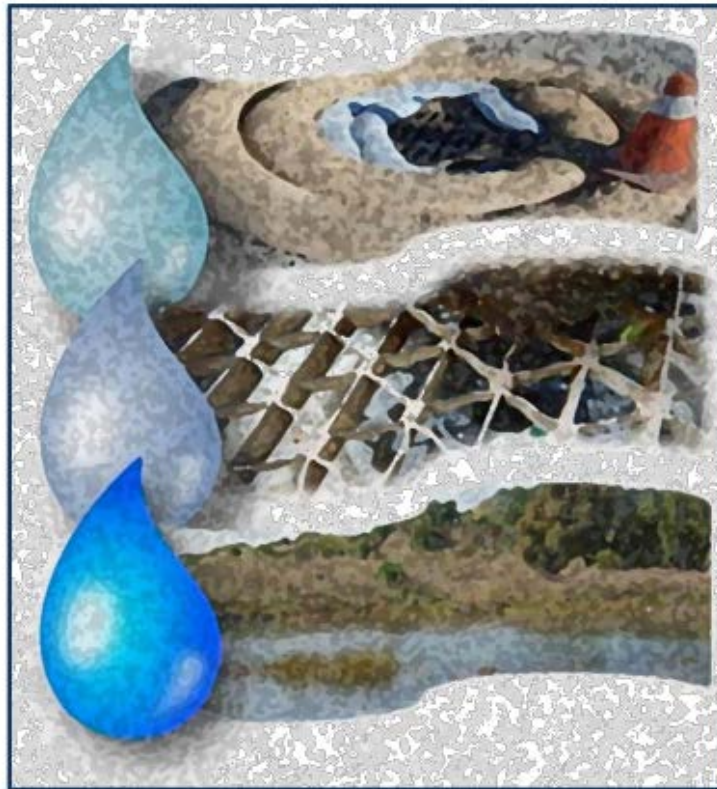


STATEWIDE INDUSTRIAL GENERAL PERMIT

**DISCHARGER'S GUIDE TO THE STORM WATER MULTIPLE APPLICATION AND
REPORT TRACKING SYSTEM (SMARTS) DATABASE**

**LEVEL 2 EXCEEDANCE RESPONSE ACTION (ERA)
ACTION PLAN SUBMITTAL**



Last Revised: December 13, 2017

Statewide Industrial General Permit - Level 2 Exceedance Response Action (ERA) Action Plan:

All Dischargers have Baseline status for all parameters at the beginning of a Discharger's Notice of Intent (NOI) coverage in the Statewide Industrial General Storm Water Permit (IGP). A Discharger moves through the Exceedance Response Action (ERAs) Levels if monitoring results from prior reporting year (also referred to as reporting period). The IGP reporting year is July 1st through June 30th.

SMARTS assigns¹ a regulatory "Level" status annually on July 1st (the end of each reporting year) to each industrial facility based on the required monitoring data submitted into SMARTS. A Level status will be assigned to the facility if sampling results from the previous reporting year indicates that the discharge from an industrial facility exceeds an Annual or Instantaneous Maximum Numeric Action Level (NAL) for an applicable parameter².

Dischargers with a facility moving from Level 1 status to Level 2 status for an NAL exceedance are required to complete ERAs. Level 2 status ERAs require the Discharger to:

- (1) Obtain the assistance of a Qualified Industrial Storm Water Practitioner (QISP)³ to complete the Level 2 ERA process,
- (2) Submit a Level 2 ERA Action Plan by January 1 of the following year Level 2 status is determined, and
- (3) Submit a Level 2 ERA Technical Report by January 1 following the submission of the Level 2 ERA Action Plan.

To be qualified to assist a Discharger with the ERA process, and to prepare an ERA Action Plans and ERA Reports, a QISP must:

- (1) Have a valid QISP certificate number through the sponsored and approved QISP Training Program provided by the California Stormwater Quality Association (CASQA) and administered by the Office of Water Programs at Sacramento State (OWP), or
- (2) Be a licensed engineer by the California Department of Consumer Affairs, Board for Professional Engineers, Land Surveyors, and Geologists, and have completed the QISP self-certificate review administered by OWP.

¹ **NOTE:** Please keep in mind emails from SMARTS are not a formal notice and dischargers should track any ERA exceedances separately from SMARTS. The NAL calculation in SMARTS is provided for convenience to assist the facility and Water Board staff, but it is ultimately the responsibility of the Discharger to demonstrate permit compliance.

