STATEWIDE INDUSTRIAL GENERAL PERMIT

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

LEVEL 2 EXCEEDANCE RESPONSE ACTION (ERA) ACTION PLAN SUBMITTAL

Last Revised: June 18, 2018
Statewide Industrial Storm Water General Permit - Level 2 Exceedance Response Action (ERA) Action Plan:
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 IGP reporting year is July 1st through June 30th.

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

Dischargers with a parameter moving from Level 1 status to Level 2 status for an NAL exceedance(s) are required to complete ERAs for that parameter. Level 2 status ERAs require the Discharger to:

1. Obtain the assistance of a Qualified Industrial Storm Water Practitioner (QISP) to complete the Level 2 ERA process,
2. Submit a Level 2 ERA Action Plan into SMARTS by January 1 of the following Reporting Year, this is the year after Level 2 status was determined, and

A QISP must satisfy one of the following criteria to be qualified to assist a Discharger with the ERA process, and to prepare ERA Action Plans and ERA Reports:

1. Have a valid QISP certificate number through the sponsored and approved QISP 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 QISP self-certificate review administered by OWP.

1 NOTE: Emails from SMARTS are not a formal notice and Dischargers must track any ERA exceedances separately from SMARTS. The NAL 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.
2 NOTE: A Discharger is not in violation of the IGP when its discharge exceeds an NAL, however, a Discharger is in violation of the IGP if the required ERAs and affiliated documents are not completed and submitted on-time.
3 NOTE: Further information regarding the QISP training program is located on the State Water Board webpage at https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.shtml
The Level 2 ERA Action Plan must be submitted and certified by the facility’s Legal Responsible Person (LRP) or the Duly Authorized Representative (DAR)\textsuperscript{4}. The following steps guide an LRP or DAR to submit the Level 2 ERA Action Plan prepared by a QISP:

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

2. From the Main menu select “Reports”:

\textsuperscript{4}\textbf{NOTE:} DAR means Duly Authorized Representative or Approved Signatory (AS)
3. Search for an ERA Report using the Reporting Period that corresponds with the Level 2 ERA Action Plan. All facilities that the user is linked to will display once the user selects “Search”:

Only the “Reporting Period” search field is required to be selected when searching from the reports search function. If the search does not return a result, 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. The user selects a facility to view by clicking on the “Facility Name”:
5. The Level 1 and Level 2 reports associated with the facility are displayed if the facility had parameter(s) with NAL exceedances during the prior Reporting Year. By selecting the “Report ID” the user can view/start the Level 2 ERA Action Plan and view the related exceedances:

6. The Annual Average Table is displayed in the “General Info” Tab for review only. This table lists the parameters that have Level 2 status in the far-right column. The Level 2 Action Plan being submitted must include the Exceedance Response Actions that addresses all listed parameters:
7. The electronic Level 2 ERA Action Plan 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 a completed “SMARTS File Upload” pop-up window:

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5 NOTE: For the Level 2 ERA Action Plan please use the file type “Level 2 ERA Action Plan”. For the Level 2 ERA Technical Report please use the attachment file type “Level 2 ERA Technical Report”. For Storm Water Pollution Prevention Plan (SWPPP) revisions please use the file type “SWPPP”. For all other ERA documents, use the file type “Supporting Documentation”.

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The user may select the “Attachments” Tab to refresh the screen and verify that the attachment properly uploaded. Once the upload verification is completed, select “Next”.

8. The user must enter the information for the QISP that prepared the Level 2 ERA Action Plan 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:

A user can search using the criteria in the look-up tool and select the QISP on the right. It is best to search using only one criteria. (e.g. Last name only). If the person entered is not located, the user will have to talk to the QISP and/or OWP to verify if they have a current and valid QISP certificate:

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6 NOTE: If an incorrect attachment is uploaded, an attachment can be deleted by selecting “Delete” on the right.  
7 NOTE: Office of Water Programs can be reached Monday-Friday 8:00 am to 4:00 pm at (916) 278-6142
9. Once the QISP has been identified through the search function, select the “Next” button:

10. The “Certify” Tab provides a completion check of the Level 2 ERA Action Plan submittal in progress:

The “Perform Completion Check” function provides the user with a notification of any errors that must be corrected prior to acceptable submission of the Level 2 ERA Action Plan (e.g. correct attachments uploaded). Any user with access to the report can perform this completion check. If a Data Entry Person (DEP) performs the check and the Level 2 ERA Action Plan is complete, SMARTS only allows the DEP to notify the LRP or DAR (via a SMARTS generated email) that the Level 2 ERA Action Plan is complete and ready for certification. A DEP completing this check will see the following message:
Once the DEP selects “Submit to LRP/DAR”, the screen will display a message “Email successfully sent to LRP/AS” and the status changes to “Not Submitted – certification required”:

11. The Level 2 ERA Action Plan must be certified and submitted by the LRP or DAR. To access the report to be certified, the LRP or DAR must complete the same steps as outlined by steps 1-5 of this guide and select the Level 2 ERA Action Plan that requires certification:

The LRP or DAR must review the prepared Level 2 ERA Action Plan for information accuracy, prior to continuing to the “Certify” Tab to perform the completion check:

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8 NOTE: DAR means Duly Authorized Representative or Approved Signatory (AS).
9 NOTE: The LRP/DAR must have a valid eAuthorization form on file to be able to certify the submittal.
10 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 2 ERA Action Plan by selecting the check box, entering their user account password, answering a security question, and selecting the "Submit/Certify" button:

![Storm Water Level 2 ERA Action Plan](image)

13. Upon successful submission of the Level 2 Action Plan, the following confirmation screen will display:

![Storm Water Level 2 ERA Action Plan](image)
14. The user may upload an update to a submitted ERA Action Plan by selecting the Report Action “Update” hyperlink when viewing the WDIDs report menu screen:

![Storm Water Annual Report Monitoring (SWARM)](image1)

<table>
<thead>
<tr>
<th>Facility Name:</th>
<th>Operator Name:</th>
<th>WDID:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

**Annual Report:**
Click on the Report ID below to access the Industrial Annual Report:

<table>
<thead>
<tr>
<th>Report ID</th>
<th>Report Type</th>
<th>Status</th>
<th>Due Date</th>
<th>Date Submitted</th>
<th>Submitted By</th>
</tr>
</thead>
<tbody>
<tr>
<td>930095</td>
<td>Annual Report</td>
<td>Future</td>
<td>07/15/2018</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Report ID</th>
<th>Report Type</th>
<th>Status</th>
<th>Due Date</th>
<th>Date Submitted</th>
<th>Submitted By</th>
</tr>
</thead>
<tbody>
<tr>
<td>961117</td>
<td>Level 2 ERA Action Plan</td>
<td>Submitted</td>
<td>01/01/2018</td>
<td>12/28/2017</td>
<td></td>
</tr>
</tbody>
</table>

**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.

<table>
<thead>
<tr>
<th>Event ID</th>
<th>Event Type</th>
<th>Start Date &amp; Time</th>
<th>End Date &amp; Time</th>
<th>Status</th>
<th>Received Date</th>
<th>Remand</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td>944444</td>
<td>Qualifying Storm Event</td>
<td>07/01/2017 00:00</td>
<td>06/30/2018 00:09</td>
<td>Submitted</td>
<td>03/15/2018</td>
<td>Remand</td>
<td></td>
</tr>
</tbody>
</table>

15. Select the “Add New Action Plan Update” button:

![Storm Water Level 2 ERA Action Plan](image2)

**Storm Water Level 2 ERA Action Plan**

<table>
<thead>
<tr>
<th>Facility Name:</th>
<th>Operator Name:</th>
<th>WDID:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
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</tbody>
</table>

**Report Period:** 2017-18

**Report Status:** Submitted

<table>
<thead>
<tr>
<th>General Info</th>
<th>Attachments</th>
<th>QISP</th>
<th>Certify</th>
<th>Status History</th>
<th>Update Action Plan</th>
<th>Back to Report Main</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

The following are the updated action plans associated with this record. Click on the Update ID to view the details.

<table>
<thead>
<tr>
<th>Update ID</th>
<th>Submitter</th>
<th>Submitted Date</th>
<th>Status of Document</th>
<th>Reason For Change</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

Back | Next
16. Select the “Upload Revised Action Plan” to upload the revised plan and include a reason for the update in the text box:

```
<table>
<thead>
<tr>
<th>Attachment ID</th>
<th>File Type</th>
<th>File Title</th>
<th>File Description</th>
<th>Part No</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Reason For Update</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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*Please click on Upload Revised Action Plan to upload new or revised Action Plan attachment(s).*
17. The LRP or DAR must certify and submit any Level 2 ERA Action Plan updates by completing the “Certification & Submission Checklist” and entering the users SMARTS account security information:

A confirmation of certification screen will display once submitted:

18. A confirmation of certification screen will display once submitted: