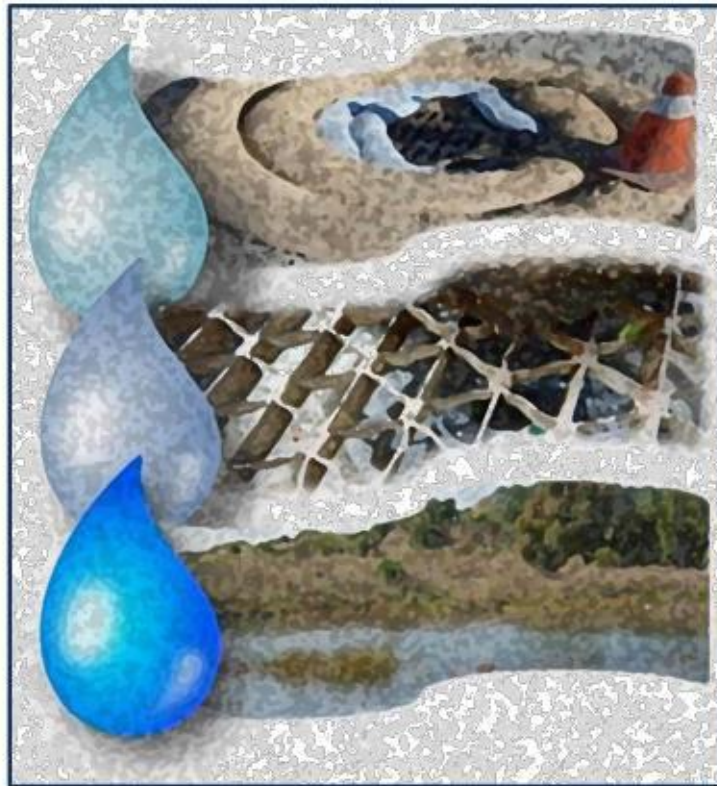


STATEWIDE INDUSTRIAL GENERAL PERMIT

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: March 2024

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 ERA - 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 ERA Technical Report into SMARTS by January 1 following the submission of the Level 2 ERA - 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.

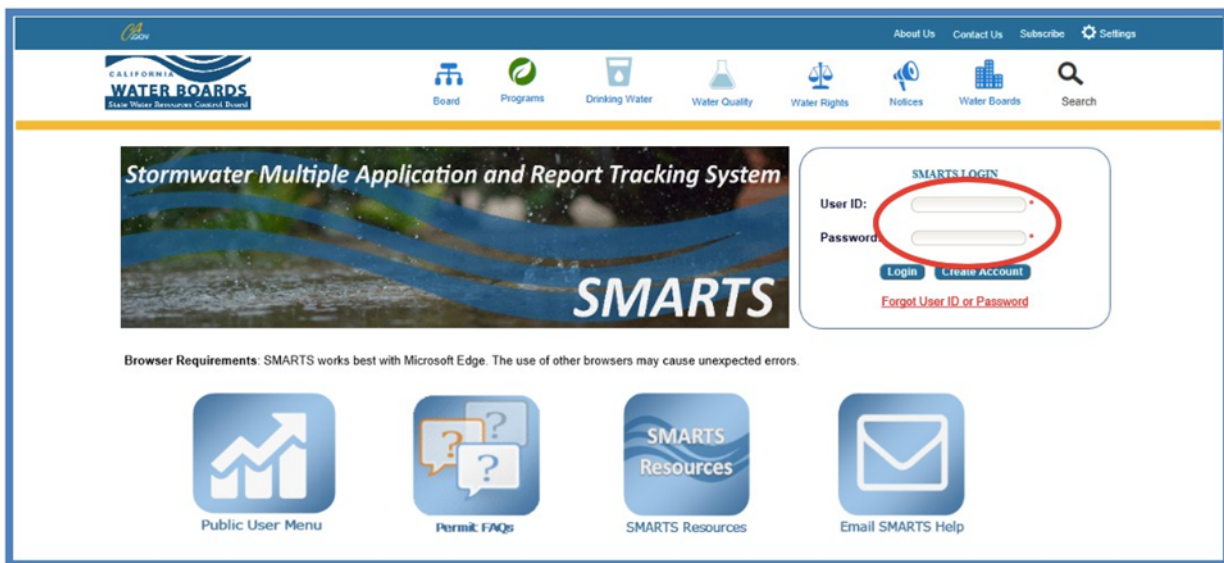
³**NOTE:** Further information regarding the Qualified Industrial Stormwater Practitioner (QISP) training program is located on the [State Water Board webpage](https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.shtml) at (https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.shtml)

