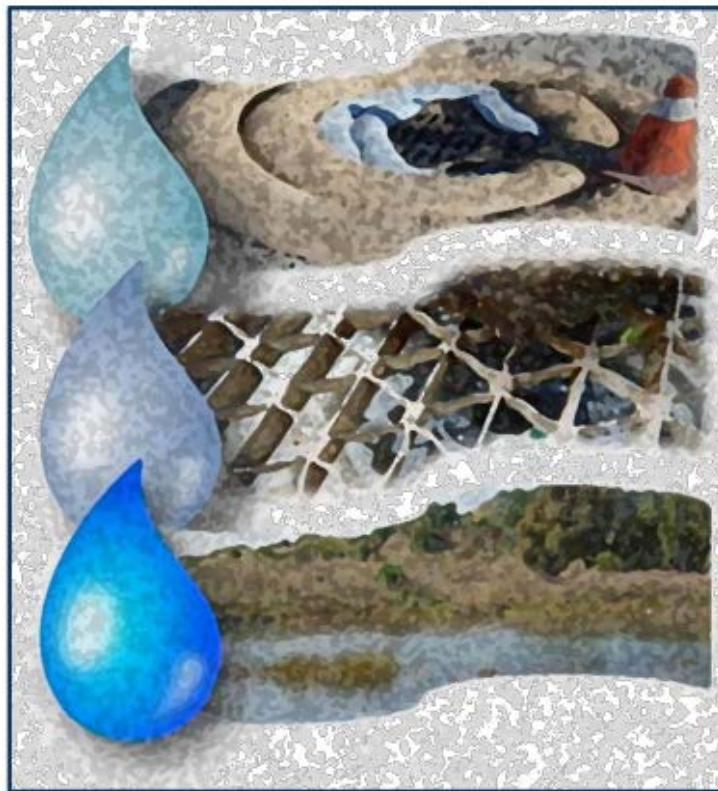




STATEWIDE INDUSTRIAL GENERAL PERMIT

**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: December 01, 2016

Storm Water Industrial General Permit - Level 1 Exceedance Response Action (ERA) Report:

The Industrial General Permit (IGP) reporting year is July 1st through June 30th. Annually on July 1st (the end of each reporting year), SMARTS assigns a regulatory “Level” status to each industrial facility based on the required monitoring data. At the beginning of a Discharger’s Notice of Intent (NOI) coverage, all Dischargers have Baseline status for all parameters. If sampling results from the previous reporting period indicates that a facility’s discharge exceeds an Annual or Instantaneous Maximum Numeric Action Level (NAL) for an applicable parameter, a Level status will be assigned. Dischargers moving from Baseline status to Level 1 for an NAL exceedance are required to complete ERAs. Level 1 status requires the Discharger to:

- (1) Perform a Level 1 ERA Evaluation by October 1 of the year Level 1 status is determined, and
- (2) Submit a Level 1 ERA Report by January 1 following the Level 1 status determination.

A Discharger must obtain the assistance of a Qualified Industrial Storm Water Practitioner (QISP) to complete the Level 1 ERA Evaluation and prepare the Level 1 ERA Report.

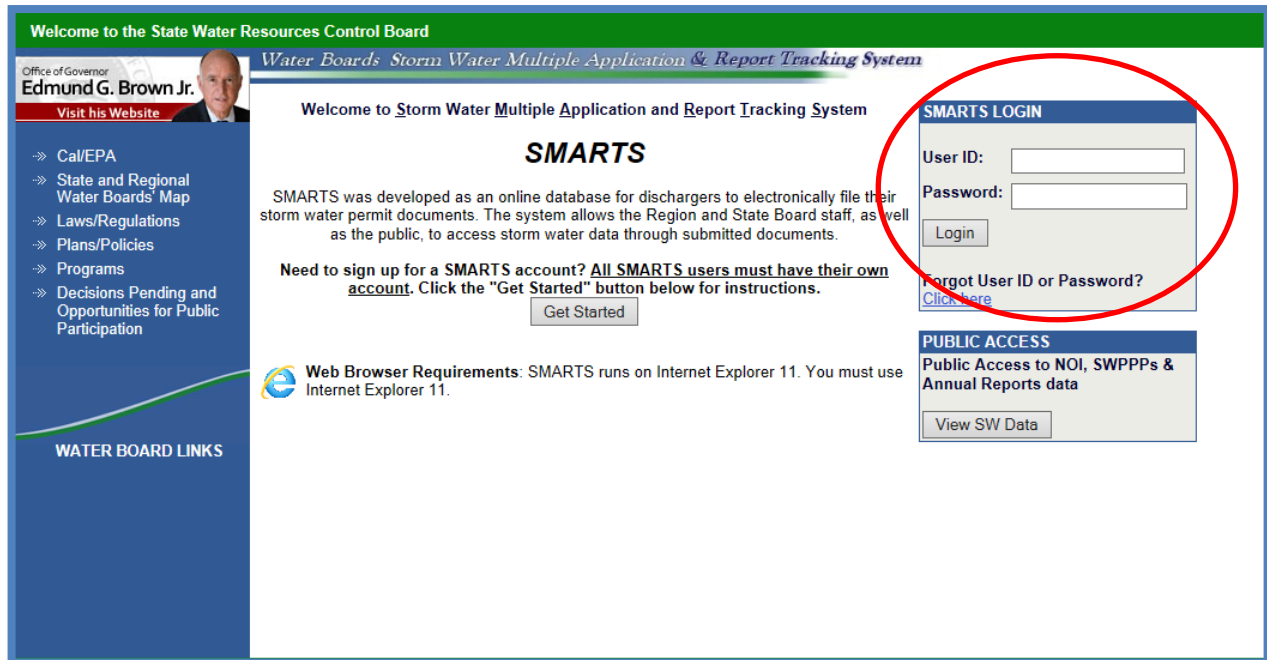
To be qualified to assist a Discharger with an ERA Evaluation, and to prepare an ERA Report, a QISP must:

- (1) Have a valid QISP certificate number through the sponsored and approved QISP Training Program provided by 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.

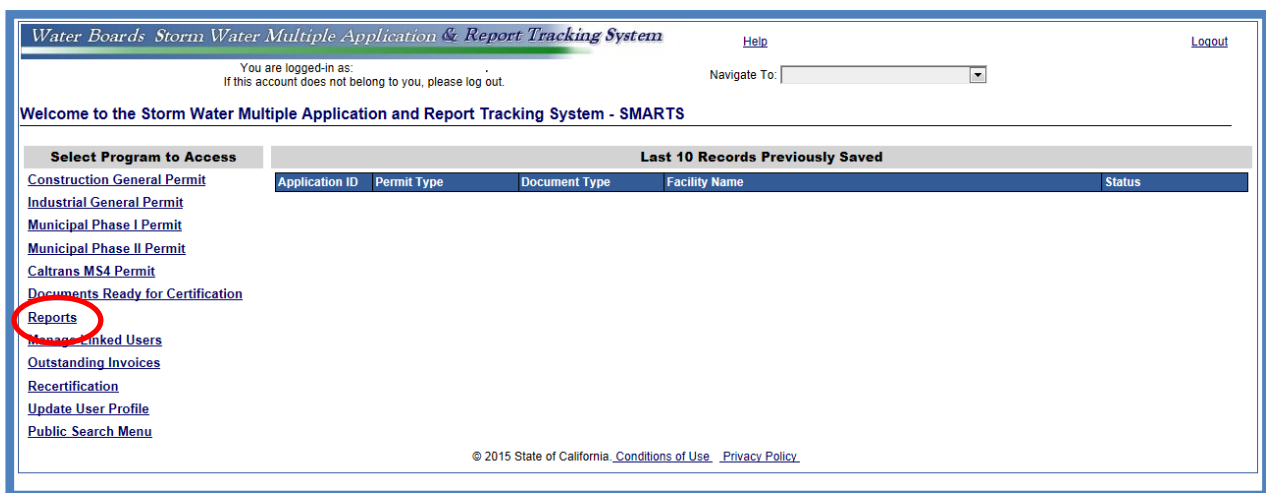
The State Water Board and CASQA provide a look-up tool for Dischargers to find a QISP qualified to conduct the above ERA requirements, at the following website: <https://smarts.waterboards.ca.gov/smarts/faces/Reports/QispSearch.xhtml>

The Level 1 ERA Report 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 1 ERA Report prepared by a QISP:

1. Please log into SMARTS: <https://smarts.waterboards.ca.gov>
Please use SMARTS in Internet Explorer 11



2. From the Main menu select "Reports":



3. Search for an ERA report using the Reporting Period that corresponds with the Level 1 ERA Report. 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: 2016 - 2017
WDID:
Report Status: Select
Application ID:
Region: All

* fields are mandatory

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

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: 2016 - 2017 *
WDID:
Report Status: Select
Application ID:
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	07/01/2016- 06/30/2017	Future				
Mine	5S341025869 459447	Not yours street	07/01/2016- 06/30/2017	Future				

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

Storm Water Annual Report Monitoring (SWARM)

Facility Name: Mine Operator Name: Test WDID: 5S34I025869
 Report Period: 2016-17

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
884145	Annual Report	Future	07/01/2017			

Level 1 and 2 Report:
 Click on the Report ID below to access the Report.

Report ID	Report Type	Status	Due Date	Date Submitted	Submitted By	Request Extension	Remand
894466	Level 1 and 2 Report	Future	01/01/2017				

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 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.

