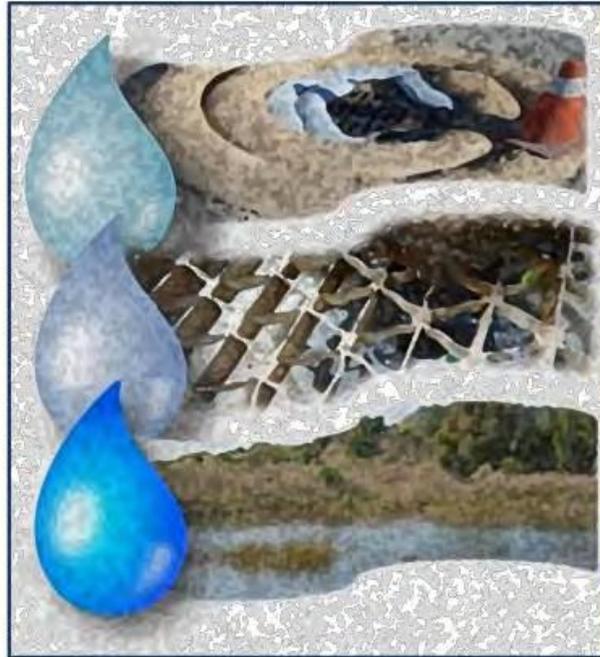


**STATEWIDE INDUSTRIAL STORMWATER GENERAL PERMIT
DISCHARGER'S GUIDE TO THE STORM WATER MULTIPLE
APPLICATION AND REPORT TRACKING SYSTEM (SMARTS)
DATABASE**

**WATER QUALITY BASED
CORRECTIVE ACTION REPORT**



Last Revised: March 2024

Water Quality Based Corrective Action Report

A Discharger is required to complete Water Quality Based Corrective Actions per the [Industrial General Permit \(Permit\)](#) when a discharge from their facility contains a pollutant that causes or contributes to an exceedance of water quality standards. Instances when a Discharger is required to comply with Water Quality Based Corrective Actions include when an exceedance of an applicable Total Maximum Daily Load (TMDL)-related numeric effluent limitation (NEL) (Attachment E) or a receiving water limitation (Permit Order Section VI) occurs. The Water Quality Based Corrective Action requirements are found in Permit Order Section XX.B.

Dischargers who are required to complete Water Quality Based Corrective Actions will need to complete the following:

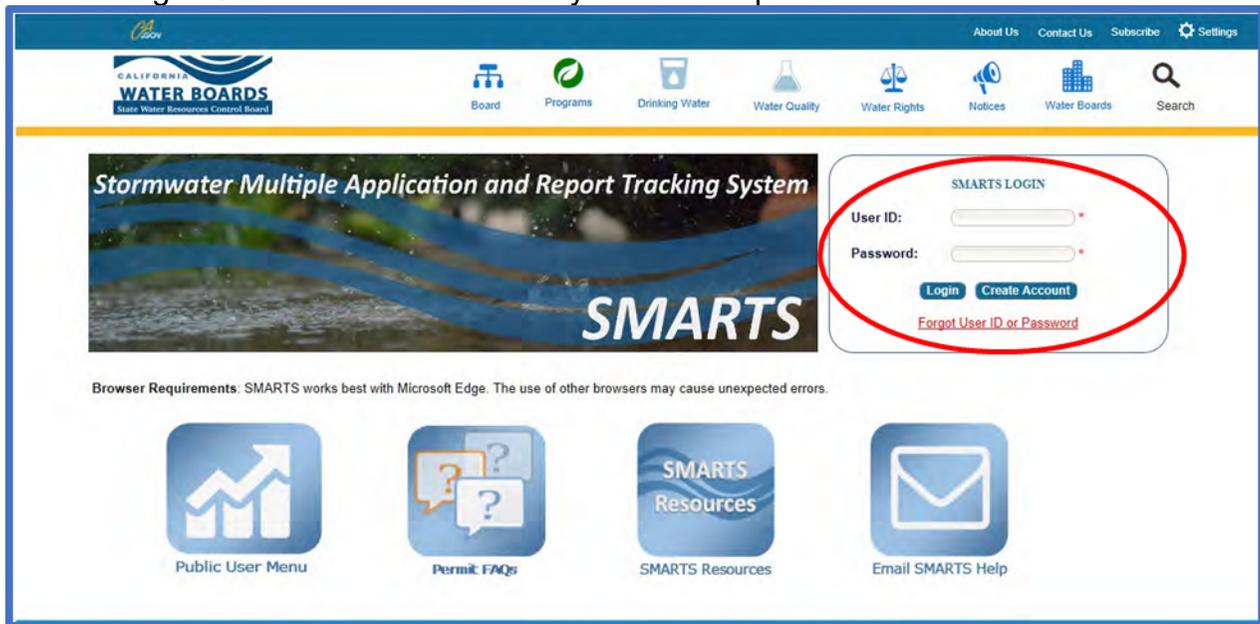
- Conduct a facility evaluation to identify the pollutant source(s) within the facility and if the best management practices (BMPs) described in a facility's Stormwater Pollution Prevention Plan (SWPPP) are properly implemented.
- Assess the facility's SWPPP and SWPPP implementation to determine if additional best management practices or SWPPP implementation measures are necessary to reduce or prevent pollutant(s) in industrial stormwater discharges to meet the receiving water limitations or the applicable TMDL-related numeric effluent limitation(s).
- Certify and submit documentation in SMARTS based on the facility's evaluation and assessment.

The Regional Water Board can request the Discharger to provide additional information in their documentation. Since there is currently no due date related to these corrective actions, the Regional Water Board may also request that the Water Quality Based Corrective Actions be submitted by a certain date.

If a Discharger is required to conduct both Exceedance Response Actions and Water Quality Based Corrective Actions for a pollutant, they can conduct a site assessment and submit documentation that satisfies both requirements. Any documentation that satisfies both requirements should expressly state that it fulfills both requirements.

In the Water Quality Based Corrective Action Report module in SMARTS, the user will need to identify the applicable pollutant(s) in violation and will need to prepare and upload related documentation. The report must be certified by the facility's Legally Responsible Person (LRP) or Duly Authorized Representative (DAR). This guidance outlines how to submit Water Quality Based Corrective Actions in SMARTS.

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



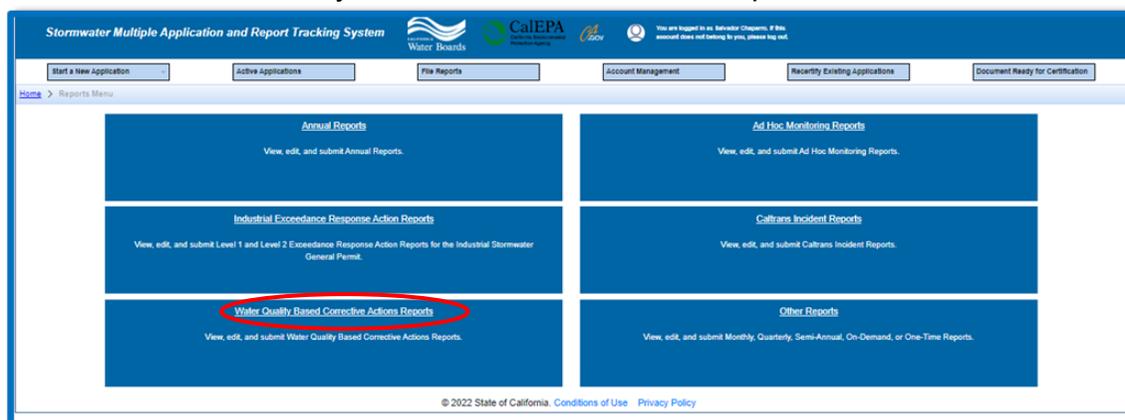
2. SMARTS Main Menu

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



3. Reports Menu

Select "Water Quality Based Corrective Action Reports":



4. **Water Quality Based Corrective Action Reports**
 Select “Start WQBCA Report” button

The screenshot shows the top navigation bar with the system name and logos for Water Boards, CalEPA, and CA.GOV. Below the navigation bar are several menu items: Start a New Application, Active Applications, File Reports, Account Management, Recertify Existing Applications, and Documents Ready for Certification. The breadcrumb trail indicates the user is in the Reports Menu, specifically the WQBCA Reports section. A red circle highlights the 'Start WQBCA Report' button. Below this, there is a link for 'View Submitted Reports' and a section for 'WQBCA Reports - Outstanding'. A table with columns for Report ID, Reporting Period, Report Status, Operator/Owner Name & Address, Facility/Site Name & Address, WDID/App ID, Permit Type, Report Required, and Delete Report is shown, but it contains no records. The footer includes the copyright notice for 2022 State of California and links to Conditions of Use and Privacy Policy.

5. Select the reporting period in which the numeric effluent limitation exceedance or receiving water limitation violation occurred and select “Start Report” for the WDID it occurred for.

The screenshot shows the same system interface as above, but with a dropdown menu for 'Select Report Year' set to '2023 - 2024'. Below this, there is a prompt to 'Select the WDID Number listed below to start the WQBCA report'. A table with columns for WDID, Application Type, Status, Owner/Operator, and Facility/Site is displayed. The first row of the table has a 'Start Report' button circled in red. The table contains three rows of data, each with a 'Start Report' link. The footer includes the copyright notice for 2022 State of California and links to Conditions of Use and Privacy Policy.

WDID	Application Type	Status	Owner/Operator	Facility/Site
5S341025848	Industrial	Active	Test 1001 I St Sacramento CA 95814	Test 1001 I St Sacramento CA 95814
9 30NEC005367	Industrial	Active	Test Owner Co 3737 Main St Riverside CA 92501	Test Owner Co 234 test Sacramento Landing CA 95814
5S34NEC003209	Industrial	Active	Test Site 123 Fake street Rancho Cordova CA 95670	Test Site 123 Fake street Sacramento CA 95670

6. General Information

In the General Info tab of the report module, select a pollutant parameter for which the numeric effluent limitation exceedance or receiving water limitation violation occurred from the drop-down menu. Once the pollutant parameter is selected, select one of the following statements:

- Additional BMPs and/or SWPPP implementation measures have been identified and included in the SWPPP to meet the receiving water limitations (Section VI) or applicable NELs (Attachment E); **or**
- No additional BMPs or SWPPP implementation measures are required to reduce or prevent pollutants in industrial storm water discharges to meet the receiving water limitations (Section VI) or applicable NELs (Attachment E).

Once the pollutant parameter is selected and one of the statements is selected, click on “Save Changes” and the information will populate in the table. Multiple pollutants can be selected in one report.

The screenshot displays the 'General Info' tab of a report module. At the top, there are navigation tabs: 'General Info' (active), 'Attachments', 'Certify', 'Status History', and 'Back to Report Main'. Below the tabs, there is a table header with columns for 'Pollutant *', 'Certify one of the following:', and 'Remove'. The table currently shows 'No records found.' Below the table, there is a dropdown menu for 'Pollutant' with 'Select' chosen. To the right of the dropdown, there are two radio button options for certification. The first option is selected: 'Additional BMPs and/or SWPPP implementation measures have been identified and included in the SWPPP to meet the Receiving Water Limitations (Section VI) or applicable NELs (Attachment E)'. The second option is 'No additional BMPs or SWPPP implementation measures are required to reduce or prevent pollutants in industrial storm water discharges to meet the Receiving Water Limitations (Section VI) or applicable NELs (Attachment E)'. Below the radio buttons, there is a 'Save Changes' button. At the bottom left, there are 'Back' and 'Next' buttons. At the bottom center, there is a copyright notice: '© 2019 State of California. Conditions of Use Privacy Policy'.

7. After all applicable pollutants have been selected and changes have been saved, click “Next” to proceed to the Attachments tab.

The screenshot shows the 'Water Quality Based Corrective Action Report' form. At the top, it displays 'Facility Name: Test Winery', 'Operator Name:', 'Report Period: 2020-21', 'Report Status: Not Submitted', and 'WDID:'. Below this are navigation tabs: 'General Info', 'Attachments', 'Certify', 'Status History', and 'Back to Report Main'. The 'Certify' tab is active, showing a table with one row for 'Nitrite Plus Nitrate (as N)'. The table has columns for 'Pollutant *', 'Certify one of the following:', and 'Remove'. The 'Certify one of the following:' column contains two radio button options: 'Additional BMPs and/or SWPPP implementation measures have been identified and included in the SWPPP to meet the Receiving Water Limitations (Section VI) or applicable NELs (Attachment E)' and 'No additional BMPs or SWPPP implementation measures are required to reduce or prevent pollutants in industrial storm water discharges to meet the Receiving Water Limitations (Section VI) or applicable NELs (Attachment E)'. A 'Save Changes' button is located below the table. At the bottom left, there are 'Back' and 'Next' buttons, with the 'Next' button highlighted with a red box. A copyright notice '© 2019 State of California. Conditions of Use. Privacy Policy.' is at the bottom right.

8. In the Attachments tab, upload the corrective action documentation associated with the violation through the “WQBCA Report” file type.

The screenshot shows the 'Water Quality Based Corrective Action Report' form with the 'Attachments' tab selected. It displays the same header information as the previous screenshot. Below the navigation tabs, there is a blue bar with the text 'Please click on the “Upload Attachment” button to upload the corresponding file.' and an 'Upload Attachment' button highlighted with a red box. Below this is a section for 'Attached files: The following are the current documents related to the SWARM Report. Click on the Attachment ID to view them.' This section contains a table with columns: 'Attachment ID', 'File Type', 'File Title', 'File Description', 'Document Date', 'Part No.', 'Date Attached', 'Upload By', and 'Delete'. The table currently shows 'No records found.' At the bottom left, there are 'Back' and 'Next' buttons. A copyright notice '© 2019 State of California. Conditions of Use. Privacy Policy.' is at the bottom right.

9. 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:** “Water Quality Based Corrective Action Report”. For all other WQBCA 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.

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

Water Quality Based Corrective Action Report

Facility Name: Test Operator Name: Test WDID: 5S34I025848
 Report Period: 2023-24 Report Status: Not Submitted

General Info | **Attachments** | 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
WQBCA Report	Water Quality Based Corrective Action Report	Water Quality Based Corrective Action	Part 1 of 1	<input type="text"/>	<input type="button" value="Choose File"/> No file chosen

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.								

© 2022 State of California. [Conditions of Use](#) [Privacy Policy](#)

10. Click “Next” when all attachments are uploaded.

Water Quality Based Corrective Action Report

Facility Name: Test Winery Operator Name: WDID: Report Status: Not Submitted
 Report Period: 2020-21

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

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

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
2830047	WQBCA Report	Water Quality Based Corrective Action Report			/	03/05/2021	Test Tester	Delete

11. Click on “Perform Completion Check” in the Certify tab. The “Perform Completion Check” function will provide the user with a notification of any errors that must be corrected prior to submission of the Water Quality Based Corrective Action Report. (e.g., correct attachments uploaded). Any user can perform this check. If a Data Entry Person (DEP) performs the check and the Water Quality Based Corrective 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 Water Quality Based Corrective Action Report must be certified and submitted.

The screenshot shows a navigation bar with tabs: General Info, Attachments, Certify, Status History, and Back to Report Main. Below the tabs, a message 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 button labeled "Perform Completion Check" is highlighted with a red box.

12. The Legally Responsible Person or Duly Authorized Representative will need to certify and submit the Water Quality Based Corrective Action Report by selecting the check box, entering their password, answering a security question, and selecting the “Submit/Certify” button.

The screenshot displays the "Water Quality Based Corrective Action Report" interface. At the top, it shows report details: Facility Name (Test Winery), Operator Name, Report Period (2020-21), Report Status (Not Submitted), and WDID. Below this is a navigation bar with tabs: General Info, Attachments, Certify, Status History, and Back to Report Main. A message indicates "Completion/Error Check Completed: Report appears to be complete!".

The main section is titled "Select Certification & Submission check list" and contains a checkbox (highlighted with a red box) for certifying the report. Below this is a "Certifier Details" section with fields for Certifier Name, Date Report Received (03/05/2021), and Certifier Title. A security question and password field are also present, with the password field highlighted by a red box. At the bottom, there are two buttons: "Submit / Certify" (highlighted with a red box) and "Certify Later". A note at the very bottom explains the "Certify Later" button's function.

13. A confirmation screen will then confirm submission of the Water Quality Based Corrective Action Report in SMARTS.

General Info Attachments **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
Report Period 2020-21
Certifier Name
Date Certified 06/29/2021
Certification ID 1145091

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

14. On the Storm Water Annual Report Monitoring (SWARM) page, a user may access the report any time by using the Report ID. If a user needs to make changes to the report, remand the report and click on the Report ID.

Water Quality Based Corrective Actions: [New Corrective Action Report](#)

Click on the Report ID below to access the Report.

Report ID	Report Type	Status	Date Submitted	Submitted By	Report Action	Remand
1148993	WQBCA Report	Submitted	04/22/2021			Remand