WA Qualified Industrial Stormwater Practitioner (QISP) must satisfy one of the following criteria to be qualified to assist a Discharger with the Exceedance Response Action process, and to prepare ERA – Technical Report 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 ERA 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 ERA Technical Report prepared by a Qualified Industrial Stormwater Practitioner:

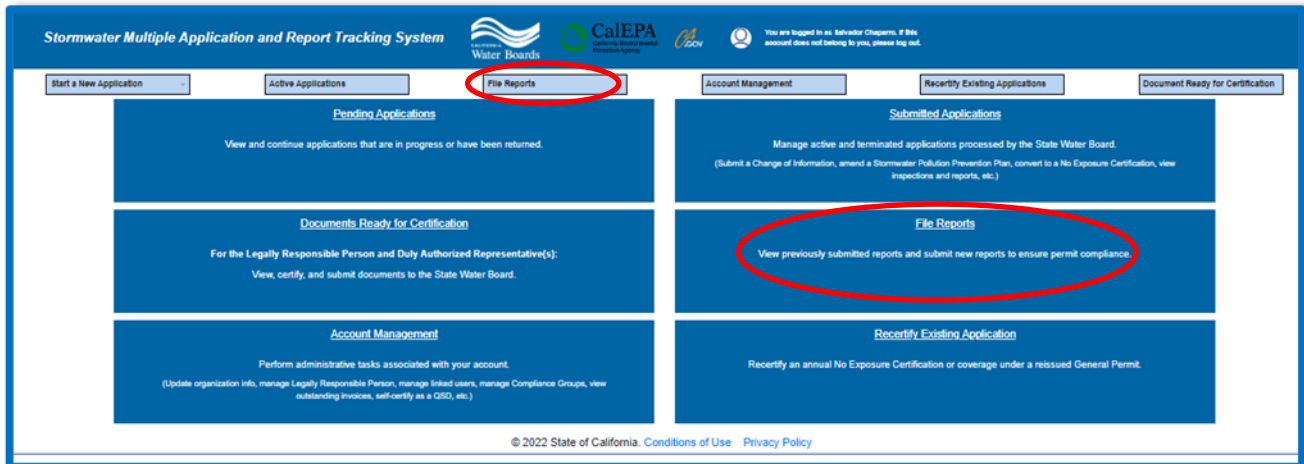
1. Please log into [SMARTS](https://smarts.waterboards.ca.gov): (<https://smarts.waterboards.ca.gov>)
Browser Requirements: SMARTS best works with Google Chrome or Microsoft Edge. Use of other browsers may cause unexpected errors



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

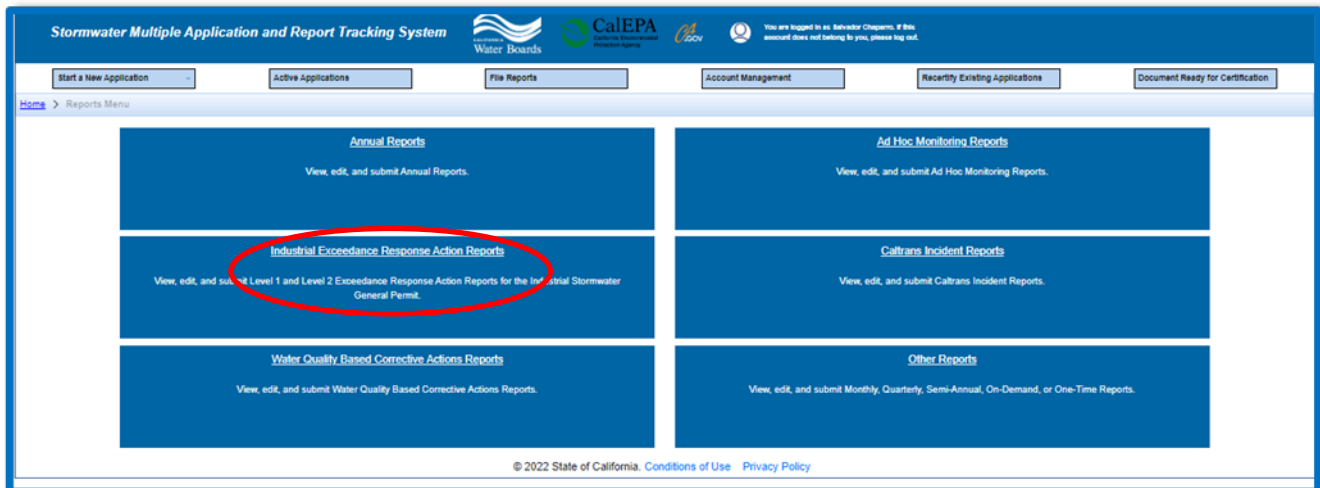
2. SMARTS Main Menu

Select “File Reports” from one of (2) locations:



3. Reports Menu

Select “Industrial Exceedance Response Action Reports”:



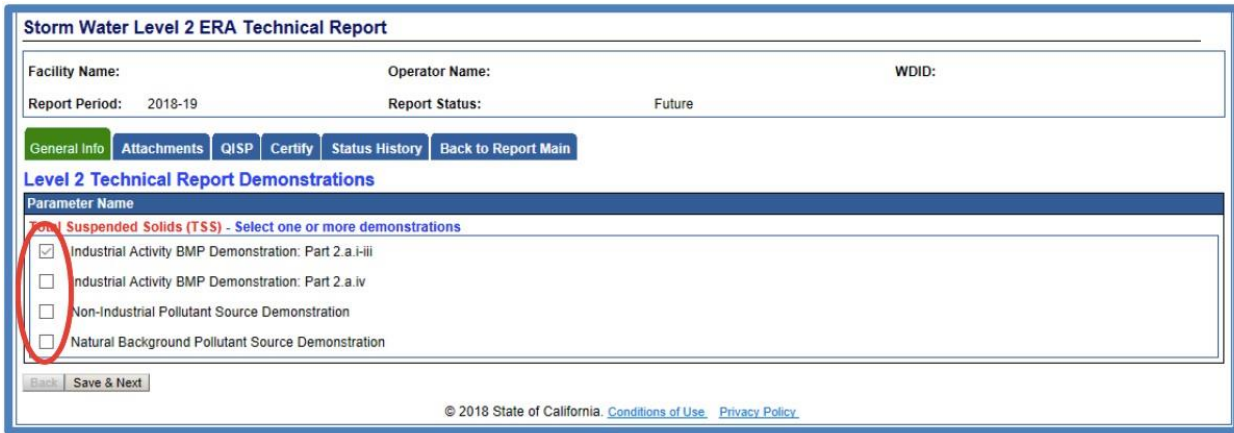
4. Industrial ERA Reports

The Level 1 and Level 2 reports associated with the facility will display if the facility had any Numeric Action Level (NAL) exceedances during the prior reporting year. By selecting the “Report ID” hyperlink, the user can view/start the ERA Report and view the related exceedances:



