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)
TECHNICAL REPORT SUBMITTAL

Last Revised: June 18, 2018
Statewide Industrial Storm Water General Permit - Level 2 Exceedance Response Action (ERA) Technical 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 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.

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.

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.

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 Technical Report must be submitted and certified by the facility’s Legal Responsible Person (LRP) or the Duly Authorized Representative (DAR). The following steps guide an LRP or DAR to submit the Level 2 ERA Technical Report prepared by a QISP:

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

2. From the Main menu select “Reports”:

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 Technical Report. 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 the 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 Technical Report and view the related exceedances:

6. The Level 2 Technical Report Demonstrations table is displayed in the “General Info” Tab allowing the Discharger to select one or more demonstrations for each parameter. The Level 2 Technical Report being submitted must include the Exceedance Response Action Demonstrations to address all listed parameters:
7. The electronic Level 2 ERA Technical 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:

![SMARTS File Upload Window](image1)

The following is an example of a completed “SMARTS File Upload” pop-up window:

![SMARTS File Upload Window](image2)

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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”.

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

**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:

![QISP Information Form]

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

![Completion Check Notification]

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 Technical Report (e.g. correct attachments uploaded). Any user with access to the report can perform this check. If a Data Entry Person (DEP) performs the check and the Level 2 ERA Technical Report is complete, SMARTS only allows the DEP to notify the LRP or DAR (via a SMARTS generated email) the Level 2 ERA Technical Report is complete and ready for certification. A DEP completing this check will see the following message:

![Submit to LRP/AS]

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 DEP selects “Submit to LRP/DAR”, the screen will display a message “Email successfully sent to LRP/AS”\(^8\) and the status changes to “Not Submitted – certification required”:

11. The Level 2 ERA Technical Report must be certified and submitted by the LRP or DAR\(^9\). 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 Technical Report that requires certification:\(^{10}\)

The LRP or DAR must review the prepared Level 2 ERA Technical Report 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

\(^{10}\) 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 Technical Report by selecting the check box, entering their user account password, answering a security question, and clicking the “Submit/Certify” button:

13. Upon successful submission of the Level 2 Technical Report, the following confirmation screen will display:
14. If the Discharger cannot complete the report by the January 1st due date, a one-time six month automatic extension is granted by using the “Request Extension” link from the report menu screen. The due date automatically adjusts the due date to the following June of the same reporting year. If additional time is required to complete the report, the Discharger must request a additional extension in writing from their local Regional Water Board.