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”:

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:
5. 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)](image)

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:

![Storm Water Level 1 and 2 Report](image)
7. 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:

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

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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”.

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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”.

8. 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:

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

2 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, the final implementation date of all the new Best Management Practices (BMPs) identified must be entered. After entering the date select the “Save” button:

10. The “Certify” Tab provides a completion check of the Level 1 ERA Report in progress:

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:
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”.

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

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:

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:

13. A confirmation screen will then confirm submission of the Level 1 ERA Report in SMARTS: