Industrial Storm Water General Permit Annual Report:

Dischargers are required to certify and submit an Annual Report **no later than July 15 following each reporting year** using the standardized format via the Stormwater Multiple Application and Report Tracking System (SMARTS). The Annual Report is a list of questions for the discharger to complete, which demonstrates that they comply with and address all applicable requirements of the Industrial Storm Water General Permit (IGP). The Annual Report requires an explanation for any non-compliance of requirements within the reporting year and certification that the *Annual Comprehensive Facility Compliance Evaluation (Annual Evaluation)* was completed. The Annual Report can be entered by any SMARTS user that is linked to the facility but can only be certified and submitted by the Legally Responsible Person (LRP) or Duly Authorized Representative (DAR) with a valid eAuthorization form on file.

Commonly-used Acronyms:

The following are acronyms used in the Statewide Industrial Storm Water General Permit and the SMARTS database:

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>COI</td>
<td>Change of Information</td>
</tr>
<tr>
<td>DAR</td>
<td>Duly Authorized Representative</td>
</tr>
<tr>
<td>DEP</td>
<td>Data Entry Person</td>
</tr>
<tr>
<td>ERA</td>
<td>Exceedance Response Action</td>
</tr>
<tr>
<td>IGP</td>
<td>Industrial Storm Water General Permit</td>
</tr>
<tr>
<td>LRP</td>
<td>Legally Responsible Person</td>
</tr>
<tr>
<td>NAL</td>
<td>Numeric Action Level</td>
</tr>
<tr>
<td>NOI</td>
<td>Notice of Intent (Application for regulatory coverage under the Industrial Storm Water General Permit)</td>
</tr>
<tr>
<td>SMARTS</td>
<td>Stormwater Multiple Application and Report Tracking System</td>
</tr>
<tr>
<td>TMDL</td>
<td>Total Maximum Daily Load</td>
</tr>
<tr>
<td>TNAL</td>
<td>Total Maximum Daily Load Numeric Action Level</td>
</tr>
</tbody>
</table>
1. Please log into SMARTS at the following link using Microsoft Edge (https://smarts.waterboards.ca.gov):

![SMARTS login page]

2. From the Main menu select the “Reports” hyperlink:

![Reports menu]
3. Search for reports using the appropriate reporting period. Any facility that is linked to your account will display once you select “Search”:

Only the “Reporting Period” field 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, your account is not correctly linked to the Waste Discharge Identification (WDID) number. Please contact the Legally Responsible Person\(^1\) to link you to the Waste Discharge Identification number.

4. Select the facility you wish to start working on by clicking on the “Facility Name” hyperlink:

\(^1\) Also referred to as LRP. See Commonly-used Acronyms listed on Page 1 of this Guide.
5. Once you have selected the facility, you will be able to select the “Report ID” hyperlink:

![Image of Water Boards Storm Water Multiple Application & Report Tracking System]

6. The report screen will display facility information for review only. Start the Annual Report by selecting the “Questions” Tab:

![Image of Storm Water Annual Report Monitoring (SWARM)]

7. The “Questions” Tab is a series of questions, with the sections displayed by hyperlinks:
a. If the facility has any parameters with Level 2 Status\(^2\), there are 2 additional questions to answer, which are found in the third section of questions:

b. If the facility is within the following Regional Water Board jurisdictions: San Francisco Bay Region (Region 2), Los Angeles Region (Region 4), Santa Ana Region (Region 8), and San Diego Region (Region 9), you will need to answer the additional Total Maximum Daily Load (TMDL) Questions:

c. Click the “Save & Next” button at the bottom of each section of questions to save the answers prior to proceeding to the next section in the series of questions:

\(^2\) Level 2 Status per Section XII.D of the Industrial Storm Water General Permit.
8. The Annual Report is composed of a series of questions that are to be answered with “Yes” or “No” responses. The next steps display each question and provide reference to the applicable section of the Industrial Storm Water General Permit sections. Selecting the blue hyperlink in the Annual Report question in SMARTS will display the referenced Industrial Storm Water General Permit section.

a. Question 1

1. Has the Discharger conducted monthly visual observations (including authorized and unauthorized Non-Storm Water Discharges and Best Management Practices) in accordance with Section XI.A.1?
   
   If "No", explain in the text box below.

   If each monthly observation was not completed, an explanation is required. Records of these observations are not required to be uploaded but are required to be maintained on site in the Storm Water Pollution Prevention Plan (SWPPP) records for a 5-year period.

b. Question 2

2. Has the Discharger conducted sampling event visual observations at each discharge location where a sample was obtained in accordance with Section XI.A.2?
   
   If "No", explain in the text box below.

   If observations were not completed for each sampling event, an explanation is required. Records of these observations are not required to be uploaded but are required to be maintained on site in the Storm Water Pollution Prevention Plan records for a 5-year period.

c. Question 3

3. Did you sample the required number of Qualifying Storm Events during the reporting year for all discharge locations, in accordance with Section XI.B.7?

   If "No" to, explain in the text box below.

   Industrial storm water sampling results are required to be entered as Ad Hoc Reports, which are required to be certified and submitted in SMARTS within 30
days of receiving the Lab analysis report. Lab analysis reports are required to be uploaded to the corresponding Ad Hoc report, not the Annual Report. If sampling was not completed for the reporting year, an explanation is required.

d. Question 4

![Image of question 4]

Enter a numeric value for how many discharge locations are at the facility.

e. Question 5

![Image of question 5]

Dischargers are required to identify, when practicable, alternate discharge locations if: (1) the facility’s industrial drainage areas are affected by storm water run-on from surrounding areas that cannot be controlled, or (2) discharge locations are difficult to observe or sample (e.g. submerged discharge outlets, dangerous discharge location accessibility). If you answered “Yes” to this question, revisions to the Monitoring Implementation Plan (part of the Storm Water Pollution Prevention Plan) will need to be uploaded in the Attachments portion of the Annual Report.

f. Question 6

![Image of question 6]

For each drainage area with multiple discharge locations (e.g. roofs with multiple downspouts, loading/unloading areas with multiple storm drain inlets), the Discharger may reduce the number of discharge locations to be sampled if the conditions in Section XI.C.4 in the Industrial Storm Water General Permit are met. If you answered “Yes” to this question, revisions to the Monitoring Implementation Plan (part of the Storm Water Pollution Prevention Plan) will need to be uploaded in the Attachments portion of this report.

NOTE: See the Ad Hoc Report Help Guide for more information on reporting and entering sample analysis.
(http://www.swrcb.ca.gov/water_issues/programs/stormwater/docs/dischargers_guide_adhocreport.pdf)
g. Question 6.1

Has the Discharger reduced the frequency of sampling at the facility area in accordance with the Sample Frequency Reduction in Section XI.C.7?

No * 

The Discharger is eligible to reduce the number of Qualifying Storm Events sampled each reporting year if the conditions in Section XI.C.7 in the Industrial Storm Water General Permit are met. If you answered “Yes” to this question, revise the Storm Water Pollution Prevention Plan according and upload it in the Attachments via a Change of Information form.

h. Question 7

Permitted facilities located within an impaired watershed must assess for potential pollutants that may be present in the facility’s industrial storm water discharge. Using the table below, populated based on the facility’s location, indicate the presence of the potential pollutant at the facility.

<table>
<thead>
<tr>
<th>Parameter</th>
<th>Pollutant</th>
<th>Present at Facility?</th>
</tr>
</thead>
<tbody>
<tr>
<td>E. Coli and Enterococcus</td>
<td>Bacteria</td>
<td>Yes</td>
</tr>
<tr>
<td>E. Coli and Enterococcus</td>
<td>Fecal Coliform</td>
<td>No</td>
</tr>
</tbody>
</table>

The Discharger must refer to Appendix 3 of the Industrial Storm Water General Permit to identify Clean Water Act section 303(d) listed water body impairments within the facility’s 10-digit Hydrologic Unit Code (HUC-10) watershed. Dischargers who have obtained Notice of Intent (NOI) coverage that have 303(d) listed impaired water bodies in the corresponding HUC-10 watershed of the facility must sample for any industrial pollutants identified that have the potential to discharge.

Dischargers are also required to identify pollutants related to the Clean Water Act section 303(d) listed impairments in the HUC-10 watershed in the SWPPP’s pollutant source assessment. The Storm Water Pollution Prevention Plan’s pollutant source assessment of the Industrial Storm Water General Permit, Dischargers must identify the industrial pollutants related to the receiving waters with Clean Water Act section 303(d) listed impairments identified in Appendix 3 that may be causing or contributing to an exceedance of a water quality standard in the receiving waters (as provided in Section X.G.2.a.ix. of the Industrial Storm Water General Permit). The Industrial Storm Water General Permit requires a Discharger to monitor additional parameters if the discharge(s) from its facility

4 NOTE: See the Change of Information (COI) Guide for more information on completing the form:
contributes pollutants to receiving waters that are listed as 303(d) listed for those pollutants. See Question 8 for follow up to responses entered.

i. Question 8

Dischargers should include a discussion in their Storm Water Pollution Prevention Plan regarding the potential pollutant sources identified in their HUC-10 watershed and determine if the potential pollutant sources are applicable to their facility. If the answer is “Yes,” the Discharger is stating the Storm Water Pollution Prevention Plan addresses all pollutants from the table in Question 7. If answer is “No,” the Discharger must revise the Monitoring Implementation Plan section of the Storm Water Pollution Prevention Plan and update it by the date provided by the Discharger. Once completed, the Discharger is required to upload the revisions in the Attachments via the Change of Information form.

j. Question 9

If samples were not collected properly, an explanation is required.

k. Question 10

For contained storm water (from ponds or capture systems), samples are only collected when there is a discharge of the contained storm water. If you do not have any contained storm water systems, answer “No.” If the answer is “Yes,” provide when the discharges occurred.

