STATEWIDE INDUSTRIAL GENERAL PERMIT

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

LEVEL 1 EXCEEDANCE RESPONSE ACTION (ERA) REPORT SUBMITTAL

Last Revised: June 1, 2020
Storm Water Industrial General Permit - Level 1 Exceedance Response Action (ERA) Report:

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

SMARTS assigns a regulatory Level status annually on July 1\textsuperscript{st} (the end of each reporting year) to each industrial facility per parameter based on the required monitoring data submitted into SMARTS \textsuperscript{1}. A change of 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 parameter\textsuperscript{2}.

Level 1 status requires the Discharger to:

1. Perform a Level 1 Exceedance Response Action Evaluation by October 1 of the year Level 1 status is determined, and
2. Submit a Level 1 Exceedance Response Action Report by January 1 following the Level 1 status determination.

A Discharger must obtain the assistance of a Qualified Industrial Storm Water Practitioner (QISP)\textsuperscript{3} to complete the Level 1 Exceedance Response Action Evaluation and prepare the Level 1 Exceedance Response Action Report.

A Qualified Industrial Stormwater Practitioner must satisfy one of the following criteria to be qualified to assist a Discharger with the Exceedance Response Action process, and to prepare Exceedance Response Actions:

1. Have a valid Qualified Industrial Stormwater Practitioner certificate number through the sponsored and approved Qualified Industrial Stormwater Practitioner training program located on the State Water Board webpage at (https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.shtml)

\textsuperscript{1} NOTE: Emails from SMARTS are not a formal notice and Dischargers must track any Exceedance Response Action exceedances separately from SMARTS. The Numeric Action Level 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.

\textsuperscript{2} NOTE: A Discharger is not in violation of the Industrial General Permit when its discharge exceeds a Numeric Action Level, however, a Discharger is in violation of the Industrial General Permit if the required Exceedance Response Actions and affiliated documents are not completed and submitted on time.

\textsuperscript{3} NOTE: Further information regarding the Qualified Industrial Stormwater Practitioner training program is located on the State Water Board webpage at (https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.shtml)
Practitioner 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 completed the Qualified Industrial Stormwater Practitioner self-certificate review administered by the Office of Water Programs.

The Level 1 Exceedance Response Action Report must be submitted and certified by the facility’s Legal Responsible Person (LRP) or the Duly Authorized Representative (DAR). The following steps guide a Legally Responsible Person or Duly Authorized Representative to submit the Level 1 Exceedance Response Action Report prepared by a Qualified Industrial Stormwater Practitioner:

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 Exceedance Response Action report using the reporting period that corresponds with the Level 1 Exceedance Response Action Report. Any facility that the user is linked to will display once you select “Search”:

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 Waste Discharge Identification number.
4. Select the facility you wish to view by clicking on the “Facility Name” hyperlink:

<table>
<thead>
<tr>
<th>Facility Name</th>
<th>WQID</th>
<th>Facility Address</th>
<th>Report Period</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fired Chicken People</td>
<td>5559020330</td>
<td>6543 Crop Lane</td>
<td>07/01/2016-06/30/2017</td>
<td>Future</td>
</tr>
<tr>
<td>Larson's Shipyard LLC</td>
<td>0256589</td>
<td>Not yours street</td>
<td>07/01/2016-06/30/2017</td>
<td>Future</td>
</tr>
</tbody>
</table>

5. The Level 1 and Level 2 reports associated with the facility will display if the facility had any Numeric Action Level exceedances during the prior reporting year. By selecting the “Report ID” you can view/start the Exceedance Response Action Report and view the related exceedances:
6. An annual average table will be displayed in the “General Info” tab for review only. This table lists the parameters that have Level 1 status in the far-right column. The Level 1 Report being submitted must include the Exceedance Response Actions that will address these listed parameters.

7. The Level 1 Exceedance Response Action Report prepared by a Qualified Industrial Stormwater Practitioner must be uploaded by entering the "Attachments" tab of this report menu in SMARTS, and selecting the “Upload Attachment” button:

The following is an example of the “SMARTS File Upload” pop-up window that is completely filled out:

- Once documents are uploaded by clicking “Choose File”
- Click on “Upload Files” and wait for the upload to complete

4 NOTE: For the Level 1 Exceedance Response Action Report please use the file type “Level 1 Technical Report”. For Storm Water Pollution Prevention Plan (SWPPP) revisions please use the file type “SWPPP”. For all other documents, use the file type “Supporting Documentation”.
Once complete, you may select the “Attachments” tab to refresh the screen and see that the attachment properly uploaded. Once you have checked that it uploaded correctly select “Next”:

5 NOTE: If an incorrect attachment is uploaded, an attachment can be deleted by selecting “Delete” on the right.
8. Information for the Qualified Industrial Stormwater Practitioner that prepared the Level 1 Exceedance Response Action Report must be entered in the “QISP” tab. The “QISP” tab requires the use of the Qualified Industrial Stormwater Practitioner lookup tool. Select the “Lookup QISP” button to open the search menu:

![Image of QISP tab]

You can search using the criteria in the look up and select the Qualified Industrial Stormwater Practitioner on the right once you search:

![Image of QISP lookup screen]
9. Once the Qualified Industrial Stormwater Practitioner has been identified, the final implementation date of all the new Best Management Practices (BMPs) identified must be entered. After entering the date select the “Save” button:

![Image of QISP tab with date entered]

10. The “Certify” tab provides a completion check of the Level 1 Exceedance Response Action Report in progress:

![Image of Storm Water ERA Report with completion check]

Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:
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 1 Exceedance Response Action Report. (e.g. correct attachments uploaded). Any user can perform this check. If a Data Entry Person (DEP) performs the check and the Level 1 Exceedance Response Action Report is complete, SMARTS only allows the Data Entry Person to notify the Legally Responsible Person or Duly Authorized Representative (via a generated SMARTS email) that the Level 1 Exceedance Response Action Report must be certified and submitted. A Data Entry Person completing this check will see this:

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

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**Storm Water ERA Report**

Facility Name: Larsons Shipyard LLC  
Operator Name: Test  
Report Period: 2016-17  
WID: 55340025669  
Report Status: Future

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.

Once the Data Entry Person selects “Submit to LRP/AS”, 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.

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 1 Exceedance Response Action Report must be certified and submitted by the Legally Responsible Person or Duly Authorized Representative. The Legally Responsible Person or Duly Authorized Representative must identify the Level 1 Exceedance Response Action Report in SMARTS (same steps as outlined by steps 1-5 of this guide) and select the Level 1 Exceedance Response Action Report that requires certification:

<table>
<thead>
<tr>
<th>Report ID</th>
<th>Report Type</th>
<th>Status</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>900413</td>
<td>Level 1 ERA Report</td>
<td>Not Submitted - certification required</td>
<td>01/01/2017</td>
</tr>
</tbody>
</table>

The Legally Responsible Person or Duly Authorized Representative must review the prepared Level 1 Exceedance Response Action Report for information accuracy, prior to continuing to the “Certify” tab to perform the completion check:

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6 **NOTE:** If the Data Entry Person (DEP) has properly sent the Exceedance Response Action Report for certification to the Legally Responsible Person/Duly Authorized Representative 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 Level 1 Exceedance Response Action Report by selecting the check box, entering their password, answering a security question, and selecting the “Submit/Certify” button:

![Image of Storm Water ERA Report for Larson's Shipyard LLC]

13. A confirmation screen will then confirm submission of the Level 1 Exceedance Response Action Report in SMARPTS:

![Image of Storm Water ERA Report with 'Submitted' status]