

# SMARTS

## CALTRANS CONSTRUCTION

### USER'S MANUAL

SMARTS - Storm Water Multi Application and Report Tracking System  
developed by the State Water Resources Control Board (SWRCB)



CTSW-RT-17-314.25.1





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## List of Abbreviations

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AS	Approved Signatory
CEM	Construction Engineering and Management
CGP	Construction General Permit
COI	Change of Information
DCSWC	district construction stormwater coordinator
DDD	Deputy District Director
DEP	Data Entry Person
DSWC	design stormwater coordinator
EDF	Evaluation Document Form
ESCP	Erosion and Sediment Control Plan
ID	identification
IGP	Industrial General Permit
LRP	Legally Responsible Person
LTCGP	Lake Tahoe Construction General Permit
MB	megabytes
MDL	Method Detection Limit
MS4	Municipal Separate Storm Sewer System
NSWD	Non-Stormwater Discharge
NOI	Notice of Intent
NOT	Notice of Termination
NPDES	National Pollutant Discharge Elimination System
PCS	Permit Compliance System
PDF	portable document format
PE	Project Engineer
PIC	Personal Identification Code
PPDG	Project Planning and Design Guide
PRDs	Permit Registration Documents
PSE	Plans Specifications & Estimate
QSD	Qualified Stormwater Pollution Prevention Plan Developer
QSP	Qualified Stormwater Pollution Prevention Plan Practitioner
RE	resident engineer
RL	Risk Level
RLD	Risk Level Determination
RWQCBs	Regional Water Quality Control Boards
SWARM	Storm Water Adhoc Report Monitoring
SMARTS	Storm Water Multi Application and Report Tracking System
SWDR	Stormwater Data Report
SWMP	Stormwater Management Plan
SWPPP	Stormwater Pollution Prevention Plan

SWRCB	State Water Resources Control Board
WDID	Waste Discharger Identification
WPCM	Water Pollution Control Manager
WQC	Water Quality Certification

# Introduction

The State Water Resources Control Board (SWRCB) requires those operating under its NPDES permits to file electronically all permit related compliance documents using the Storm Water Multi Application and Report Tracking System (SMARTS).

SMARTS is an internet-based platform intended to provide transparency and consistency in how permit applications are prepared, processed and administered. It also constitutes a self-reporting system. The electronically submitted information is available to the public and regional water quality control boards (RWQCBs) via the internet. It allows the SWRCB and RWQCBs to prioritize regulatory task like inspections, view trends in compliance and provide data to the Legislature and the public access various submitted project documents.

The Division of Construction prepared this Manual to assist in the submittal of applications and other storm water-compliance documents for construction projects using SMARTS for those Storm Water Prevention Pollution Plan (SWPPP) projects that require coverage under the Construction General Permit (CGP) or the Lake Tahoe Construction General Permit (LTCGP) (hereafter referred to as permit). As with many regulatory efforts, SMARTS procedures and requirements do change or are revised by SWRCB, this Manual will be revised as necessary to reflect changes in SMARTS and Caltrans procedures.

SMARTS submittals (uploads) include:

- General project information
  - Permit Registration Documents to obtain a Waste Discharger Identification (WDID) Number
- Annual reports
- Stormwater discharge event sampling/monitoring data collected (Ad Hoc reports)
- Routine and storm event-related inspection reports

Retain hard copies of these electronic reports in the project files to satisfy CGP or LTCGP record retention requirements.

The electronic entry and the layout of this manual consist of steps:

Step 1: Establishing SMARTS user accounts.

Step 2: Notice of Intent (NOI) submittal and certification.

Step 3: Ad Hoc reporting/continuous reporting.

Step 4: Annual Report filing.

Step 5: File Notice of Termination (NOT)

Step 6: Erosivity Waiver request.

Step 7: Change of Information (COI).

Step 8: File Management

Step 9: Public User Access.

Please note: SMARTS uses the term — Ad Hoc Reporting. Ad Hoc reporting consists of storm water discharge event sampling /monitoring data collected reports and is more fully explained in Step 3. Also, the construction annual report is due September 1 of each year under the CGP but the LTCGP has a November 30 deadline.

# Permit Registration Documents, Regulatory Documents

To apply for coverage of a construction project under the permit, it is necessary to file Permit Registration Documents (PRDs) with the appropriate RWQCB via SMARTS. The Permit considers PRDs to consist of the NOI, Risk Level Determination, Site Maps, the SWPPP, Legally Responsible Person (LRP) or Approved Signatory (AS) certification, and annual fees. The subtlety is that the NOI PRD is not a document but rather, is the process of online submittal of information using NOI entry tabs, including certification. Other items listed as PRDs are uploaded as attachments.

Much of the data to complete the NOI data is available in the Storm Water Data Report (SWDR) Attachment for SMARTS Input (SWDR Attachment) which should be included in the resident engineer (RE) pending file. See Appendix A for an example or visit the Division of Design's website at <http://www.dot.ca.gov/design/hsd/swdr/index.html>. If the SWDR Attachment is not available, use other information available in the project file or contact the project engineer.


As mentioned before, one of the PRDs required for Permit coverage is the Risk Level Determination (RLD). In SMARTS, the RLD is a data-entry form that uses project specific information. The information is obtained from the SWDR Attachment, which reflects the risk determination done at the PSE phase. The resident engineer must ensure that the construction window dates in the SWDR Attachment are still valid at the time of submittal into SMARTS. If the dates have changed, use the most current dates. Changes in the construction window could affect the Risk Level Determination and prompt the need for a change order. Consult with the project engineer, design storm water coordinator (DSWC), district construction storm water coordinator (DCSWC), and the NPDES Coordinator as necessary.

The SWPPP PRD is the site-specific plan submitted by the contractor and authorized by Caltrans. The SWPPP must comply with the contract and must be prepared and signed by the contractor's Qualified SWPPP Developer (QSD). It is submitted in SMARTS by uploading as a portable document format (PDF) attachment or series of attachments in the NOI tab. SMARTS limits uploading file sizes to 75 megabytes (MB) so it is necessary for reports larger than this to be divided into sections and upload as a group (e.g., 1 of 3, 2 of 3, etc.).


Other attachments can include site maps, photographs, email correspondence, cover/explanation letters, laboratory results, etc. (See Step 2 screenshot, page 27).

SMARTS has different platforms for different permit dischargers, they include:

- Caltrans Construction
- Caltrans MS4
- Construction
- Industrial
- Phase I MS4
- Phase II Small MS4
- Region 6 SLT Construction
- Region 8- Scrap Metal Permit and MS4 CIPs



Caltrans CGP projects must use this platform



Caltrans LTCGP projects must use this platform

# Roles

In the nomenclature of SMARTS, the state and regional water board staff are internal users and Caltrans, dischargers and the public are external users. External users can enter, manage and/or comment on storm water data. Internal users have greater control over the data and have greater ability to generate reports on compliance.

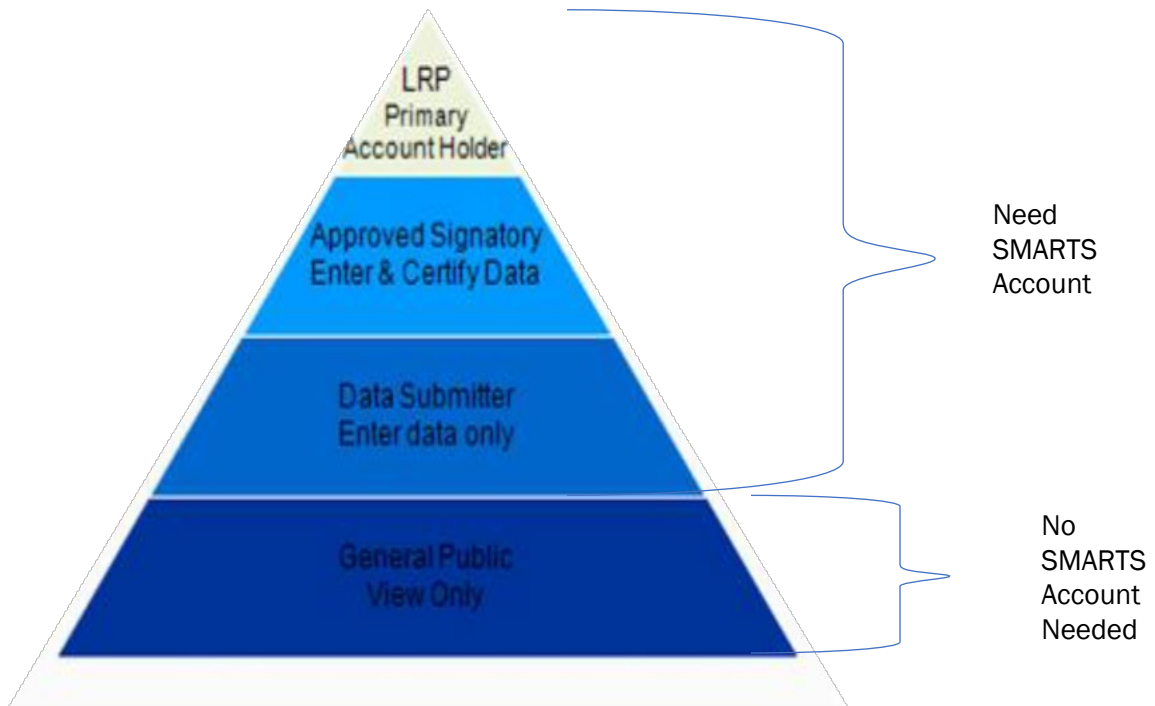


Figure 1. SMARTS Users and their access

SMARTS uses definitions specific to the CGP. Despite the appearance of new designated titles and corresponding levels of responsibility in the CGP, Caltrans ultimate legal responsibility for permit compliance on its projects does not change. Figure 1 shows the structure of users and their access.

The LRP is the project proponent that possess a real property interest in the project. For projects on the State Highway System, various parties can be a project's LRP, including a local agency, a utility company, or a private individual working under an encroachment permit. For Caltrans, the LRPs are the District Director 1-12. SMARTS allows the assignment of a back- up LRP (up to a maximum of three) who may perform the same duties. As the LRP has ultimate responsibility for the project under the permit, the LRP or back-up LRP may delegate much of the responsibility to an AS. The data entry duties may be further delegated but certification responsibilities remain with the LRP or AS.

A dedicated SMARTS email address for each district director is established. This provides a method for the district director to keep all SMARTS related email in one location, since SMARTS informs the LRP of all activities occurring for the organization. The format for the email address is:

LRP\_Caltrans\_District\_X@dot.ca.gov. A list of those shared email addresses is located in Appendix B of this manual. Contact your district "Helpdesk" to request access to the shared mailbox. In

addition, SWRCB has a SMARTS help desk email and phone number as follows: email: [stormwater@waterboards.ca.gov](mailto:stormwater@waterboards.ca.gov) and Phone: 1-866-563-3107.

The LRP may designate more than one AS. For example, the LRP in a tailored district may link the District NPDES Coordinator or the District Construction Stormwater Coordinator who would now have access to all projects linked to that LRP. The same LRP may then link a resident engineer to a project who would then also have access to all those same projects plus the projects from the parent district if that district director there linked them to a project.

For Caltrans construction projects, the LRP must designate the resident engineer as an AS. This is accomplished in SMARTS by linking to the resident engineer and by preparing a hard copy for the project records. Form CEM-2006, Legally Responsible Person Authorization of Approved Signatory, is an optional form and is the paper equivalent of SMARTS linking of the AS to the LRP. This form designates the roles of both the LRP and the AS for construction projects. The use of SMARTS does not negate the need to complete form CEM-2006 and keep a copy on file in the project records. For example, District 11 requires the use of this form for all their SWPPP in addition to the SMARTS linking documentation.

The LRP can assign authority to the AS to enter data and certify the NOI and other permit documents. The LRP, backup LRP, or AS can all assign authority to a data entry person (DEP). Either a Caltrans or a Contractor employee may be assigned a DEP Status. That enables the DEP to enter data or upload attachments. DEP cannot certify any document. Because a person is linked to all the LRP's projects once linked, and access is controlled by how the user profile is established and not by the linking process, a contractor should not be linked into Caltrans projects. Doing so could potentially give them AS or even LRP status over Caltrans projects based solely on how they created their profile.

Each Caltrans district will have an organization identification (ID). The address associated with the organization ID is the mailing address of the district office for that district. The district organization ID is also necessary to resolve any computer glitches.

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## Section 1

# Step 1 - Establishing SMARTS User Accounts

Use the screen shots in this step as a guide for establishing a new user profile. The LRP should be the first person for the district to create their user profile and, in so doing, simultaneously establish the organization ID. Any subsequent users for a district will use that same organization ID when creating their user profile.

Linking is the delegation of authority in SMARTS and is described in Step 2 below. SMARTS allows the LRP to have three backup LRP user accounts. Typically, the Deputy Director of Construction, Deputy Director of Environmental, and other deputy level staff are the backup LRPs, but this may vary based on a specific district's organization. Consider alternatively the Deputy Director for Right of Way for demolition contracts, and the Deputy Director for Maintenance and Operations for encroachment permits.

Once the LRP creates a user profile and the organization ID is established, the following can be performed as staff are added in the system:

- LRP links to three backup LRPs.
- LRP or backup LRP link to the AS.
- LRP, backup LRP, or AS link to the DEP.

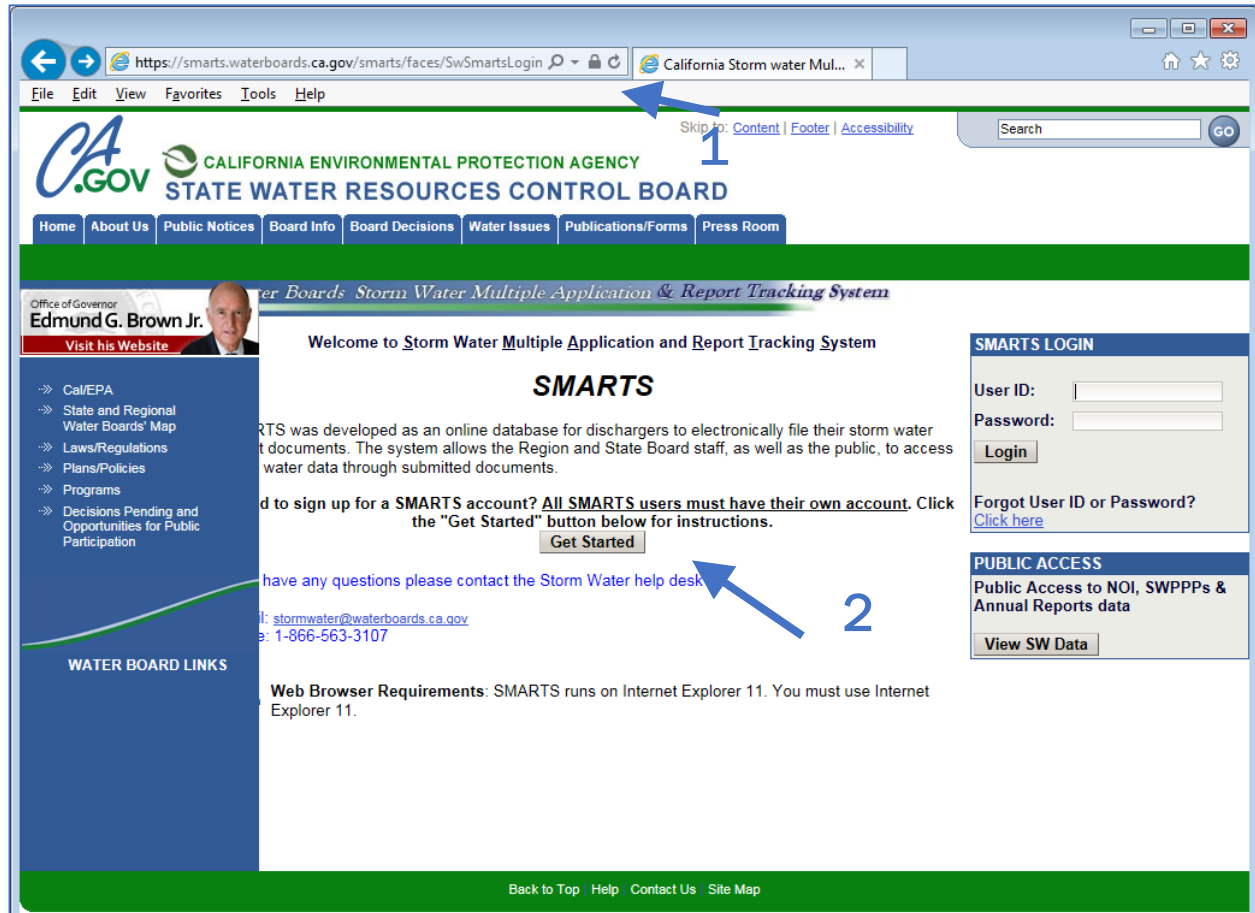
For example, a District could use the following reporting and linking structure:

1. LRP—District Director
2. Three back up LRPs
  - a. Deputy District Director (DDD) Construction
  - b. DDD Environmental
  - c. NPDES Branch Chief
3. Approved Signatory (AS)
  - a. Construction Storm Water Coordinator
  - b. Resident Engineer
  - c. NPDES Coordinator
4. Data Entry Person (DEP)
  - a. Water Quality staff
  - b. RE staff
  - c. Contractor staff

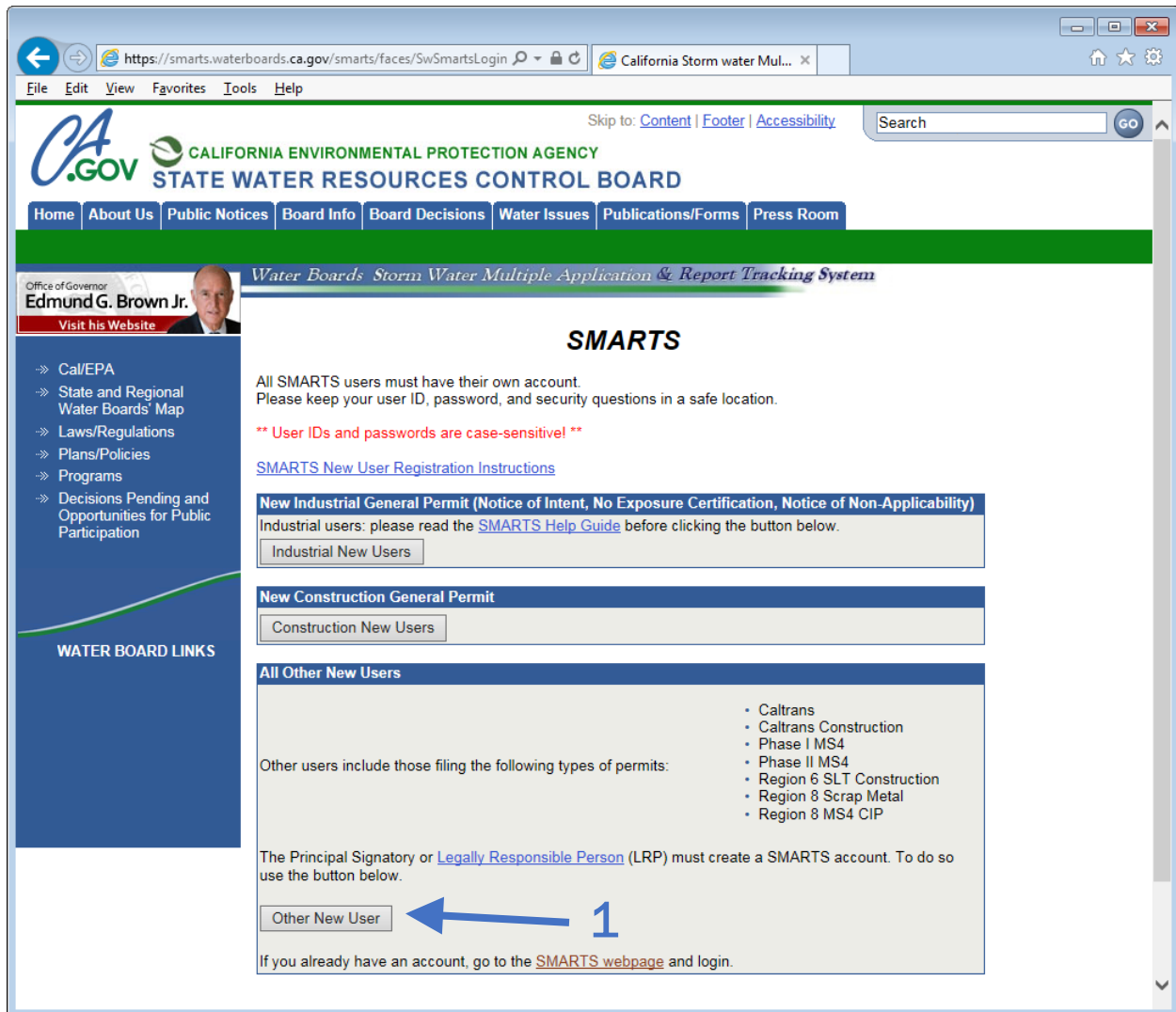
## Step 1.1 Starting the Process

It is highly recommended that every time you are inputting data, you click the save button as you move through different screen or tabs, SMARTS can freeze out and you might lose the data if you don't hit the save button frequently. The system does not have an automatic save.

The rest of this Manual includes screenshots of SMARTS and the numbered steps corresponds instructions via the screenshot numbers.



1. Web address <https://smarts.waterboards.ca.gov/smarts/faces/SwSmartsLogin.jsp>
2. First time users must click on the **Get Started** button to begin the process.



1. Select **Other New User** for accessing Caltrans Construction SMARTS screens

## Step 1.2 Selecting an access level

**Water Boards Storm Water Multiple Application & Report Tracking System**

**NEW USER REGISTRATION**  
**STEP 1/3: Select User Type**

The first step in the user registration process is the selection of user account type that you want to establish. SMARTS currently allows three types of User accounts. They are: Legally Responsible Person (LRP), Data Entry Person (DEP) and Approved Signatory (AS). Click on the following links to review the definitions of LRP, DEP, and AS User account types before making a selection.  
[Construction User Account Definitions](#)   [Industrial User Account Definitions](#)

Please select one of the following:

☐ Discharger, Operator, Legally Responsible Person (LRP) or Principal Signatory per 40 CFR 122.22. ← 1

☐ Duly Authorized Representative(DAR) or Approved Signatory (AS).

☐ Data Entry Person (DEP) or CBPELSG QSD.

If you have any questions or for further assistance, please contact SMARTS Help Desk at: (866)-563-3107 Monday thru Friday 8:00AM - 5:00PM, or email [stormwater@waterboards.ca.gov](mailto:stormwater@waterboards.ca.gov)

[Back to Login](#)   [Continue to Next Step](#) ← 2

1. Select the appropriate level of access.
  - a. Only the District Director or a Deputy District Director should select the Legally Responsible Person option.
  - b. The AS generally has the same authority as the LRP with the exception for transferring LRP status should there be a change at the district director level.
  - c. The Deputy District Directors should be selected as AS. Others who need to enter or delete information or may need to certify documents should also select AS designation. This could include the Area Construction Senior, the NPDES Branch chief, or DSCWC.
  - d. The Data Entry Person can only upload documents and fill spaces in the tab forms and cannot certify the submittals. This should be reserved for staff personnel who will not be acting on behalf of the assigned AS or who may become a resident engineer in the future (it is difficult to change to a higher level once the profile is established).
  - e. For the definition of these terms, click on the Construction User Account.
  - f. Definitions (atop of the screen above the different user types).

The following table shows access by each SMARTS category when dealing with Caltrans Construction Projects:

Table 1: SMARTS user profiles and their access rights

SMARTS ACCESS							
User Account Types	Link Others	Certify documents	NOI	Ad Hoc Reports	Annual Report	COI	NOT
LRP	Yes	Yes	Input and certify	Input and certify	Input and certify	Input and certify	Input and certify
Backup LRP	Yes	Yes	Input and certify	Input and certify	Input and certify	Input and certify	Input and certify
AS	Yes	Yes	Input and certify	Input and certify	Input and certify	Input and certify	Input and certify
Data Entry	No	No	Input only	Input only	Input only	Input only	Input only
Public Access	No	No	View only	View only- Ad Hocs viewed as Attachments	View only	View only	View only

2. Continue to next step.
  - a. Note that if you selected LRP, another window will appear inquiring if you are applying for a new organization or if you are replacing an LRP for an existing organization. If the latter, click the appropriate option and a shortened version of the next screen will appear asking account details and security questions.

## Step 1.3 Filling out the information for completing the new user registration

**Water Boards Storm Water Multiple Application & Report Tracking System**

**NEW USER REGISTRATION**  
Step 2/3: User Account Details

**: Enter User Account Details**

The next step in the registration process is to provide your user account details. The User ID along with a Password will be sent to the e-mail address entered below. You will need this User ID and Password to log into SMARTS. Please verify that the e-mail address is valid and accurate.

**User Account Details: (An \* indicates a required field)**

First Name:  \*

Middle Name:  \*

Last Name:  \*

Title:  \*

Email:  \* (abc@xyz.com/abc@xyz.net)

Re-enter Email:  \* (abc@xyz.com/abc@xyz.net)

Work Phone:  \* Ext:  (999-999-9999)

Mobile Phone:  (999-999-9999) - Use this number to receive the text password reset.

User ID:  \*  (Enter user ID between 7 - 16 characters. Use the button to verify if the User ID is already taken.)

Password:  System will generate the password and send you via email.

**Business/Agency Details:**

Business Type:  Private Business \*

Business Name:  (Do Not use Abbreviations, use Legal Business Name)

Business Address: ☐ USA Address ☐ International Address

Street Address:  \* (Enter PO Box in Street Address field.)

Address Line 2:

City, State, & Zip:  CA  Zip:  \*

Country:  USA

1. Enter your first name.
2. Enter your middle name (optional).
3. Enter your last name.
4. Enter your title.
5. Enter your Caltrans email address. For district directors creating their LRP profile, use LRP\_Caltrans\_District\_XX@dot.ca.gov format (see Appendix B) to avoid having an overflow of email.
6. Enter your public phone number formatted as xxx-xxx-xxxx.
7. Enter your cell phone number formatted as xxx-xxx-xxxx in case you want to be able to receive text (in case you forget your password and need to reset it).

8. Choose and enter a unique ID. Caltrans staff should use their employee number to avoid having multiple user IDs. Then check for availability by clicking the adjacent box. If used, choose a new ID.
9. Select State Agency from the pull-down menu as the business type.
10. Use Caltrans District XX to ensure consistency. For construction projects in a Region, use the parent district number (either 03 or 06).
11. Select USA address.
12. For LRP, use the district office address. For AS or DEP, use your office address.
13. For LRP, use the district office city. For AS or DEP, use your office city.
14. Select USA.
15. Select **Continue to Next Step** to complete the user registration.

**Water Boards Storm Water Multiple Application & Report Tracking System**

**NEW USER REGISTRATION**  
Step 2/3: User Account Details

**Enter User Account Details**

The next step in the registration process is to provide your user account security details. Please choose the security questions, the respective answer & complete the form.

**Identification Verification Security Questions:**

Please select and answer the Identification Verification Security questions below. These questions will be asked in the event you misplace your password.

Security question: Select \*  
Answer: \*

Security question: Select \*  
Answer: \*

Security question: Select \*  
Answer: \*

Security question: Select \*  
Answer: \*

Security question: Select \*  
Answer: \*

Personal Identification Code: \*

The Personal Identification Code is a set of numbers or letters used to authenticate the user when contacting the Water Boards regarding your SMARTS account. Once set, the PIC cannot be changed or retrieved. If a user forgets their PIC, a new user account must be created.

**Server Security Letters:** 5J 00NK \* Security (image characters are not case-sensitive)

☐ 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, password and answer to a security question 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. I certify that I have not violated any term in my Electronic Signature Agreement and that I am otherwise without any reason to believe that the confidentiality of my password and challenge question answers have been compromised now or at any time prior to this submission. I understand that this attestation of fact pertains to the implementation, oversight, and enforcement of a federal environmental program and must be true to the best of my knowledge.

