

eSMR2 Business Rules

A. General

These business rules pertain to the revised version of the Electronic Self Monitoring Reports (eSMR2) module of the California Integrated Water Quality System (CIWQS). At this time, eSMR2 is for submittal of monitoring reports that are submitted to comply with individual national Pollutant Discharge Elimination System (NPDES) reports. For more information on eSMR2, see the NPDES page of the CIWQS Internet, at http://www.waterboards.ca.gov/water_issues/programs/ciwqs/chc_npdes.shtml

This document addresses processes to be followed by both Regional Board staff and dischargers submitting to the eSMR. Sections B and D pertain to processes performed by Regional Board staff, while section C pertains to processes performed by Dischargers.

A successful eSMR submission is one that includes analytical and calculated data points, attachments and violation information as described in the introductory letter. Three consecutive successful eSMR submissions merit ceasing submittal of paper-copy reports to rely on submittal of electronic reports, to the extent described in the introductory and “successful submission” letters.

B. Setting Up Regulatory Measures for Receiving eSMRs

The following set-up must be completed by Water Board staff to enable electronic submittal of SMRs. Except for the creation of Discharger Points, which occurs in the Place Module of CIWQS, this set up is within the regulatory measure record that represents the permit for which reports are being submitted to comply with.

Requirements Tab

The requirements tab of the regulatory measure module is where regional board staff record what type of reports are required and when they are required.

Reporting Level^{*}

For eSMR2, the reporting level field must be set to “Level II.” Once this option is selected, the “save reporting level” button must be clicked in order for the change to take effect.

Official Reporting Date[#]

This date field records the date on or after which the discharger is required to submit monitoring reports electronically; the submission of paper reports after this date is not required.

This date is used for the performance measures reports for facilities to be “all electronic.” It is also used by the eSMR At-A-Glance report as a flag to determine which eSMRs to display.

Do not enter a date in this field until the facility is “all electronic.” After entering a date, click the “save date” button for the date to be saved.

^{*} Required field

For more information on creating report expectations, see the Setting Paper Requirements Business Rules

Historic Permits

When a permit is no longer in effect, change the regulatory measure status to “historic” and add a termination date to the date section of the record. During a nightly process, CIWQS will delete requirements after the termination date according to the following:

- Monthly reports – removes monthly reports due after the monthly reporting period during which the termination date falls
- Quarterly – removes the quarterly reports due after the quarterly reporting period during which the termination date falls
- Semi-annual – removes the semi-annual reports due after the monthly reporting period during which the termination date falls
- Annual – if the termination date is before July 1, the annual report for the given year is removed along with any future year’s reports. If the termination date is on or after July 1, the annual report for the reporting period during which the termination date falls remains, but future year’s reports are removed.

For example, a termination date of 03/07/2007 would remove the Annual 2007 report (and any future annual reports), but keep the Q1 2007 report and the March 2007 report. Quarterly and monthly reports after Q1 and March would be removed.

Keep the regulatory measure “eSMR activated” so the submitted reports can be accessed.

Report Requirements and Frequency - Recommendation

Separate reports should be created for monthly, quarterly, semi-annual, and annual requirements, according to the monitoring frequency. For example, if flow and pH are required monthly and toxicity is required annually, create monthly reports for each report where flow and pH are submitted and an annual report where the toxicity data is submitted. This allows you to more easily evaluate the completeness of each submitted data set.

Discharge Points*

Discharge points must be created as a place record with the place type of Discharge Point. The Discharge point place record must be related to the regulatory measure with the role/relationship of “dischargers under.”

Discharge points must:

- Be related to a facility
- Have a latitude and longitude designation
- Have a Regional Water Board
- Have a description that uniquely identifies it

Monitoring Locations*

Monitoring locations must be created on the Monitoring Locations tab of the regulatory measure. Monitoring locations that are used to monitor a discharge, associate the discharge point on the monitoring location screen.

Monitoring locations must be created in accordance with the following.

