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 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 Exceedance Response Actions for that parameter. Level 2 status ERAs require the Discharger to:

1. Obtain the assistance of a Qualified Industrial Storm Water Practitioner 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 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 Representative. 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
   Please use SMARTS in Microsoft Edge

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4 NOTE: Duly Authorized Representative means Duly Authorized Representative or Approved Signatory.
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 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 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 Exceedance Response Action 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:

![Level 2 Technical Report Demonstrations](image1)

7. 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:

![Upload Attachment](image2)
The following is an example of a completed “SMARTS File Upload” screen:

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”:

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”.

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 Programs\(^7\) 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:

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:

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”.

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 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 Technical Report 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 Technical Report for information accuracy, prior to continuing to the “Certify” tab to perform the completion check:

![Storm Water Level 2 ERA Technical Report](image)

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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.

\(^{10}\) **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:

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. 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.

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

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