NOTE: See the Change of Information (COI) Help Guide for more information on completing the form. (http://www.swrcb.ca.gov/water_issues/programs/stormwater/docs/coi_guide.pdf)
I. Question 11

Please review Section XV. of the Industrial Storm Water General Permit for requirements of the Annual Comprehensive Facility Compliance Evaluation (Annual Evaluation). If you completed this evaluation, answer “Yes” and provide the date when it was completed. If it was not completed, provide an explanation.

m. Question 12

Records are not required to be uploaded but are required to be maintained on site in the Storm Water Pollution Prevention Plan for a 5-year period. If they are not being maintained, provide an explanation.

Level 2 Status Questions

Questions 13 and 14 are specific to, and only appear for, facilities that have parameters with Level 2 status. Please review Section XII.D.3.c. of the Industrial Storm Water General Permit for requirements on annually updating the Level 2 Exceedance Response Action Technical Report.

n. Question 13

If additional Numeric Action Level exceedances occurred within this reporting year for existing Level 2 parameters, answer “Yes.” If not, answer “No.”

---

6 Also referred to as the Level 2 ERA Technical Report.
7 Also referred to as NALs in the Industrial Storm Water General Permit and the SMARTS database.
o. Question 14

Answer “Yes” if the Level 2 Exceedance Response Action Technical Report was updated due to additional exceedances of the existing Level 2 parameters or for other requirements stated in Section XII.D.3.c. of the Industrial Storm Water General Permit. Answer “No” if the Level 2 Exceedance Response Action Technical Report was not updated. Provide an explanation.

Attachment F - Effluent Limitation Guidelines

p. Subchapter N Effluent Limitation Guidelines – Annual Report Requirements

The red text displayed after Question 128 “If your facility is subject to Effluent Limitation Guidelines in Attachment F of the Industrial General Permit, include your specific reporting requirements as an attachment to the Annual Report (attach as file type: Supporting Documentation).” is a note for Dischargers subject to Section XI.D.1.b of the Industrial Storm Water General Permit. Dischargers with applicable Effluent Limitation Guidelines from 40 Code of Federal Regulations parts 4199 and 44310 are required to submit volume and mass estimate calculations (completed by a California Licensed Professional Engineer) with their Annual Report. This would be submitted as “Supporting Documentation” in the “Attachments” Tab of the Annual Report.

Attachment E – Total Maximum Daily Loads (TMDLs)

q. Questions: TMDLs

“Questions: TMDLs” are applicable to facilities that are located in Regions 2, 4, 8, and 911. Dischargers are required to identify pollutants related to the receiving waters with approved Total Maximum Daily Loads that may be causing or contributing to an exceedance of a water quality standard in the receiving waters as specified by Section X.G.2.a.ix.

---

8 Or after Question 14 if you are answering questions regarding Level 2 parameters.
9 Petroleum refining point source category
10 Paving and roofing materials using tar and asphalt point source category
11 For facilities located in Regions 1, 3, 5, 6, and 7, this question is not applicable and they will not see this question.
Please determine if your facility directly discharges to or discharges through a Municipal Separate Storm Sewer System (MS4) to a Total Maximum Daily Load associated water body/watershed using Attachment E of the Industrial Storm Water General Permit prior to answering this question. You can use the Industrial General Permit Mapping Tool to assist in determining if your facility discharges to Total Maximum Daily Load associated water body/watershed:

If your facility storm water does not flow into a Total Maximum Daily Load associated water body or watershed listed in Attachment E of the Industrial Storm Water General Permit, answer “No” and click on “Save & Next” to go to the next section.

