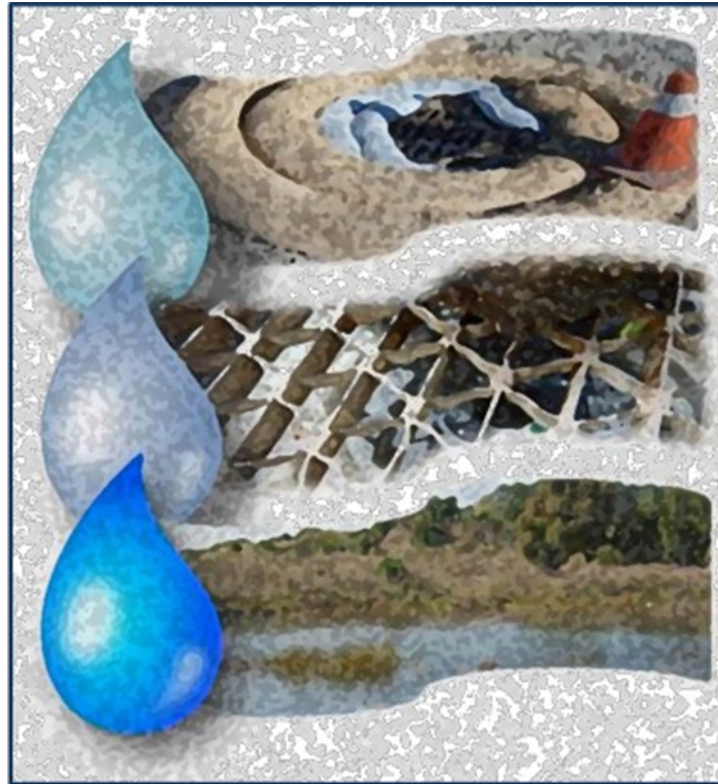


**STATEWIDE INDUSTRIAL GENERAL PERMIT
DISCHARGER'S GUIDE TO THE STORM WATER MULTIPLE
APPLICATION AND REPORT TRACKING SYSTEM (SMARTS)
DATABASE**



**LEVEL 1 EXCEEDANCE RESPONSE
ACTION (ERA) REPORT SUBMITTAL**



Last Revised: February 2024

Storm Water Industrial General Permit - Level 1 Exceedance Response Action (ERA) 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 (IGP). 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.

Level 1 status requires the Discharger to:

- (1) Perform a Level 1 Exceedance Response Action Evaluation by October 1 of the year Level 1 status is determined, and
- (2) Submit a Level 1 Exceedance Response Action Report by January 1 following the Level 1 status determination.

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

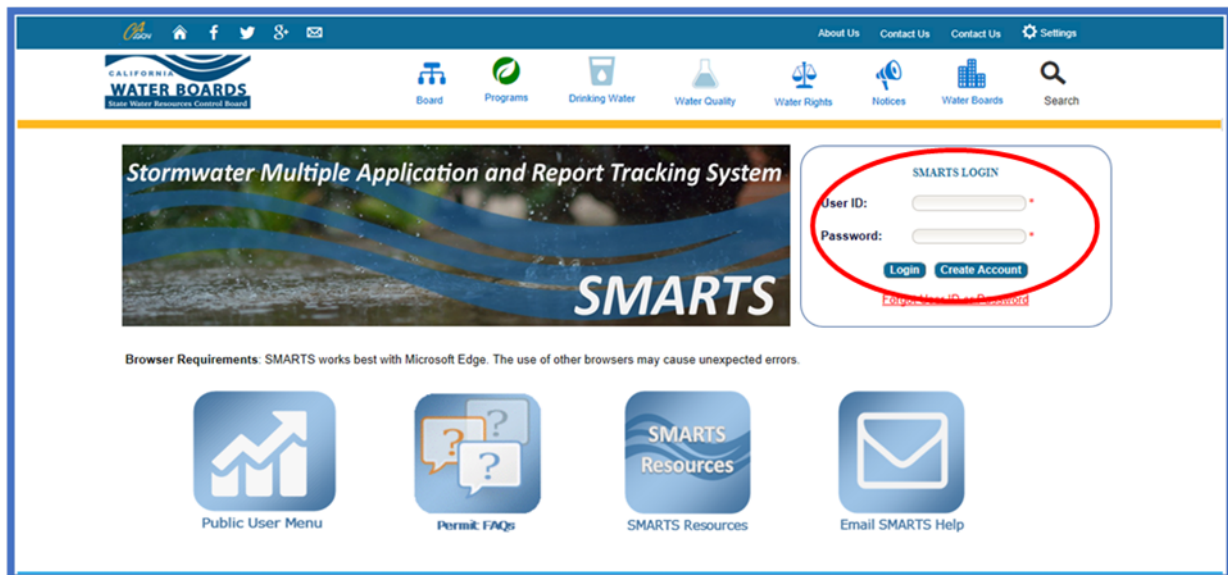
A Discharger must obtain the assistance of a Qualified Industrial Storm Water Practitioner (QISP)³ to complete the Level 1 ERA Evaluation and prepare the Level 1 ERA Report.

A QISP 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 Actions:

- (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 (CASQA) and administered by the Office of Water Programs at Sacramento State (OWP), 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 the Office of Water Programs.

The Level 1 Exceedance Response Action Report must be submitted and certified by the facility's Legal Responsible Person (LRP) or the Duly Authorized Representative (DAR). The following steps guide a Legally Responsible Person or Duly Authorized Representative to submit the Level 1 Exceedance Response Action Report prepared by a Qualified Industrial Stormwater Practitioner:

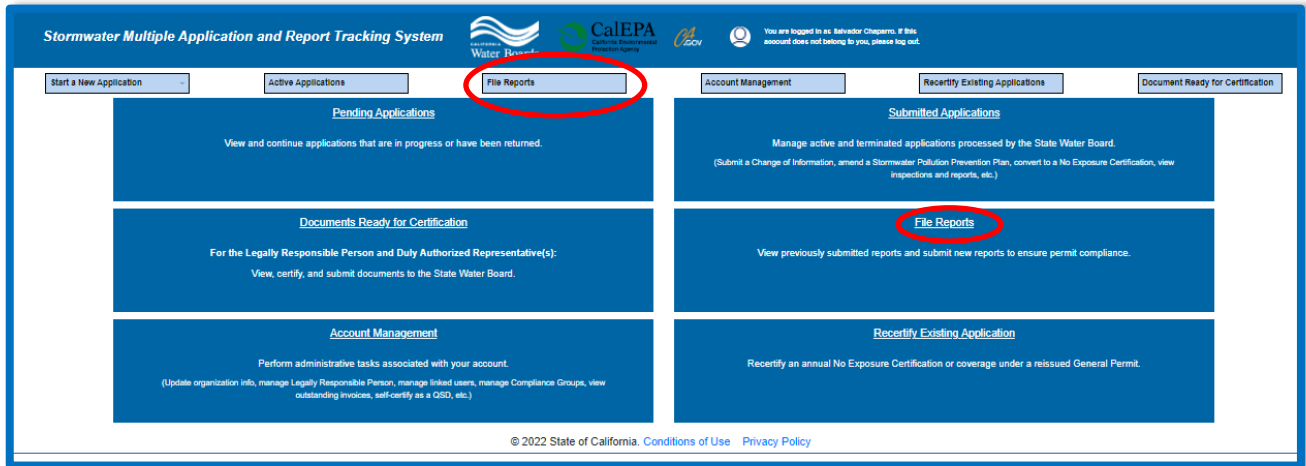
1. Please log into [SMARTS](https://smarts.waterboards.ca.gov): (<https://smarts.waterboards.ca.gov>)
Browser Requirements: SMARTS best works with Google Chrome or Microsoft Edge. Use of other browsers may cause unexpected errors



³ **NOTE:** Further information regarding the Qualified Industrial Stormwater Practitioner training program is located on 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)

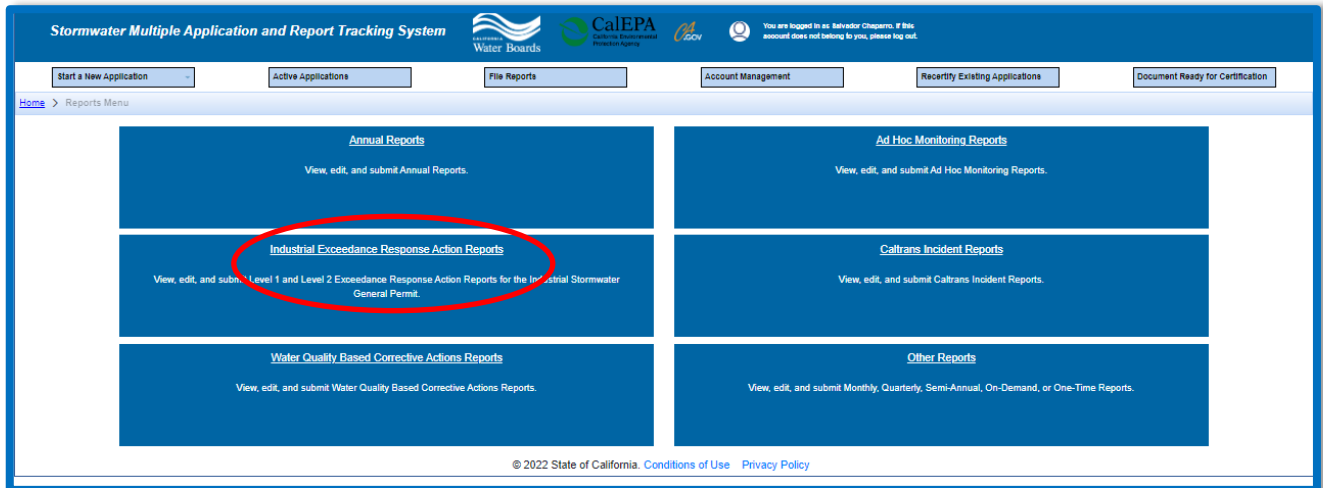
2. SMARTS Main Menu

Select "File Reports" from one of (2) locations:



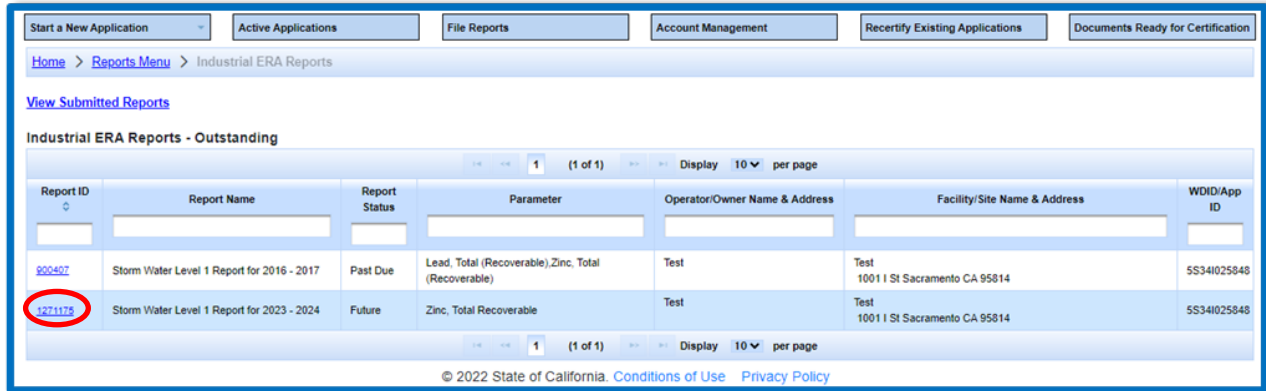
3. Reports Menu

Select "Industrial Exceedance Response Action Reports":



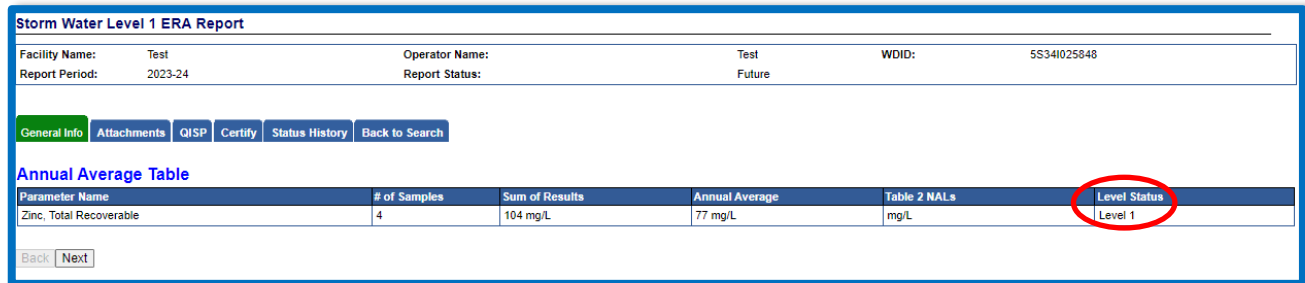
4. Industrial ERA Reports

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 Exceedance Response Action Report and view the related exceedances:



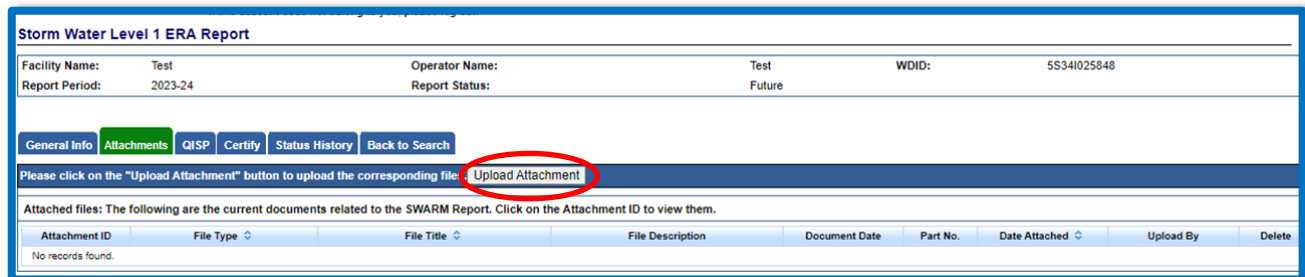
5. General Info

An annual average table will be displayed in the “General Info” tab for review only. This table lists the parameters that have Level 1 status in the far-right column. The Level 1 Report being submitted must include the Exceedance Response Actions that will address these listed parameters:



6. Attachments

The Level 1 Exceedance Response Action 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:



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 1 Technical Report”. For Storm Water Pollution Prevention Plan (SWPPP) revisions please use the file type “SWPPP”. For all other 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.

Water Boards Storm Water Multiple Application & Report Tracking System

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

Navigate To: [Dropdown]

Storm Water Level 1 ERA Report

Facility Name: Larsons Shipyard LLC Operator Name: Larsons Shipyard LLC WDID: 8 301025767
Report Period: 2019-20 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.

Attachment File Type	Attachment Title	File Description	Part No.	Document Date	File Name
Level 1 Technical Report	Level 1 Technical Report		Part 1 of 1	04/24/2020	Choose File No file chosen
SWPPP	SWPPP Revision		Part 1 of 1	04/24/2020	Choose File No file chosen
Select			Part of		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.								

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

Once complete, you may select the “Attachments” tab to refresh the screen and see that the attachment properly uploaded. Once you have checked that it uploaded correctly select “Next”:

Water Boards Storm Water Multiple Application & Report Tracking System

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

Navigate To: [Dropdown]

Storm Water Level 1 ERA Report

Facility Name: Larsons Shipyard LLC Operator Name: Larsons Shipyard LLC WDID: 8 301025767
Report Period: 2019-20 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	File Description	Document Date	Part No.	Date Attached	Upload By	Delete
2608704	Level 1 Technical Report	Level 1 Technical Report		04/24/2020	1/1	04/24/2020	Steve Smith	Delete
2608705	SWPPP	SWPPP Revision		04/24/2020	1/1	04/24/2020	Steve Smith	Delete

Back **Next**

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7. QISP

Information for the QISP that prepared the Level 1 ERA Report must be entered in the “QISP” tab. The “QISP” tab requires the use of the QISP lookup tool. Select the “Lookup QISP” button to open the search menu:

Water Boards Storm Water Multiple Application & Report Tracking System

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

Storm Water Level 1 ERA Report

Facility Name: Larsons Shipyard LLC Operator Name: Larsons
Report Period: 2019-20 Report Status: Future

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

Qualified Industrial Storm Water Practitioner (QISP)

First Name: *
Last Name: * **Lookup QISP**
QISP Certification No.: *

BMP(s) Implemented Date

BMP(s) Implemented Date: MM/DD/YYYY *
Save

Back Next

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You can search using the criteria in the look up and select the QISP on the right once you search:

Water Boards Storm Water Multiple Application & Report Tracking System Help Logout

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

QISP Lookup Screen

First Name:
Last Name:
Zip Code:
CBPELGS License No.:
QSD Certificate No.:
Search

First Name	Last Name	Address	CBPELGS License No.	QISP Certificate No.	Expired Status	Select
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- 8. Once the QISP has been identified, the final implementation date of all the new Best Management Practices (BMPs) identified must be entered. After entering the date select the “Save” button:

The screenshot shows a web form with tabs: General Info, Attachments, QISP, Certify, Status History, and Back to Report Main. The QISP tab is active. The form contains the following fields:

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

Below these is a section titled "BMP(s) Implemented Date" with a field for "BMP(s) Implemented Date:" containing the value "11/01/2016" and a calendar icon. To the right of the field is the label "MM/DD/YYYY *". A "Save" button is located below the date field. At the bottom of the form are "Back" and "Next" buttons.

9. **Certify**

The “Certify” tab provides a completion check of the Level 1 Exceedance Response Action Report in progress:

The screenshot shows the "Storm Water ERA Report" form with the following details:

- Facility Name: Mine
- Operator Name: Test
- WDID: 5S34I025869
- Report Period: 2/1/2018 Shipyard LLC
- Report Status: Future

The form has tabs: General Info, Attachments, QISP, Certify, Status History, and Back to Report Main. The Certify tab is active. Below the tabs, 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 "Perform Completion Check" button is located below the message.

The “Perform Completion Check” function will provide the user with a notification of any errors that must be corrected prior to submission of the Level 1 Exceedance Response Action Report. (e.g. correct attachments uploaded). Any user can perform this check. If a Data Entry Person (DEP) performs the check and the Level 1 Exceedance Response Action Report is complete, SMARTS only allows the Data Entry Person to notify the Legally Responsible Person or Duly Authorized Representative (via a generated SMARTS email) that the Level 1 Exceedance Response Action Report must be certified and submitted.

A Data Entry Person completing this check will see this:

Storm Water ERA Report

Facility Name:	Larsons Shipyard LLC	Operator Name:	Test	WDID:	5S34I025869
Report Period:	2016-17	Report Status:	Future		

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

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.

Submit to LRP/AS

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” and the status “Not Submitted – certification required”.

Storm Water ERA Report

Facility Name:	Mine	Operator Name:	Test	WDID:	5S34I025869
Report Period:	2016-17 Larsons Shipyard LLC	Report Status:	Not Submitted - certification required		

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

Email successfully sent to LRP/AS!

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

10. LRP or DAR Certification

The LRP or DAR must review the prepared Level 1 ERA Report for information accuracy, prior to certifying the Level 1 Report. There are two options for the LRP or DAR to submit the Level 1 Report:

- a. If the DEP has properly sent the Level 1 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 & Ad
<input checked="" type="checkbox"/>	806487	Storm Water Level 1 Report for 2016 - 2017	07/01/2016 00:00-01/01/2017 00:00	5S34025848	Test 1001 I St Sacramento CA 95814	Test 1001 I St Sacramento CA 958

NOTs

Select	NOT ID	WDID	Permit Type	Facility/Site Name & Address	Operator Name & Address	NOT PD
	268841	6F10C403109	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
	688602	5S29L0000018	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 PD
	102720	NOI	5R32C402297	Caribou Road - Slide 2 Road Repair Plumas County, California Belden CA 95884	Pacific Gas and Electric Company 300 Lakeside Drive Oakland CA 94612	COI PDF
<input type="checkbox"/>	100893	NOI	5S34C373653	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"/>	100937	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 forth 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 your favorite pets name?

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 ERA Report

Facility Name: Mine Operator Name: Test WDID: 5S34I025869
Report Period: 2016-17 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: 11/03/2016
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. A confirmation screen will then confirm submission of the Level 1 Exceedance Response Action Report in SMARTS:

Storm Water ERA Report

Facility Name: Larsons Shipyard LLC Operator Name: Test WDID: 5S34I025869
Report Period: 2016-17 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	2016-17
Certifier Name	
Date Certified	11/03/2016
Certification ID	900413

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