Monitoring Location Type

- Effluent Monitoring – monitoring of discharged water
- Groundwater Monitoring – monitoring of groundwater, either as receiving water or ambient water
- Influent Monitoring – monitoring of wastewater before treatment
- Internal Process Monitoring for Effluent Limitation Guidelines
- Receiving Water Monitoring
- Water Supply – monitoring of water being used
- Vadose Zone – Soil pore monitoring

Monitoring Location Name

- Where possible, use what is in the permit. If the name is too long, then use the following:
- Influent (INF-001, INF-002)
- Effluent (EFF-001, EFF-002 for different outfalls, or EFF-001A, EFF-001B for different monitoring locations on the same outfall). Effluent monitoring locations must be related to discharge points. Discharge point 001 is associated with EFF-001A and EFF-001B, etc.
- Internal (INT-001, INT-002...)
- Receiving Surface Water (RSW-001, RSW-002, etc.; optionally RSW-001U, RSW-001D, RSW-002U, RSW-002D, etc. for upstream and downstream reference in a stream or river)
- Receiving Ground Water (RGW-001, RGW-002...)
- Discharge to land (LND-001, LND-002...)
- Reclamation Discharge (REC-001, REC-002...)
- Water Supply Monitoring (SPL-001, SPL-002...)

C. Completing Reports

The submitted eSMR must contain the information required by the permit.

Generally, reports and information that are scheduled to be submitted should be submitted through eSMR, either as discrete data points or as attachments, while ad-hoc reports should be submitted separately.

Unless otherwise noted by the regional board, below are types of submissions and the corresponding reporting methods.

	Report Type	Reporting Method
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1.	Monitoring Report – Monitoring Locations/types <ul style="list-style-type: none"> • Influent • Effluent • Internal process • Water Supply • Receiving water (water column) for less than 20 points, • Soil monitoring (for less than 20 points) 	Data points
2.	Monitoring Reports – Monitoring Locations/types <ul style="list-style-type: none"> • More than 20 monitoring locations of any single monitoring type, • Biologic assessment 	Attachment
3	Pollution Prevention Plan	Attachment
4	Pollutant Scans	
5	Effluent and Ambient Priority Pollutants	Data points
6	Discharge Observations	Attachment
7	Regional Monitoring Program Monitoring	Separately
8	Dioxin Monitoring (Data from labs should be data points, weighted values and calculations for cogenerators can be attachments. Calculations to show compliance with limits shall be data points.)	Data Points/Attachment
9	Thermal Monitoring	Data Points
10	Treatment Pond/Lagoon Monitoring (See #1 and 2 above)	Data Points
11	Storm Water Monitoring	Data Points
12	Biosolids/sludge report (application and monitoring)	Attachment
13	Planned Changes	Separately
14	Technical reports - Required	Attachment to a technical eSMR report
15	Technical reports - Optional	Separately, non eSMR
16	Pretreatment Reports/monitoring	Attachment
17	Pollutant Minimization Program	Attachment

18	Accelerated monitoring	Data points
19	Toxicity Reduction Evaluation	Separately
20	Special studies (mixing zones, dilutions studies, sediment monitoring) - Required	Attachment to a technical eSMR report
21	Special studies (mixing zones, dilutions studies, sediment monitoring) - Optional	Separately

“Data points” refer to using either the analytical or calculated data tab in an eSMR2 report so that the data is “usable” and resides in CIWQS tables.

“Attachment” refers to the use of the attachments tab within an eSMR report. The attachment can be in any accessible format.

“Separately” refers to submitting information apart from eSMR and CIWQS.

No Discharge[#]

Days on which there was not a discharge from the regulated facility, must be indicated using the calendar on the No Discharge tab.

Calculated vs. Analytical

Analytical data shall be recorded as a “single” data type. Flow data, when reported as the total flow for the day, shall be recorded as a “single” data type. When flow data is reported as the average daily flow, it shall be recorded as a calculated data type.

For parameters measured continuously, except flow, report the data as “instantaneous” calculation types (minimum and/or maximum, as required by the Monitoring and Reporting Program). Record the average for the day as well, if required.

If a needed parameter is not found within CIWQS, contact the CIWQS Help Center (CHC) to report the needed parameter and upload the data as an attachment.

If a needed analytical method isn’t found in the drop down list, contact CHC to report the needed analytical method, use “Data Unavailable” to report the data, and upload lab sheets as an attachment.

Review Priority Indicator

Each analytical and calculated data point allows the user to check the “Review Priority Indicator” box to alert the reviewer of a noteworthy data point. Data points that have this flag are not necessarily exceedances, but can be any item that should be specifically looked at. Flags should be accompanied by a comment, either at the data point level or in the cover letter.

[#] Conditionally required field/entry

Sample time[#]

For those permits that specify reporting of sample time as a requirement, you must report the sample time, but you may round to the nearest minute. For grab samples, use the time that you collect samples. For composite samples, use the beginning of the compositing period

Non Detected Values (ND)

When a qualifier of “ND” is entered into either the analytical data tab or the analytical tab of the Permittee Entry Tool (PET), the Method Detection Limit (MDL) must also be entered.

Detected But Not Quantified (DNQ)

When a qualifier of “DNQ” is entered into either the analytical data tab or the analytical tab of the PET, the MDL and either the Minimum Level (ML) or the Reporting Limit (RL) must also be entered.

Self-Determined Violations[#]

It is the responsibility of the Discharger to enter violations on the “Violations Tab” of an eSMR report. The violations that are entered in the violation tab satisfy the requirement to report violations. This information does not have to be repeated in the cover letter.

Cover Letter^{*}

A cover letter is required, either as an attachment or entered within the field provided on the submittal tab of an eSMR report. Information to be conveyed to the regional board case manager should be included in the cover letter. If violations have been entered with complete entries on corrective actions and time frames, that information does not need to be repeated in the cover letter.

Technical Problems

The submittal will not be considered late if the lateness was attributable entirely to the eSMR system being down just prior to the submittal deadline. To qualify for this exception, the Discharger must have promptly notified CHC by e-mail, or other appropriate means, upon discovering that eSMR was not functional and demonstrate that the lateness of the submittal was entirely attributable to unavailability of the eSMR system. Additionally, CHC must concur that the system was unavailable for that time period and will maintain a permanent record of the down time. The discharger will have a reasonable time to complete the submittal upon restoration of the eSMR system to full functionality.

Extensions may be given if there are other special system circumstances. Such extensions will be communicated using notices on the login screen.

D. Reviewing Reports

When a report has been submitted, the related party with the role/relationship of staff to the regulatory measure will receive an automatically generated email. The email includes information on any violations reported by the discharger

If additional violations are found during review of the report, violation records must be created. Violations that were created by the discharger may also be dismissed by Water Board staff if the data does not confirm the violation.

Report Reviewed Date[#]

If the report has been reviewed by Water Board staff for permit compliance, the date on which it was reviewed must be recorded on the Water Board notes tab.


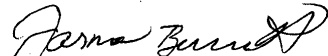
Report Reviewer[#]

If the report has been reviewed by Water Board staff for permit compliance, the name of the person that performed the review must be recorded on the Water Board notes tab..

Reviewed reports counts may be generated using this information.

Withdrawing Reports

Dischargers may request that reports be withdrawn, meaning they revert to status of “in-progress“. If this reversion is performed and resubmitted after the due date, one or more of the monitoring points may be considered late. This will be determined on a case by case basis, depending on the data submitted late.

APPROVAL SECTION			
Approver	Printed Name	Signature	Date
Business Rules Team	Committee Members Present	Approved as Meeting Agenda Item	5/3/11
CIWQS Quality Assurance Lead	Eric Maag		5/3/11
Statewide CIWQS Coordinator	Jarma Bennett		5/3/11

Summary of Changes

Version	Summary of Major Changes	Date
1	Original version controlled document	9/15/2009
2	<ul style="list-style-type: none"> • Addition of “Official Reporting Date” • Clarification of system behavior when a termination date is added to the regulatory measure 	5/3/2011