Storm Water Level 1 and 2 Report

Facility Name: Mine Operator Name: Test WDID: 5S34I025869
 Report Period: 2016-17 Report Status: Future

Annual Average Table

Parameter Name	# of Samples	Sum of Results	Annual Average	Table 2 NALs	Level Status
Copper, Total (Recoverable)	2	3.019 mg/L	1.5095 mg/L	0.0332 mg/L	Level 1
Iron, Total (Recoverable)	2	7.8 mg/L	3.9 mg/L	1 mg/L	Level 1
Selenium, Total (Recoverable)	1	0.015 mg/L	0.015 mg/L	0.005 mg/L	Level 1
Total Suspended Solids (TSS)	3	1120 mg/L	373.3333 mg/L	100 mg/L	Level 1

- The Level 1 ERA Report 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 1 and 2 Report

Facility Name: Mine Operator Name: Test WDID: 5S34I025869
 Report Period: 2016-17 Report Status: Future

General Info **Attachments** 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

Back Next

The following is an example of the “SMARTS File Upload” pop-up window that is completely filled out¹:

Water Boards Storm Water Multiple Application & Report Tracking System 2

SMARTS File Upload

WDID: 5S34I025869 Owner: Test 1001 I Street Sacramento, CA 95814 Close Window

Please provide the following details to upload the corresponding files.

Attachment File Type *	Attachment Title *	File Description	Parts *	Document Date	File Name	Progress
Level 1 Technical Report	Level 1 Technical Report		Part 1 of 1		Browse...	
SWPPP	SWPPP Revisions		Part 1 of 1		Browse...	
[SELECT]			Part 1 of 1		Browse...	

Upload File

- 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 connection is as follows:

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.

¹ **NOTE:** For the Level 1 ERA 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”.

You may select the “Attachments” Tab to refresh the screen and see that the attachment properly uploaded². Once you have checked that it uploaded correctly select “Next”.

Storm Water ERA Report

Facility Name: Mine Operator Name: Test WDID: 5S34I025869
Report Period: 2016-17 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
1769484	Level 1 Technical Report	report	Oct 3, 2016		1/1	Delete
1789391	SWPPP	SWPPP Revisions	Nov 3, 2016	SWPPP Revisions	1/1	Delete

Back **Next**

- Information for the QISP that prepared the Level 1 ERA Report 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: * **Lookup QISP**
QISP Certification No.: *

BMP(s) Implemented Date

BMP(s) Implemented Date: MM/DD/YYYY *
Save

Back Next

You can search using the criteria in the look up and select the QISP on the right once you search.

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
------------	-----------	---------	---------------------	----------------------	--------

² **NOTE:** If an incorrect attachment is uploaded, an attachment can be deleted by selecting “Delete” on the right.

- Once the QISP 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:

The screenshot shows a web form with tabs: General Info, Attachments, QISP (selected), Certify, Status History, and Back to Report Main. The QISP section includes fields for First Name (QISP), Last Name (Industrial), and QISP Certification No (F09876). Below this is the 'BMP(s) Implemented Date' section with a date field containing '11/01/2016' and a 'Save' button. At the bottom are 'Back' and 'Next' buttons. Red circles highlight the date field, the 'Save' button, and the 'Next' button.

- The "Certify" Tab provides a completion check of the Level 1 ERA Report in progress:

The screenshot shows the 'Storm Water ERA Report' form with the 'Certify' tab selected. It displays facility information: Facility Name (Mine), Operator Name (Test), Report Period (2016-17), Report Status (Future), and WDID (5S34I025869). Below the tabs, a message states: 'Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:'. A 'Perform Completion Check' button is circled in red.

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 ERA 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 ERA Report is complete, SMARTS only allows the DEP to notify the LRP or DAR (via a generated SMARTS email) that the Level 1 ERA Report must be certified and submitted. A DEP completing this check will see this:

The screenshot shows the 'Storm Water ERA Report' form with the 'Certify' tab selected. A green message states: '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.' Below the message is a 'Submit to LRP/AS' button circled in red. A note at the bottom explains: '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 ERA Report

Facility Name: Mine Operator Name: Test WDID: 5S34I025869
Report Period: 2016-17 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 1 ERA Report must be certified and submitted by the LRP or DAR. The LRP or DAR must identify the Level 1 ERA Report in SMARTS (same steps as outlined by steps 1-5 of this guide) and select the Level 1 ERA Report that requires certification:³

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

Report ID	Report Type	Status	Due Date
900413	Level 1 ERA Report	Not Submitted - certification required	01/01/2017

The LRP or DAR must review the prepared Level 1 ERA Report for information accuracy, prior to continuing to the “Certify” Tab to perform the completion check:

Storm Water ERA Report

Facility Name: Mine Operator Name: Test WDID: 5S34I025869
Report Period: 2016-17 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:

³ **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 1 ERA Report by selecting the check box, entering their password, answering a security question, and selecting the "Submit/Certify" button:

Storm Water ERA Report

Facility Name: Mine	Operator Name: Test	WDID: 5S34I025869
Report Period: 2016-17	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: 11/03/2016

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 1 ERA Report in SMARTS:

Storm Water ERA Report

Facility Name: Mine	Operator Name: Test	WDID: 5S34I025869
Report Period: 2016-17	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	2016-17
Certifier Name	
Date Certified	11/03/2016
Certification ID	900413

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