² **NOTE:** A Discharger is not in violation of the IGP when its discharge exceeds an NAL; a Discharger however is in violation of the IGP if it fails to complete and submit the required ERAs and affiliated documents.

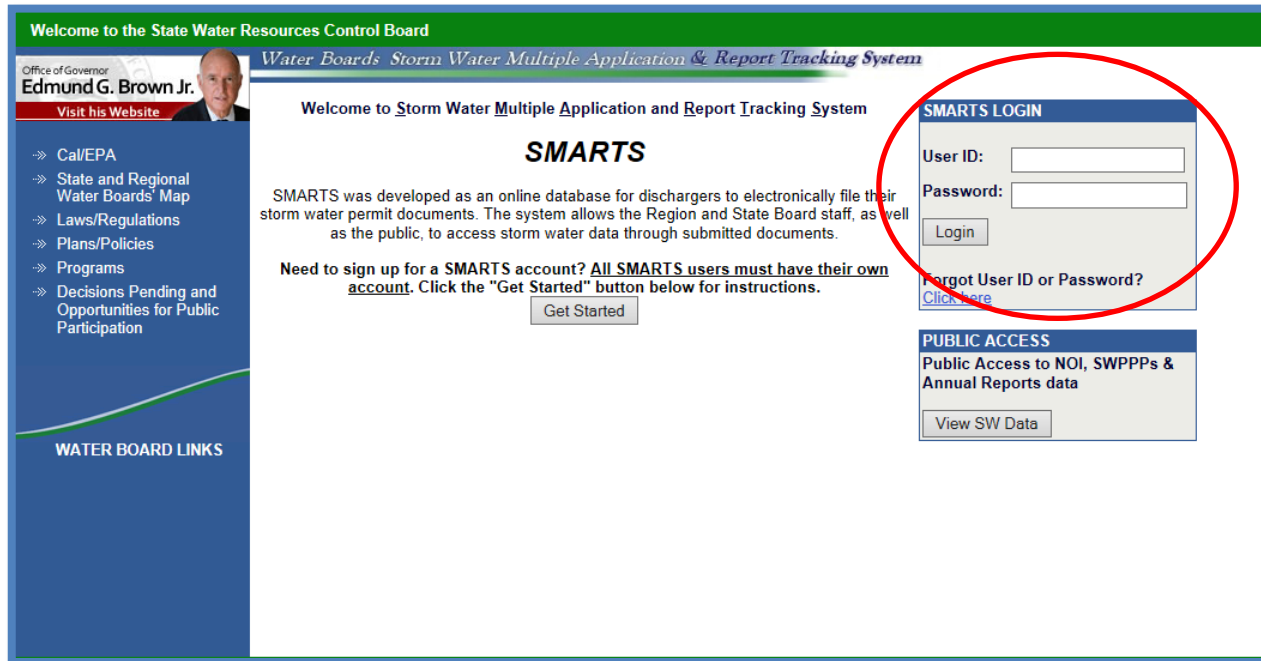
³ **NOTE:** Further information regarding the QISP training program is located on the State Water Board webpage at https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.shtml

Last Revision: 12/13/17

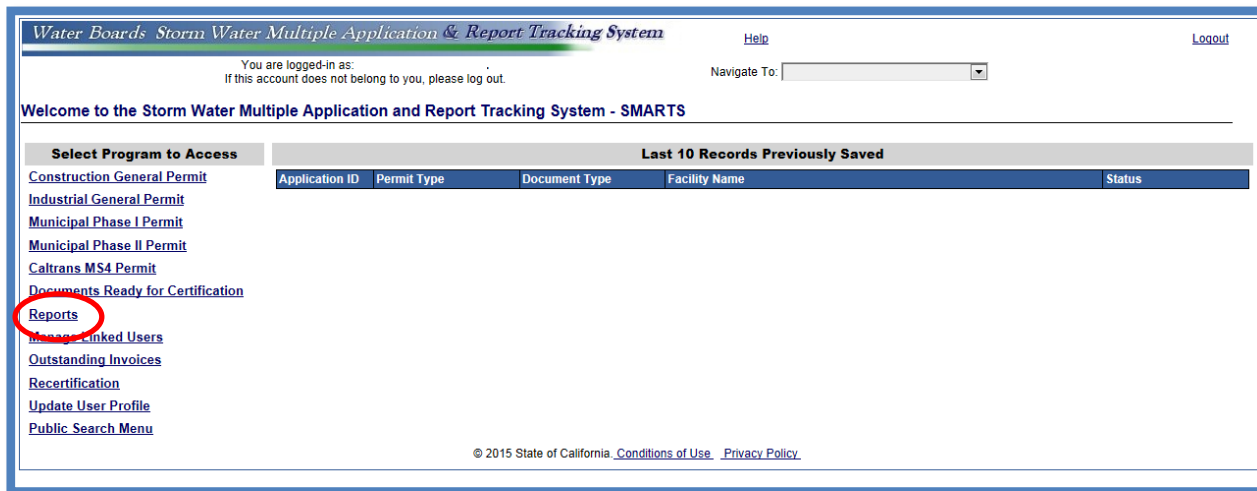
The Level 2 ERA Action Plan must be submitted and certified by the facility’s Legal Responsible Party (LRP) or the Duly Authorized Representative (DAR). The following steps guide an LRP or DAR to submit the Level 2 ERA Action Plan prepared by a QISP:

