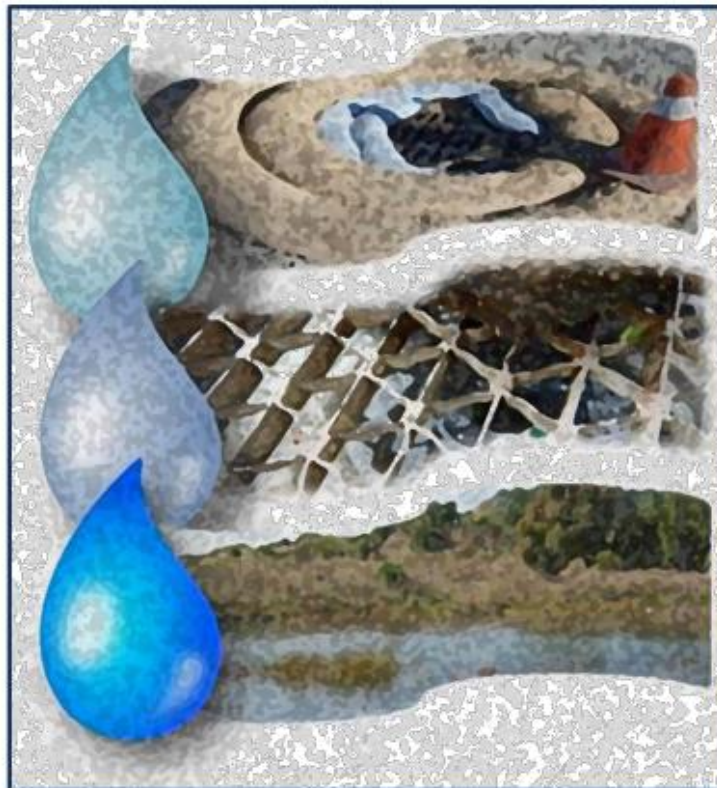


STATEWIDE INDUSTRIAL GENERAL PERMIT

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: April 13, 2020

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. 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 SMARTS¹. 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 parameter².

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

- (1) Obtain the assistance of a Qualified Industrial Storm Water Practitioner³ 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
- (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.

¹ **NOTE:** Emails from SMARTS are not a formal notice and Dischargers must track any Exceedance Response Action 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 Industrial General Permit when its discharge exceeds an NAL, 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.

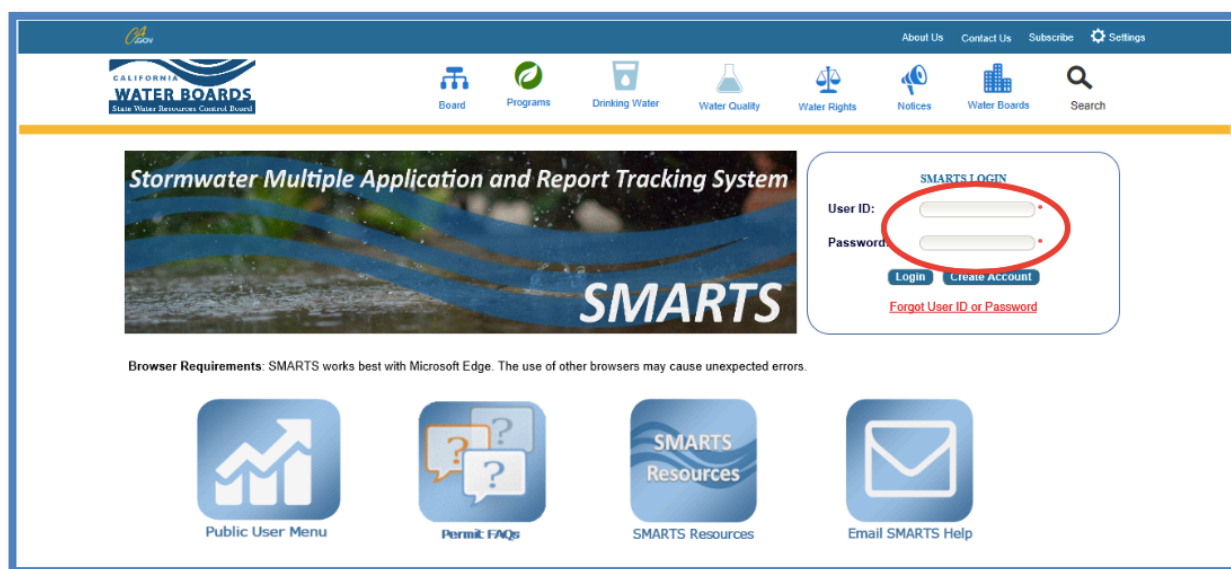
³ **NOTE:** Further information regarding the [Qualified Industrial Stormwater Practitioner training program](https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.shtml) is located on the State Water Board webpage at https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.shtml

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 Technical Report must be submitted and certified by the facility's Legal Responsible Person or the Duly Authorized Representative⁴. The following steps guide a Legally Responsible Person or Duly Authorized Representative to submit the Level 2 Exceedance Response Action Technical Report prepared by a Qualified Industrial Stormwater Practitioner:

1. Please log into [SMARTS](https://smarts.waterboards.ca.gov): <https://smarts.waterboards.ca.gov>
Please use SMARTS in Microsoft Edge



⁴ **NOTE:** Duly Authorized Representative means Duly Authorized Representative or Approved Signatory.

2. From the main menu, select “Reports”:

The screenshot shows the SMARTS main menu. The title bar reads "Water Boards Storm Water Multiple Application & Report Tracking System". Below the title bar, there is a "Help" link and a "Logout" link. A message states: "You are logged-in as: [blank] If this account does not belong to you, please log out." A "Navigate To:" dropdown menu is also present. The main content area is titled "Welcome to the Storm Water Multiple Application and Report Tracking System - SMARTS". It features a "Select Program to Access" sidebar with links: "Construction General Permit", "Industrial General Permit", "Municipal Phase I Permit", "Municipal Phase II Permit", "Caltrans MS4 Permit", "Documents Ready for Certification", "Reports" (circled in red), "Manage Linked Users", "Outstanding Invoices", "Recertification", "Update User Profile", and "Public Search Menu". To the right of the sidebar is a table titled "Last 10 Records Previously Saved" with columns: "Application ID", "Permit Type", "Document Type", "Facility Name", and "Status". The table is currently empty. At the bottom, there is a copyright notice: "© 2015 State of California. Conditions of Use. Privacy Policy."

3. Search for an Exceedance Response Action 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”:

The screenshot shows the "Reports Search" page. It includes a header "Reports Search" and a detailed instruction: "Enter the search criteria below. 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, you are not correctly linked to the WDID Number. Please contact the Legally Responsible Person to link you to the WDID number. Back to Main Menu". The search form contains the following fields: "Reporting Period" (dropdown menu set to "2018 - 2019", circled in red), "WDID:" (text input), "Report Status:" (dropdown menu set to "Select"), "Application ID:" (text input), and "Region:" (dropdown menu set to "All"). A "Search" button is located below the "Reporting Period" field and is circled in red. A red message states: "fields are mandatory". Below the search form, a red message reads: "Verify the Reporting Period before you begin working on a report." At the bottom, there is a copyright notice: "© 2018 State of California. Conditions of Use. Privacy Policy."

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 WDID number.

4. The user selects the facility to view by clicking on the “Facility Name”:

Reports Search

Enter the search criteria below. 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, you are not correctly linked to the WDID Number. Please contact the Legally Responsible Person to link you to the WDID number. [Back to Main Menu](#)

Reporting Period: 2018 - 2019 *
 WDID:
 Report Status: Select
 Application ID:
 Region: All

* fields are mandatory

Verify the Reporting Period before you begin working on a report.

Industrial Reports

Facility Name	WDID/App ID	Facility Address	Report Period	Status	No. Ad Hoc	Receipt Date	Remand	Delete
Fried Chicken People	5S091026330 467592	6543 Coop Lane	07/01/2018- 06/30/2019	Future				
Mine	5S341025869 459447	Not yours street	07/01/2018- 06/30/2019	Future				

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 Exceedance Response Action Technical Report and view the related exceedances:

Storm Water Annual Report Monitoring (SWARM)

Facility Name: _____ Operator Name: _____ WDID: _____
 Report Period: _____

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

Report ID	Report Type	Status	Due Date	Date Submitted	Submitted By	Remand
958628	Annual Report	Future	07/15/2019			

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

Report ID	Report Type	Status	Due Date	Date Submitted	Submitted By	Report Action	Remand
962042	Level 2 ERA Technical Report	Future	01/01/2019			Request Extension	

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.

Event ID	Event Type	Start Date & Time	End Date & Time	Status	Received Date	Remand	Delete
----------	------------	-------------------	-----------------	--------	---------------	--------	--------

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- 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:

Storm Water Level 2 ERA Technical Report

Facility Name: _____ Operator Name: _____ WDID: _____
 Report Period: 2018-19 Report Status: Future

General Info | Attachments | QISP | Certify | Status History | Back to Report Main

Level 2 Technical Report Demonstrations

Parameter Name

Total Suspended Solids (TSS) - Select one or more demonstrations

- ☒ Industrial Activity BMP Demonstration: Part 2.a.i-iii
- ☐ Industrial Activity BMP Demonstration: Part 2.a.iv
- ☐ Non-Industrial Pollutant Source Demonstration
- ☐ Natural Background Pollutant Source Demonstration

[Back](#) [Save & Next](#)

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- The electronic Level 2 Exceedance Response Action Technical Report 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:

Storm Water Level 2 ERA Technical Report

Facility Name: _____ Operator Name: _____ WDID: _____
 Report Period: 2018-19 Report Status: Future

General Info | **Attachments** | QISP | Certify | Status History | Back to Report Main

Please click on the “Upload Attachment” button to upload the corresponding files. [Upload Attachment](#)

Attached files: The following are the current documents related to the SWARM Report. Click on the Attachment ID to view them.

Attachment ID	File Type	File Title	Date Attached	File Description	Part No	Delete

[Back](#) [Next](#)

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The following is an example of a completed “SMARTS File Upload” screen⁵:

Water Boards Storm Water Multiple Application & Report Tracking System 2

SMARTS File Upload

WDID: Owner:

Please provide the following details to upload the corresponding files.

Attachment File Type *	Attachment Title *	File Description	Parts *	Document Date	File Name
Level 2 Technical Report	Level 2 Technical Report	Technical Report for Level 2 parameters	Part 1 of 1		
[SELECT]			Part 1 of 1		

Upload File

- File size should be less than 75MB. Those greater than 75MB will not be uploaded. MS Office, PDF, and Picture files are accepted. (PDF is recommended)
- Fields marked with * are mandatory fields.
- Please be advised that preliminary tests of the upload function suggest that large files could take a long time to upload. Our estimated upload times for a FAST

File Size	Estimated Time
5 MB	3 - 5 min.
25 MB	15 - 20 min.
75 MB (max size)	25 - 30 min.

Attached files: The following are the current documents related to the NOI. Click on the link to view them.

The user may select the “Attachments” tab to refresh the screen and verify that the attachment properly uploaded⁶. Once the upload verification is completed, select “Next”:

Storm Water Level 2 ERA Technical Report

Facility Name: Operator Name: WDID:

Report Period: 2018-19 Report Status: Future

General Info **Attachments** **Q/SP** **Certify** **Status History** **Back to Report Main**

Please click on the “Upload Attachment” button to upload the corresponding files. **Upload Attachment**

Attached files: The following are the current documents related to the SWARM Report. Click on the Attachment ID to view them.

Attachment ID	File Type	File Title	Date Attached	File Description	Part No	Delete
2097923	Level 2 Technical Report	Level 2 ERA Technical Report	May 8, 2018		1/1	Delete

Back **Next**

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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 (SWPPP) revisions please use the file type “SWPPP”. For all other Exceedance Response Action documents, use the file type “Supporting Documentation”.

⁶ **NOTE:** If an incorrect attachment is uploaded, an attachment can be deleted by selecting “Delete” on the right.

8. The user must enter the information for the Qualified Industrial Stormwater Practitioner that prepared the Level 2 Exceedance Response Action Technical Report in the “QISP” tab. The “QISP” tab requires the use of the Qualified Industrial Stormwater Practitioner 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 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 Programs⁷ to verify if they have a current and valid Qualified Industrial Stormwater Practitioner certificate:

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

⁷ **NOTE:** Office of Water Programs can be reached Monday-Friday 8:00 am to 4:00 pm at (916) 278-6142 or emailed at wateroffice@owp.csus.edu.