If your facility storm water flows into one or more Total Maximum Daily Load water bodies or watersheds listed in Attachment E of the Industrial Storm Water General Permit, answer “Yes” and applicable water bodies and watersheds will pop up based on the Region you are located in:
Select the applicable water bodies/watersheds that your facility’s storm water directly discharges to. Once you have selected those, click on “Save TMDL watershed(s).” The pollutant parameters pertaining to the selected water bodies/watersheds will appear:

<table>
<thead>
<tr>
<th>TMDL</th>
<th>Impaired Waterbody/Watershed</th>
<th>Pollutant</th>
<th>Present in Industrial Facility Storm Water Discharge?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Los Angeles and Long Beach Harbor Waters TMDL</td>
<td>Greater Los Angeles, Long Beach Harbor Waters</td>
<td>A.L.D.T.</td>
<td>Select Yes/No according to facility's assessment.</td>
</tr>
<tr>
<td>Low and Long Beach Harbor Waters TMDL</td>
<td>Greater Los Angeles, Long Beach Harbor Waters</td>
<td>Copper, Total</td>
<td>Select Yes/No according to facility's assessment.</td>
</tr>
<tr>
<td>Los Angeles and Long Beach Harbor Waters TMDL</td>
<td>Greater Los Angeles, Long Beach Harbor Waters</td>
<td>Lead, Total</td>
<td>Select Yes/No according to facility's assessment.</td>
</tr>
<tr>
<td>Los Angeles and Long Beach Harbor Waters TMDL</td>
<td>Greater Los Angeles, Long Beach Harbor Waters</td>
<td>Phosphate (PO₄), Sum</td>
<td>Select Yes/No according to facility's assessment.</td>
</tr>
<tr>
<td>Los Angeles and Long Beach Harbor Waters TMDL</td>
<td>Greater Los Angeles, Long Beach Harbor Waters</td>
<td>Zinc, Total</td>
<td>Select Yes/No according to facility's assessment.</td>
</tr>
</tbody>
</table>

Select “Yes” for pollutant parameters that are present in the facility’s industrial storm water discharge as identified in the facility’s pollutant source assessment. If the pollutant parameters are not present in the facility’s industrial storm water discharge, then select “No”\(^\text{12}\). Select “Save & Next” when you have finished selecting the parameters to continue to the “Attachments” tab.

9. Once all questions are completed, the Discharger should upload any documentation such as Storm Water Pollution Prevention Plan revisions or other explanatory documentation to the Annual Report. This can be done by clicking on the “Upload Attachment” button. If no attachments are necessary, you may move to the “Certify” Tab by selecting “Next”:

If you are adding attachments to this Annual Report, make sure to fill out the all required fields\(^\text{13}\).

\(^{12}\) **NOTE:** If you are not discharging any of the listed pollutants to the associated TMDL watershed or waterbody, TMDL implementation requirements and monitoring do not apply to your facility.

\(^{13}\) **NOTE:** For SWPPP revisions please use the file type “SWPPP” for all other Annual Report documents (if any) use the file type “Supporting Documentation”.
Click on the “Upload Files” button to refresh the screen and see that the attachment properly uploaded. Once you have checked that it uploaded correctly, select “Next”:

10. The “Certify” Tab provides a completion check of the Annual Report in progress:

The “Perform Completion Check” function will provide you with a notification of any errors that must be corrected prior to submission of the Annual Report (e.g. All Questions answered). Any user can perform this check. If a Data Entry Person performs the check and the Annual Report is complete, SMARTS only allows the Data Entry Person to notify the Legally Responsible Person or Duly Authorized

---

**NOTE:** If an incorrect attachment was uploaded you can delete the attachment by selecting “delete” on the right.

Also referred to as DEP in the Industrial Storm Water General Permit and the SMARTS database.
Representative\textsuperscript{16} (via a generated SMARTS email) that the Annual Report must be certified and submitted. A Data Entry Person completing this check will see this:

Once the Data Entry Person selects “Send Email to LRP/DAR”, an email will be sent and the status is “Not Submitted – certification required” will be shown as follows:

11. The Legally Responsible Person or Duly Authorized Representative must certify and submit the Annual Report. The Legally Responsible Person or Duly Authorized Representative must identify the Annual Report in SMARTS (same steps as outlined by steps 1 - 4 of this guide) and select the Annual Report that requires certification\textsuperscript{17}:

The Legally Responsible Person or Duly Authorized Representative must review the prepared Annual Report for information accuracy, prior to continuing to the “Certify” Tab to perform the completion check:

\textsuperscript{16} Also referred to as LRP or DAR in the Industrial Storm Water General Permit and the SMARTS database.

\textsuperscript{17} NOTE: If the Data Entry Person (DEP) has properly sent the Annual Report for certification to the Legally Responsible Person (LRP) or Duly Authorized Representative (DAR), then they can also view reports ready for certification in the “Documents Ready for Certification” SMARTS menu option.
12. The Legally Responsible Person or Duly Authorized Representative certifies and submits the Annual Report by selecting the check box, entering their password, answering a security question, then selecting the “Certify Annual Report” button:

A confirmation screen will then confirm submission of the Annual Report in SMARTS and you will able to print a copy for your records: