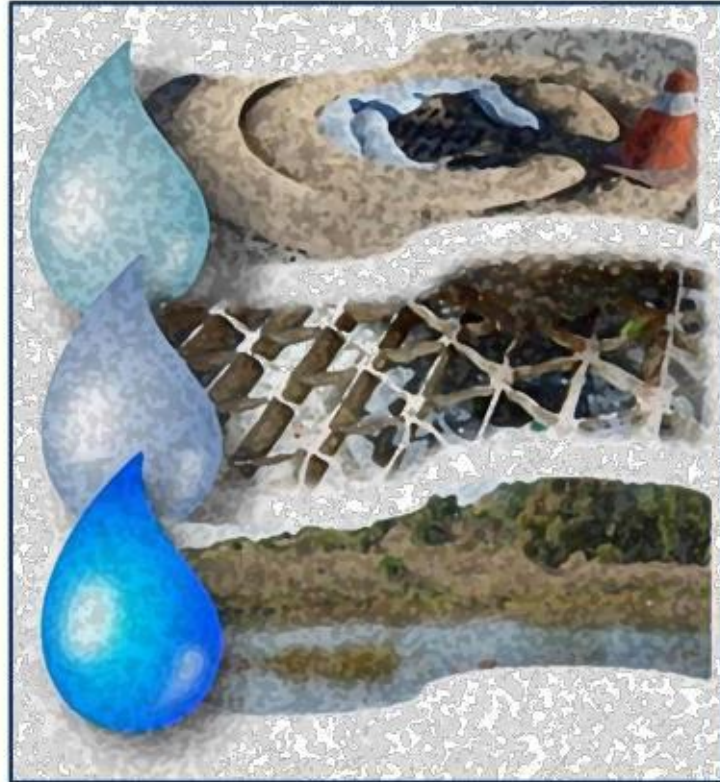


STATEWIDE INDUSTRIAL GENERAL PERMIT
DISCHARGER'S GUIDE TO THE STORM WATER MULTIPLE APPLICATION AND
REPORT TRACKING SYSTEM (SMARTS) DATABASE

**LEVEL 2 EXCEEDANCE RESPONSE ACTION (ERA)
ACTION PLAN SUBMITTAL**



Last Revised: March 2024

Statewide Industrial Storm Water General Permit - Level 2 Exceedance Response Action (ERA) Action Plan:

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 for an applicable parameter².

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

- (1) Obtain the assistance of a Qualified Industrial Storm Water Practitioner (QISP)³ 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 Numeric Action Level 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 a Numeric Action Level, 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.

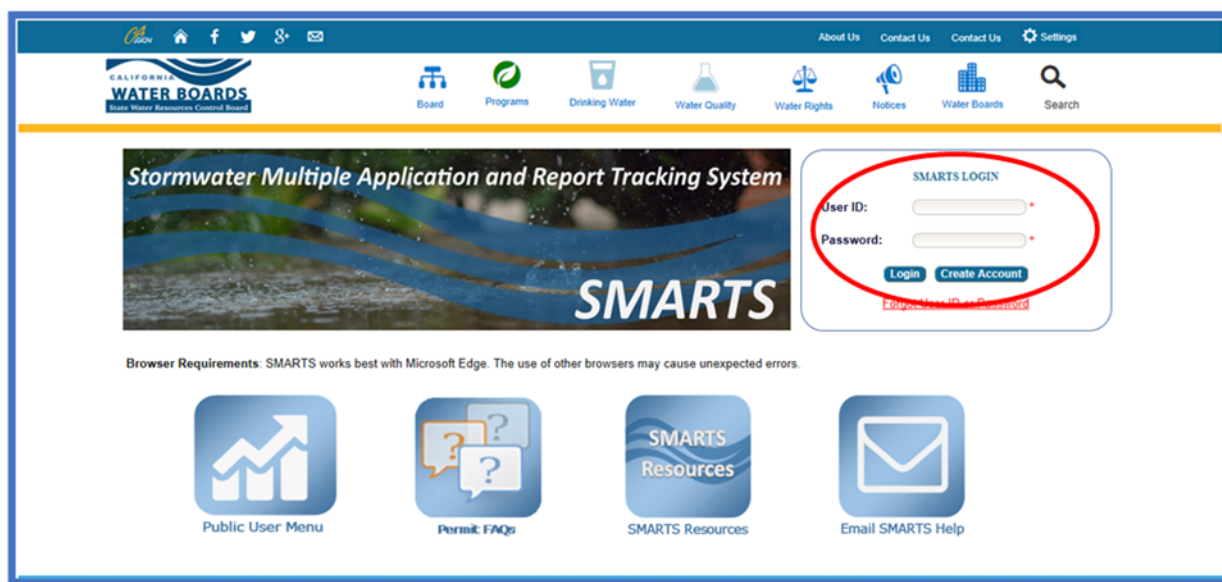
³ **NOTE:** Further information regarding the Qualified Industrial Stormwater Practitioner (QISP) training program is located on the State Water the [State Water Board webpage](https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.html) at (https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.html)

A QISP must satisfy one of the following criteria to be qualified to assist a Discharger with the ERA process, and to prepare ERA - Action Plans and ERA Technical reports:

- (1) Have a valid QISP 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 - Action Plan 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 - Action Plan prepared by a QISP

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

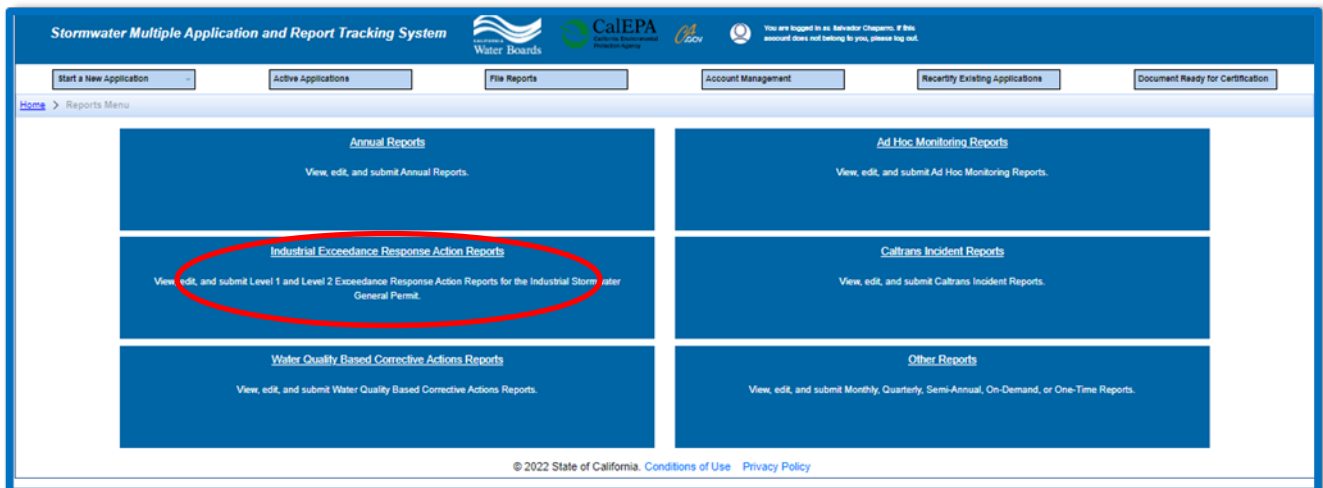
2. SMARTS Main Menu

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



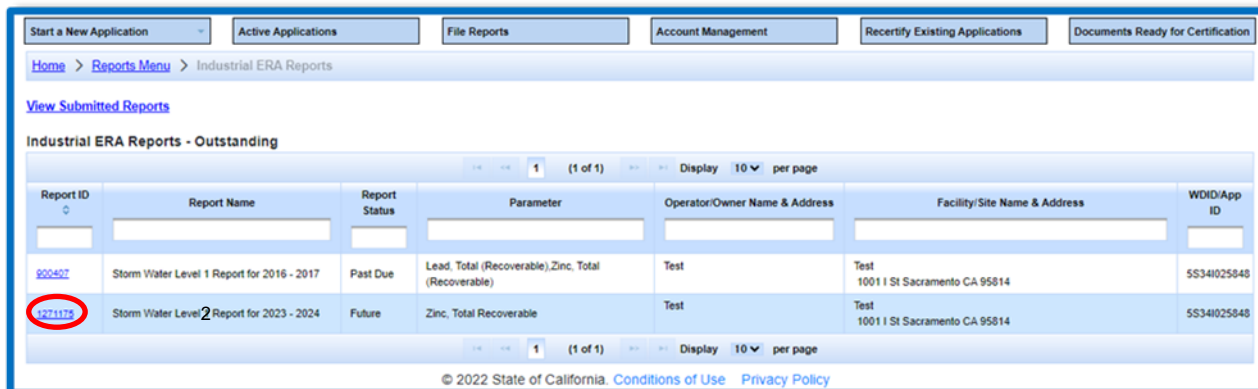
3. Reports Menu

Select “Industrial Exceedance Response Action Reports”:



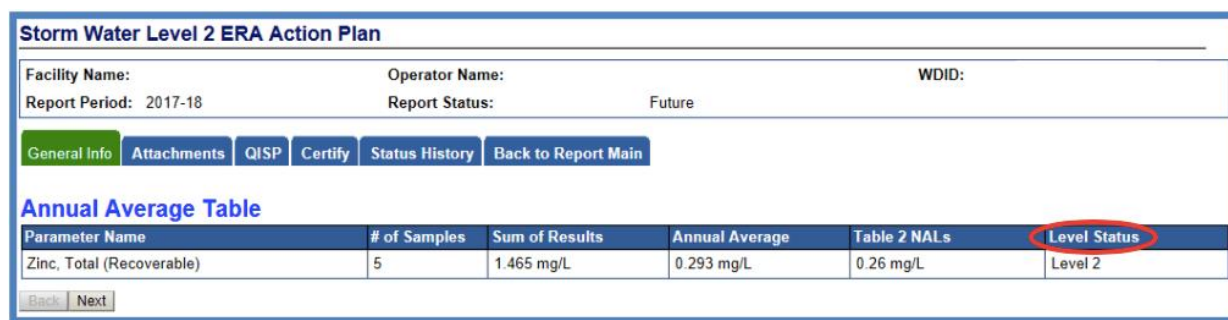
4. Industrial ERA Reports

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:



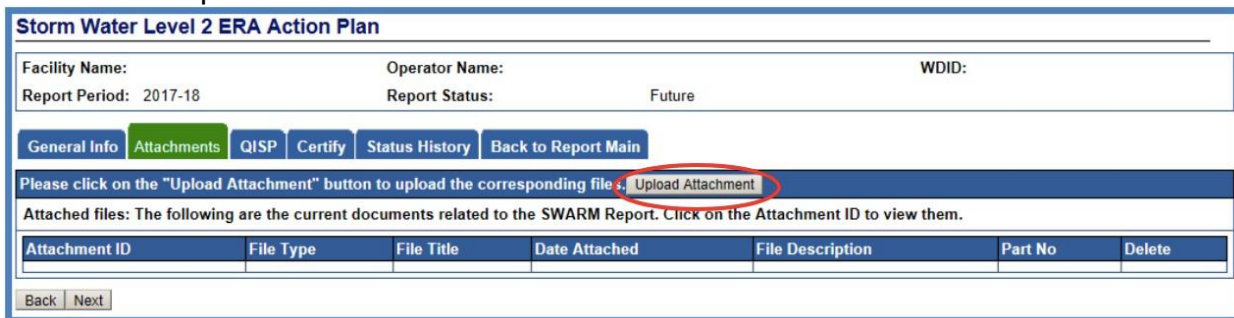
5. General Info

The Annual Average Table is displayed in the “General Info” tab for review only. This table lists the parameters that have Level 2 status in the far-right column. The Level 2 Action Plan being submitted must include the Exceedance Response Actions that addresses all listed parameters:



6. Attachments

The Level 2 ERA Report- Action Plan 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 Action 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 Action Plan

Facility Name: Test Operator Name: Test WDID: 5S34I025848
Report Period: 2023-24 Report Status: Future

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 ERA Action Plan	Level 2 Action plan	Action plan 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

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”. An error message may appear if the file name contains special characters or if the file size is too large.

