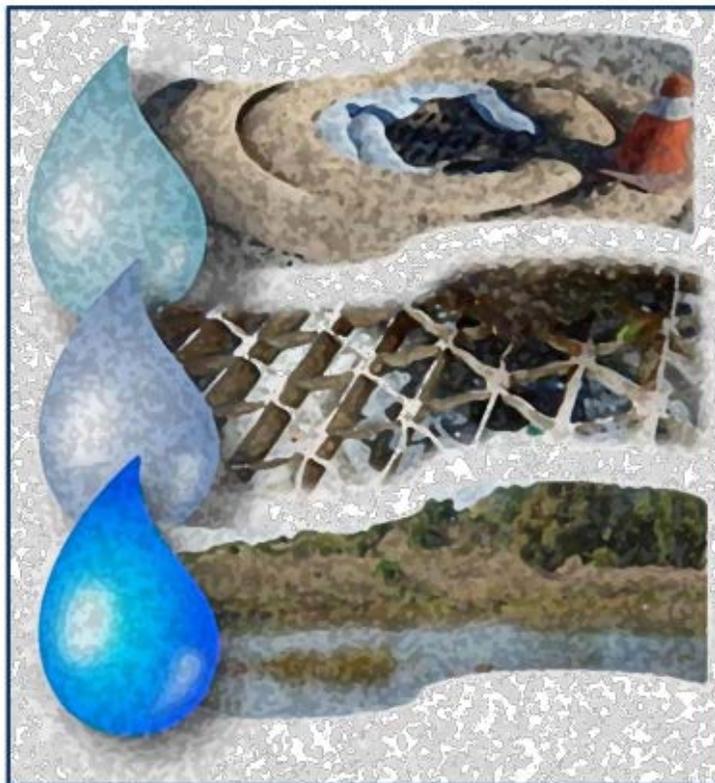




STATEWIDE INDUSTRIAL GENERAL PERMIT

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

ANNUAL REPORT

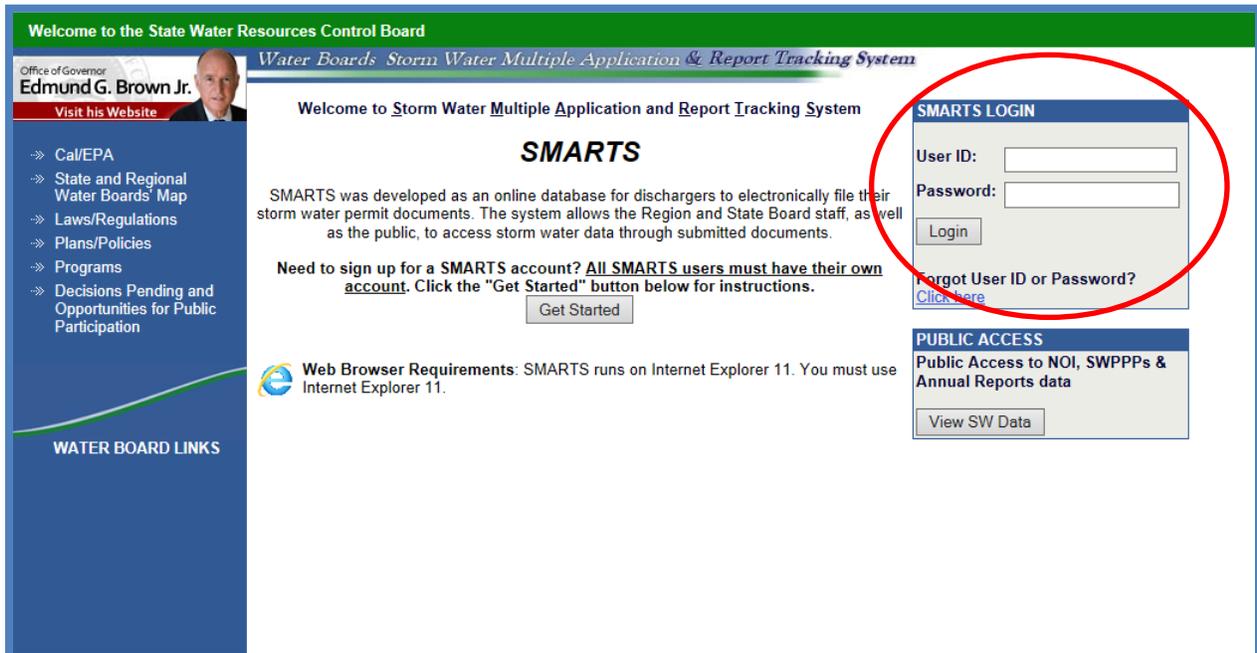


Last Revised: June 02, 2016

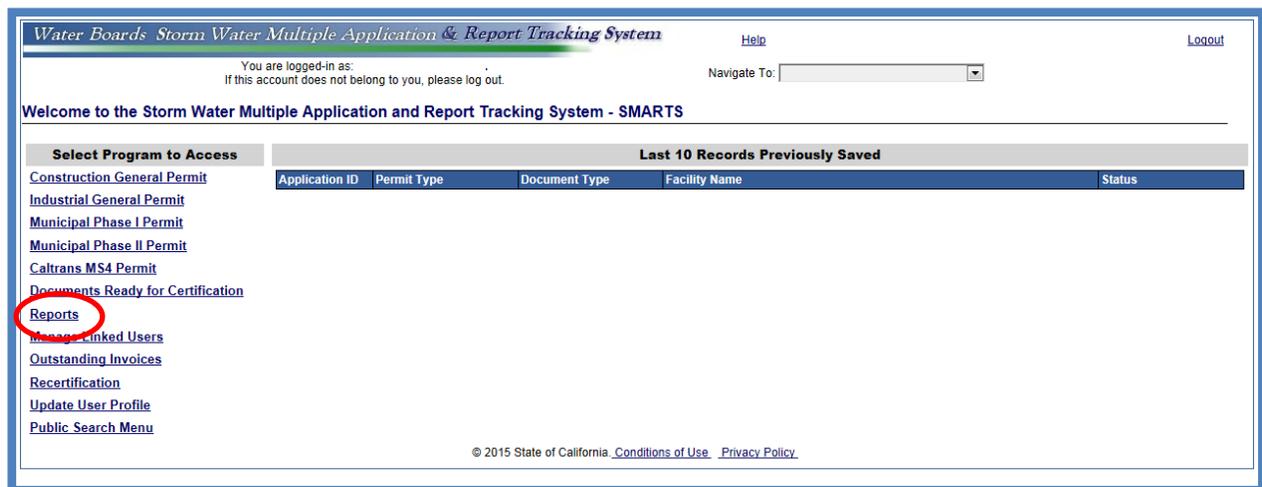
Storm Water Industrial General Permit Annual Report:

Dischargers are required to certify and submit an Annual Report no later than July 15th following each reporting year using the standardized format via SMARTS. The Annual Report is a list of questions for the discharger to complete, which demonstrates that they comply with and address all applicable requirements of the Industrial General Permit (IGP). The Annual Report requires an explanation for any non-compliance of requirements within the reporting year and certification that the Annual Comprehensive Facility Compliance Evaluation (Annual Evaluation) was completed. The Annual Report can be entered by any SMARTS user that is linked to the facility but can only be certified and submitted by the Legally Responsible Person (LRP) or Duly Authorized Representative (DAR) with a valid eAuthorization form on file.

1. Please log into SMARTS: <https://smarts.waterboards.ca.gov>
Please use SMARTS in Internet Explorer 11



2. From the Main menu select "Reports":



- Search for reports using the appropriate reporting period. Any facility that you are linked to will display once you select search:

Water Boards Storm Water Multiple Application & Report Tracking System

You are logged-in as: [Name] | If this account does not belong to you, please log out. | Help | Logout

Navigate To: [Dropdown]

Reports Search

Enter the search criteria below. Only the Reporting Period is required to be selected when searching. If the search does not return any results, try entering fewer search fields. If only the Reporting Period is selected and no results display, you are not correctly linked to the Waste Discharge Identification (WDID) Number. Please contact the Legally Responsible Person to link you to the WDID number. [Back to Main Menu](#)

Reporting Period: **2015 - 2016** *

WDID: [Text Box] | Application ID: [Text Box]

Report Status: [Select] | Region: [All]

* fields are mandatory

Search

Verify the Reporting Period before you begin working on a report.

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Only the “Reporting Period” is required to be selected when searching. If the search does not return any results, try entering fewer search fields. If only the Reporting Period is selected and no results display, you are not correctly linked to the Waste Discharge Identification (WDID) number. Please contact the LRP to link you to the WDID number.

