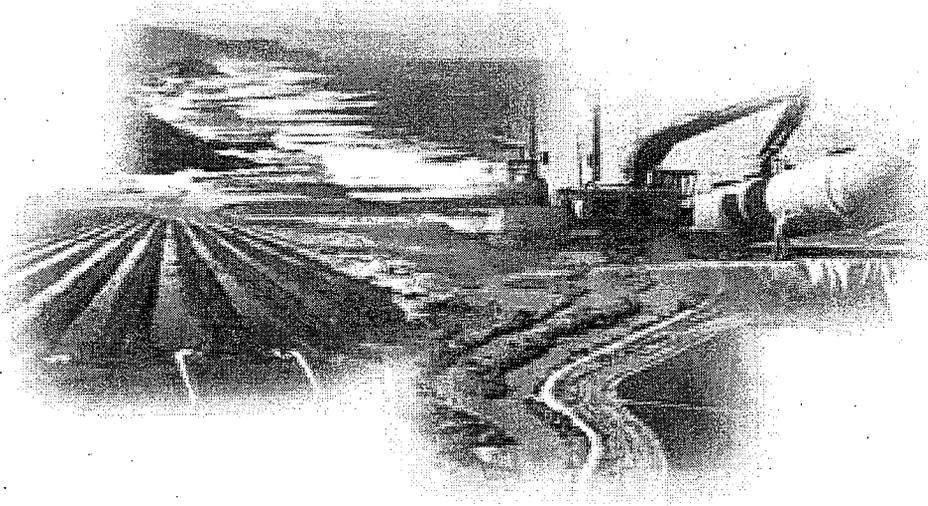


**State of California
Water Resources Control Board**



**California Integrated Water Quality System
Inspections User Guide**

Introduction

This user guide is designed to train you in the use of the Inspections Module. Inspections are events where Water Board staff, or contractors, visit a discharger facility to determine if they are in compliance. The facilities inspected may or may not be regulated under an existing regulatory measure. For more information on Inspections, see the Enforcement Policy at:

http://www.waterboards.ca.gov/water_issues/programs/enforcement/

The following information describes how to properly enter inspections into CIWQS so the information (who, what, where, when) can be easily accessible to CIWQS users and by the CIWQS Reports.

This document starts by highlighting the required fields according to the business rules and then gives a field by field, tab by tab explanation of how to enter an inspection record. For more information on the business rules, consult the business rules intranet page at: <http://waternet/oit/ciwqs/html/business.html>

I. Business Rules (Required Fields/Links)

General Information Tab

- Inspection Type
- Agency Type
- Related Program (at least one)
- Regulatory Measure (only required if inspection is assessing compliance with Regulatory Measure)
- Inspection Summary (may display in reports)

Related Parties Tab

- Linked People
 - ❖ Must have one, but only one, "Inspector (Lead)"
 - ❖ All Inspectors marked "Attended"

Alleged Inspection Violations Tab

- Violations that were discovered during the inspection must be linked to the inspection record on this tab.

Attachments Tab

- Completed inspection reports must be attached to the inspection record.

II. Data Entry Process

General Information Tab

Business Rules (Required Fields):

- Inspection Type
- Agency Type
- Related Program (at least one)
- Regulatory Measure (only required if inspection is assessing compliance with Regulatory Measure)
- Inspection Summary (may display in reports)

Instructions:

1. From the Main Menu of CIWQS select the "Create/Maintain Inspections" hyperlink. It should be near the center of available choices.

Main Menu

- [Submit/Review a Self Monitoring Report \(SMR\)](#)
- [Run Reports](#)
- [View/Change My Personal Information](#)
- [Create/Maintain Places](#)
- [Create/Maintain Parties](#)
- [Create/Maintain Regulatory Measures](#)
- [Create/Maintain Violations](#)
- [Create/Maintain Inspections](#)
- [Create/Maintain Invoices](#)
- [Create/Maintain Discharger Events](#)

2. When the initial inspections screen appears, you have the option of either creating a new inspection record, or searching for an existing record.

Inspection Search

[Create An Unplanned Performed Inspection](#)

Or

Enter any search criteria and click "Search".

Inspection ID:

Place:

[\[Advanced Search >>\]](#)

- a. To search for an existing inspection record, enter the inspection ID or select a place and press "Search." For more search criteria click the "[Advanced Search>>]" hyperlink.

Enter any search criteria and click "Search".

Inspection ID:

Place:

[\[Advanced Search >>\]](#)

- b. The search results returned display ten at a time and are limited to 300 records. You can choose to see more records at a time, a specific set of the results, sort the results using the column headings, or export the results to Excel. Exporting the results will export all of the records that meet your criteria, even if over 300 results are returned. To open an inspection record click on the Inspection ID hyperlink.

Your query has been limited to 300 results. You may add additional search criteria to further target your search results. [Export to Excel](#) [Show](#)

Search Results previous 1-10 of 300

Inspection ID	Place	Inspection Type	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	Staff Assigned	Inspection Performed?
278545	Dayton Superior Specialty Chemical (Formerly Edoco)	E Type compliance inspection	06/12/2000	06/12/2000	06/12/2000	06/12/2000	Ana Zaskodna	Yes
278546	Dayton Superior Specialty Chemical (Formerly Edoco)	E Type compliance inspection	06/12/1998	06/12/1998	06/12/1998	06/12/1998	Jose Morales	Yes
278547	Dayton Superior Specialty Chemical (Formerly Edoco)	E Type compliance inspection	12/06/1996	12/06/1996	12/06/1996	12/06/1996	Jose Morales	Yes
278548	Electronic Chrome & Grinding	E Type compliance inspection	06/05/2000	06/05/2000	06/05/2000	06/05/2000	Manjulika Chakrabarti	Yes
278549	M & M Service Station - 76	E Type compliance inspection	05/17/2000	05/17/2000	05/17/2000	05/17/2000	Elijah Hill	Yes
278550	M & M Service Station - 76	Prerequisite inspection	05/31/2001	05/31/2001	05/31/2001	05/31/2001	Thanhloan Nguyen	Yes
278551	LA Refinery, Wilmington Plant	A Type compliance inspection	07/01/2001	07/31/2001	09/27/2001	09/27/2001	Jose Morales	Yes

- c. To create a new inspection, press the "Create An Unplanned Performed Inspection" button.

Inspection Search

[Create An Unplanned Performed Inspection](#)

3. After choosing to create a new inspection, you will be taken to the Inspection's General Information tab. The first required task in creating a new inspection is linking a place to the inspection record. To do this, press the "Select Place" button.

Inspection Entry | Related Parties | Alleged Inspection Violations | Documents | Attachments

[Save](#) [Select Place](#)

Place: *

Inspection Type: *

Lead Inspection Type: *

Status: *

Inspection Dates (Planned): to Workplan Comr

Inspection Dates (Actual): to

Inspection Result:

- After pressing the "Select Place" button you will be taken to the place search screen. From here enter the relevant information and press "Search" to find the appropriate place for your inspection record.

Enter any search criteria and click "Search".

Place ID:

Identifier: Identifier Type:

Place Name:

Place Type:

Physical Address:

City: Zip: County:

Regional Water Board:

Latitude: deg. min. sec. OR decimal degrees

Longitude: deg. min. sec. OR decimal degrees

Related Party Name: All

Dept:

- After pressing search you will receive a list of facilities matching the criteria you entered. Select the facility you were searching for by clicking the "Select" hyperlink next to the appropriate record.

Place ID	Place Name	Glance Report	Agency	Physical Address	Latitude/longitude	Regional Water Board	Identifier	Dept
274558	Yuba City WWTF	Facility	Yuba City	302 Burns Drive Yuba City, CA 95991	39°6'31" N 121°38'44" W	5S	5AE10101001	WQ select

- After selecting a place, you will be taken to the general info screen of the inspection record. On this screen there are several fields that are required by the system as well as some additional ones required by the business rules.

Staff Assigned: Facility:

Place: *
 302 Burns Drive
 Yuba City, CA 95991-
 Water Board: 5S
 Lat: (39.108603 dec deg.), Long: (-121.612298 dec deg.)

Inspection Type: * Inspection R

- Start by selecting the appropriate inspection type. For more information on inspection types consult the business rules linked to at the beginning of this document.

Lat: (39.108603 dec deg.), Long: (-121.612298 dec deg.)

Inspection Type: * Inspection R

Lead Inspection Type: *

8. Next is the lead inspection type. This is the party/organization type that performed the inspection. This field defaults to "State." If a contractor or other organization performed the inspection, it can be changed.

Inspection Type: *	A Type compliance inspection	Inspection R
Lead Inspection Type: *	State	
Status: *		

9. After selecting the lead inspection type you must select the status of the inspection. You have three choices: Cancelled, Performed, and Planned.

Lead Inspection Type: *	State			
Status: *	Performed			
Inspection Dates (Planned):		to		<input type="checkbox"/> Workplan Commitment
Inspection Dates (Actual):		to		

10. Next, enter the dates of the inspection, planned and actual. If the inspection was not planned in advanced you do not have to enter anything into those fields. Because most inspections are only one-day in duration, the system auto-fills the end dates with the start dates once the start dates are entered. If it was a multi-day inspection, the end dates can be revised.

Status: *	Performed			
Inspection Dates (Planned):	12/01/2008	to	12/31/2008	<input type="checkbox"/> Workplan Commitment
Inspection Dates (Actual):	12/15/2008	to	12/15/2008	

11. For performed inspections you are required to select an inspection result. If the inspection did not provide all the information required select "Additional Info Required." If something needed to be corrected but the inspection did not result in a violation, select "Follow-up Inspection Needed." If all required information was obtained and there were no violations/corrective actions select "No Further Action." If the inspection resulted in a violation, select "Violation."

Lat: (39.108603 dec deg.), Long: (-121.612298 dec deg.)	
A Type compliance inspection	Inspection Result: Violation
State	

12. If the inspection was part of a workplan commitment, check the workplan commitment box.

State			
Performed			
12/01/2008	to	12/31/2008	<input checked="" type="checkbox"/> Workplan Commitment
12/15/2008	to	12/15/2008	

13. The next two required fields are the open text fields "Summary" and "General Notes." The summary field is for points of interest found during the inspection. If a violation was discovered and/or a corrective action was required information on those events would go in the "Summary" field. Points of minor, but not vital, interest would go in the "General Notes" field (e.g. ponds down for maintenance, number of aerators operating, etc.). The information within the summary field may display in reports.

Summary	The following violation was observed: water ponding in field (violation of provision C.5). Discharger to submit revised discharge plan and pictures.	General Notes	Two of five aerators operating at time of inspection.
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14. Once all of the appropriate inspection information has been entered press "Save."

Inspection Entry		Related Parties	Alleged Inspection Violations	Document
Save		Select Place		
Place:	Yuba City: WASTE 302 Burns Drive Yuba City, CA 95991- Water Board: 5S Lat: (39.108603 dec deg.), Long: (-121			
Inspection Type:	A Type compliance inspection			
Lead Inspection Type:	State			
Status:	Performed			

15. Once the inspection has been saved, the "Link a Regulatory Measure", "Link an Inspection", and "Program" fields on the general information tab become active. A linked program is always required; a linked regulatory measure is required when an inspection is assessing the compliance of a regulated facility; and a linked inspection is only required if the inspection you are creating is a follow-up. Start by linking the regulatory measure.

- a. If the inspection was assessing compliance with one or more regulatory measures, press the "Link a Regulatory Measure" button to begin the linking process.

Link a Regulatory Measure		Link an Inspection		Program
Regulatory Measure	Place	Type	Date	Program

- b. You will be taken to the regulatory measure search screen. Enter your desired search criteria and press the "Search" button. If the facility is under a general order, be sure to select the appropriate enrollee record, not the general order.

Tip: Using either the regulatory measure system ID (if you have it) or the facility name exactly as it is listed on the inspection general info tab gives the best results.

Enter search criteria and click 'Search'.

Regulatory Measure ID:

Number/Identifier: Identifier Type:

Regulatory Measure:

Individual / General:

Water Board:

Facility Name:

Related Party Name:

Addresses MMP:

Program:

Status:

- c. When your search results are returned select the most appropriate regulatory measure from the list by clicking the "Select" hyperlink in the far right column of the table.

Search Results: Export to Excel Show: 10 Previous 1-10 of 11 Next 1

Regulatory Measure ID	Title	Glanee Report	Program	Regulatory Measure	Order Number/Primary Identifier	Facility	Effective Dates	Action
224768	CDO R5-1996-0254 for Yuba City	Reg Measure	NPDES	Cease and Desist Order	R5-1996-0254	Yuba City WWTF	09/20/1996 -	Select
254277	CDO R5-2003-0086 for Yuba City, Yuba City WWTF	Reg Measure	NPDES	Cease and Desist Order	R5-2003-0086	Yuba City WWTF	06/06/2003 -	Select
355687	MMP Complaint R5-2008-0611 for Yuba City, Yuba City WWTF	Reg Measure	NPDES	Admin Civil Liability	R5-2008-0611	Yuba City WWTF	11/17/2008 -	Select
132809	NPDES 03-085 for YUBA CITY	Reg Measure	Pretreatment program, NPDES	NPDES Permits	R5-2003-0085	Yuba City WWTF	06/06/2003 - 10/24/2007	Select
140478	NPDES 84-095 for YUBA CITY	Reg Measure	NPDES	NPDES Permits	84-095	Yuba City WWTF	09/28/1984 -	Select
141387	NPDES 89-192 for YUBA CITY	Reg Measure	NPDES	NPDES Permits	89-192	Yuba City WWTF	10/27/1989 -	Select
140877	NPDES 94-243 for YUBA CITY	Reg Measure	NPDES	NPDES Permits	94-243	Yuba City WWTF	09/16/1994 -	Select
148522	NPDES 96-237 for YUBA CITY	Reg Measure	NPDES	NPDES Permits	96-237	Yuba City WWTF	09/20/1996 -	Select
148881	NPDES 97-162 for YUBA CITY	Reg Measure	NPDES	NPDES Permits	97-162	Yuba City WWTF	08/08/1997 - 06/05/2003	Select
339947	NPDES R5-2007-0134 for Yuba City, Yuba City WWTF	Reg Measure	Pretreatment program, NPDES	NPDES Permits	R5-2007-0134	Yuba City WWTF	12/14/2007 -	Select

- d. When you select a regulatory measure CIWQS will automatically link the programs associated with that regulatory measure. Please press "Save" to confirm your selection.

Link a Regulatory Measure	Link an Inspection	Program
Regulatory Measure	Place Type Date	Program
NPDES R5-2007-0134 for Yuba City, Yuba City WWTF		<input type="text" value="NPDES"/> <input type="text" value="Pretreatment program"/>

16. You can remove any unnecessary programs that were linked because of the regulatory measure by clicking the "Unlink" hyperlink next to the appropriate one. To add a new program; select one from the available dropdown and press "Save."

Program	
Program	
NPDES	Unlink
Pretreatment program	Unlink

17. If your inspection is a follow-up inspection or related to another inspection in some way, you can link the other record by pressing the "Link an Inspection" button.

Link an Inspection			Progra
Place	Type	Date	

18. You will be taken to the inspection search screen. Here you can search for the other inspection by selecting the place or entering other defining criteria. Press "Search" once you have your criteria entered. Press "Cancel" if you wish to go back to the inspection general info tab.

Enter search criteria and click 'Search'.

Inspection ID:

Place: Yuba City WWTF

Status:

Status Date:

Water Board:

Program:

Staff Assigned: Inspections Without Assigned Staff

Scheduled between and Planned without dates

Occured between and

Unscheduled, but have occurred
 Scheduled, but have not occurred

19. When the results are returned select the inspection you wish to link by clicking the "Select" hyperlink next to the appropriate record.

Inspection ID	Place	Inspection Type	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	Staff Assigned	Inspection Performed?	Status	Action
308966	Yuba City WWTF	B Type compliance inspection	04/19/1994	04/19/1994	04/19/1994	04/19/1994	STERLING DAVIS	Yes	Performed	Select
308967	Yuba City WWTF	A Type compliance inspection	06/21/1993	06/21/1993	06/21/1993	06/21/1993	STERLING DAVIS	Yes	Performed	Select
308968	Yuba City WWTF	Complaint inspection	02/11/1994	02/11/1994	02/11/1994	02/11/1994	STERLING DAVIS	Yes	Performed	Select
308969	Yuba City WWTF	B Type compliance	01/21/1997	01/21/1997	01/21/1997	01/21/1997	Jim Maughan	Yes	Performed	Select

20. The information for the selected inspection will appear on the general information tab. Press "Save" to confirm your selection.

Link an Inspection				Pro
	Place	Type	Date	
ink	Yuba City WWTF	Pretreatment compliance	03/17/2008 - 03/18/2008	NE

21. Proceed to the Related Parties tab.

Related Parties Tab

Business Rules:

- Linked People
 - ❖ Must have one, but only one, "Inspector (Lead)"
 - ❖ All Inspectors marked "Attended"

Instructions:

1. One thing that sets the Inspections module apart from the rest of the CIWQS is that the only parties linked to it are people. No Organizations are linked. Multiple people can be linked but the business rules only requires one; the Inspector (Lead). To begin the process press "Link a Party."

Staff Assigned: None		Fac
Inspection Entry	Related Parties	Alleged Inspecto
Save	Link a Party	
Contacted?	Attended?	

2. The party search screen will appear. To search for the inspector, or any party, it is best if you know their first and last name. Enter your search criteria and press "Search."

Enter any search criteria and click "Search".	
Party ID:	<input type="text"/>
Party Type:	Person
Name:	Oscar Biondi
Mailing Address:	<input type="text"/>
City:	<input type="text"/>
Work Phone:	<input type="text"/>
Water Board:	Any
Dept:	WQ
Search	Cancel

3. The system will return the people that matched your criteria. Click the "Select" hyperlink next to the party you were looking for.

Search Results:							Previous	1-1 of 1	Next
Party ID	Name	Type	Work Phone	Mailing Address	Dept				
148858	Oscar Biondi	Person	913-464-4663	11020 Sun Center Drive, Ste/Apt. 200, Rancho Cordova, California, 95670, USA	WQ			Select	

4. After selecting your party you will be returned to the related parties tab. Once here you must select the relationship to the inspection record, remember that you need an "Inspector (Lead)."

Save	Link a Party				
Contacted?	Attended?	Name	Role*	Organization	Notes
<input type="checkbox"/>	<input type="checkbox"/>	Oscar Biondi	Inspector (Lead)	Central Valley Regional Water Quality Control Board, Sacramento Office	<input type="text"/>

5. The "Inspector (Lead)" must be marked as having attended the inspection. For other parties mark whether or not they were "Contacted" or "Attended" accordingly.

Inspection Entry Related Parties Alleged Inspection Violations Documents Addn. Info Attachments						
Save Link a Party						
Contacted?	Attended?	Name	Role*	Organization	Notes	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Oscar Blondi	Inspector (Lead)	Central Valley Regional Water Quality Control Board, Sacramento Office		0

6. Add any "Notes" you feel relevant regarding the party you have selected. Once finished press "Save." Repeat the linking process as many times as necessary. Once finished you are done with this tab.

Inspection Entry Related Parties Alleged Inspection Violations Documents Addn. Info Attachments						
Save Link a Party						
Contacted?	Attended?	Name	Role*	Organization	Notes	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Oscar Blondi	Inspector (Lead)	Central Valley Regional Water Quality Control Board, Sacramento Office	Conducted the inspection.	0

7. Proceed to the Alleged Inspection Violations tab.

Alleged Inspection Violations Tab

Business Rules:

- Violations that were discovered during the inspection must be linked to the inspection record on this tab.

Instructions:

1. If your inspection resulted in a violation you can link the new violation, or create it, through the Alleged Inspection Violations tab. The process of creating a violation through this tab is covered in the Violations User Guide. To start the process of linking an existing violation press "Link a Violation."

Inspection Entry	Related Parties	Alleged Inspection Violations	Documents
Save	Link a Violation	Launch Violation Wizard	
Violation ID	Violation Type	Program	Status

2. You will be sent to the violation search screen. The fastest and most reliable way to search for the violation is to use a violation ID, procured in advance. After entering your criteria, press "Search."

Enter search criteria and click 'Search'.

Place:

Program:

Party:

Violation ID:

Status:

Source: ID:

Linked to Enforcement Action:

Regional Water Board:

Staff Assigned:

Violation Date: From (MM/DD/YYYY) To (MM/DD/YYYY)

Order Number/Identifier:

3. When the search results are returned, pick your violation from the list and click "Link" to add it to the inspection record.

Violation ID	Violation Date	Violation Type	Serious/Priority?	Place Name	Program	Status	Staff Assigned	Description	Linked to Enf Act	Link
799595	12/15/2008	Unauthorized Discharge		Yuba City WWTF	NPDES	Violation	Oscar Biandi	During inspection discovered that the facility made an unauthorized discharge to...	No	Link

4. Once back at the alleged inspection violations screen press "Save" and the violation will be related to the inspection record.

Save	Link a Violation	Launch Violation Wizard	
Violation ID	Violation Type	Program	Status
799595	Unauthorized Discharge	NPDES	Violation

5. Proceed to the Attachments Tab.

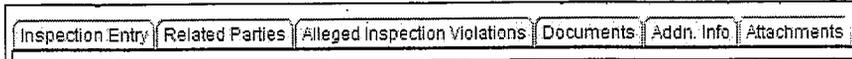
Attachments Tab

Business Rules:

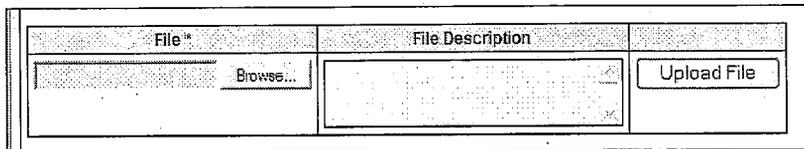
- o Completed inspection reports must be attached to the inspection record.

Instructions:

1. Click the browse button on the Attachments tab.



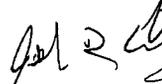
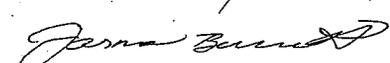
2. Click the "Browse" button.



3. Using your computer navigation dialogue boxes, find and select the completed inspection report on your computer or network.
4. Enter a brief description of the document and click "upload."
5. Repeat steps 1-4 until all parts of the inspection report have been uploaded.

File Name	File Description	Date/Time Uploaded	Status	
Inspection Report.pdf	Inspection report for 10/08/06 inspection including pictures	01/22/2009 - 15:28:42	OK	delete

APPROVAL SECTION

<u>Approver</u>	<u>Printed Name</u>	<u>Signature</u>	<u>Date</u>
Document Initiator	John Ginn		1/20/09
CIWQS Quality Assurance Lead	Eric Maag		1/20/09
Statewide CIWQS Coordinator	Jarma Bennett		1/20/09
Business Rules Team	Committee Members Present	Approved as Meeting Agenda Item	1/20/09