STATEWIDE INDUSTRIAL GENERAL PERMIT

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

NO EXPOSURE CERTIFICATION (NEC)

Last Revised: May 24, 2018
Statewide Storm Water Industrial General Permit (IGP) – No Exposure Certification:

Any Discharger operating a facility described in Attachment A may register for No Exposure Certification (NEC) coverage if their facility has a condition of “No Exposure”. A Discharger must electronically certify and submit NEC Permit Registration Documents (PRDs) via the State Water Resources Control Board’s (State Water Board’s) Storm Water Multi-Application and Report Tracking System (SMARTS) to obtain NEC coverage under the IGP.

The Discharger must evaluate eleven major areas where storm water exposure may occur, per the IGP listing in Appendix 2. The Discharger must be able to certify that none of these major areas have potential for exposure. If the Discharger cannot certify all eleven major areas do not have exposure, the facility is not eligible for NEC coverage.

The conditional exclusion for a discharger’s facility that certify as “No Exposure” does not become effective until the PRDs are submitted, the annual fee is paid, and the application has been processed by the State Water Board. Once the State Water Board completes the application processing, the Discharger will electronically receive an NEC acceptance notification via SMARTS, which will include a Waste Discharge Identification (WDID) number (also called the NEC ID for this application type).

A Discharger must maintain a condition of “No Exposure” at the facility for the conditional exclusion to remain applicable. The Discharger must annually electronically re-certify the NEC via SMARTS (by October 1st of each reporting year) to confirm that the conditions of “no exposure” are being maintained. If any conditions change at the facility resulting in the exposure of industrial materials and activities to storm water, the Discharger must immediately submit PRDs via SMARTS for Notice of Intent (NOI) coverage under the IGP.
The NEC PRDs must be submitted and certified by the facility’s Legal Responsible Person (LRP). The following steps guide an LRP to submit the required documents:

1. Please log into SMARTS: https://smarts.waterboards.ca.gov
   Please use SMARTS in Microsoft Edge

![SMARTS Login Page](image1)

2. From the Main menu select “Industrial General Permit”:

![Industrial General Permit Menu](image2)
3. Select “New Application”:

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

4. Select “Statewide Industrial Permit No Exposure Certification”:

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

Select Permit Type

- Statewide Industrial General Permit Notice of Intent
- [Statewide Industrial General Permit No Exposure Certification](#)
- Industrial Notice of Non-Applicability
- Santa Ana Regional Water Board (Region 8) Sector Specific Scrap Metal Recycler Permit (R8-2012-0012)
5. Select the Organization¹ the application will be associated with and select “Next”:

6. Enter all required Operator Information². Once all required information is entered select “Save & Continue”³:

¹ **NOTE:** If the correct Organization information is not shown or you are creating a new Organization you are able to do so by selecting “Create New Organization”.
² **NOTE:** The option to auto-populate the Operator Contact Information is available as a drop down box. Select the user’s information to be populated from their linked account. Please verify the information once it is populated for accuracy.
³ **NOTE:** If the Operator address is incorrect please follow the other guide on completing an Organization Change of Information.
⁴ **NOTE:** If at any time during the application process you need to stop and return to the application at a later time you can select “Save & Exit”. To return to the application select the application by the application ID number from the Industrial General Permit menu “Pending Applications”.

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7. Enter all required facility information:

<table>
<thead>
<tr>
<th>Facility Information</th>
<th>Same as Operator Info</th>
<th>Clear Info</th>
<th>If different, enter below</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility Name:</td>
<td></td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Street Address:</td>
<td></td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Address Line 2:</td>
<td></td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Latitude:</td>
<td></td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Longitude:</td>
<td></td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>City:</td>
<td></td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Phone:</td>
<td></td>
<td>*</td>
<td>(999.999.9999)</td>
</tr>
<tr>
<td>E-mail:</td>
<td></td>
<td>*</td>
<td>(<a href="mailto:abc@xyz.com">abc@xyz.com</a>)</td>
</tr>
<tr>
<td>Total Site Size:</td>
<td></td>
<td>*</td>
<td>Acres</td>
</tr>
<tr>
<td>Total Area of Industrial Activities and Materials Exposed to Storm Water:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SIC Codes</td>
<td></td>
<td>*</td>
<td>Select</td>
</tr>
</tbody>
</table>

A Lookup Map is provided for use if you do not know your facility’s Latitude and Longitude coordinates:

Latitude: [Input Field]
Longitude: [Input Field]

(Decimal degrees only, minimum 5 significant digits Ex: 99.99999)
The user can locate a site's coordinates by entering the street address and selecting “Go!”. The system will populate coordinates above the map and the user must confirm the location is correct by selecting “Set Coordinates”:

The “Total Area of Industrial Activities and Materials Exposed to Storm Water” must be answered as zero (0) to be able to qualify for the NEC. If the answer to this question is greater than zero, a NOI must be filed for full coverage under the IGP.
8. Once all required information is entered select “Save & Continue”: 

### Facility Information

The application is organized into different tabs. Please complete all applicable tabs before submitting the form. If you want to complete the application at a later time, please click on “Save & Exit”.

<table>
<thead>
<tr>
<th>NEC ID/App ID:</th>
<th>Operator: Test Site</th>
</tr>
</thead>
<tbody>
<tr>
<td>Status:</td>
<td>Not Submitted</td>
</tr>
<tr>
<td>Order No:</td>
<td>2014-00657-DW/</td>
</tr>
<tr>
<td>Permit Type:</td>
<td>Industrial - NEC</td>
</tr>
</tbody>
</table>

**Operator Info**

- **Facility Name:** Test Site
- **Contact First Name:** NEC Operator
- **Contact Last Name:** NEC Name
- **Title:**
- **Facility Address:** 123 Fake Street, Rancho Cordova CA 95670
- **Phone:** 968-563-3197 (Ex: 999.999.9999)
- **City:** Sacramento
- **County:** Sacramento
- **Regional Board:** Region SS - Sacramento
- **State/Zip:** CA 95670
- **Percent of Site Imperviousness:**
- **Total Site Size:** 20 Acres
- **Total Area of Industrial Activities and Materials Exposed to Storm Water:**

### SIC Codes

<table>
<thead>
<tr>
<th>Primary SIC Code 1:</th>
<th>2096 - Potato Chips, Corn Chips, and Similar Snacks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary SIC Code 2:</td>
<td>Select</td>
</tr>
<tr>
<td>Primary SIC Code 3:</td>
<td>Select</td>
</tr>
</tbody>
</table>

Fields marked with * are mandatory fields.
9. Complete the NEC Checklist. All eleven statements must be marked as “No Exposure” in order to file NEC coverage (a NOI must be filed if the answer to any of these is marked as “Exposure”).

Once all statements have been completed, select “Save & Continue”:

![NEC Checklist](image)

10. Enter all required Billing Information. Once all required information is entered select “Save & Continue”:

![Billing Information](image)

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NOTE: The option to auto-populate the Billing Information is available as a button. Select the source information to be populated from respective button. Please verify the information once it is populated for accuracy.
11. The NEC application requires the upload of a facility site map that meets the requirements as outlined in Section X.E. The facility site map must be uploaded by selecting the “Attachments” Tab of the application, and selecting the “Upload Attachment” button:

```
Be sure to select the Attachment File Type as “Facility/Site Map” Select “Close Window” when all attachments are uploaded. The following is an example of a completed “SMARTS File Upload” pop-up window:

You may select the “Attachments” Tab to refresh the screen and see that the attachment properly uploaded. Once you have checked that the document uploaded correctly select “Save & Continue”:
```

```
<table>
<thead>
<tr>
<th>Attachment ID</th>
<th>Attachment For</th>
<th>File Type</th>
<th>File Title</th>
<th>File Description</th>
<th>Part No</th>
<th>Date Attached</th>
<th>Upload By</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td>1519390</td>
<td>NOI</td>
<td>Facility/Site Map</td>
<td>Site Map 1</td>
<td>1/1</td>
<td>05/06/2017</td>
<td>dischargers</td>
<td>Delete</td>
<td></td>
</tr>
</tbody>
</table>

Fields marked with * are mandatory fields.
```
13. The “Perform Completion Check” function will provide the user with a notification of any errors that must be corrected prior to submission of the NEC. (e.g. Site Map was uploaded incorrectly).

The LRP must review the prepared NEC for information accuracy, prior to continuing to the “Certification” tab to perform the completion check.

Any user can perform this check. If a Duly Authorized Representative (DAR) or Data Entry Person (DEP) performs the check and the NEC application is complete, SMARTS only allows the DAR/DEP to notify the LRP (via a generated SMARTS email) that the NEC application must be certified and submitted.

A DAR/DEP completing this check will see the following screen:
14. The LRP certifies and submits the NEC by selecting both check boxes, entering their password and answering a security question, then selecting the “Certify Application” button:

The Application Fee is $200
The application is complete. Please continue to certify and submit the application to the Water Boards.

Certification & Submission Checklist:
Read and check the boxes next to each certification statement:

☐ I certify under penalty of law that this document and all attachments were prepared under the direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate 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.

☐ I am also aware that my user ID and password constitute my electronic signature and any information I indicate I am electronically certifying contains my signature. I understand that my electronic signature is the legal equivalent of my handwritten signature. My signature on this form certifies that my electronic signature is for my own use, that I will keep it confidential, and that I will not delegate or share it with any other person. Should I wish to delegate such authority, I will do so formally in writing and electronically notify the State Water Board using SMARTS2 of such delegation within 10 days of the delegation. I further certify that I will protect my electronic signature from unauthorized use, and that I will contact the State Water Board, within two business days of discovery, if I suspect that my electronic signature has been lost, stolen, or otherwise compromised.

Certified By:

Certifier Name: [Redacted]  Date: 05/09/2017
Certifier Title: Test

Please enter your password and answer to the security question before certifying the document.
What is your mother’s maiden name? [Redacted]
Please enter your password [Redacted]

Certify Application

Certify Later: adds the application to the Documents Ready for Certification where multiple applications may be certified at the same time.

Fields marked with * are mandatory fields.

15. A confirmation screen will confirm submission of the NEC in SMARTS. The User can then download a copy of the application for their records. The fee will need to be paid before the application is processed. The fee can be paid by Check or Electronic Fund Transfer (EFT):
If “Pay by Check” is selected a fee statement will be downloaded for you to print and mail in with a check. The State Water Board mailing address is located on the fee statement:

![State Water Resources Control Board Example Only](image)

If “Pay by Electronic Fund Transfer” is selected an addition box will appear for you to follow to an external website. Please note the Application number\(^6\) listed in the box to pay:

![Electronic Fund Transfer](image)

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\(^6\) NOTE: EFT Payments take a few days to process. The Application will only be processed once the EFT has cleared and the eAuthorization form for the LRP is on file.
16. A WDID (noted as NEC ID) will be assigned once the State Water Board receives payment, a valid eAuthorization form is on file, and the processing of the NEC documents has been completed:

<table>
<thead>
<tr>
<th>NEC ID/App ID: 5S34NEC0003209 - 486224</th>
<th>Operator: Test Site</th>
<th>Certified Date: 05/08/2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Status: Active</td>
<td>123 Fake street Rancho Cordova CA 95670</td>
<td>Processed Date: 05/08/2017</td>
</tr>
<tr>
<td>Order No: 2014-0057-DWQ</td>
<td>Facility: Test Site</td>
<td>NOT Effective</td>
</tr>
<tr>
<td>Permit Type: Industrial - NEC</td>
<td>123 Fake street Sacramento CA 95670</td>
<td>Date:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Previous ID: -</td>
</tr>
</tbody>
</table>

To print a copy of the Receipt Letter for your records, go to the Print tab.

Fields marked with * are mandatory fields.

Please make sure to reference the WDID (NEC ID) and/or the Application ID in any communications with the Water Boards.