- Select the facility you wish to start working on by clicking on the “Facility Name” hyperlink:

Reports Search

Enter the search criteria below. Only the Reporting Period is required to be selected when searching. If the search does not return any results, try entering fewer search fields. If only the Reporting Period is selected and no results display, you are not correctly linked to the WDID Number. Please contact the Legally Responsible Person to link you to the WDID number. [Back to Main Menu](#)

Reporting Period: 2015 - 2016 *

WDID: [Text Box] | Application ID: [Text Box]

Report Status: [Select] | Region: [All]

* fields are mandatory

Search

Verify the Reporting Period before you begin working on a report.

Facility Name	WDID/App ID	Facility Address	Report Period	Status	No. Ad Hoc	Receipt Date	Remand	Delete
Fried Chicken People	5S091026330 467592	6543 Coop Lane	07/01/2015- 06/30/2016	Future				
Mine	5S291025869 459447	Not yours street	07/01/2015- 06/30/2016	Not Submitted				

- Once you have selected the facility, you will be able to select “Report ID” hyperlink:

Water Boards Storm Water Multiple Application & Report Tracking System

You are logged-in as: [Name] | If this account does not belong to you, please log out. | Help | Logout

Navigate To: [Dropdown]

Storm Water Annual Report Monitoring (SWARM)

Facility Name: Mine | Operator Name: Test | WDID: 5S291025869

Report Period: 2015-16

Annual Report:

Click on the Report ID below to access the Industrial Annual Report.

Report ID	Report Type	Status	Due Date	Date Submitted	Submitted By	Remand
849291	Annual Report	Not Submitted	07/01/2016			

Ad Hoc Report:

Click on the "New Ad Hoc Report" button to start a new Industrial Ad Hoc Report. The electronic Ad Hoc Report screens are used to enter Rain Event and Non-Storm Water Discharge Event sampling/monitoring data collected.

Ad Hoc Reports associated with this Annual Report are listed below. Click on the Event ID link to access an Ad Hoc Report.

Event ID	Event Type	Start Date & Time	End Date & Time	Status	Received Date	Remand	Delete
----------	------------	-------------------	-----------------	--------	---------------	--------	--------

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- The report screen will display facility information for review only. Start the Annual Report by selecting the "Questions" Tab:

Storm Water Annual Report Monitoring (SWARM)

Facility Name:	Mine	Agency:	Test
WDID ID:	5S29I025869	SIC Code(s):	1041-Gold Ores,0213-Hogs
Reporting Period:	2015-16	Report Status:	Not Submitted

General Info **Questions** Attachments Certify Status History Notes Back To Report Main Back To NOI Summary

A. Facility Information (Read-Only)
In order to change the information of an NOI, please click the link - [Click here to go to NOI screens](#)

Facility Business Name:	Mine	Facility Contact:	RWQCB Test
Facility WDID No:	5S29I025869	E-Mail:	r5s_stormwater@waterboards.ca.gov
Physical Address:	Not yours street	Phone:	999-999-9999
City:	Auburn	Standard Industrial Classification (SIC) Code(s):	1041-Gold Ores,0213-Hogs
State:	CA	Zip:	95814

B. Facility Operator Information (Read-Only)

Operator Name:	Test	Operator Contact:	RWQCB Test
Operator Address:	1001 I Street	E-Mail:	r5s_stormwater@waterboards.ca.gov
City:	Sacramento	Phone:	999-999-9999
State:	CA	Zip:	95814

- The "Questions" Tab is a three (3) part series, with the sections of questions being displayed by hyperlinks:

General Info **Questions** Attachments Certify Status History Notes Back To Report Main Back To NOI Summary

[Questions 1 Thru 6](#) [Questions 7 Thru 10](#) [Questions 11 Thru 12](#)

At the bottom of each section of questions there is a "Save & Next" button that allows you to save the filled out answers and proceed to the next section in the series of questions:

General Info **Questions** Attachments Certify Status History Notes Back To Report Main Back To NOI Summary

[Questions 1 Thru 6](#) [Questions 7 Thru 10](#) **Questions 11 Thru 12**

11. Has the Discharger conducted one (1) annual evaluation during the reporting year as required in [Section XV](#)? No *

If "Yes", what date was the annual evaluation conducted?

If "No", explain in the text box below.

Reasoning

12. Has the Discharger maintained records on-site for the reporting year in accordance with [Section XXI.J.3?](#) Yes *

If "No", explain in the text box below.

If your facility is subject to Effluent Limitation Guidelines in Attachment F of the Industrial General Permit, include your specific Supporting Documentation).

8. The Annual Report is composed of a series of questions that are to be answered with “Yes” or “No” responses. The next steps will walkthrough each question providing reference to permit sections. Selecting the [blue](#) hyperlink in the annual report question in SMARTS will display the referenced IGP section.
- a. Question 1

1. **Has the Discharger conducted monthly visual observations (including authorized and unauthorized Non-Storm Water Discharges and Best Management Practices) in accordance with [Section XI.A.1?](#)** Yes No *

If "No", explain in the text box below.

If each monthly observation was not completed an explanation is required. Records of these observations are not required to be uploaded but are required to be maintained on site in the SWPPP records for a 5 year period.

- b. Question 2

2. **Has the Discharger conducted sampling event visual observations at each discharge location where a sample was obtained in accordance with [Section XI.A.2?](#)** Yes No *

If "No", explain in the text box below.

If observations were not completed for each sampling event, an explanation is required. Records of these observations are not required to be uploaded but are required to be maintained on site in the SWPPP records for a 5 year period.

- c. Question 3

3. **Did you sample the required number of Qualifying Storm Events during the reporting year for all discharge locations, in accordance with [Section XI.B?](#)** Yes No *

If "No" to , explain in the text box below.

Industrial storm water sampling results are required to be entered as Ad Hoc Reports, which are required to be certified and submitted in SMARTS within 30 Days of receiving the Lab analysis report¹. Lab analysis reports are required to be uploaded to the corresponding Ad Hoc report and not the Annual Report. If sampling was not completed for the reporting year an explanation is required.

¹ **NOTE:** See the Ad Hoc Report Guide for more information on reporting and entering sample analysis.
http://www.swrcb.ca.gov/water_issues/programs/stormwater/docs/dischargers_guide_adhocreport.pdf

d. Question 4

4. How many storm water discharge locations are at your facility? *

Enter a numeric value for how many discharge locations are at the facility.

e. Question 5

5. Has the Discharger chosen to select Alternative Discharge Locations in accordance with [Section XI.C.3?](#) *

Dischargers are required to identify, when practicable, alternate discharge locations if: (1) the facility's industrial drainage areas are affected by storm water run-on from surrounding areas that cannot be controlled, or (2) discharge locations are difficult to observe or sample (e.g. submerged discharge outlets, dangerous discharge location accessibility). If you answered "Yes" to this question, revisions to the Monitoring Implementation Plan (part of the Storm Water Pollution Prevention Plan (SWPPP)) will need to be uploaded in the Attachments portion of the Annual Report.

f. Question 6

6. Has the Discharger reduced the number of sampling locations, within a drainage area in accordance with the Representative Sampling Reduction in [Section XI.C.4?](#) *

For each drainage area with multiple discharge locations (e.g. roofs with multiple downspouts, loading/unloading areas with multiple storm drain inlets), the Discharger may reduce the number of discharge locations to be sampled if the conditions in Section XI.C.4 in the IGP are met. If you answered "Yes" to this question, revisions to the Monitoring Implementation Plan (part of the Storm Water Pollution Prevention Plan (SWPPP)) will need to be uploaded in the Attachments portion of this report.

g. Question 7

7. **Permitted facilities located within an impaired watershed must assess for potential pollutants that may be present in the facility's industrial storm water discharge. ***
 Using the table below, populated based on the facility's location, indicate the presence of the potential pollutant at the facility.

Parameter	Pollutant	Present at Facility?
E.Coli and Enterococcus	Bacteria	Yes <input type="button" value="v"/>
E.Coli and Enterococcus	Fecal Coliform	No <input type="button" value="v"/>

A discharger must look at 303(d) listed impairments in their larger watershed, which includes all impairments (and TMDLs) within the facility's HUC 10 watershed (10-digit Hydrologic Unit Code) from Appendix 3 of the IGP. Dischargers who have obtained Notice of Intent (NOI) coverage that have 303(d) listed impaired water bodies in the corresponding HUC 10 of the facility must sample for any industrial pollutants identified at the facility (with the potential to discharge). Dischargers are also required to identify pollutants related to the 303(d) listed impairments in the HUC 10 watershed in the SWPPP's pollutant source assessment. Under Section X.G.2.a.ix of the IGP, dischargers must identify "the industrial pollutants related to the receiving waters with 303(d) listed impairments identified in Appendix 3 or approved TMDLs that may be causing or contributing to an exceedance of a water quality standard in the receiving waters," as part of the discharger's assessment of potential pollutant sources.

The IGP requires a discharger to monitor additional parameters if the discharge(s) from its facility contributes pollutants to receiving waters that are listed as impaired for those pollutants. See question 8 for follow up to responses entered.

h. Question 8

8. **Has the Discharger included the above pollutants in the SWPPP pollutant source assessment and assessed the need for analytical monitoring for the pollutants?** Yes *

If "No" what date the parameter(s) will be added to the SWPPP and Monitoring Implementation Plan?  (mm/dd/yyyy)

Dischargers should discuss the potential pollutant sources identified in their HUC 10 and if they are applicable to their facility or not in their SWPPP. If answered "Yes", the discharger is stating the SWPPP addresses all pollutants from the table in Question 7. If answering "No", Revisions to the Monitoring Implementation Plan (part of the Storm Water Pollution Prevention Plan (SWPPP)) will need to be updated by the date provided by the discharger. Once complete revisions are required to be uploaded in the Attachments via the Change of Information (COI)².

² **NOTE:** See the Change of Information (OCI) Guide for more information on completing the form.
http://www.swrcb.ca.gov/water_issues/programs/stormwater/docs/coi_guide.pdf

i. Question 9

9. Were all samples collected in accordance with [Section XI.B.5?](#) Yes *

If "No", explain in the text box below.

If samples were not collected properly an explanation is required.

j. Question 10

10. Has any contained storm water been discharged from the facility this reporting year? No *

If "Yes", explain in the text box below.

For contained storm water (from ponds or capture systems) samples are only collected when there is a discharge of the contained storm water. If you do not have any contained storm water systems answer "No". If the answer is "Yes", provide when the discharges occurred.

k. Question 11

11. Has the Discharger conducted one (1) annual evaluation during the reporting year as required in [Section XV](#)? Yes *

If "Yes", what date was the annual evaluation conducted?

If "No", explain in the text box below.

Please review Section XV. of the IGP for requirements of the Annual Comprehensive Facility Compliance Evaluation (Annual Evaluation). If you completed this evaluation answer "Yes" and provide the date when it was completed. If it was not completed provide an explanation.

I. Question 12

12. Has the Discharger maintained records on-site for the reporting year in accordance with [Section XXI.J.3?](#) Yes *

If "No", explain in the text box below.

Records are not required to be uploaded but are required to be maintained on site in the SWPPP for a 5 year period. If they are not being maintained provide an explanation.

m. Subchapter N Effluent Limitation Guidelines – Annual Report Requirements

The red text displayed after Question 12 “**If your facility is subject to Effluent Limitation Guidelines in Attachment F of the Industrial General Permit, include your specific reporting requirements as an attachment to the Annual Report (attach as file type: Supporting Documentation).**” Is a note for Dischargers subject to Section XI.D1.b of the IGP. Dischargers with applicable Effluent Limitation Guidelines from 40 Code of Federal Regulations parts 419³ and 443⁴ are required to submit volume and mass estimate calculations (completed by a California Licensed Professional Engineer) with their Annual Report. This would be submitted as “Supporting Documentation” in the “Attachments” Tab of the Annual Report.

9. Once all questions are completed, any documentation such as SWPPP revisions or other explanation documentation should be uploaded to the Annual Report.

General Info Questions **Attachments** Certify Status History Notes Back To Report Main Back To NOI Summary

Please click on the "Upload Attachment" button to upload the corresponding file.

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	Date Attached	File Desc
---------------	-----------	------------	---------------	-----------

If no attachments are necessary you may move to the “Certify” Tab by selecting “Next”.

³ Petroleum refining point source category

⁴ Paving and roofing materials using tar and asphalt point source category

An example of the “SMARTS File Upload” pop-up window that is completely filled out⁵.

You may select the “Attachments” Tab to refresh the screen and see that the attachment properly uploaded⁶. Once you have checked that it uploaded correctly select “Next”.

⁵ **NOTE:** For SWPPP revisions please use the file type “SWPPP” for all other Annual Report documents (if any) use the file type “Supporting Documentation”.

⁶ **NOTE:** If an incorrect attachment was uploaded you can delete the attachment by selecting “delete” on the right.

10. The “Certify” Tab provides a completion check of the Annual Report in progress:

Storm Water Annual Report Monitoring (SWARM)

Facility Name:	Mine	Agency:	Test
WDID ID:	5S29I025869	SIC Code(s):	1041-Gold Ores,0213-Hogs
Reporting Period	2015-16	Report Status:	Not Submitted

General Info Questions Attachments **Certify** Status History Notes Back To Report Main Back To NOI Summary

Before certifying your Annual Report, the system must verify that all required sections have been completed. To perform this check, click the button below:

Perform Completion Check

The “Perform Completion Check” function will provide the user with a notification of any errors that must be corrected prior to submission of the Annual Report. (e.g. All Questions answered). Any user can perform this check. If a Data Entry Person (DEP) performs the check and the Annual Report is complete, SMARTS only allows the DEP to notify the LRP or DAR (via a generated SMARTS email) that the Annual Report must be certified and submitted. A DEP completing this check will see this:

General Info Questions Attachments **Certify** Status History Notes Back To Report Main Back To NOI Summary

[Review and Print Annual Report](#)

The Annual Report 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.

Send Email 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 DEP selects “Submit to LRP/DAR” they will see that an email was sent and the status is “Not Submitted – certification required”.

Storm Water Annual Report Monitoring (SWARM)

Facility Name:	Mine	Agency:	Test
WDID ID:	5S29I025869	SIC Code(s):	1041-Gold Ores,0213-Hogs
Reporting Period	2015-16	Report Status:	Not Submitted - certification required

11. The Annual Report must be certified and submitted by the LRP or DAR. The LRP or DAR must identify the Annual Report in SMARTS (same steps as outlined by steps 1-4 of this guide) and select the Annual Report that requires certification:⁷

Storm Water Annual Report Monitoring (SWARM)

Facility Name:	Mine	Operator Name:	Test
Report Period:	2015-16		

Annual Report:
Click on the Report ID below to access the Industrial Annual Report.

Report ID	Report Type	Status	Due Date
849291	Annual Report	Not Submitted - certification required	07/01/2016

The LRP or DAR must review the prepared Annual Report for information accuracy, prior to continuing to the “Certify” Tab to perform the completion check:

Storm Water Annual Report Monitoring (SWARM)

Facility Name:	Mine	Agency:	Test
WDID ID:	5S29I025869	SIC Code(s):	1041-Gold Ores,0213-Hogs
Reporting Period:	2015-16	Report Status:	Not Submitted - certification required

[General Info](#) [Questions](#) [Attachments](#) [Certify](#) [Status History](#) [Notes](#) [Back To Report Main](#) [Back To NOI Summary](#)

Before certifying your Annual Report, the system must verify that all required sections have been completed. To perform this check, click the button below:

[Perform Completion Check](#)

⁷ **NOTE:** If the Data Entry Person (DEP) has properly sent the Annual Report for certification to the LRP/DAR then they can also view reports ready for certification in the “Documents Ready for Certification” SMARTS menu option.

12. The LRP or DAR certifies and submits the Annual Report by selecting the check box, entering their password, answering a security question, then selecting the "Certify Annual Report" button:

Storm Water Annual Report Monitoring (SWARM)

Facility Name:	Mine	Agency:	Test
WDID ID:	5S29I025869	SIC Code(s):	1041-Gold Ores,0213-Hogs
Reporting Period:	2015-16	Report Status:	Not Submitted - certification required

General Info Questions Attachments **Certify** Status History Notes Back To Report Main Back To NOI Summary

Completion/Error Check Completed: Report appears to be complete!

Certification & Submission Checklist :

[Review and Print Annual Report](#)

Report Certification: You can now certify this Annual Report 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 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 Name: _____ Certified Date: 05/31/2016
Certifier Title: _____

Please answer your security question before certifying the document.

In what city did you meet your spouse/significant other?

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.

A confirmation screen will then confirm submission of the Annual Report in SMARTS and you will be able to print a copy for your records:

Storm Water Annual Report Monitoring (SWARM)

Facility Name:	Mine	Agency:	Test
WDID ID:	5S29I025869	SIC Code(s):	1041-Gold Ores,0213-Hogs
Reporting Period:	2015-16	Report Status:	Submitted

General Info Questions Attachments **Certify** Status History Notes Back To Report Main Back To NOI Summary

Your electronic Annual 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	5S29I025869
Reporting Period	2015-16
Certifier Name
Certifier Title	Test
Date Certified	05/31/2016
Certification ID	849291

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