1. Please log into SMARTS: <https://smarts.waterboards.ca.gov>

Please use SMARTS in Microsoft Edge



2. From the Main menu select “Reports”:



3. Search for an ERA Report using the Reporting Period that corresponds with the Level 2 ERA Action Plan. Any facility that the user is linked to will display once you select "Search":

Reports Search

Enter the search criteria below. Only the Reporting Period is required to be selected when searching. If the search does not return any results, try entering fewer search fields. If only the Reporting Period is selected and no results display, you are not correctly linked to the WDID Number. Please contact the Legally Responsible Person to link you to the WDID number. [Back to Main Menu](#)

Reporting Period: 2017 - 2018

WDID:

Application ID:

Report Status: Select

Region: All

* fields are mandatory

Only the "Reporting Period" is required to be selected when searching. If the search does not return any results, try entering fewer search fields. If only the Reporting Period is selected and no results display, the user is not linked to the Waste Discharge Identification (WDID) number. Please contact the Legally Responsible Person (LRP) associated with the organization to be linked to the WDID number.

4. Select the facility you wish to view by clicking on the "Facility Name" hyperlink:

Reports Search

Enter the search criteria below. Only the Reporting Period is required to be selected when searching. If the search does not return any results, try entering fewer search fields. If only the Reporting Period is selected and no results display, you are not correctly linked to the WDID Number. Please contact the Legally Responsible Person to link you to the WDID number. [Back to Main Menu](#)

Reporting Period: 2017 - 2018

WDID:

Application ID:

Report Status: Select

Region: All

* fields are mandatory

Verify the Reporting Period before you begin working on a report.

Industrial Reports

Facility Name	WDID/App ID	Facility Address	Report Period	Status	No. Ad Hoc	Receipt Date	Remand	Delete
Fried Chicken People	5S091026330 467592	6543 Coop Lane	07/01/2017- 06/30/2018	Future				
Mine	5S341025869 459447	Not yours street	07/01/2017- 06/30/2018	Future				

- The Level 1 and Level 2 reports associated with the facility will display if the facility had NAL exceedances during the prior reporting year. By selecting the "Report ID" you can view/start the Level 2 ERA Action Plan and view the related exceedances:

Storm Water Annual Report Monitoring (SWARM)

Facility Name: _____ **Operator Name:** _____ **WDID:** _____
Report Period: 2017-18

Annual Report:
 Click on the Report ID below to access the Industrial Annual Report.

Report ID	Report Type	Status	Due Date	Date Submitted	Submitted By	Remand
936992	Annual Report	Future	07/15/2018			

Level 1 and 2 ERA Report(s):
 Click on the Report ID below to access the Report.

Report ID	Report Type	Status	Due Date	Date Submitted	Submitted By	Report Action	Remand
961035	Level 2 ERA Action Plan	Future	01/01/2018				

Ad Hoc Report:

Click on the "New Ad Hoc Report" button to start a new Industrial Ad Hoc Report. The electronic Ad Hoc Report screens are used to enter Rain Event and Non-Storm Water Discharge Event sampling/monitoring data collected.
 Ad Hoc Reports associated with this Annual Report are listed below. Click on the Event ID link to access an Ad Hoc Report. The submitted Ad Hoc Reports cannot Remand after report End Date.

Event ID	Event Type	Start Date & Time	End Date & Time	Status	Received Date	Remand	Delete

- An annual average table will be displayed in the "General Info" Tab for review only. This table lists the parameters that have Level 2 status in the far right column. The Level 2 Action Plan being submitted must include the Exceedance Response Actions that will address these listed parameters.

Storm Water Level 2 ERA Action Plan

Facility Name: _____ **Operator Name:** _____ **WDID:** _____
Report Period: 2017-18 **Report Status:** Future

Annual Average Table

Parameter Name	# of Samples	Sum of Results	Annual Average	Table 2 NALs	Level Status
Zinc, Total (Recoverable)	5	1.465 mg/L	0.293 mg/L	0.26 mg/L	Level 2

- The Level 2 ERA Action Plan prepared by a QISP must be uploaded by entering the “Attachments” Tab of this report menu in SMARTS, and selecting the “Upload Attachment” button:

Storm Water Level 2 ERA Action Plan

Facility Name: _____ Operator Name: _____ WDID: _____
 Report Period: 2017-18 Report Status: Future

Please click on the "Upload Attachment" button to upload the corresponding file. Upload Attachment

Attached files: The following are the current documents related to the SWARM Report. Click on the Attachment ID to view them.

Attachment ID	File Type	File Title	Date Attached	File Description	Part No	Delete

The following is an example of a completed “SMARTS File Upload” pop-up window⁴:

Water Boards Storm Water Multiple Application & Report Tracking System 2

SMARTS File Upload

WDID: _____ Owner: _____

Please provide the following details to upload the corresponding files.

Attachment File Type *	Attachment Title *	File Description	Parts *	Document Date	File Name
Level 2 ERA Action Plan	Level 2 ERA Action Plan	Action plan for Level 2 parameters	Part 1 of 1	<input type="text"/>	<input type="text"/>
[SELECT]			Part 1 of 1	<input type="text"/>	<input type="text"/>

- File size should be less than 75MB. Those greater than 75MB will not be uploaded. MS Office, PDF, and Picture files are accepted. (PDF is recommended)
 - Fields marked with * are mandatory fields.
 - Please be advised that preliminary tests of the upload function suggest that large files could take a long time to upload. Our estimated upload times for a FAST

File Size	Estimated Time
5 MB	3 - 5 min.
25 MB	15 - 20 min.
75 MB (max size)	25 - 30 min.

Attached files: The following are the current documents related to the NOI. Click on the link to view them.

⁴ **NOTE:** For the Level 2 ERA Action Plan please use the file type “Level 2 ERA Action Plan”. For Storm Water Pollution Prevention Plan (SWPPP) revisions please use the file type “SWPPP”. For all other documents, use the file type “Supporting Documentation”.

The user may select the “Attachments” Tab to refresh the screen and verify that the attachment properly uploaded⁵. Once the upload verification is completed, select “Next”.

Storm Water Level 2 ERA Action Plan

Facility Name: _____ Operator Name: _____ WDID: _____
 Report Period: 2017-18 Report Status: _____ Future

General Info **Attachments** QISP Certify Status History Back to Report Main

Please click on the “Upload Attachment” button to upload the corresponding files. [Upload Attachment](#)

Attached files: The following are the current documents related to the SWARM Report. Click on the Attachment ID to view them.

Attachment ID	File Type	File Title	Date Attached	File Description	Part No	Delete
2053024	Level 2 ERA Action Plan	Level 2 ERA Action Plan	Nov 8, 2017	Action plan for Level 2 parameters	1/1	Delete

Back **Next**

- Information for the QISP that prepared the Level 2 ERA Action Plan must be entered in the “QISP” Tab. The “QISP” Tab requires the use of the QISP lookup tool. Select the “Lookup QISP” button to open the search menu:

General Info Attachments **QISP** Certify Status History Back to Report Main

Qualified Industrial Storm Water Practitioner (QISP)

First Name: *

Last Name: *

QISP Certification No.: *

Lookup QISP

A user can search using the criteria in the look-up tool and select the QISP on the right. It is best to search using only one criteria. (e.g. Last name only)

QISP Lookup Screen

First Name:

Last Name:

Zip Code:

CBPELSG License No.:

QSD Certificate No.:

Search

First Name	Last Name	Address	CBPELSG License No.	QISP Certificate No.	Select
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⁵ **NOTE:** If an incorrect attachment is uploaded, an attachment can be deleted by selecting “Delete” on the right.