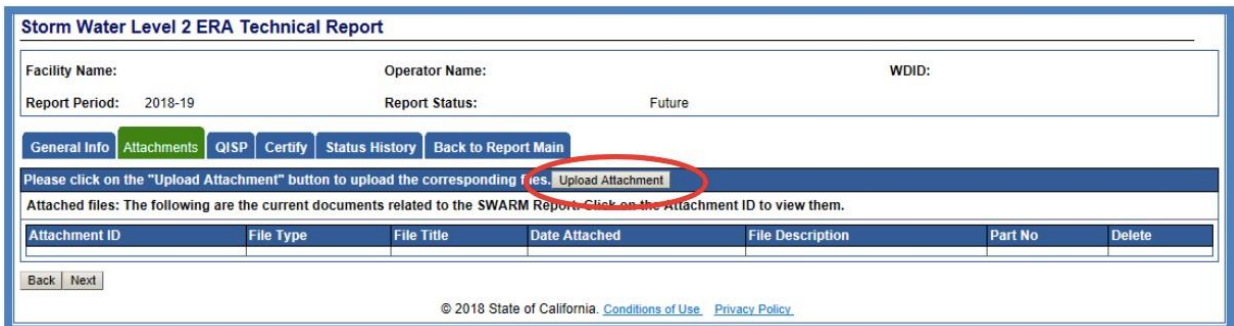
5. General Info

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:



6. Attachments

The 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:



The following screenshot is an example of the “SMARTS File Upload” pop-up window that is completely filled out:

- Select “**Choose File**” and locate the file on the computer and select it.
- **Attachment File Type:** “Level 2 ERA Technical Plan”. 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”.
- **Attachment Title:** Enter the title of the document.
- **Upload Files:** Select “Upload Files” when all attachments are ready to be uploaded.

Storm Water Level 2 ERA Technical Report

Facility Name: Test Operator Name: Test WDID: 5S341025848
Report Period: 2024-25 Report Status: Future

Request Extension

General Info Attachments QISP Certify Status History Back to Search

Please click on the "Upload Attachment" button to upload the corresponding files.

Attachment File Type	Attachment Title	File Description	Part No.	Document Date	File Name
Level 2 Technical Report	Level 2 Technical Report	Technical Report for Level 2 Parameter	Part 1 of 1		Choose File No file chosen

Upload Files Cancel Add New Row

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	File Description	Document Date	Part No.	Date Attached	Upload By	Delete
No records found.								

Back Next

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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”:

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
2092923	Level 2 Technical Report	Level 2 ERA Technical Report	May 8, 2018		1/1	Delete

Back Next

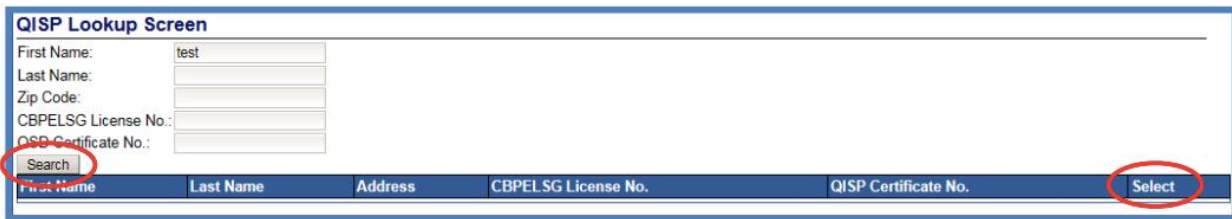
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NOTE: If an incorrect attachment is uploaded, an attachment can be deleted by selecting “Delete” on the right.

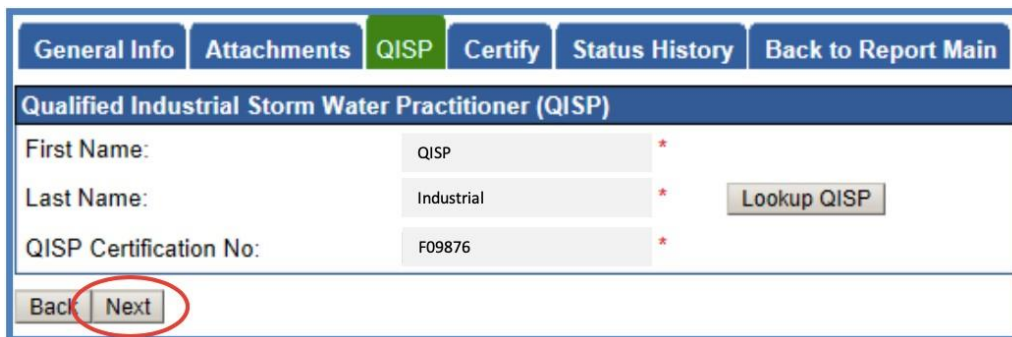
- The user must enter the information for the Qualified Industrial Stormwater Practitioner that prepared the Level 2 Exceedance Response Action Technical Report in the “QISP” tab. The “QISP” tab requires the use of the Qualified Industrial Stormwater Practitioner lookup tool. Select the “Lookup QISP” 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 Programs⁵ to verify if they have a current and valid Qualified Industrial Stormwater Practitioner certificate:



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



⁵**NOTE:** Office of Water Programs can be reached Monday-Friday 8:00 am to 4:00 pmat (916) 278-6142 or emailed at wateroffice@owp.csus.edu

9. Certify

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

The screenshot shows the 'Storm Water Level 2 Technical Report' interface. At the top, it displays 'Facility Name:', 'Operator Name:', and 'WDID:'. Below that, 'Report Period: 2018-19' and 'Report Status: Future'. A navigation bar includes 'General Info', 'Attachments', 'QISP', 'Certify' (highlighted in green), 'Status History', and 'Back to Report Main'. Below the navigation bar, a message reads: 'Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:'. A button labeled 'Perform Completion Check' is circled in red.

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 performs the check and the Level 2 ERA 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 ERA Technical Report is complete and ready for certification.

A Data Entry Person completing this check will see the following message:

The screenshot shows the 'Storm Water Level 2 ERA Technical Report' interface. It displays the same header information as the previous screenshot. The navigation bar is the same. Below the navigation bar, a green message reads: '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.' Below this message, a button labeled 'Submit to LRP/AS' is circled in red. Below the button, a message reads: '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”⁶ and the status changes to “Not Submitted – certification required”:

The screenshot shows the 'Storm Water Level 2 ERA Technical Report' interface. The 'Report Status' is now 'Not Submitted - certification required', which is circled in red. The navigation bar is the same. Below the navigation bar, a message reads: 'Email successfully sent to LRP/AS!'. Below this message, the same text as in the previous screenshot is present: 'Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:'. The 'Perform Completion Check' button is still present and circled in red.

⁶ **NOTE:** Duly Authorized Representative means Duly Authorized Representative or Approved Signatory

10. LRP or DAR Certification

The Legally Responsible Person/Duly Authorized Representative must have a valid eAuthorization form on file to be able to certify. The LRP or DAR must review the prepared Level 2 Technical Report for information accuracy, prior to certifying the Level 2 technical Report. There are two options for the LRP or DAR to submit the Level 2 Technical Report:

- a. If the DEP has properly sent the Level 2 Technical Report for certification to the LRP or DAR and set the report status to “Not Submitted – certification required”, the LRP or DAR may access the “Documents Ready for Certification” SMARTS menu option. Here the LRP or DAR can see all items marked for their certification.
 - Select the report to certify by checking the box next to the Report ID.
 - Check the box next to the certification statement, answer the security questions, and enter the user account password.
 - Click “Certify Selected” to submit the report.

Level 1 and 2 ERA Reports

Select	Report ID	Report Name	Reporting Period	WDID	Operator Name & Address	Facility/Site Name & Address
<input type="checkbox"/>	906407	Storm Water Level 1 Report for 2016 - 2017	07/01/2016 00:00 - 01/01/2017 00:00	5534025848	Test 1001 I St Sacramento CA 95814	Test 1001 I St Sacramento CA 95814
<input checked="" type="checkbox"/>	1279830	Storm Water Level 2 Technical Report for 2024 - 2025	01/01/2024 00:00 - 12/31/2024 00:00	5534025848	Test 1001 I St Sacramento CA 95814	Test 1001 I St Sacramento CA 95814