\* Fields preceded by red asterisk (\*\*) are mandatory/required fields.

If you have any questions or for further assistance, please contact SMARTS Help Desk at: 1-866-563-3107 Monday thru Friday 8:00AM - 5:00PM, or email stormwater@waterboards.ca.gov

**Continue to Complete Registration**

16. There are five security questions that the SMARTS system uses should you forget your password. All five security questions need to be completed. From the pull-down menu, select the question you prefer and then fill in the appropriate response. **Remember, you WILL need to answer these questions in the future if you certify any SMARTS submittals, choose your questions and answers carefully.**
17. Fill out the Personal Identification Code (PIC). This is a set of numbers or letters that are used by SMARTS to authenticate the user if you need to contact the Water Board for questions on your account. If you cannot recall this PIC, a new account will need to be created.
18. Fill in server security letters shown in the box to the left. These letters change each time the screen is entered. If the letters are not readable, your web browser probably needs to be updated.

19. Read certification statement and check box. Note that by establishing this profile, you are agreeing that your certification of documents is the same as if you signed the documents yourself in ink.

20. To complete the registration, click: **Continue to Complete Registration**.

Write down your ID and save it for your records. SMARTS will generate a temporary password and email it to the address provided. Once the email arrives (should only be a few minutes at most), repeat Step 1.1 and enter your newly created user ID and SMARTS-generated password to enter the system.

Once into the system, SMARTS will open the Change Password screen below to reset your password to one of your choosing.

## Step 1.4 Changing your password

The screenshot shows the SMARTS login page in a web browser. The page header includes the California State Water Resources Control Board logo and navigation links. The main content area is titled "Welcome to Storm Water Multiple Application and Report Tracking System" and "SMARTS". It provides information about the system and a "Get Started" button. On the right, there is a "SMARTS LOGIN" section with fields for "User ID" and "Password". A red warning message states: "You have 4 more attempts before your account is locked (Invalid User ID and/or Password are entered) Reset User ID or Password below!". Below the login fields is a "Forgot User ID or Password?" link. At the bottom right, there is a "PUBLIC ACCESS" section with a "View SW Data" button. Two blue arrows with numbers 1 and 2 point to the "Password" field and the "Forgot User ID or Password?" link, respectively.

1. If you do not know your password, the system allows you five tries before you are locked out.
2. If you have forgotten, either your User ID or Password, select [Click Here](#).

The following screen appears after logging in for the first time, when your password expires, or when you click Change Password on the main menu.

1. Enter the SMARTS generated password if a first-time user. Otherwise enter your current password.
  - a. Enter a unique password of 7 to 16 characters in length.
  - b. Re-enter the same unique password.
2. Click **Update** to reset the password.

Once you have successfully reset your password, it will open the SMARTS Main screen. You will not have access to any projects until the LRP or AS has linked you to their organization (District projects).

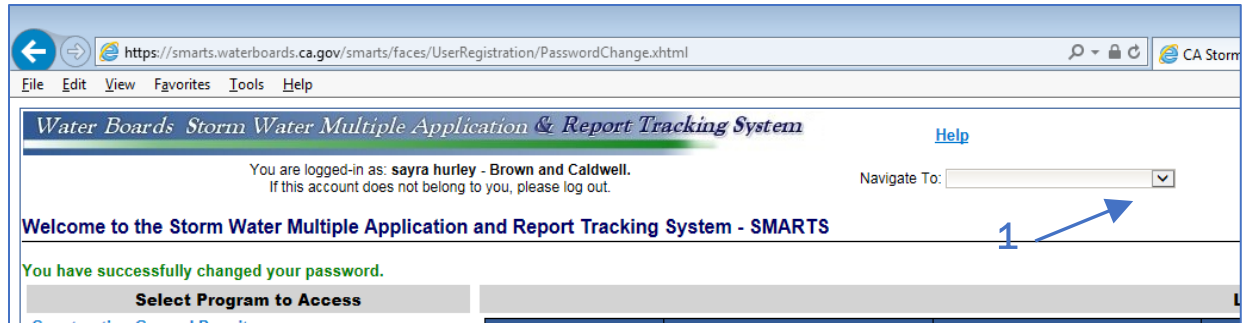
## Step 1.5 Completing the user registration

For first time users, the next step is to request to be linked to your organization (District) by the LRP, backup LRP, or Approved Signatory. Send them your user ID with your request.

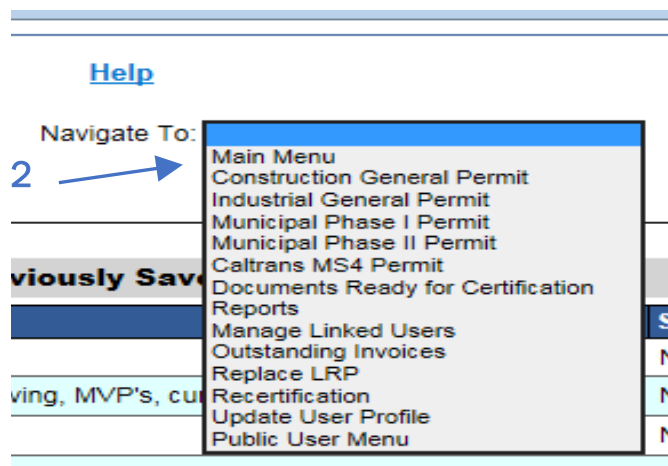
For Approved signatories, you need to mail an eAuthorization form to the state board. If the State Board doesn't have this form on file, the LRP or AS will not be able to certify any NOI or any other documents and submit them.

1. Click Print eAuthorization Form. Print Form, Select your user role (Legally Responsible Person or Approved Signatory). Sign, date and mail (addresses for standard and express mail are included on the form.)





1. A **Navigate To** screen (instruction #2 below) is available that allows you to move to different screens within the system. It is a pulldown menu as shown below



2. The **Navigate To**: pull down menu contains the same items as the main menu, that way you can go in between pages back to main menu if you need to. Below is a table with general information of what this navigate to options contain or include.

**Table 2-2. Navigate To Page Descriptions**

Navigate Page Name	General Description
Construction General Permit	Construction projects subject to CGP SWPPP (other than Caltrans)
Industrial General Permit (IGP)	Sites that meet one of the SIC codes included in Appendix A of the IGP
Municipal Phase I Permit	Dischargers subject to an MS4 Permit
Municipal Phase II Permit	Dischargers subject to an MS4 Permit, Phase II- small MS4
Caltrans MS4 Permit	Caltrans NPDES Permit
Documents Ready for Certification	List of projects that have been submitted by DEP or other SMARTS user for certification
Reports	Page allows you to search for Annual Reports for different years
Manage Linked Users	The LRP or AS can manage SMARTS users and link or delink users
Outstanding Invoices	This page provides list of invoices that have not been paid to date and are outstanding.
Replace LRP	This page allows the LRP to replace another previously designated LRP
Recertification	This page is to be used when a new permit (CGP, IGP or MS4 NPDES) requires old NOIs to be certified under the new applicable NPDES permit
Update user Profile	If you want to change your password or other criteria in your profile, this tab will take you to where you can make the changes
Public User Menu	If you want to look at any public records in SMARTS, this page will log you out of your current profile and take you to the public user screen

## Step 1.6 Linking other users

The screen below is the main menu for SMARTS. Clicking on the headers takes you to the appropriate entry forms. To navigate back to this menu or other entry forms, open the pull-down menu from the Navigate To: box in the upper right corner and pull down to the desired location. As addressed in Step 1.5 above.

Delegations of authority are documented in SMARTS through the linking process. This process gives LRPs, backup LRPs, Approved Signatories, and DEPs access to the projects under the responsible control of that LRP or AS that link them.

You must have AS or backup LRP or LRP access rights in order to link others from your Organization (District), as an DEP you will not be allowed to open or view the Manage Linked Users page.

**Select Program to Access**

- [Construction General Permit](#)
- [Industrial General Permit](#)
- [Municipal Phase I Permit](#)
- [Municipal Phase II Permit](#)
- [Caltrans MS4 Permit](#)
- [Documents Ready for Certification](#)
- [Reports](#)
- [Manage Linked Users](#) **1**
- [Outstanding Invoices](#)
- [Replace LRP](#)
- [Recertification](#)
- [Update User Profile](#)
- [Public Search Menu](#)

**Last 10 Records Previously Saved**

Application ID	Permit Type	Document Type	Facility Name	Status
482615	Caltrans Construction	NOI		Not Submitted
975218	Caltrans Construction	Annual Report	11-410904 Gore Paving, MVP's, curb ramps	Not Submitted
41930	NOI	COI	282504	Not Submitted
41370	NOI	COI	11-418524 I-8 Segment 5	Not Submitted
538168	Caltrans Construction	NOT	11-418524 I-8 Segment 5	Not Submitted
489628	Construction	NOI	Test Project	Not Submitted
813645	Caltrans Construction	Annual Report	264114 SD 163 Laurel St Bridge	Not Submitted
37823	NOI	COI	2T2174 I-5 San Elijo Lagoon Double Tract	Not Submitted
478260	Caltrans Construction	NOI		Not Submitted
854753	Caltrans Construction	Annual Report	405504 SD 8 Conc Shoulders & Median Barrier & Upgrade Guardrail	Submitted
781600	Caltrans Construction	Annual Report	257144 SD SR76 & I15	Not Submitted

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1. Click on the Manage Linked Users to link a backup LRP, AS, or DEP. The system will take you to the next screen.

Note that if you are a DEP, if you click on this option, you will get a message in red stating “You are not a Legal Responsible Person or Approved Signatory, you cannot access this link” the DEP has no authority to delegate or manage users.

There are four steps that must be completed before linking a user into the Caltrans District projects organization. The next screen appears after item 1 above is completed.

Water Boards Storm Water Multiple Application & Report Tracking System

You are logged-in as: Ron Caraet - Caltrans District 11.  
If this account does not belong to you, please log out.

Navigate To:

[Help](#) [Logout](#)

**Manage Linked User**

**Step 1 of 4: Enter the UserID of the person you would like to link to your organization.**

User ID:

[Go To Step 2](#) [Back To Manage Linked User](#)

If you have questions regarding linking, please contact us at [stormwater@waterboards.ca.gov](mailto:stormwater@waterboards.ca.gov) or 1-866-563-3107.

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1. Enter the user ID of the staff you are linking.

Water Boards Storm Water Multiple Application & Report Tracking System

You are logged-in as: Ron Caraet - Caltrans District 11.  
If this account does not belong to you, please log out.

Navigate To:

[Help](#) [Logout](#)

**Manage Linked User**

**Step 2 of 4: Select the organization record to link with the below person.**

Name:	Julio Reyes
Account ID:	650310
Business Name:	CALTRANS DISTRICT 11
Contact Phone:	858-688-1091
Email:	julio_reyes@dot.ca.gov

Organization Name:  Role:

[Back To Step 1](#) [Go To Step 3](#)

If you have questions regarding linking, please contact us at [stormwater@waterboards.ca.gov](mailto:stormwater@waterboards.ca.gov) or 1-866-563-3107.

[Back To Manage Linked User](#) [Back To Main Menu](#)

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2. Then select their role from the pulldown menu (next screenshot).

Water Boards Storm Water Multiple Application & Report Tracking System

You are logged-in as: Ron Caraet - Caltrans District 11.  
If this account does not belong to you, please log out.

Navigate To:

[Help](#) [Logout](#)

**Manage Linked User**

**Step 3 of 4: Select Application(s) to Link to Julio Reyes for the organization: Caltrans District 11**

Application ID	WDID	Operator And Address	Facility And Address	Role	Update	Delink
Application / WDID: <input type="text" value="Select"/>						

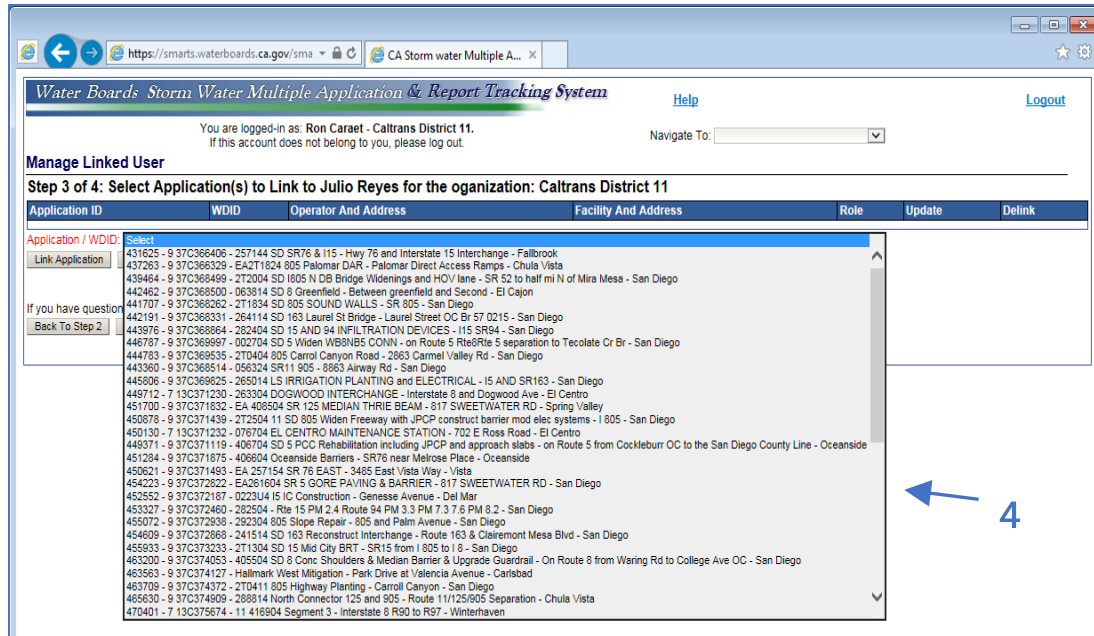
[Link Application](#) [Link All Applications](#)

If you have questions regarding linking, please contact us at [stormwater@waterboards.ca.gov](mailto:stormwater@waterboards.ca.gov) or 1-866-563-3107.

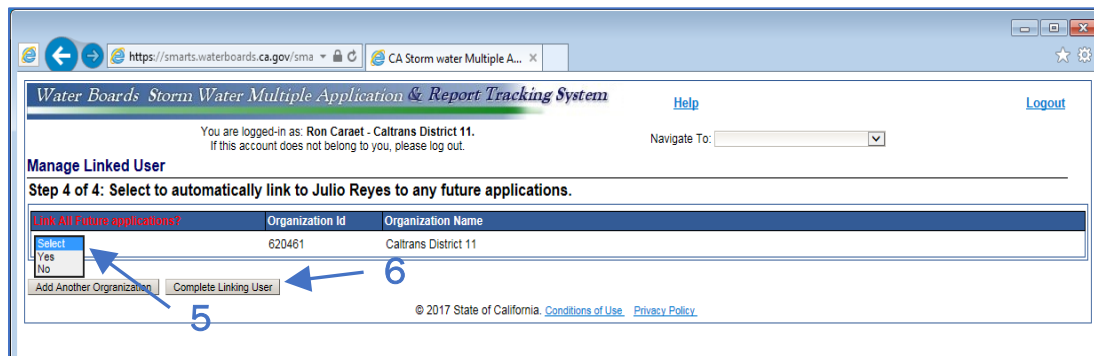
[Back To Step 2](#) [Go To Step 4](#)

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3. You can choose to grant access to the linked user by WDID or general access to all projects.



4. Example of the pulldown menu for the application WDID showing all the projects for that particular District that can be linked to the user.



5. The LRP, backup LRP or the AS could select to link the user to all future applications.
6. To complete the linking process, click **Complete Linking User**.

## Step 1.7 Delinking Users

If there are staff changes within a District, the LRP, backup LRP or the AS can remove users (delink) who no longer need access either to the entire list of District SWPPP projects or to individual projects. The main screen from Step 1.6 will provide a list of all the linked users. Linking an AS is below and linking or delinking a DEP follows.

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **Ron Carat - Caltrans District 11.**  
If this account does not belong to you, please log out.

Help      Logout

Navigate To:

**Managed Linked Users**

This page allows you to manage users associated with your organization(s).  
Below are the user(s) currently associated with your organization(s). Click on the person's name to add or remove organization(s) or application(s). To add a person not listed below, click on the Link New User button.

[Link New User](#)   [Back to Main Menu](#)

Account ID	Name	Business Name
<a href="#">630212</a>	ALSHEIKH, JASON	CALTRANS DISTRICT 11
<a href="#">635850</a>	Ambie, Tor	CalTrans District 11
<a href="#">606104</a>	Anderson, Jeff	California Stormwater Advisors Inc
<a href="#">623711</a>	April, Bruce	California Department of Transportation
<a href="#">631176</a>	Arindueque, Ray	Caltrans District 11
<a href="#">635724</a>	Assefa, Daniel	CALTRANS
<a href="#">629483</a>	BARBA, GERARDO	CALTRANS DISTRICT 11
<a href="#">636355</a>	Bata, Amer	Caltrans District 11
<a href="#">635851</a>	Batista, Javier	Caltrans D11
<a href="#">622936</a>	Berman, Laurie	Caltrans District 11
<a href="#">606722</a>	Bittle, Drew	Alegre Environmental
<a href="#">630588</a>	C S, Harold	Caltrans District 11
<a href="#">662521</a>	COVARRUBIAS, CARLOS	STATE OF CALIFORNIA DEPARTMENT OF TRANSPORTATION
<a href="#">668122</a>	Callejon, Carol	Caltrans District 11
<a href="#">637123</a>	Corbitt, Jared	Caltrans District 11
<a href="#">652787</a>	Cortez, David	Caltrans District 11
<a href="#">666626</a>	DAABAS, HASAN	Caltrans District 11
<a href="#">627862</a>	Davis, Thomas	Caltrans District 11
<a href="#">663658</a>	Epple, Amanda	Caltrans
<a href="#">603144</a>	Erler, Jennifer	Ground Service Technology Inc
<a href="#">640850</a>	Espina, Diana	Caltrans District 11
<a href="#">637578</a>	Ghazialam, Sultan	Caltrans
<a href="#">654571</a>	HODZIC, SEID	CalTrans District 11
<a href="#">636335</a>	Hernandez, Daniel	Caltrans District 11
<a href="#">641078</a>	Hoang, Tuan	Caltrans District 11
<a href="#">628632</a>	Hurtzig, John	Caltrans District 11
<a href="#">630658</a>	Javed, Faridun	Caltrans
<a href="#">641088</a>	Juarez, Daniel	Caltrans District 11
<a href="#">635497</a>	Lauer, Brian	SLS Construction Inc
<a href="#">637892</a>	Le Vine, Gary	Caltrans District 11
<a href="#">655283</a>	Maloney, Scott	Caltrans
<a href="#">649014</a>	Martinez, Alfredo	Caltrans District 11
<a href="#">627860</a>	McMillan, Steven	Caltrans District 11

1. This is an example of the screen that can be viewed by an AS or the LRP when they click Manage Linked Users. The next screen will show you a AS user, they will automatically be linked in all future applications.

