP. The Regional Water Boards are also authorized to designate facilities that must obtain coverage under the Industrial General Permit (see details in Section XIX.F of the IGP).

2. Who must apply?

   All Dischargers that operate facilities that are described in Attachment A of the IGP or are designated by the Regional Water Board are required to submit either a new IGP application, referred to as a Notice of Intent (NOI), or a No Exposure Certification (NEC) certifying that no industrial pollutants associated with their industry are exposed to storm water. The NOI must be submitted to the State Water Board by August 14, 2015 (or at least seven days prior to commencing the industrial activity operations, whichever is later, for new dischargers), and shall comply with the Permit Registration Document (PRD) requirements in the IGP. The NEC must be submitted by October 1, 2015 (or at least seven days prior to commencement of industrial activities, whichever is later, for new dischargers).

   The Discharger, which is defined in Attachment C of the Industrial General Permit, must submit an NOI for each industrial facility that is required by the federal regulations to obtain a storm water permit. The required industrial facilities are listed in Attachment A of the IGP and are also defined in 40 Code of Federal Regulations Section 122.26(b)(14). The facility operator is typically the owner of the business or operation where the industrial activities requiring a storm water permit occur. The facility operator may responsible for all permit related activities at the facility. Where operations have discontinued and significant materials remain on site (such as closed landfills), the landowner may be responsible for filing an NOI and complying with the IGP. Landowners may also file an NOI for a facility if the landowner, rather than the facility operator, is responsible for compliance with the IGP.

3. Who is not required to submit a Notice of Intent (NOI) or a No Exposure Certification (NEC)?

   Dischargers that operate facilities described below are not required to file for new IGP coverage unless the facilities have been designated by the Regional Water Board:

   a. Facilities that are not described in Attachment A;
b. Facilities that are described in Attachment A but do not have discharges of storm water associated with industrial activity to waters of the United States (see details in Section XX.C. of the IGP); or,

c. Facilities that are already covered by another National Pollutant Discharge Elimination System (NPDES) permit for discharges of storm water associated with industrial activity.

4. How do I file a new NOI or NEC?
File the NOI or NEC through SMARTS. Only a Legally Responsible Person can certify and submit the NOI application or NEC certification.

5. What is required to file a new NOI?

a. A completed NOI application  
b. A site map (See details in Section X.E of the IGP)  
c. A Storm Water Pollution Prevention Plan (See details in Section X of the IGP)  
d. A signed Electronic Authorization Form.

6. What is required to file a new NEC?

a. NEC Application/NEC Checklist  
b. Site Map (See details in Section X.E of the IGP)

What is the IGP application fee?

a. The NOI application fee is $1632  
b. The NEC application fee is $200  
c. Checks should be made payable to: SWRCB

Note: The Current Fee Schedule can be viewed here

8. What are the timelines for IGP applications and renewals?
Facility operators of existing facilities under the 1997 IGP (State Water Board Order 97-03-DWQ) must recertify their NOI in accordance with the new IGP (State Water Board Order 2014-0057-DWQ) on or by August 14, 2015.

Facility operators of new facilities (facilities beginning operations after July 1, 2015) must file an NOI in accordance with these instructions at least seven days prior to the beginning of operations or by August 14, 2015, whichever is later.

Once the completed NOI, site map, and appropriate new IGP fee have been submitted to the State Water Board, the NOI will be processed and the applicant will be issued a Waste Discharge Identification (WDID) Number. Please refer to this number when you contact either the State Water Board or a Regional Water Quality Control Boards (RWQCB).

NEC certifications must be submitted by October 1, 2015 (or for new dischargers, at least seven days prior to commencement of industrial activities or October 1, 2015, whichever is later.)
9. I have coverage under the expiring 1997 IGP (State Water Board Order 97-03-DWQ). How do I re-apply for coverage under the new IGP?
Dischargers with an active WDID Number under the 97-03-DWQ Order must recertify their Notice of Intent through the Storm Water Multiple Application and Report Tracking System (also referred to as the SMARTS database). To recertify the Discharger must have a Secret Code Number generated by the State Water Board.

10. Where do I get the Secret Code Number?
Contact the State Water Board at (866) 563-3107 or stormwater@waterboards.ca.gov to obtain the Secret Code Number if you cannot locate the Secret Code Number previously mailed by the State Water Board.

11. What is the annual compliance fee?
The annual fee is the same as the IGP application fee. The annual fee is paid annually and is on the billing cycle of when the IGP application was processed (the Discharger received a Waste Discharge Identification Number - WDID) and maintains regulatory coverage under the new IGP. The amount of the annual fee is the same as the application fee submitted with the NOI or NEC.

12. How long is my coverage under the new IGP in effect?
Your coverage under the IGP is in effect until you submit a valid Notice of Termination (NOT) through the Storm Water Multiple Application and Report Tracking System or until Order 2014-0057-DWQ expires (without being administratively extended) or is superseded. The Regional Water Quality Control Boards (RWQCB) however, may deny the NOT if the NOT is considered invalid.

13. How can I avoid the most common mistakes made in applying for the new IGP?
Make sure the Legally Responsible Person mails in the original signed Electronic Authorization Form and correct application fee amount.

14. What are the regulations that apply to the new IGP? Where can I get copies?
The new IGP is available from the State Water Board’s website at www.waterboards.ca.gov. The federal Clean Water Act is available here.

15. How do I transfer the WDID number to a new owner or operator?
The WDID number is not transferrable to a new owner or operator. The previous owner or operator must file a Notice of Termination and the new owner or operator must file a new NOI to obtain a new WDID number.

16. The Legally Responsible Person (LRP) is no longer with the company or agency. How does the new LRP gain access to the NOI records?
Contact the State Water Board at (866) 563-3107 or stormwater@waterboards.ca.gov to request a change of the LRP. The new LRP must create a new User ID and enter the Secret Code Number generated by the State Water Board to certify and claim all existing applications.

17. What if I have further questions?
If you have any questions or need assistance completing the NOI or NEC, please call the appropriate Regional Water Quality Control Board or the State Water Board at (866) 563-3107 or stormwater@waterboards.ca.gov.

B. SIC Codes
1. **What is an “auxiliary” function? Do auxiliary facilities need permit coverage?**

   Please read IGP Fact Sheet Page 9-11.

2. **I need to enter by SIC code in SMARTS. What is a SIC code?**

   You can watch the video on SIC codes here: https://www.youtube.com/watch?v=cTM_P2gwJMs

   The SIC Code manual is available online at: https://www.osha.gov/pls/imis/sic_manual.html

   A list of SIC codes that may be regulated under the IGP can be found here: http://www.waterboards.ca.gov/water_issues/programs/stormwater/sicnum.shtml

**C. SMARTS**

1. **What are the SMARTs Deadlines?**

   For the complete PRD requirements, see Section II. Receiving General Permit Coverage in the new IGP order.

   Existing Dischargers with an NOI under the 1997 IGP – recertify NOI by August 14, 2015 with the site map and SWPPP.

   New NOI/New Operation – submit and NOI seven days prior to commencing the industrial activity operations (along with required PRDs) or by August 14, 2015, whichever is later.

   NEC – for existing facilities obtaining NEC coverage – October 1, 2015 (along with required PRDs).

   NEC – for a new facility the meets the NEC criteria - seven days prior to commencing industrial activity operations (along with required PRDs) or by October 1, 2015, whichever is later.

   NONA – upon request by the Regional Water Board or when the Discharger decides to submit a NONA. For a NONA asserting no discharge to a Waters of the United States, the Discharger is required to meet the no discharge criteria in the new IGP on July 1, 2015 and must either obtain coverage under the new IGP or submit a NONA technical report signed by a California licensed professional engineer when requested by the Regional Water Board.

   Annual Report – July 15 of the reporting year (starting July 2016)

   Sampling results – 30 days after receiving the results from the analytical laboratory

2. **To enroll under the new IGP, what do Dischargers need to do to recertify their Notice of Intent (NOI) in SMARTS? What information is needed to recertify an NOI? Is there an opportunity to make changes to the NOI as part of the recertification?**

   a. Recertify existing WDID Numbers/Existing NOI
      i. Things you will need:
      ii. Access to the internet
      iii. SMARTS Legally Responsible Person (LRP) User Account
iv. WDID Number  
v. Secret Code Number (SCN)  
vi. Storm Water Pollution Plan (SWPPP)  
vii. Facility Site Map  

b. New WDID Numbers/new NOI  
i. Permit Registration Documents (PRDs):  
ii. NOI  
iii. SWPPP  
iv. Site Map  
v. Application Fee  
vi. Electronic Authorization Form  
vii. NOTE: PRDs are required to be submitted in SMARTS  

c. Dischargers are allowed to update information during recertification and Dischargers enter the information when they apply for a new WDID/application.  

3. **When will the Annual Report be available in SMARTS?**  
The first electronic Annual Report due in SMARTS for the new IGP is July 15, 2016. The State Water Board will have this Annual Report available before this due date. The Annual Report under the 1997 IGP must be submitted via SMARTS by or on August 14, 2015.  

4. **How do I submit the Annual Report required in the new IGP?**  
The Discharger (LRP, DAR, DEP) will login into SMARTS, go to the reporting option, open the applicable Annual Report and answer the questions (yes, no and explanation text). The Discharger will then certify and submit the Annual Report to the Water Board in SMARTS.  

5. **If you qualify for an NEC as an existing Discharger, do you need a SWPPP by July 1, 2015?**  
Dischargers who file valid NECs in accordance with these instructions are not required to implement Best Available Technology Economically Achievable /Best Conventional Pollutant Control Technology and comply with the SWPPP and monitoring requirements of this General Permit. If you are an existing Discharger, recertify the NOI, then login to SMARTS and switch the NOI to an NEC, certify and ensure that the uploaded site map is correct and uploaded in SMARTS. If the Discharger does not switch the status by August 14, 2015, SMARTS will characterize the site as having an incomplete NOI recertification.  

6. **What is the “industrial area exposed to storm water” field for?**  
This field is to provide data to the fee unit to explore the possibility of developing tiered fees in the future based upon percentage of industrial area/activity exposed to storm water.  

7. **Who can be an LRP?**  
Read Section XXI.K of the IGP order.  

8. **What samples do I have to report in SMARTS?** When are samples required to be entered into SMARTS?  
Dischargers are required to report all samples taken at compliance locations (discharge locations/sampling locations) in SMARTS from storm water discharge events that were collected and analyzed. Samples taken for run-on, and internal “BMP” characterization samples are not required to be entered in SMARTS. SMARTS allows the Discharger to enter other types of samples, if required.
9. Is the SMARTS storm water analytical sampling data average based equal area contributions?
No, the average is not based on equal area contributions. SMARTS calculates an arithmetic average based upon the Qualified Storm Event storm water sampling results entered by the Discharger.

D. SWPPP

1. What information is a Discharger required to include on the Site Map uploaded in SMARTS?
Section X.E of the new IGP describes the require elements:

X.E. Site Map Requirements

The Discharger may provide the required information on multiple site maps. The Discharger shall prepare a site map that includes notes, legends, a north arrow, and other data as appropriate to ensure the map is clear, legible and understandable.

a. The facility boundary, storm water drainage areas within the facility boundary, and portions of any drainage area impacted by discharges from surrounding areas. Include the flow direction of each drainage area, on-facility surface water bodies, areas of soil erosion, and location(s) of nearby water bodies (such as rivers, lakes, wetlands, etc.) or municipal storm drain inlets that may receive the facility's industrial storm water discharges and authorized NSWDs;

b. Locations of storm water collection and conveyance systems, associated discharge locations, and direction of flow. Include any sample locations if different than the identified discharge locations;

c. Locations and descriptions of structural control measures that affect industrial storm water discharges, authorized NSWDs, and/or run-on;

d. Identification of all impervious areas of the facility, including paved areas, buildings, covered storage areas, or other roofed structures;
   Locations where materials are directly exposed to precipitation and the locations where identified significant spills or leaks (Section X.G.1.d) have occurred; and
f. Areas of industrial activity subject to this General Permit. Identify all industrial storage areas and storage tanks, shipping and receiving areas, fueling areas, vehicle and equipment storage/maintenance areas, material handling and processing areas, waste treatment and disposal areas, dust or particulate generating areas, cleaning and material reuse areas, and other areas of industrial activity that may have potential pollutant sources.

2. Do I need a QISP to develop my updated SWPPP?
No. QISP are only required to provide assistance to 1) New Dischargers discharging storm water associated with industrial activity to an impaired water body, 2) Discharges with level 1 ERA status, or 3) Dischargers with Level 2 ERA status.

E. Monitoring

1. What if I want to use a different test method than shown in SMARTS?
You will have to contact the State Water Board storm water unit so we can process the request. General Inquiries: stormwater@waterboards.ca.gov or Telephone Toll Free - 1-866-563-3107 or Fax - (916) 341-5543.
2. How soon are lab results required to be submitted into SMARTS?
   Section XI.B.11: The Discharger shall submit all sampling and analytical results for all
   individual or Qualified Combined Samples via SMARTS within 30 days of obtaining all
   results for each sampling event.

F. Training

1. We have heard that SWRCB will require that Compliance Group Leaders be Trainers
   of Record.
   Yes. Section XVI.B.1: A Compliance Group Leader must complete a State Water Board
   sponsored or approved training program for Compliance Group Leaders. The approved
   program chosen by the State Water Board was the Trainer of Record training. Compliance
   Group Leaders are able to begin groups in SMARTS July 1, 2015.

2. When will the QISP training be done?
   The QISP training is expected to be available the winter of 2015.

G. Annual Report

1. When will monitoring forms for the new IGP be released?
   Since the monitoring data will now be submitted into SMARTS, there are no template forms.
   Monitoring data is now submitted separate from the Annual Report. Visual observation
   records are no longer submitted in the Annual Report. Dischargers shall keep records in a
   manner consistent with the record keeping requirements in Section XXI.J. The analytical
   monitoring screens in SMARTS will be available July 1, 2015.

2. We have facilities that are relocating. Do they have to apply for a new permit?
   IGP coverage is tied to a specific facility location. If a facility moves, a new application is
   required.

H. NEC

1. Will the State Board be developing a NEC checklist?
   Yes, the NEC checklist is available in the SMARTS database.

I. NONA

1. When is the NONA required?
   If a Discharger is eligible for NONA, the facility operator will be either told to submit a NONA
   report by the Regional Water Board or will submit one in SMARTS voluntarily instead of
   obtaining IGP coverage.

2. Where do we send the NONA application and the engineering report? Is it online or
   hard copy? Do we send a copy to the state or this is just at the regional level?
   The NONA application and technical report must be submitted in SMARTS.
### 9.0 LIST OF ACRONYMS

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