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

Storm Water Level 2 Technical Report

Facility Name: Operator Name: WDID:

Report Period: 2018-19 Report Status: Future

General Info Attachments QISP **Certify** Status History Back to Report Main

Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:

Perform Completion Check

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

Storm Water Level 2 ERA Technical Report

Facility Name: Operator Name: WDID:

Report Period: 2018-19 Report Status: Future

General Info Attachments QISP **Certify** Status History Back to Report Main

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.

Submit to LRP/AS

On Clicking the Send Email to LRP/AS button, the status of the document is updated as Not Submitted - certification required. An email is sent to the LRP/AS informing them that the data entry is complete.

Once the Data Entry Person 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”:

Storm Water Level 2 ERA Technical Report

Facility Name: Operator Name: WDID:

Report Period: 2018-19 Report Status: **Not Submitted - certification required**

General Info Attachments QISP **Certify** Status History Back to Report Main

Email successfully sent to LRP/AS!

Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:

Perform Completion Check

⁸ **NOTE:** Duly Authorized Representative means Duly Authorized Representative or Approved Signatory.

11. The Level 2 Exceedance Response Action Technical Report must be certified and submitted by the Legally Responsible Person or Duly Authorized Representative⁹. 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 Technical Report that requires certification:¹⁰

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

Report ID	Report Type	Status	Due Date
961035	Level 2 ERA Technical Report	Not Submitted - certification required	01/01/2019

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

Storm Water Level 2 ERA Technical Report

Facility Name: Mine Operator Name: Test WDID: 5S34I025869
 Report Period: 2018-19 Report Status: Not Submitted - certification required

General Info Attachments QISP **Certify** Status History Back to Report Main

Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:

[Perform Completion Check](#)

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

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 Technical Report by selecting the check box, entering their user account password, answering a security question (please note that answers to security questions are case sensitive), and clicking the “Submit/Certify” button:

Storm Water Level 2 ERA Technical Report

Facility Name: Mine	Operator Name: Test	WDID: 5S34I025869
Report Period: 2018-19	Report Status: Not Submitted - certification required	

[General Info](#)
[Attachments](#)
[QISP](#)
[Certify](#)
[Status History](#)
[Back to Report Main](#)

Completion/Error Check Completed: Report appears to be complete!

Select Certification & Submission check list

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

Certifier Details

Certifier Name:	Date Report Received: 11/03/2017
Certifier Title: Test	

Please answer your security question and password before certifying the document.

What was your High School Mascot?

Please enter your password

[Submit / Certify](#)

[Certify Later](#)

On Clicking the Certify Later button, the status of the document is updated to Not Submitted - certification required. You can certify the report by going to Documents Ready for certification in the Main Menu.

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

Storm Water Level 2 ERA Technical Report

Facility Name: Mine	Operator Name: Test	WDID: 5S34I025869
Report Period: 2018-19	Report Status: Submitted	

[General Info](#)
[Attachments](#)
[QISP](#)
[Certify](#)
[Status History](#)
[Back to Report Main](#)

Your electronic event Report has been successfully received by the State Water Resources Control Board's database and is hereby certified. Your confirmation information for this certification is as follows:

WDID	5S34I025869
Report Period	2017-18
Certifier Name	
Date Certified	11/03/2017
Certification ID	2018-19

All records must be retained for 5 years from the date of the report or monitoring activity.

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. The “Request Extension” option is only available to the Legally Responsible Person and Duly Authorized Representative. If additional time is required to complete the report, the Discharger must request an additional extension in writing from their local Regional Water Board.

Level 1 and 2 ERA Report(s):						
Click on the Report ID below to access the Report.						
Report ID	Report Type	Status	Due Date	Date Submitted	Submitted By	Report Action
961116	Level 2 ERA Technical Report	Future	01/01/2019			Request Extension

For additional assistance please contact the State Water Board Stormwater Helpdesk:

- Email: stormwater@waterboards.ca.gov
- Toll Free Phone Number: 1-(866)-563-3107