Storm Water Level 2 ERA Action Plan

Facility Name: Test Operator Name: Test WDID: 5S34I025848
Report Period: 2023-24 Report Status: Future

General Info | **Attachments** | QISP | Certify | Status History | Back to Search

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	File Description	Document Date	Part No.	Date Attached	Upload By	Delete
3583975	Level 2 ERA Action Plan	Level 2 Action plan	Action plan for Level 2 Parameter		1/1	03/22/2024	Salvador Chaparro	Delete

Back | **Next**

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 - Action Plan in the “QISP” tab. The “QISP” tab requires the use of the Qualified Industrial Stormwater Practitioner tool. Select the “Lookup QISP” button to open the search menu:

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

Qualified Industrial Storm Water Practitioner (QISP)

First Name: *

Last Name: *

QISP Certification No: *

[Lookup QISP](#)

A user can search using the criteria in the look-up tool and select the QISP 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 QISP and/or Office of Water Programs⁵ to verify if they have a current and valid certificate:

First Name	Last Name	Address	CBPEL SG License No.	QISP Certificate No.	Select
------------	-----------	---------	----------------------	----------------------	--------

7. Once the QISP has been identified through the search function, select the “Next” button:

First Name:	QISP	*
Last Name:	Industrial	*
QISP Certification No.:	F09876	*

8. Certify

The “Certify” tab provides a completion check of the Level 2 ERA - Action Plan submittal in progress:

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

⁵ **NOTE:** Office of Water Programs can be reached Monday-Friday 8:00 am to 4:00 pm at (916) 278-6142.

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 - Action Plan (e.g. correct attachments uploaded). Any user with access to the report can perform this completion check. If a Data Entry Person performs the check and the Level 2 ERA - Action Plan is complete, SMARTS only allows the Data Entry Person to notify the Legally Responsible Person or Duly Authorized Representative (via a SMARTS generated email) that the Level 2 ERA - Action Plan 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 Action Plan' interface. At the top, it displays 'Facility Name:', 'Operator Name:', and 'WDID:'. Below that, 'Report Period: 2017-18' and 'Report Status: Future' are shown. A navigation bar includes buttons for 'General Info', 'Attachments', 'QISP', 'Certify', 'Status History', and 'Back to Report Main'. A green message states: '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.' A red circle highlights the 'Submit to LRP/AS' button. Below the button, a note 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 Action Plan' interface after the 'Submit to LRP/AS' action. The 'Report Status' is now 'Not Submitted - certification required', which is circled in red. The navigation bar remains the same. A red circle highlights the message: 'Email successfully sent to LRP/AS!'. Below this message, a note states: 'Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:'. A 'Perform Completion Check' button is visible at the bottom.

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

9. LRP or DAR Certification

The LRP or DAR must review the prepared Level 2 Action Report for information accuracy, prior to certifying the Level 2 Action Report. There are two options for the LRP or DAR to submit the Level 2 Action Report:

- a. If the DEP has properly sent the Level 2 Action 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"/>	805487	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"/>	1279829	Storm Water Level 2 Action Plan for 2023 -2024	01/01/2023 00:00-12/31/2023 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	
	86861	SF10C403109	Construction	Gates Substation Bank 11 Install and Q1479 Key Storage West Jayne Avenue and South Lake Avenue Huron CA 95234	Pacific Gas and Electric Company 300 Lakeside Drive Oakland CA 94612	NOT PDF	
	86862	5529LC000018	Regionwide Construction	WTM - Brunswick 110851486 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	
	102790	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	
	100842	Organization				COI PDF	
<input type="checkbox"/>	100017	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 person or 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 city were you born?

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 Action Plan

Facility Name: Mine	Operator Name: Test	WDID: 5S34I025869
Report Period: 2017-18	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

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.

10. Upon successful submission of the Level 2 Action Plan, the following confirmation screen will display:

Storm Water Level 2 ERA Action Plan

Facility Name: Mine	Operator Name: Test	WDID: 5S34I025869
Report Period: 2017-18	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	900413

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

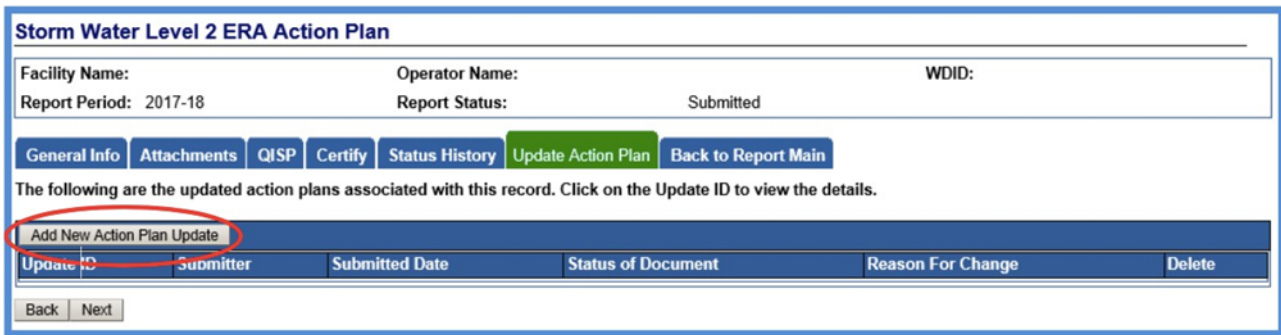
11. Update Level 2 Action Plan

The user may upload an update to a submitted ERA - Action Plan by:

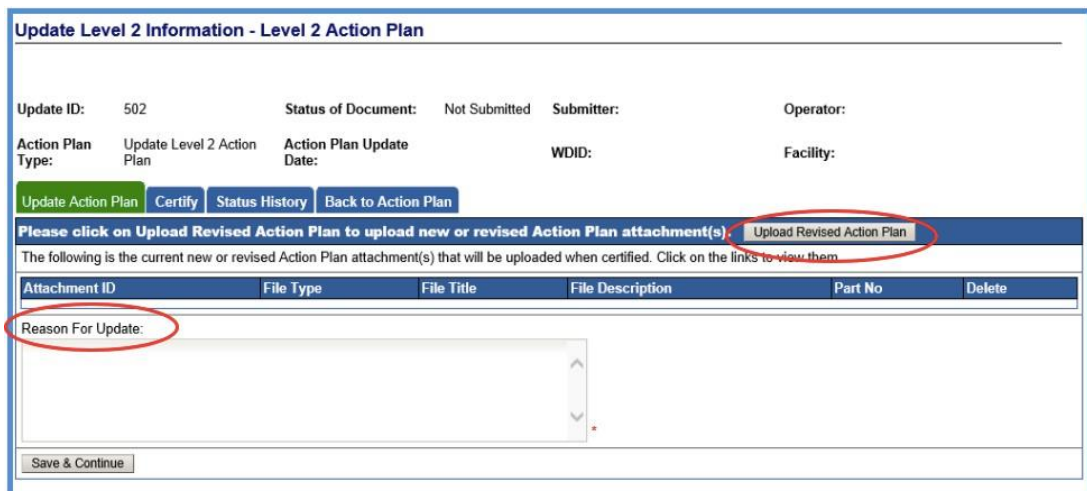
- Logging into SMARTS
- From the main menu, select “File Reports”
- Select “Industrial Exceedance Response Action Reports” (same instructions as steps 2-4).
- Select “View Submitted Reports” as shown below
- Select the Report ID you would like to update



12. Select the “Update Action Plan” tab and then select the “Add New Action Plan Update” button:



13. Select the “Upload Revised Action Plan” to upload the revised plan and include a reason for the update in the text box:



14. The Legally Responsible Person or Duly Authorized Representative must certify and submit any Level 2 ERA - Action Plan updates by completing the "Certification & Submission Checklist" and entering the users SMARTS account security information:

Update ID: 502 Status of Document: Not Submitted Submitter: Operator:

Action Plan Type: Update Level 2 Action Plan Action Plan Update Date: 06/01/2018 WDID: Facility:

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

Update Action Plan **Certify** Status History Back to Action Plan

Certification & Submission Checklist :

Check	Question Text
<input 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 evaluate 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.
<input 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 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 SMARTS2 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:	Storm	Last Name:	Water Administration
Title:	Owner	Date:	06/01/2018

Please answer your security question before certifying the document.

What was your High School Mascot?

Please enter your password

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 Hoc Report, COI) in Pending Documents link in the Main Menu.

15. A confirmation of certification screen will display once submitted:

Update Action Plan **Certify** Status History Back to Action Plan

Your electronic "Change of Information" has been successfully received by the State Water Resources Control Board's database. Your confirmation information for this certification is as follows:

COI ID: 502

Submission/Certified Date: 06/01/2018

Certifier Name: Storm Water Administration

Certifier Title: Owner