Q1. What is CPD 11-4? Do you mean CPD 11-2?
A1. Yes. The typographical error in the presentation existed but has been corrected.

Q2. I didn’t think that anyone below the Deputy Director level could be a backup LRP. How could the NPDES Coordinator have that role? Legal told us it couldn’t go below the Deputy level.
A2. You are correct.

Q3. Is this the same person as QSD?
A3. QSD is a Qualified SWPPP Developer. QSD is a definition from the CGP.

Q4. Do we now need to submit the NOI after contract award to the contractor in order to have developer information inserted in NOI?
A4. Yes. The NOI must include information about the developer or in our case, the contractor. Caltrans enters into a work agreement with those who develop our projects, the construction contractors, after award.

Q5. Please discuss emergency projects under the CGO- no SWDR is prepped- upload the EDF? The CGP requires notification within 5 days, w/ PRDs due in 30 days. Traditionally, SWPPPs are not prepped for emergency projects, but I assume any emergency project that will have DSA 1 ac & above will require SSP 07-345 & WPCM- correct?
A5. If an emergency project has a disturbed soil area of one acre or more, a SWPPP is required. Use either the 2010 standard specifications and require a SWPPP or SSP 07-345.

Q6. Can you mail 5 copies of your presentation to?
James Yii 3020 Saturn St #100, Brea, Ca 92821
A6. The webinar is available at the Construction Division intranet website
Q7. Will laboratory reports be uploaded as PDFs or will we have to enter lab data manually.

A7. Laboratory testing results will be entered manually into Ad Hoc reporting tables in accordance with the criteria developed in the CGP or as shown in the SMARTS Manual Appendix G: Construction Ad Hoc reporting. Ultimately, SMARTS does have a process for uploading tabular data without manually entering each point, however, that feature is not activated as of September 8, 2011. Pdf copies of the laboratory results must be attached in the Attachments Tab for Ad Hoc reporting.

Q8. Does DSWC certify the NOI or RE?

A8. The SMARTS Manual to date specifies that the RE will certify the NOI; however, districts have some flexibility on who certifies the NOI.

Q9. Are we to print a copy of the SMARTS manual Online or can they be mailed to our construction offices?


Q10. Please repeat the name of the contact for the SMARTS Manual

A10. The SMARTS help desk contact is Sarah Picker at (916) 653-2833 or you can try the Construction Division cell phone at (916) 719-4070.

Q11. Will there be QSD training soon? In emergency projects we often do the reports ourselves to direct the contractor on force account emergency work.

A11. Caltrans gave a webinar on August 17, 2011 that provides Caltrans staff with necessary training to implement the CGP. This training was created in lieu of QSD training. A copy of the webinar will be posted at http://www.dot.ca.gov/hq/env/stormwater/cgp/index.htm

Q12. When we get a NOV for a project will we be required to upload responses/technical reports... onto SMARTS?

A12. This is not clear. NOV will most likely come from RWQCB and may have site specific instructions that are not known at this time.
Q13. Why is RE required to enter contractors' information rather than contractor entering data into smarts? I.e. annual report data

A13. SMARTS was created so that contractors could enter data. At this time however, Caltrans created procedures that use in house employees to enter SMARTS data. This could change.

Q14. The signature of LRP would be on the hard copy or online?

A14. SMARTS is an online regulatory process. Any signatures required are made electronically. Caltrans procedures are that the LRP designates signature authority to the RE using Form CEM 2006. This form should be filed in Section 20 of project files.

Q15. Can WPCM be QSP?

A15. For projects not subject to the CGP (WPCP projects), the WPCM can be a QSP. For SWPPP projects, the WPCM must be a QSD.

Q16. Can you save the application pending more info before submittal?

A16. Yes, the official submittal is not complete without certification.

Q17. When submitting NOI data, can the PE input the info prior to contract coming to construction (SWDR info), and then the RE could fill in the remainder of the NOI (SWPPP)?

A17. At this time and the SMARTS manual reflects this, Construction is responsible for entering NOI data in SMARTS.

Q18. Under project description you state to use the project EA. Should we use the 6 character EA or the 10 character PI?

A18. Please use the 10 character Project ID.

Q19. Is hard copy of SMARTS Manual available?

Q20. Is it ok for contractor to submit their SWPPP/WPCP on line only? If yes, then they don't need to have a copy of SWPPP in the field?

A20. Not at this time. The CGP requires a copy of the SWPPP (and annual report) be available onsite.

Q21. The QSD can provide formal training to select contractor staff in order to save money but the training log must be filled out and the QSD must sign the forms.

A21. Thank you for this information.

Q22. Will the RE approving a SWPPP and a designated signatory, need be a PE or LA? Can a non-PE or LA RE be a designated LPR for a SWPPP project?

A22. The SMARTS manual procedure shows the resident engineer certifying the NOI. Only District Directors may be the LRP. By policy, resident engineers must be a registered professional.

Q23. Do you offer QSD training again, when?

A23. Caltrans webinar recording of the August 17, 2011 presentation is available at


Q24. Can one person start filling out the project info and SWDR info and save it (such as the NPDES unit) and then the RE later complete with contractor info and submit it?

A25. Yes.

Q25. District 7 is offering a 5 days training for 6 weeks non-stop to cover requirements of new permit and help prepare for QSD test. This is not practical. Can this be coordinated with headquarters for a more practical training/class? Everyone is interested but it has to be practical and a little slower pace.

A25. At the September 15, 2011 CWAT, this matter was discussed. Construction Division will update the training webpage to clarify available training classes. Caltrans staff do not need to be QSD certified so training for QSD certification will not be provided.
Q26. Will we need a delayed start spec for SWPPP projects to allow time for SWPPP approval and SMARTS NOI processing?

A26. There could be a possibility of that need. Consideration of using a delayed start specification could be brought up in the PDT or during a constructability review.

A26. There is a delayed start specification. See 2010 SSP 8-1.04C.

Q27. When do we force the contractors to submit electronic copy of the SWPPP for existing projects and also new projects? Need a CPD for directions.

A27. There is discussion within the Department regarding policy on this issue.

Q28. Will every project be entered into SMARTS, even Minor Bs?

A28. Every project subject to the SMARTS requirements of the CGP are required to be entered into SMARTS. In many cases, even smaller projects are subject to the CGPS SMARTS requirements. The first question must be, is there a risk level determination or an erosivity waiver?

Q29. Has RE to be QSD?

A29. No.

Q30. Annual report only applies for SWPPP project, it is not require for WPCP project.

A30. You are correct.

Q31. Does this system apply to the WPCP also (projects less than an acre)?

A31. No, WPCP projects need not enter into SMARTs.

Q32: Once SWPPP is modified during construction, should a revised version also uploaded onto SMARTS?

A32: Yes, any amendments to the document must be uploaded.
Q33. How are amendments to the SWPPP handled with the SMART system?

A33. Any amendments of the SWPPP must be submitted to the SWRCB through SMARTS.

Q34. We are just realizing that demolition contracts, some of which are SWPPP projects, have not yet heard about the new CGP requirements. Now that we are filing NOCs (soon to be NOIs/PRDs) for SWPPP road projects, when the demolition work begins (common plan of development), this training should address who files the PRDs for the demolition contracts. This training should address what happens between the end of demo work and the Beginning of the road job, since all CGP requirements still apply. Who will be doing the required inspections, REAPs, sampling, annual reports, quarterly monitoring... when there is no contractor on board. There could be several SWPPPs by different contractors, that all are under one project and entered into smarts. And make it clear that only a registered PE or Landscape Architect can be the RE for a SWPPP project. I don’t think many people get that.

A34. Thank you for your information.