NOTs

Select	NOT ID	WDID	Permit Type	Facility/Site Name & Address	Operator Name & Address	NOT PDF
<input type="checkbox"/>	96861	SF10C403109	Construction	Gates Substation Bank 11 Install and Q1479 Key Storage West Jayne Avenue and South Lake Avenue Huron CA 93234	Pacific Gas and Electric Company 300 Lakeside Drive Oakland CA 94612	NOT PDF
<input type="checkbox"/>	96862	SS29LC000018	Regionwide Construction	WRM - Brunswick 110651486 PH 5.1 You Bet Road Grass Valley CA 95945	Pacific Gas and Electric Company 300 Lakeside Drive Oakland CA 94612	NOT PDF

COIs

Select	COI ID	COI Type	WDID	Facility/Site Name & Address	Operator Name & Address	COI PDF
<input type="checkbox"/>	100250	NOI	5R32C402297	Caribou Road - Slide 2 Road Repair Plumas County, California Belden CA 95984	Pacific Gas and Electric Company 300 Lakeside Drive Oakland CA 94612	COI PDF
<input type="checkbox"/>	100893	NOI	5534C373653	Boo Boo 11020 Sun Center Drive Rancho Cordova CA 95670	Test 1001 I St Sacramento CA 95814	COI PDF
<input type="checkbox"/>	100842	Organization				COI PDF
<input type="checkbox"/>	100037	Organization				COI PDF

Certification & Submission Checklist

You can now certify the above documents by completing the form below:

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 gather and evaluate the information submitted. Based on my inquiry of the persons who manage the system or those persons directly responsible for gathering the information, to the best of my knowledge and belief, the information submitted is, 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. I am also aware that my user ID and password constitute my electronic signature and any information I indicate I am electronically certifying contains my signature. I understand that my electronic signature is the legal equivalent of my handwritten signature. My signature on this form certifies that my electronic signature is for my own use, that I will keep it confidential, and that I will not delegate or share it with any other person. Should I wish to delegate such authority, I will do so formally in writing and electronically notify the State Water Board using SMARTS of such delegation within 10 days of the delegation. I further certify that I will protect my electronic signature from unauthorized use, and that I will contact the State Water Board, within two business days of discovery, if I suspect that my electronic signature has been lost, stolen, or otherwise compromised.

Certified By

Certifier Name: Salvador Chaparro
 Certifier Title: Discharger Test
 Date: 03/22/2024

Please answer your security question before certifying the document.

What is the name of a college you applied to but did not attend? *

Enter your password: *

- b. If the report is not listed in the “Documents Ready for Certification” section, the LRP or DAR may access the report directly. Same instructions as steps 2-4.
 - Log in and go to “File Reports” in the main menu.
 - Go to “Industrial Exceedance Response Action Reports”.
 - Locate the applicable “Report ID” number.
 - Click on the “Certify” tab and perform the completion check.
 - After reading the certification statement check the box, answer the security questions, and enter the user account password.
 - Click Submit/Certify

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.

11. 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.

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

12. Update Level 2 Technical Report

The user may upload an update to a submitted Level 2 ERA – Technical Report by:

- Logging into SMARTS
- From the main menu, select “File Reports”
- Select “Industrial Exceedance Response Action Reports” (same instructions as steps 2-4).
- Select “View Submitted Reports” as shown below
- Select the Report ID you would like to update

Start a New Application | Active Applications | File Reports | Account Management | Recertify Existing Applications | Documents Ready for Certification

Home > Reports Menu > Industrial ERA Reports

[View Submitted Reports](#)

Industrial ERA Reports - Outstanding

Report ID	Report Name	Report Status	Parameter	Operator/Owner Name & Address	Facility/Site Name & Address	WDI/App ID
1288004	Storm Water Level 1 Report for 2023 - 2024	Future	Total Suspended Solids (TSS)	Sealed Air Corporation	Sealed Air Corporation 1835 W Almond Avenue Madera CA 93637	5F201024332
900407	Storm Water Level 1 Report for 2016 - 2017	Not Submitted - certification required	Lead, Total (Recoverable), Zinc, Total (Recoverable)	Test	Test 1001 I St Sacramento CA 95814	5S341025848

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13. Select the “Update Technical Report” tab and then select the “Add New Technical Report Update” button:

You are logged-in as: Salvador Chaparro
 If this account does not belong to you, please log out.

Storm Water Level 2 ERA Technical Report

Facility Name: Test | Operator Name: Test | WDI: 5S341025848
 Report Period: 2024-25 | Report Status: Submitted

General Info | Attachments | QJSP | Certify | Status History | [Update Technical Report](#) | Back to Search

The following are the updated technical reports associated with this record. Click on the Update ID to view the details.

[Add New Technical Report Update](#)

Update ID	Submitter	Submitted Date	Status of Document	Reason For Change	Delete

[Back] [Next]

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14. Select the “Upload Revised Technical Report” to upload the revised report as an attachment and include a reason for the update in the text box:

Update Level 2 Information - Level 2 Action Plan/Technical Report

Update ID: 5762 Status of Document: Not Submitted Submitter: Operator: Test
Action Plan Type: Update Level 2 Action Plan Action Plan Update Date: WDID: 5S34I025848 Facility: Test

1001 | St Sacramento CA 95814
1001 | St Sacramento CA 95814

[Update Technical Report](#) [Certify](#) [Status History](#) [Back to Report](#)

Please click on [Upload Revised Technical Report](#) to upload new or revised Technical Report attachment(s). **Upload Revised Technical Report**

The following is the current new or revised Technical Report attachment(s) that will be uploaded when certified. Click on the links to view them.

Attachment ID	File Type	File Title	File Description	Document Date	Part No.	Date Attached	Upload
No records found.							

Reason For Update:

[Save & Continue](#)

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15. The Legally Responsible Person or Duly Authorized Representative must certify and submit any Level 2 ERA – Technical Report updates by completing the “Certification & Submission Checklist” and entering the users SMARTS account security information:

Update Level 2 Information - Certification

Update ID: 5762 Status of Document: Not Submitted Submitter: Salvador Chaparro Operator: Test
Action Plan Type: Update Level 2 Action Plan Action Plan Update Date: 03/22/2024 WDID: 5S34I025848 Facility: Test

1001 | St Sacramento CA 95814
1001 | St Sacramento CA 95814

Change of Information (COI) perform completion check complete. Your application appears to be complete. Certify the COI to submit to Water Board.

[Update Technical Report](#) [Certify](#) [Status History](#) [Back to Report](#)

Certification & Submission Checklist:

Check	Question Text
<input checked="" type="checkbox"/>	I certify under penalty of law that this document and all attachments were prepared under the direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and 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 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.
<input checked="" type="checkbox"/>	I am also aware that my user ID and password constitute my electronic signature and any information I indicate I am electronically certifying contains my signature. I understand that my electronic signature is the equivalent of my handwritten signature. My signature on this form certifies that my electronic signature is for my own use, that I will keep it confidential, and that I will not delegate or share it with any other person. Should I be granted such authority, I will do so formally in writing and electronically notify the State Water Board using SMARTS of such delegation within 10 days of the delegation. I further certify that I will protect my electronic signature from unauthorized use, and that I will contact the State Water Board, within two business days of discovery, if I suspect that my electronic signature has been lost, stolen, or otherwise compromised.

Certified By:

First Name:	Salvador	Last Name:	Chaparro
Title:	Discharger Test	Date:	03/22/2024

Please answer your security question before certifying the document.

What city were you born?

Please enter your password

[Certify COI](#) [Certify Later](#)

On Clicking the Certify Later button, the status of the document is updated to Not Submitted - certification required. You can later certify it in bulk by going to Applications submitted to LRP for certification (NOI, NOT, Annual Report, Ad in Pending Documents link in the Main Menu.

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

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