Water Boards Storm Water Multiple Application & Report Tracking System

You are logged-in as: Ron Carat - Caltrans District 11.  
If this account does not belong to you, please log out.

Navigate To:

**Manage Linked User**

This page allows you to add or remove organization(s) and/or application(s) associated with the following person.

Name:	JASON ALSHEIKH
Account ID:	630212
Business Name:	CALTRANS DISTRICT 11
Contact Phone:	858-688-1473
Email:	jason_alsheikh@dot.ca.gov

The following organization(s) is/are linked to the above person.

Organization ID	Organization Name	Role	Manage Applications	Link All Future applications?	Update	Delink
820451	Caltrans District 11	Duly Authorized Representative (Approved Signatory)	<input type="button" value="View/Link Applications"/>	<input type="button" value="Yes"/>	<input type="button" value="Update"/>	<input type="button" value="Delink"/>

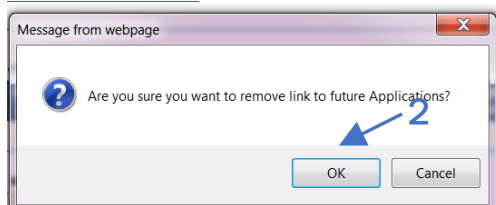
To add an additional organization(s), select the record from the drop down box and click the Link Organization button.

Organization Name:  Role:

The following application(s) is/are linked to Caltrans District 11

Application ID	WIDID	Operator And Address	Facility And Address	Role	Update	Delink
454223	9 37C371822	Caltrans District 11 4050 Taylor Street San Diego CA 92110	EA261604 SR 5 GORE PAVING & BARRIER 817 SWEETWATER RD San Diego CA 91910	Duly Authorized Representative (Approved Signatory)	<input type="button" value="Update"/>	<input type="button" value="Delink"/>
451700	9 37C371832	Caltrans District 11 4050 Taylor Street San Diego CA 92110	EA 408504 SR 125 MEDIAN THRIE BEAM 817 SWEETWATER RD Spring Valley CA 91977	Duly Authorized Representative (Approved Signatory)	<input type="button" value="Update"/>	<input type="button" value="Delink"/>
472053	9 37C376066	Caltrans District 11 4050 Taylor Street San Diego CA 92110	260414 SD Drainage Improvements 11 SD 8 PM R37 to R39 Descanso Junction CA 91916	Duly Authorized Representative (Approved Signatory)	<input type="button" value="Update"/>	<input type="button" value="Delink"/>
482930	9 37C378876	Caltrans District 11 4050 Taylor Street San Diego CA 92110	EA244004 I-5 Widen Ramps, Construct Walls, Ramp Meters, & Landscape 817 Sweetwater Rd. Chula Vista CA 91910	Duly Authorized Representative (Approved Signatory)	<input type="button" value="Update"/>	<input type="button" value="Delink"/>
489628		Caltrans District 11 4050 Taylor Street San Diego CA 92110	kjfsa san diego San Diego CA 92111	Duly Authorized Representative (Approved Signatory)	<input type="button" value="Update"/>	<input type="button" value="Delink"/>
485688	9 37C379599	Caltrans District 11 4050 Taylor Street San Diego CA 92110	408604 SAN Rte 8 Nimitz Blvd to 0.2 Mile West of Presidio San Diego CA 92110	Duly Authorized Representative (Approved Signatory)	<input type="button" value="Update"/>	<input type="button" value="Delink"/>
486092	9 37C380052	Caltrans District 11 4050 Taylor Street San Diego CA 92110	11-405704 SR-76 Roundabout Valley Center Road Valley Center CA 92082	Duly Authorized Representative (Approved Signatory)	<input type="button" value="Update"/>	<input type="button" value="Delink"/>
488209	7 13C380367	Caltrans District 11 4050 Taylor Street San Diego CA 92110	11-419514 Segment 4 I-8 El Centro CA 92243	Duly Authorized Representative (Approved Signatory)	<input type="button" value="Update"/>	<input type="button" value="Delink"/>
486347	9 37C379900	Caltrans District 11 4050 Taylor Street San Diego CA 92110	272514 SD I-805 Palomar DAR Landscape Palomar Street Chula Vista CA 91911	Duly Authorized Representative (Approved Signatory)	<input type="button" value="Update"/>	<input type="button" value="Delink"/>
485689		Caltrans District 11 4050 Taylor Street San Diego CA 92110		Duly Authorized Representative (Approved Signatory)	<input type="button" value="Update"/>	<input type="button" value="Delink"/>

To add an additional application(s) or WIDID numbers, select the record from the drop down box and click the Link Application button.



1. Click on the specific user whose access rights need modification. You can delink him from the organization completely.
2. You will get a message asking whether you are sure you want to remove link for future applications
3. You can also view/manage specific applications and either update or delink.
4. You can also modify the user to add to another District or change their right- modify from DEP to AS or vice-versa.
5. You can also link all organizations (Districts) or an individual district.

As you will see in the attached screenshots, SMARTS will only allow you to pick “yes” or “no” if the user is a Data Submitter otherwise it is not an option if the user is an AS or LRP.

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **Dusty Giffin - Caltrans District 03.**  
If this account does not belong to you, please log out.

Manage Linked User

This page allows you to add or remove organization(s) and/or application(s) associated with the following person.

Name:	Sean Cross
Account ID:	635779
Business Name:	Caltrans District 3
Contact Phone:	530-741-4579
Email:	sean.cross@dot.ca.gov

[Delink User Account](#)

The following organization(s) is/are linked to the above person.

Organization Id	Organization Name	Role	Manage Applications	Link All Future applications?	Update	Delink
613593	Caltrans District 3	Data Entry Person	<a href="#">ViewLink Applications</a>	<input checked="" type="checkbox"/>	<a href="#">Update</a>	<a href="#">Delink</a>

To add an additional organization(s), select the record from the drop down box and click the Link Organization button.

Organization Name:  Role:

[Link Organization](#) [Link All Organizations](#)

If you have questions regarding linking, please contact us at stormwater@waterboards.ca.gov or 1-866-563-3107.

[Back To Manage Linked User](#) [Back To Main Menu](#)

1. This DEP is currently linked to all future projects.

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **Dusty Giffin - Caltrans District 03.**  
If this account does not belong to you, please log out.

Manage Linked User

This page allows you to add or remove organization(s) and/or application(s) associated with the following person.

Name:	Sean Cross
Account ID:	635779
Business Name:	Caltrans District 3
Contact Phone:	530-741-4579
Email:	sean.cross@dot.ca.gov

[Delink User Account](#)

The following organization(s) is/are linked to the above person.

Organization Id	Organization Name	Role	Manage Applications	Link All Future applications?	Update	Delink
613593	Caltrans District 3	Data Entry Person	<a href="#">ViewLink Applications</a>	<input checked="" type="checkbox"/>	<a href="#">Update</a>	<a href="#">Delink</a>

To add an additional organization(s), select the record from the drop down box and click the Link Organization button.

Organization Name:  Role:

[Link Organization](#) [Link All Organizations](#)

If you have questions regarding linking, please contact us at stormwater@waterboards.ca.gov or 1-866-563-3107.

[Back To Manage Linked User](#) [Back To Main Menu](#)

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2. The system will ask you to verify if this is what you want, to link this person to all future NOIs.



Water Boards Storm Water Multiple Application & Report Tracking System

You are logged-in as: **Dusty Giffin - Caltrans District 03.**  
If this account does not belong to you, please log out.

Navigate To:

### Manage Linked User

This page allows you to add or remove organization(s) and/or application(s) associated with the following person.

Name:	Jaggiwan Grewal
Account ID:	633361
Business Name:	Caltrans District 43
Contact Phone:	916-653-2115
Email:	jaggiwan.grewal@dot.ca.gov

[Delink User Account](#)

### The following organization(s) is/are linked to the above person.

Organization Id	Organization Name	Role	Manage Applications	Link All Future applications?	Update	Delink
627991	Caltrans MS4 District 3	Data Entry Person	<a href="#">View/Link Applications</a>	No	<a href="#">Update</a>	<a href="#">Delink</a>

To add an additional organization(s), select the record from the drop down box and click the Link Organization button.

Organization Name:  Role:

[Link Organization](#) [Link All Organizations](#)

If you have questions regarding linking, please contact us at [stormwater@waterboards.ca.gov](mailto:stormwater@waterboards.ca.gov) or 1-866-563-3107.

[Back To Manage Linked User](#) [Back To Main Menu](#)

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3. This image shows the user was designated **No** for linking to all future projects.

This page intentionally left blank.

