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: April 9, 2020
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. 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 Industrial General Permit 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 for an applicable parameter.

Dischargers with a parameter moving from Level 1 status to Level 2 status for a Numeric Action Level exceedance(s) are required to complete Exceedance Response Actions for that parameter. Level 2 status Exceedance Response Actions require the Discharger to:

(1) Obtain the assistance of a Qualified Industrial Storm Water Practitioner (QISP) to complete the Level 2 Exceedance Response Action process,

(2) Submit a Level 2 Exceedance Response Action - Action Plan into SMARTS by January 1 of the following Reporting Year, this is the year after Level 2 status was determined, and

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1 NOTE: Emails from SMARTS are not a formal notice and Dischargers must track any Exceedance Response Action exceedances separately from SMARTS. The Numeric Action Level 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 Industrial General Permit when its discharge exceeds a Numeric Action Level, however, a Discharger is in violation of the Industrial General Permit if the required Exceedance Response Actions and affiliated documents are not completed and submitted on-time.

3 NOTE: Further information regarding the Qualified Industrial Stormwater Practitioner (QISP) training program is located on the State Water Board Industrial Storm Water Program - QISP webpage at https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.shtml
(3) Submit a Level 2 Exceedance Response Action Technical Report into SMARTS by January 1 following the submission of the Level 2 Exceedance Response Action - Action Plan.

A Qualified Industrial Stormwater Practitioner must satisfy one of the following criteria to be qualified to assist a Discharger with the Exceedance Response Action process, and to prepare Exceedance Response Action - Action Plans and Exceedance Response Action reports:

(1) Have a valid Qualified Industrial Stormwater Practitioner certificate number through the sponsored and approved Qualified Industrial Stormwater Practitioner Training Program provided by the California Stormwater Quality Association and administered by the Office of Water Programs at Sacramento State, or

(2) Be a licensed engineer by the California Department of Consumer Affairs, Board for Professional Engineers, Land Surveyors, and Geologists, and completed the Qualified Industrial Stormwater Practitioner self-certificate review administered by Office of Water Programs.

The Level 2 Exceedance Response Action - Action Plan must be submitted and certified by the facility’s Legal Responsible Person or the Duly Authorized Representative. The following steps guide a Legally Responsible Person or Duly Authorized Representative to submit the Level 2 Exceedance Response Action - Action Plan prepared by a Qualified Industrial Stormwater Practitioner:

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**NOTE:** Duly Authorized Representative means Duly Authorized Representative or Approved Signatory
1. Please log into SMARTS: https://smarts.waterboards.ca.gov

   Please use SMARTS in Microsoft Edge

2. From the main menu select “Reports”: 
3. Search for an Exceedance Response Action report using the reporting period that corresponds with the Level 2 Exceedance Response Action - 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 associated with the organization to be linked to the Waste Discharge Identification 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 Numeric Action Level exceedances during the prior reporting year. By selecting the “Report ID” the user can view/start the Level 2 Exceedance Response Action - 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 Exceedance Response Action - Action Plan prepared by a Qualified Industrial Stormwater Practitioner must be uploaded by entering the “Attachments” tab of this report menu in SMARTS, and selecting the “Upload Attachment” button:

![SMARTS File Upload Screen](image)

The following is an example of a completed “SMARTS File Upload” screen:

![SMARTS File Upload Screen](image)

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

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5 NOTE: For the Level 2 Exceedance Response Action - Action Plan please use the file type “Level 2 ERA Action Plan”. For the Level 2 Exceedance Response Action Technical Report please use the attachment file type “Level 2 ERA Technical Report”. For Storm Water Pollution Prevention Plan revisions please use the file type “SWPPP”. For all other Exceedance Response Action 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”. An error message may appear if the file name contains special characters or if the file size is too large.

8. The user must enter the information for the Qualified Industrial Stormwater Practitioner that prepared the Level 2 Exceedance Response Action - Action Plan in the “QISP” tab. The “QISP” tab requires the use of the Qualified Industrial Stormwater Practitioner tool. Select the “Lookup QISP” button to open the search menu:

6 NOTE: If an incorrect attachment is uploaded, an attachment can be deleted by selecting “Delete” on the right.
A user can search using the criteria in the look-up tool and select the Qualified Industrial Stormwater Practitioner on the right. It is best to search using only one criterion. (e.g. last name only). If the person entered is not located, the user will have to talk to the Qualified Industrial Stormwater Practitioner and/or Office of Water Programs to verify if they have a current and valid certificate:

9. Once the Qualified Industrial Stormwater Practitioner has been identified through the search function, select the “Next” button:

10. The “Certify” tab provides a completion check of the Level 2 Exceedance Response Action - Action Plan submittal in progress:

7 NOTE: Office of Water Programs can be reached Monday-Friday 8:00 am to 4:00 pm at (916) 278-6142.
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 Exceedance Response Action - Action Plan (e.g. correct attachments uploaded). Any user with access to the report can perform this completion check. If a Data Entry Person performs the check and the Level 2 Exceedance Response Action - Action Plan is complete, SMARTS only allows the Data Entry Person to notify the Legally Responsible Person or Duly Authorized Representative (via a SMARTS generated email) that the Level 2 Exceedance Response Action - Action Plan is complete and ready for certification. A Data Entry Person completing this check will see the following message:

Once the Data Entry Person 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”:

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8 NOTE: Duly Authorized Representative means Duly Authorized Representative or Approved Signatory.
11. The Level 2 Exceedance Response Action - Action Plan must be certified and submitted by the Legally Responsible Person or Duly Authorized Representative\(^9\). To access the report to be certified, the Legally Responsible Person or Duly Authorized Representative must complete the same steps as outlined by steps 1-5 of this guide and select the Level 2 Exceedance Response Action - Action Plan that requires certification:\(^{10}\)

![Level 1 and 2 ERA Report(s):](image)

The Legally Responsible Person or Duly Authorized Representative must review the prepared Level 2 Exceedance Response Action - Action Plan for information accuracy, prior to continuing to the “Certify” tab to perform the completion check.

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\(^9\) **NOTE:** The Legally Responsible Person/Duly Authorized Representative must have a valid eAuthorization form on file to be able to certify the submittal.

\(^{10}\) **NOTE:** If the Data Entry Person has properly sent the Exceedance Response Action report for certification to the Legally Responsible Person/Duly Authorized Representative then they can also view reports ready for certification in the “Documents Ready for Certification” SMARTS menu option.
12. The Legally Responsible Person or Duly Authorized Representative certifies and submits the Level 2 Exceedance Response Action - Action Plan by selecting the check box, entering their user account password, answering a security question, and selecting the “Submit/Certify” button:

13. Upon successful submission of the Level 2 Action Plan, the following confirmation screen will display:
14. The user may upload an update to a submitted Exceedance Response Action - Action Plan by selecting the Report Action “Update” hyperlink when viewing the Waste Discharge Identification number’s report menu screen:

15. Select the “Add New Action Plan Update” button:
16. Select the “Upload Revised Action Plan” to upload the revised plan and include a reason for the update in the text box:

![Image of the Update Level 2 Information - Level 2 Action Plan screen]

17. The Legally Responsible Person or Duly Authorized Representative must certify and submit any Level 2 Exceedance Response Action - Action Plan updates by completing the “Certification & Submission Checklist” and entering the users SMARTS account security information:

![Image of the Certification & Submission Checklist and User Security Information]
18. A confirmation of certification screen will display once submitted: