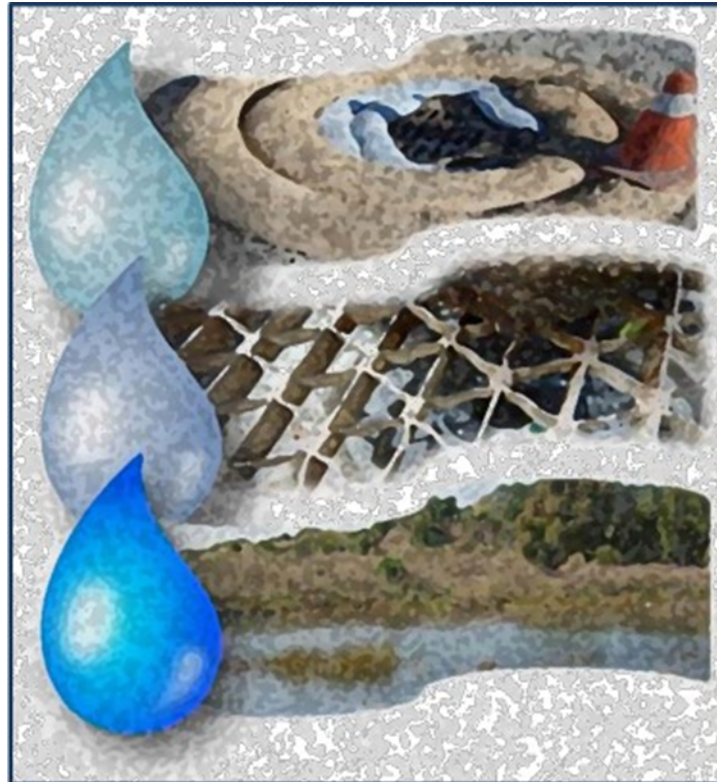


**STATEWIDE INDUSTRIAL GENERAL PERMIT
DISCHARGER'S GUIDE TO THE STORM WATER MULTIPLE
APPLICATION AND REPORT TRACKING SYSTEM (SMARTS)
DATABASE**

NO EXPOSURE CERTIFICATION (NEC)



Last Revised: August 2024

Statewide Storm Water Industrial General Permit (IGP) –No Exposure Certification:

[The Industrial General Permit \(2014-0057-DWQ as Amended in 2015 and 2018\)](https://www.waterboards.ca.gov/water_issues/programs/stormwater/igp_20140057dwq.html)

(https://www.waterboards.ca.gov/water_issues/programs/stormwater/igp_20140057dwq.html) regulates stormwater discharges associated with industrial activities.

Any Discharger operating a facility described in [Attachment A](#)

(https://www.waterboards.ca.gov/water_issues/programs/stormwater/docs/industrial/2014indngenpermit/atta.pdf) may file a No Exposure Certification (NEC) if the facility meets the condition of “No Exposure”. A Discharger must electronically certify and submit No Exposure Certification Permit Registration Documents (PRDs) via the State Water Resources Control Board’s (State Water Board’s) Storm Water Multiple Application and Report Tracking System (SMARTS).

The PRDs required for submittal through SMARTS are a certified NEC, a Facility/Site Map, an application fee, and an Electronic Authorization (e-Authorization) Form. The e-Authorization form must be signed with an original wet ink signature, by the Legally Responsible Person (LRP) and mailed to one of the addresses listed on the form.

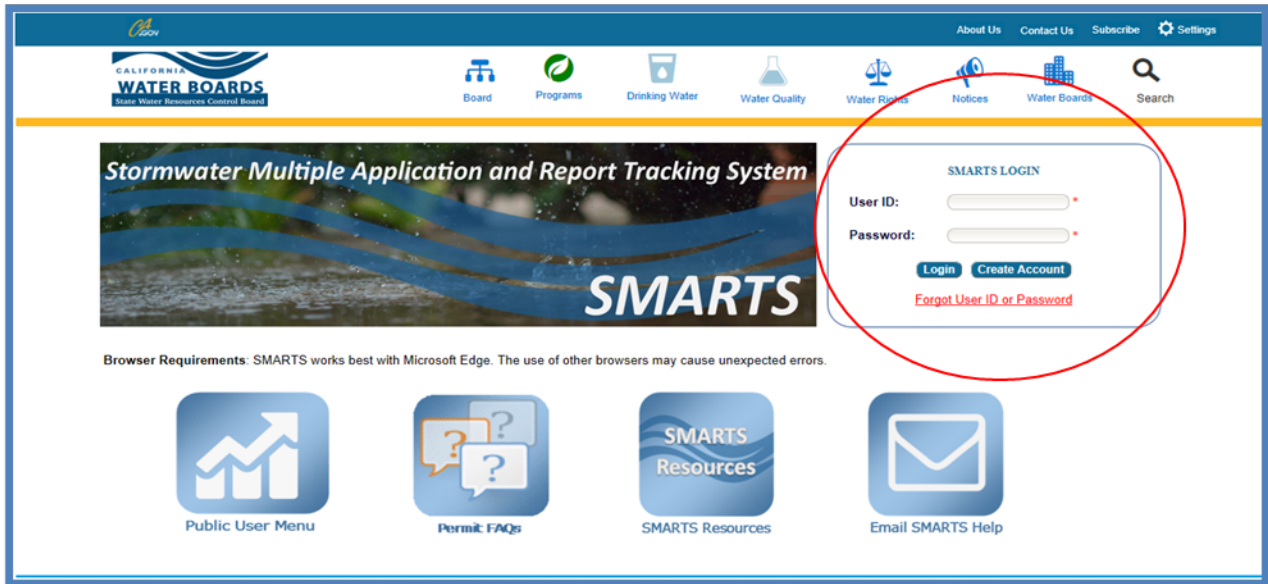
The Discharger must evaluate eleven major areas where stormwater exposure may occur, per the Industrial General Permit listing in [Appendix 2](#) (https://www.waterboards.ca.gov/water_issues/programs/stormwater/docs/industrial/2014indngenpermit/app2.pdf). If the Discharger cannot certify all eleven major areas do not have exposure, the facility is not eligible for the NEC.

The conditional “No Exposure Certification” is not effective until the application is processed by the State Water Board and assigned a NEC ID number.

The facility must maintain a condition of “No Exposure” at all times to remain eligible for the NEC. The conditions of “No Exposure” must be annually recertified in SMARTS starting July 1st each reporting year and must be completed before the following October 1st. If any conditions change at the facility resulting in the exposure of industrial materials and activities to stormwater, the Discharger must immediately file a Notice of Intent (NOI) and stormwater pollution prevention plan.

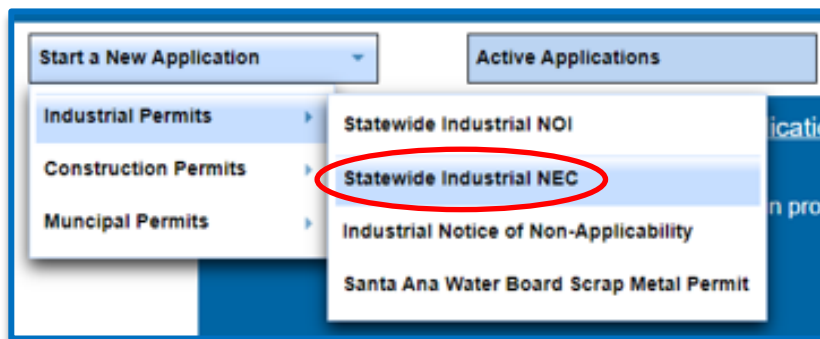
The following steps guides a Legally Responsible Person to certify and submit a No Exposure Certification in SMARTS.

1. 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.



2. Select Permit and Application Type

From the main menu, the user must go to the “Start a New Application” drop-down list, select “Industrial Permits”, and then select “Statewide Industrial NEC”.



3. Select the Organization Record

The LRP may create a new organization or select an existing organization (if created and linked previously). Only LRPs may create new organizations. A DAR or DEP may only link the new application to an existing organization they are currently linked to.¹ Mark the bubble under the "select" column for the "Organization ID" and select "Next" at the bottom left corner of the screen.

Stormwater Multiple Application and Report Tracking System

Water Boards CalEPA California Environmental Protection Agency GOV

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

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

Home > Select Organization

Application Type: Statewide Industrial NEC

Select the Organization record to start the application and click "Next".

Select	Organization ID	Organization Name	Address	Business Type
<input type="radio"/>	0	Create New Organization	Create New Organization	
<input type="radio"/>	632018	Test Owner Company	1001 I Street Sacramento CA 95814	Private Business
<input type="radio"/>	635032	test123	1001 I street Sacramento CA 95814	Private Individual
<input type="radio"/>	658759	Sdscharger	1001 I street sacramento CA 95814	Private Business
<input type="radio"/>	659704	ABC corp	111 AB Ave Sacramento CA 95632	Private Business
<input type="radio"/>	681563	Test Org	1001 I Street Sacramento CA 95814	Other

(1 of 1) 1 10

Next

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4. Create New Organization Record

If the LRP is creating a new organization, enter all organization information required below. If not creating new organization, go to step 5.

NOTE: the organization name and organization address may differ or can be the same as the facility/business name and facility/business address. Once complete, select "Create Organization".

Stormwater Multiple Application and Report Tracking System

Water Boards CalEPA California Environmental Protection Agency GOV

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

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

Home > Select Organization > Create Organization

Application Type: Statewide Industrial NEC

Please enter the new Organization Details

Organization Name:

Foreign Address: Yes No

Address Line 1:

Address Line 2:

City:

State: CA

Zip:

Business Type: Private Business

Federal Tax Id: *Mandatory for Private Business.

Create Organization

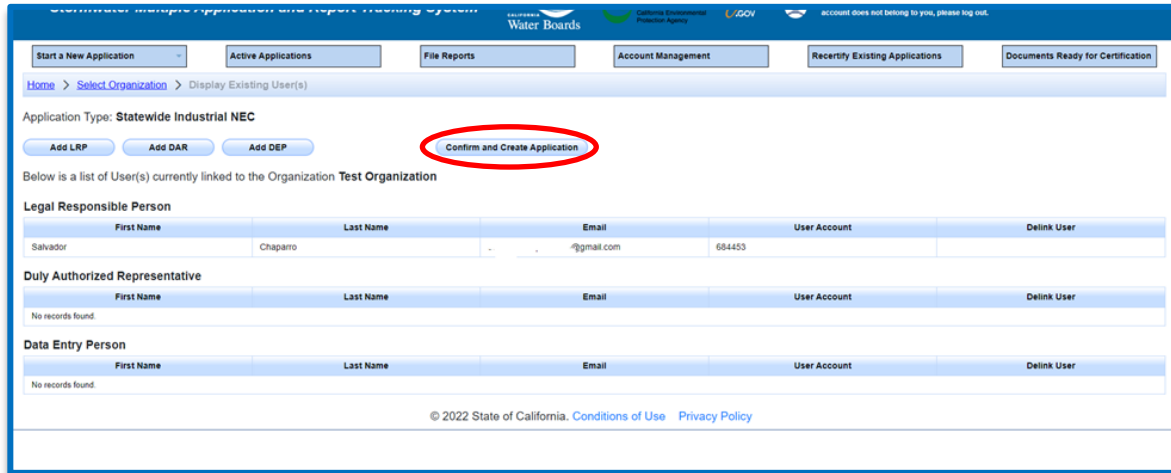
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¹ If the user does not see an organization listed, contact the LRP to link user or contact the Stormwater Help Desk to update your user account to an LRP.

5. Linked Users

Verify, add, or remove users linked to the new application. Users already linked to the organization automatically populate in this section.

NOTE: A LRP can link or delink LRPs and DARs with the same email domain, or DEPs. For assistance linking a DAR with a different email domain, contact the Stormwater Help Desk at stormwater@waterboards.ca.gov. Additionally, DARs may link or delink DEPs, and DEPs cannot link or delink any user. Click the “Confirm and Create Application” button to continue.

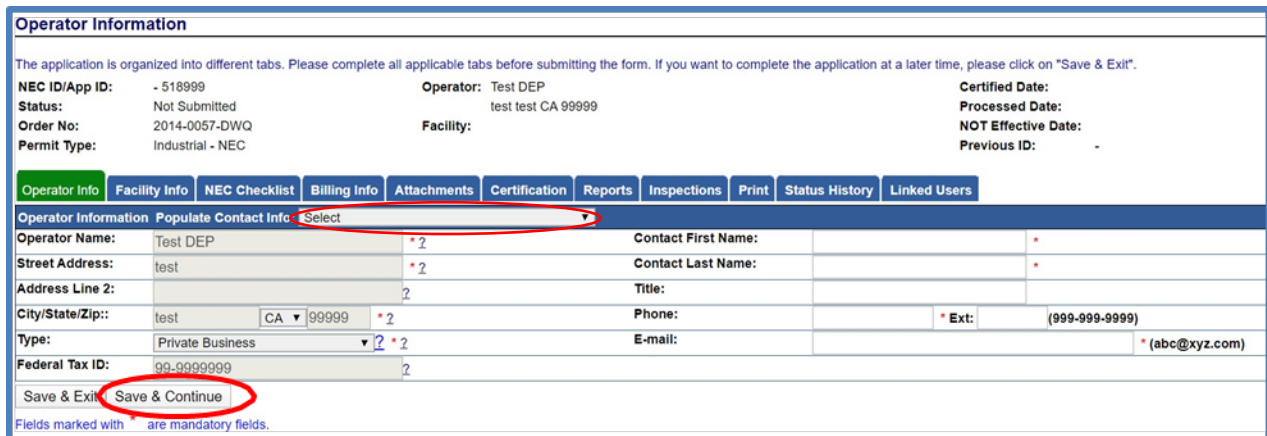


6. Operator Information

Enter all required Operator Information. Once all required information is entered select “Save & Continue”.

NOTE: The option to auto-populate the operator contact information is available as a drop-down box. Select the user’s information to be populated from their linked account. Verify the information once it is populated for accuracy.

If at any time during the application process the user needs to stop and return to the application at a later time, select “Save & Exit”. To return to the application, select “Pending Applications” from the “Main Menu”, then select the application ID number under the “Application ID” column on the left-hand side.



7. Facility Information

Enter all required facility information.

Facility Information		
The application is organized into different tabs. Please complete all applicable tabs before submitting the form. If you want to complete the application at a later time, please click on "Save & Exit".		
NEC ID/App ID: - 518999	Operator: Test DEP	Certified Date:
Status: Not Submitted	test test CA 99999	Processed Date:
Order No: 2014-0057-DWQ	Facility:	NOT Effective Date:
Permit Type: Industrial - NEC		Previous ID:
Operator Info Facility Info NEC Checklist Billing Info Attachments Certification Reports Inspections Print Status History Linked Users		
Facility Information Same as Operator Info Clear Info If different, enter below		
Facility Name: Test DEP	Contact First Name:	
Street Address: test	Contact Last Name:	
Address Line 2:	Title:	
Latitude:	*Longitude:	*Lookup Map
(Decimal degrees only, minimum 5 significant digits Ex: 99.99999)		
City: All	Emergency Phone:	Ext: (999-999-9999)
County: Select	E-mail:	(abc@xyz.com)
Regional Board: Select	Total Site Size:	Acres Sqft
State/Zip: CA 99999	Total Area of Industrial Activities and Materials Exposed to Storm Water: ?	Acres Sqft
Percent of Site Imperviousness: %		
SIC Codes		
Primary SIC Code 1: Select		
Primary SIC Code 2: Select		
Primary SIC Code 3: Select		
Save & Exit Save & Continue		
Fields marked with * are mandatory fields.		

A Lookup Map is provided for use if the facility's Latitude and Longitude coordinates is unknown.

Latitude:		*Longitude:		Lookup Map
(Decimal degrees only, minimum 5 significant digits Ex: 99.99999)				

Locate the facility's coordinates by entering the street address and selecting "Go!". The system populates coordinates above the map. Select "Set Coordinates" to continue to populate the latitude and longitude on the application.

Latitude: 38.58178	Longitude: -121.49209	*Longitudes should always be negative.
Set Coordinates		
To find the coordinates for a particular location, click on the map or enter a street address: (Example: "123 Main Street, Sacramento, CA")		
1001 I Street, Sacramento		Go!

The “Total Area of Industrial Activities and Materials Exposed to Storm Water” must be answered as zero (0) to qualify for the NEC. If the answer to this question is greater than zero, a NOI must be filed.

The image shows a close-up of two form fields. The first field is labeled "Total Site Size:" and contains the value "20" in a text box, followed by a red asterisk and radio buttons for "Acres" (selected) and "Sqft". The second field is labeled "Total Area of Industrial Activities and Materials Exposed to Storm Water:?" and contains the value "0" in a text box, followed by a red asterisk and radio buttons for "Acres" (selected) and "Sqft". A red oval highlights the "0" in the second field.

8. Save Facility Information

Once all required information is entered select “Save & Continue”.

The image shows a screenshot of the "Facility Information" form. At the top, there is a navigation bar with tabs: "Operator Info", "Facility Info" (highlighted in green), "NEC Checklist", "Billing Info", "Attachments", "Certification", "Inspections", "Print", "Status History", and "Linked Users". Below the navigation bar, there are several fields for facility details, including "Facility Name", "Street Address", "City", "County", "Regional Board", "State/Zip", "Total Site Size", and "Total Area of Industrial Activities and Materials Exposed to Storm Water". The "Save & Continue" button is highlighted with a red oval. At the bottom, there is a note: "Fields marked with * are mandatory fields."

9. No Exposure Certification Checklist.

All eleven statements must be marked as “No Exposure” in order to file No Exposure Certification. If the answer to any of these statements is marked as “Exposure” a Notice of Intent must be filed. Once all statements are completed, select “Save & Continue”.

The screenshot shows the 'NEC Checklist' form with the following content:

- Operator Info | Facility Info | **NEC Checklist** | Billing Info | Attachments | Certification | Inspections | Print | Status History | Linked Users
- NEC Checklist
- I hereby certify that none of the following industrial materials or activities are, or will be in the foreseeable future, exposed to precipitation and no discharges of storm water contaminated by exposure to Industrial Materials and Activities from areas of the facility subject to this General Permit, and certify that all unauthorized NSWDS have been eliminated and all authorized NSWDS meet the conditions of Section IV (Authorized NSWDS). Note: No SWPPP is required for and NEC to meet the conditions for the Authorized NSWDS.
- Total Area of Industrial Activities and Materials Exposed to Storm Water (Definition) 0 * Acres Sqft
- 1. Using, storing or cleaning industrial machinery or equipment, and areas where residuals from using, storing or cleaning industrial machinery or equipment remain and are exposed. Select
- 2. Materials or residuals on the ground or in storm water inlets from spills/leaks. Select
- 3. Materials or products from past industrial activity. Select
- 4. Material handling equipment (except adequately maintained vehicles). Select
- 5. Materials or products during loading/unloading or transporting activities. Select
- 6. Materials or products stored outdoors (except final products intended for outside use, e.g., new cars, where exposure to storm water does not result in the discharge of pollutants). Select
- 7. Materials contained in open, deteriorated or leaking storage drums, barrels, tanks, and similar containers. Select
- 8. Materials or products handled/stored on roads or railways owned or maintained by the Discharger. Select
- 9. Waste material (except waste in covered, non-leaking containers, e.g., dumpsters). Select
- 10. Application or disposal of processed wastewater (unless already covered by an NPDES permit). Select
- 11. Particulate matter or visible deposits of residuals from roof stacks/vents evident in the storm water outflow. Select
- Save & Exit | **Save & Continue**
- Fields marked with * are mandatory fields.

10. Billing Information

Enter all required billing information and select “Save & Continue”.

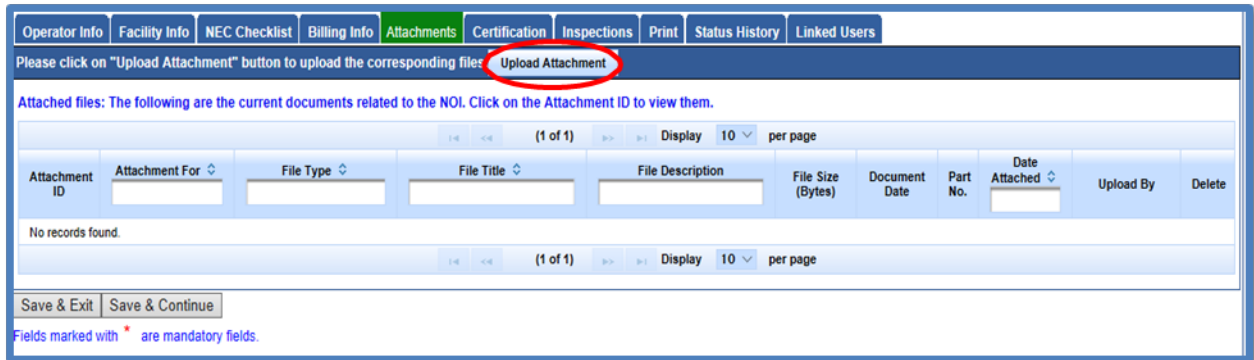
NOTE: The option to auto-populate the billing information is available as a button. Select the source information to be populated from respective button. Please verify the information once it is populated for accuracy.

The screenshot shows the 'Billing Information' form with the following content:

- Operator Info | Facility Info | NEC Checklist | **Billing Info** | Attachments | Certification | Inspections | Print | Status History | Linked Users
- Billing Information | Same as Operator | Same as Facility | Clear Billing Info | If different, enter below. Bill Month: Bill Hold:
- Billing Name: Test Site * Contact First Name: NEC Operator *
- Street Address: 123 Fake street * Contact Last Name: NEC Name *
- Address Line 2: Title:
- City/State/Zip: Sacramento CA 95670 * Phone: 866-563-3107 *Ext: (999-999-9999)
- E-mail: stormwater@waterboard.ca.gov * (abc@xyz.com)
- Save & Exit | **Save & Continue**
- Fields marked with * are mandatory fields.

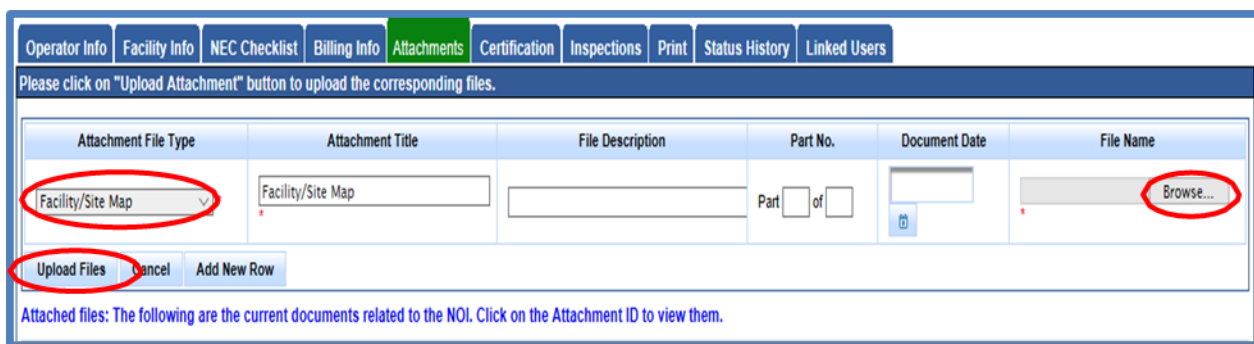
11. Attachments

Upload the facility/site map as outlined in Order [Section X.E](#) (https://www.waterboards.ca.gov/board_decisions/adopted_orders/water_quality/2018/wqo2018-0028-dwq.pdf). The facility site map must be uploaded by selecting the “Attachments” tab of the application and selecting the “Upload Attachment” button.



- Attachment File Type: Select “Facility/Site Map”, or other file types corresponding to the required documents. Additional files such as “Supporting Documentation” may be attached as applicable.
- Attachment Title: Enter the title of the document.
- Choose File: Locate the file on the computer by clicking browse and select it.
- Select “Upload Files” once files have been selected

NOTE: Any one file must not exceed 75 MB. If a file is larger than that, it must be divided into multiple files. Use the “Part No.” fields in these situations. The “Document Date” should be used to record when the document was signed or approved.



Select “Save & Continue” after the documents are uploaded.

The screenshot shows the 'Attachments' tab of a web application. At the top, there is a navigation bar with tabs: Operator Info, Facility Info, NEC Checklist, Billing Info, Attachments (highlighted), Certification, Inspections, Print, Status History, and Linked Users. Below the navigation bar, there is a message: "Please click on 'Upload Attachment' button to upload the corresponding files." and an "Upload Attachment" button. The main content area displays a table of attached files. The table has columns: Attachment ID, Attachment For, File Type, File Title, File Description, File Size (Bytes), Document Date, Part No., Date Attached, Upload By, and Delete. One row is visible with Attachment ID 2394185, Attachment For NOINEC, File Type Facility/Site Map, File Title Facility/Site Map, File Description, File Size 41846, Document Date, Part No. /, Date Attached 05/20/2019, Upload By Test Tester, and a Delete link. Below the table, there are "Save & Exit" and "Save & Continue" buttons, with "Save & Continue" circled in red. At the bottom left, there is a note: "Fields marked with * are mandatory fields."

12. Certification

Select “Perform Completion Check”

The screenshot shows the 'Certification' tab of a web application. At the top, there is a navigation bar with tabs: Operator Info, Facility Info, NEC Checklist, Billing Info, Attachments, Certification (highlighted), Inspections, Print, Status History, and Linked Users. Below the navigation bar, there is a summary of information: NEC ID/App ID: - 486221, Operator: Test Site, Certified Date: ; Status: Not Submitted, 123 Fake street Rancho Cordova CA 95670, Processed Date: ; Order No: 2014-0057-DWQ, Facility: Test Site, NOT Effective Date: ; Permit Type: Industrial - NEC, 123 Fake street Sacramento CA 95670, Previous ID: -. Below the summary, there is a message: "Perform the completion check to verify that all required information is completed. Click the button below to start completion check." and a "Perform Completion Check" button, which is circled in red.

The completion check function provides a notification of any errors that must be corrected prior to submission of the No Exposure Certification (e.g. Facility/Site Map was uploaded incorrectly).

Any user may perform this check, but if a DEP performs the check, the system provides a “Notify LRP/DAR” button. Pressing the button notifies the LRP or DAR the NEC is complete and requires their certification. The LRP or DAR should review the prepared NEC for accuracy prior certifying.

LRP Certification

There are two options for the LRP to submit the NEC:

- a. The LRP may access the “Documents Ready for Certification” SMARTS menu option if notified by the DEP.
 - Select the NEC to certify by checking the box next to the Application 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 NEC.

Home > Certification Documents Detail

Below is a list of applications and/or reports that are ready to be submitted. Select the application or report to submit by checking the Select Box. Note: If the Select Box is not displayed, your Signed Electronic Authorization Form has not been received.

Select	Application ID	Permit Type	Operator/Owner Name & Address	Facility/Site Name & Address	Application PDF
<input type="checkbox"/>	598732	Construction	Test Org 1001 I Street Sacramento CA 95814	Test Traditional Waiver 1 777 I Street San Francisco CA 90001	Application 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: Matthew Shimizu
Certifier Title: Scientific Aid
Date: 02/6/2024

Please answer your security question before certifying the document.

What was your 1st job?

Enter your password:

Certify Selected

- b. If the NEC is not listed in the “Documents Ready for Certification” SMARTS menu option, the LRP may access the NEC directly.
 - Log in and go to “Pending Applications” in the main menu.
 - Open the Application ID.
 - Click on the “Certification” tab and perform the completion check.
 - Check the certification boxes, enter the answer to the security question and password, and click the “Certify Application” button.

Operator Info Facility Info NEC Checklist Billing Info Attachments **Certification** Inspections Print Status History Linked Users

The Application Fee is \$200
The application is complete. Please continue to certify and submit the application to the Water Boards.

Certification & Submission Checklist :

Read and check the boxes next to each certification statement.

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.

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:

Certifier Name:		Date:	05/08/2017
Certifier Title:	Test		

Please enter your password and answer to the security question before certifying the document.

What is your mother's maiden name?

Please enter your password

Certify Later adds the application to the Documents Ready for Certification where multiple applications may be certified at the same time.

Fields marked with * are mandatory fields.

13. A confirmation screen confirms submission of the No Exposure Certification. Select Download Copy of Record button to save a copy of the submission.

Continue to pay the application fee.

NEC ID/App ID: - 469204	Operator: Test Site	Certified Date:
Status: Submitted to Water Board	123 Fake street Rancho Cordova CA 95670	Processed Date:
Order No: 2014-0057-DWQ	Facility: Test Site	NOT Effective Date:
Permit Type: Industrial - NEC	123 Fake street Rancho Cordova CA 95670	Previous ID:

[Operator Info](#) [Facility Info](#) [NEC Checklist](#) [Billing Info](#) [Attachments](#) [Certification](#) [Inspections](#) [Print](#) [Status History](#) [Linked Users](#)

The application was successfully received by the State Water Resources Control Board.

SWRCB Application No.	SA469304
Permit Type:	Industrial
Submission/Certify Date	
Certifier Name	
Certifier Title	Test

Please print out this screen as proof of certification. The confirmation details was also email to the address on file

Or

If "Pay by Check" is selected print the Fee Statement and mail it with the check to The State Water Board.

State Water Resources Control Board

EXAMPLE ONLY

May 08, 2017

Fee Statement
Application Id # 486221

Facility/Site
Test Site
123 Fake street
Sacramento CA 95670

Thank you for submitting Permit Registration Documents (PRDs) for the facility/site referenced above. The application fee for this submittal is \$200.00

Please note the application fee is due upon submittal of the PRDs. Permit coverage begins on receipt of payment and a WDID number is assigned. If payment is not received within 60 days the application will be automatically returned as incomplete.

Please make checks payable to: SWRCB

Mail this Fee Statement and \$200.00 to:

Regular Mailing Address:
SWRCB

Overnight Mailing Address:
SWRCB

If “Pay Online” is selected, follow the instructions to a third part website. The application number is required to pay by Electronic Fund Transfer (ETF) or credit card.

NOTE: online payments take approximately two business days to process and be applied to the application.

Electronic Fund Transfer

Please Use Information Below To Pay Online

SWRCB Application No.: SA469304
 Amount Due to SWRCB: \$200

The Water Boards provides two methods to pay online.

Electronic Fund Transfer - The EFT Automated Clearing House (ACH) Debit method allows the state's data collector to electronically debit your bank account and credit the state's bank account. Your account will be debited by the state's data collector "First Data" only upon your initiation and for the amount you specify.

Credit Cards - The state's data collector "Official Payments Corporation" payment system allows you to use a credit card to make a payment to the State Water Resources Control Board. You will be responsible for paying the 2.3% convenience fee (\$1.00 minimum) charged by "Official Payments Corporation" when making a credit card payment on their website. This fee is in addition to the amount owed to the State Water Resources Control Board. To make a payment by Visa, MasterCard, or Discover you will have to select the following:

1. Click on STATE PAYMENTS and then select California
2. Payment Entity – select State Water Resources Control Board
3. Payment Type – select either Application Fees

After all 3 items are filled in, click on Make a Payment button and you will be taken to the payment page where you can begin your payment.

By using First Data or Official Payments Corporation, you will be leaving the State Water Resources Control Board's (SWRCB) website and entering the State's data collector's website. First Data and Official Payments Corporation are not affiliated with the SWRCB and the SWRCB is NOT responsible for the contents or links contained on their website. The SWRCB recommends that you read and evaluate First Data's or Official Payments Corporation security and confidentiality statements.

Failure to correctly enter the application number and amount may lead to delays in processing the application.

Pay by EFT
Pay by Credit Card

14. An NEC ID is assigned after the No Exposure Certification is submitted online, Water Board receives the payment and the e-Authorization form.

NEC ID/App ID: 5S34NEC003209 - 486221	Operator: Test Site	Certified Date: 05/08/2017
Status: Active	123 Fake street Rancho Cordova CA 95670	Processed Date: 05/08/2017
Order No: 2014-0057-DWQ	Facility: Test Site	NOT Effective Date:
Permit Type: Industrial - NEC	123 Fake street Sacramento CA 95670	Previous ID: -

15. Print

To print a copy of the receipt letter that contains the NEC ID, go to the Print tab.

Operator Info	Facility Info	NEC Checklist	Billing Info	Attachments	Certification	Inspections	Print	Status History
---------------	---------------	---------------	--------------	-------------	---------------	-------------	-------	----------------

Print NOI Copy	
Fee Statement	Fee Statement
Original NEC	Initially Submitted NEC
Submitted NEC	Submitted NEC
Current NEC	Current NEC
Receipt Letter	Receipt Letter
Return Letter	Return Letter
Waiver Letter	Waiver Letter

Fields marked with * are mandatory fields.