9. Once the QISP has been identified through the search function, select the “Next” button:

General Info	Attachments	QISP	Certify	Status History	Back to Report Main
Qualified Industrial Storm Water Practitioner (QISP)					
First Name:	QISP	*			
Last Name:	Industrial	*	Lookup QISP		
QISP Certification No.:	F09876	*			
Back Next					

10. The “Certify” Tab provides a completion check of the Level 2 ERA Action Plan in progress:

Storm Water Level 2 ERA Action Plan					
Facility Name:	Operator Name:	WDID:			
Report Period: 2017-18	Report Status: Future				
General Info	Attachments	QISP	Certify	Status History	Back to Report Main
Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:					
Perform Completion Check					

The “Perform Completion Check” function will provide the user with a notification of any errors that must be corrected prior to submission of the Level 2 ERA Action Plan (e.g. correct attachments uploaded). Any user can perform this check. If a Data Entry Person (DEP) performs the check and the Level 2 ERA Action Plan is complete, SMARTS will only allow the DEP to notify the LRP or DAR (via a SMARTS generated email) that the Level 2 ERA Action Plan must be certified and submitted. A DEP completing this check will see this:

Storm Water Level 2 ERA Action Plan					
Facility Name:	Operator Name:	WDID:			
Report Period: 2017-18	Report Status: Future				
General Info	Attachments	QISP	Certify	Status History	Back to Report Main
The Ad Hoc Application appears to be complete. A Data Entry Person cannot certify the application. Please contact the Legally Responsible Person, Approved Signatory, or Duly Authorized Representative to certify and submit the application.					
Submit to LRP/AS					
On clicking the Send Email to LRP/AS button, the status of the document is updated as Not Submitted - certification required. An email is sent to the LRP/AS informing them that the data entry is complete.					

Once the DEP selects “Submit to LRP/DAR”, the screen will display a message “Email successfully sent to LRP/AS” and the status “Not Submitted – certification required”.

Storm Water Level 2 ERA Action Plan

Facility Name: Operator Name: WDID:

Report Period: 2017-18 Report Status: **Not Submitted - certification required**

[General Info](#) [Attachments](#) [QISP](#) [Certify](#) [Status History](#) [Back to Report Main](#)

Email successfully sent to LRP/AS!

Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:

11. The Level 2 ERA Action Plan must be certified and submitted⁶ by the LRP or DAR. The LRP or DAR must identify the Level 2 ERA Action Plan in SMARTS (same steps as outlined by steps 1-5 of this guide) and select the Level 2 ERA Action Plan that requires certification:⁷

Level 1 and 2 ERA Report(s):

Click on the Report ID below to access the Report.

Report ID	Report Type	Status	Due Date
961035	Level 2 ERA Action Plan	Not Submitted - certification required	01/01/2018

The LRP or DAR must review the prepared Level 2 ERA Action Plan for information accuracy, prior to continuing to the “Certify” Tab to perform the completion check:

Storm Water Level 2 ERA Action Plan

Facility Name: Mine Operator Name: Test WDID: 5S34I025869

Report Period: 2017-18 Report Status: Not Submitted - certification required

[General Info](#) [Attachments](#) [QISP](#) [Certify](#) [Status History](#) [Back to Report Main](#)

Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:

⁶ **NOTE:** The LRP/DAR must have a valid eAuthorization form on file to be able to certify

⁷ **NOTE:** If the Data Entry Person (DEP) has properly sent the ERA Report for certification to the LRP/DAR then they can also view reports ready for certification in the “Documents Ready for Certification” SMARTS menu option.

12. The LRP or DAR certifies and submits the Level 2 ERA Action Plan by selecting the check box, entering their password, answering a security question, and selecting the "Submit/Certify" button:

Storm Water Level 2 ERA Action Plan

Facility Name: Mine	Operator Name: Test	WDID: 5S34I025869
Report Period: 2017-18	Report Status: Not Submitted - certification required	

General Info Attachments QISP **Certify** Status History Back to Report Main

Completion/Error Check Completed: Report appears to be complete!

Select Certification & Submission check list

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gathered and evaluated 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 fine and imprisonment for knowing violations.

Certifier Details

Certifier Name: _____ Date Report Received: 11/03/2017

Certifier Title: Test

Please answer your security question and password before certifying the document.

What was your High School Mascot? _____ *

Please enter your password _____ *

On Clicking the Certify Later button, the status of the document is updated to Not Submitted - certification required. You can certify the report by going to Documents Ready for certification in the Main Menu.

13. A confirmation screen will then confirm submission of the Level 2 ERA Action Plan Report in SMARTS:

Storm Water Level 2 ERA Action Plan

Facility Name: Mine	Operator Name: Test	WDID: 5S34I025869
Report Period: 2017-18	Report Status: Submitted	

General Info Attachments QISP **Certify** Status History Back to Report Main

Your electronic event Report has been successfully received by the State Water Resources Control Board's database and is hereby certified. Your confirmation information for this certification is as follows:

WDID	5S34I025869
Report Period	2017-18
Certifier Name	
Date Certified	11/03/2017
Certification ID	900413

All records must be retained for 5 years from the date of the report or monitoring activity.