## Section 2

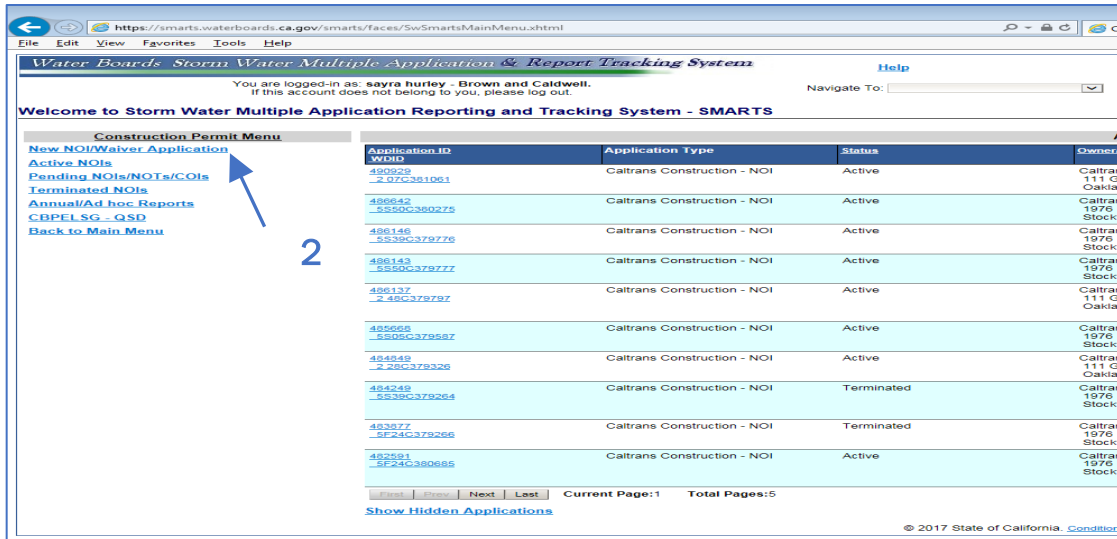
# Step 2 - Notice of Intent Submittal and Certification

Acquiring an NOI is the process by which a discharger notifies the RWQCB of a future project, it provides information on how compliance with the CGP will be maintained on the project, and request a WDID after submitting PRDs to the RWQCB to begin soil disturbing operations. A successful NOI process results in enrolling a project under the CGP.

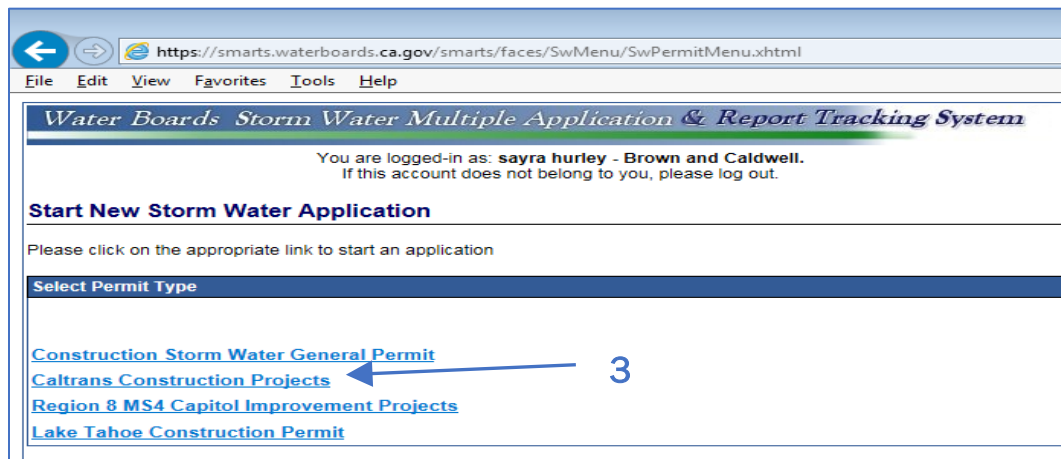
Information necessary for the NOI consists of the PRDs -- the NOI, Risk Level Determination, Site Maps, the SWPPP, certification, and annual fees. The project engineer prior to PS&E provides much of the NOI and risk level determination information in the form of the SWDR Attachment. The contractor provides site maps, contact information, and the site specific SWPPP.

Application ID	Permit Type	Document Type	Facility Name
492615	Caltrans Construction	NOI	
975218	Caltrans Construction	Annual Report	11-410904 Gore Paving,
41930	NOI	COI	282504
41370	NOI	COI	11-418524 I-8 Segment
538168	Caltrans Construction	NOT	11-418524 I-8 Segment
489628	Construction	NOI	Test Project
813645	Caltrans Construction	Annual Report	264114 SD 163 Laurel S
37823	NOI	COI	2T2174 I-5 San Elijo Lag
478260	Caltrans Construction	NOI	
854753	Caltrans Construction	Annual Report	405504 SD 8 Conc Shou
781600	Caltrans Construction	Annual Report	257144 SD SR76 & I15

1. Click Construction General Permit, it will open another screen to determine under which CGP Permit you are seeking coverage.



2. Select New NOI/Waiver Application to begin the process. The next screen will appear which will allow you to select for which platform or permit you want to apply for permit coverage



3. Select Caltrans Construction Projects to seek coverage for a new Caltrans construction project under the CGP

Water Boards Storm Water Multiple Application & Report Tracking System

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

Navigate To:

**Caltrans Construction**

Please select the owner/operator of the new NOI from the following Businesses which you represent.  
If the business is not listed below, please contact LRP of the business to link your account.

Select	Organization ID	Organization Name	Address	Business Type
<input type="radio"/>	610041	Caltrans District 4	111 Grand Avenue Oakland CA 94623	State Agency
<input checked="" type="radio"/>	618323	Caltrans District 10	1976 East Martin Luther King Jr Blvd Stockton CA 95205	State Agency
<input type="radio"/>	640797	Recology Biossion Valley Organics North	3809 Gaffery Road Vernalis CA 95385	Private Business

Back Next

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- On the next screen, select the Caltrans Organization (specific District). Every District LRP has created an organization account, there should be 12 Caltrans Organizations, but you might only see the ones you have been linked to by the LRP/backup LRP or the AS.
- After selecting the appropriate Caltrans Organization (District), Click Next, the next screen will appear, which is the first of nine separate tabs under the NOI.

Water Boards Storm Water Multiple Application & Report Tracking System

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

Navigate To:

**Owner 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".

WDID/App ID: ~ 491303  
Status: Not Submitted  
Order No: 2009-0009-DWQ  
Permit Type: Caltrans Construction - NOI

Owner: Caltrans District 10  
Site: 1976 East Martin Luther King Jr Blvd Stockton CA 95205

**Owner Info** | Developer Info | Site Info | Risk | Addl. Site Info | Post Construction | Billing Info | Attachments | Certification | Reports | Inspections | Print | Status History | Linked Users | NOTs | COIs

Property Owner Information Populate Contact Info:

Owner Name: Caltrans District 10 \* 2  
Street Address: 1976 East Martin Luther King Jr Blvd \* 2  
Address Line 2: \* 2  
City/State/Zip: Stockton CA 95205 \* 2  
Type: State Agency \* 2  
Federal Tax ID: \* 2

Contact First Name:   
Contact Last Name:   
Title:   
Phone:  \* Ext:   
E-mail:

Save & Exit Save & Continue

Fields marked with \* are mandatory fields.

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There are nine tabs that need information filled when completing the NOI:

- Owner Info
- Developer Info
- Site Info
- Risk
- Additional Site Info
- Post-Construction
- Billing Info
- Attachments
- Certification

The other tabs come into play once the NOI is certified and the WDID has been issued:

- Reports
- Inspections
- NOT
- COI

The additional tabs can be used at any time and are more procedural (file management) than information input, they are:

- Print
- Status History
- Linked Users (showing who can enter or upload data based for this record-WDID)

## Step 2.1 Owner Info Tab

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **sayra hurley - Brown and Caldwell.**  
If this account does not belong to you, please log out.

**Owner 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".

WDID/App ID: - 491738  
Status: Not Submitted  
Order No: 2009-0009-DWQ  
Permit Type: Caltrans Construction - NOI

Owner: Caltrans District 10  
1976 East Martin Luther King Jr Blvd Stockton CA 95205  
Site:

Certified Date:  
Processed Date:  
NOT Effective Date:  
Previous ID: -

**1- SEE SCREEN BELOW**

**Owner Info** Developer Info Site Info Risk Addl. Site Info Post Construction Billing Info Attachments Certification Reports Inspections Print

Status History Linked Users NOTs COIs

Property Owner Information: **Populate Contact Info:** **Select**

Owner Name: Caltrans District 10 \* 2 Contact First Name: \*  
Street Address: 1976 East Martin Luther King Jr Blvd \* 2 Contact Last Name: \*  
Address Line 2: \* 2 Title:  
City/State/Zip: Stockton CA 95205 \* 2 Phone: \* Ext: (999-999-9999)  
Type: State Agency \* 2 E-mail: (abc@xyz.com)  
Federal Tax ID: \* 2

**2**

**3**

Save & Exit Save & Continue

Fields marked with \* are mandatory fields.

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1. To populate the Contact First name, Last Name and other owner information, you can pull down the menu and select the applicable person for that specific record, it will auto-populate with the selected LRP or AS.
2. This screenshot shows the Operator/Owner field information in a faded grey as information already completed elsewhere and system-populated here. These fields were filled in based on the district selected on the previous slide.
3. Click Save & Continue- it will take you to the next tab. The Save & Exit will result in the system retaining the information entered so far but taking you back to the main menu rather than the next tab under the NOI.

**Select**

- LEGAL\_RESPONSIBLE\_PERSON - cliff adams
- DATA\_SUBMITTER - sayra hurley
- DATA\_SUBMITTER - Michael Sweeney
- APPROVED\_SIGNATORY - Mohammad Waziri
- APPROVED\_SIGNATORY - David Troop
- APPROVED\_SIGNATORY - Colin Doran
- APPROVED\_SIGNATORY - Jonathan Fitzgerald
- APPROVED\_SIGNATORY - Muhammad Rahman
- APPROVED\_SIGNATORY - Pam Marquez
- APPROVED\_SIGNATORY - Manjit Singh
- APPROVED\_SIGNATORY - Troy Scheiber
- APPROVED\_SIGNATORY - Quan Trinh
- APPROVED\_SIGNATORY - Corey Casey
- APPROVED\_SIGNATORY - SUKHMINDER DEOL
- APPROVED\_SIGNATORY - Ariel Mendoza
- APPROVED\_SIGNATORY - Kevin Keister
- APPROVED\_SIGNATORY - Harinder Deol
- APPROVED\_SIGNATORY - Tony Cipponeri
- APPROVED\_SIGNATORY - Kewal Virk
- APPROVED\_SIGNATORY - David Abledu
- APPROVED\_SIGNATORY - alfred blum

If you exited the NOI tab, just return to the NOI menu item by clicking the Application ID and click the tab to continue. This tab is used to enter the contractor's contact information.

## Step 2.2 Developer/Contractor Information

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **sayra hurley - Brown and Caldwell.**  
If this account does not belong to you, please log out.

[Help](#) [Logout](#)

Navigate To:

**Developer 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".

WDID/App ID: - 491738      Owner: Caltrans District 10      Certified Date:  
Status: Not Submitted      1976 East Martin Luther King Jr Blvd Stockton CA 95205      Processed Date:  
Order No: 2009-0009-DWQ      Site:      NOT Effective  
Permit Type: Caltrans Construction - NOI      Date:  
Previous ID: -

**Owner Info** **Developer Info** **Site Info** **Risk** **Addl. Site Info** **Post Construction** **Billing Info** **Attachments** **Certification** **Reports** **Inspections** **Print**

**Status History** **Linked Users** **NOTs** **COIs**

**Developer Information** **Same as Owner Info** **Enter Developer Information**

Developer Name:  \*      Contact First Name:  \*      5

Street Address:  \*      Contact Last Name:  \*      6

Address Line 2:       Title:       7

City/State/Zip:  CA  \*      Phone:  \* Ext.  (999-999-9999)      8

E-mail:  \* (abc@xyz.com)      9

Fields marked with \* are mandatory fields.      4      10

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1. Although it is possible for other construction projects to have the property owner as the developer, for Caltrans projects that will not be the case, do not have SMARTS populate this information (same as owner) but enter it from the SWPPP and/or Contract documents.
2. Enter the contractor's company name. Ensure that it is the company's legal name as they write it and not a close approximation.
3. Enter the contractor's street address. This is the location where any payments or legal documents will be mailed.
4. Enter the contractor's city, contractor's state and zip code.
5. Enter the First name of the contractor's superintendent- this should be a person who has authority to act/speak for and make decisions for the contractor.
6. Enter the Last name of the contractor's superintendent as noted in number 5 above.
7. Enter an appropriate title such as Site Superintendent or Construction Manager.
8. Enter the phone number of the person listed in numbers 5-6 above.
9. Enter the email of the person listed in numbers 5-6 above.
10. Click Save & Continue. This will take you to the next tab Site Info



## Step 2.3 Site Info

**Water Boards Storm Water Multiple Application & Report Tracking System**

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

**Site 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".

WDID/App ID: - 491738      Owner: Caltrans District 10      Certified Date:       
 Status: Not Submitted      1976 East Martin Luther King Jr Blvd Stockton CA 95205      Processed Date:       
 Order No: 2009-0009-DWQ      Site:      NOT Effective       
 Permit Type: Caltrans Construction - NOI      Date:       
 Previous ID: -

**Owner Info** **Developer Info** **Site Info** **Risk** **Addl. Site Info** **Post Construction** **Billing Info** **Attachments** **Certification** **Reports** **Inspections** **Print**

**Status History** **Linked Users** **NOTs** **COIs**

**Site Information** Same as Owner Info Same As Developer Info Clear Info If different, enter below

Site Name: \*      Contact First Name: \*

Street Address: \*      Contact Last Name: \*

Address Line 2:      Title: \*

Latitude: \*      Longitude: \*      Phone: \*      Ext: (999-999-9999) \*

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

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 \*      \*      Acres      Sqft \*

**Additional Information (Construction Specific)**

1. For the site name, include the six-digit contract number, and the project's common name or short project description. For example; –228594 Widen Highway and Bridge.
2. Street address of project. If there is no project address, please provide closest street name
3. Enter the latitude and longitude where the center of the project is located, there is a lookup map that can be used if that information is not in the SWDR Attachment (item #2) (you can type the address or select it from the map and it will provide you with the coordinates to enter into SMARTS).
4. City where project is located or primarily located. If in a rural area, use the closest city. This is a pull-down menu or you can type the city name yourself.
5. Enter or select the County of the project from the pull-down menu.
6. Enter or select the Regional board having jurisdiction.
7. Enter the zip code of the project.
8. Enter the resident engineer first name.
9. Enter the resident engineer last name.
10. Enter resident engineer in the Title.
11. Enter the public RE office phone number.
12. Enter the resident engineer 's emergency phone number.

13. Enter the resident engineer 's email address.
14. Enter the total area within the project limits – both disturbed and undisturbed. Available from the SWDR Attachment (item #1).

Imperviousness Before Construction:	<input type="text"/> % *	← 15	Imperviousness After Construction:	<input type="text"/> % *	← 16
Tract Number(s):	<input type="text"/>	← 17			
Mile Post Marker:	<input type="text"/>	← 18			
Is the construction site part of larger common plan of development?	<input type="radio"/> Yes <input type="radio"/> No * ← 19				
Name of plan or development:	<input type="text"/>	← 20			
Construction Commencement Date:	<input type="text"/> (mm/dd/yyyy) *	← 21			
Complete Grading Date:	<input type="text"/> (mm/dd/yyyy) *	← 22			
Complete Project Date:	<input type="text"/> (mm/dd/yyyy) *	← 23			
<b>Type of Construction</b>					
<input checked="" type="radio"/> Construction					
<input type="checkbox"/> Residential <input type="checkbox"/> Commercial <input type="checkbox"/> Industrial <input type="checkbox"/> Reconstruction <input type="checkbox"/> Transportation <input type="checkbox"/> Utility: <input type="text"/>					
<input type="checkbox"/> Other: <input type="text"/> * ← 24					
<input type="radio"/> Linear Utility Project					
<input type="checkbox"/> Above Ground <input type="checkbox"/> Below Ground <input type="checkbox"/> Gas Line <input type="checkbox"/> Water/Sewer Line <input type="checkbox"/> Communication Line <input type="checkbox"/> Cable Line <input type="checkbox"/> Electrical					
<input type="checkbox"/> Other: <input type="text"/> *					
<input type="button" value="Save &amp; Exit"/> <input type="button" value="Save &amp; Continue"/> ← 25					

Fields marked with \* are mandatory fields.

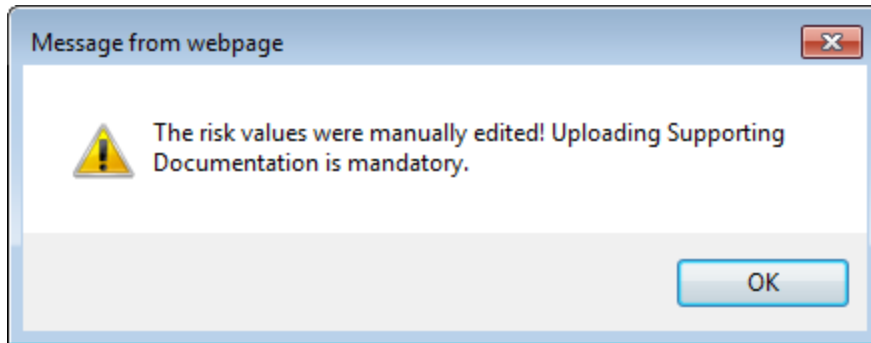
15. Enter the Total disturbed soil area. Should be available from the SWDR Attachment (item #3).
16. Enter the percentage by dividing number inputted in 15 by the number 14 and multiplying by 100, this percentage should also be available from the SWDR Attachment, (item #5).
17. This will always be left blank
18. Enter the information from the project file, title sheet, information available from the SWDR Attachment, (item #7).
19. Typically, Caltrans projects are not viewed as common plan of development, information available from the SWDR Attachment, (item #8).
20. If you answered yes to item 19 above, enter name of the development, information available from the SWDR Attachment, (item #9).
21. Enter the date the project will begin construction, information available from the SWDR Attachment, (item #10).
22. This is not a required field, leave blank since it is not used to calculate R value nor adds any specific information for NOT or other criteria.
23. Enter the Complete Project Date. This is the date where the project expects to have the NOT applicability met (70% vegetation coverage compared to pre-development). If the project exceeds this date, a COI must be submitted showing the revised calculation of the Risk Level, information available from the SWDR Attachment, (item #11). This could potentially affect construction projects by requiring a more stringent risk level or changing the overall project from a WPCP to a SWPPP.
24. For a Caltrans Project, select Transportation as the type of construction to take place.

25. Click Save & Exit if you will not continue entering NOI data, otherwise select Save & Continue to move to the next tab.

## Step 2.4 Risk

1. Enter the calculated R factor, available from the SWDR Attachment (item #13) or the one included as attachment to the SWPPP. Verify that the dates entered here are consistent with the dates used in the SWDR Attachment (items #10 & 11) for calculating the anticipated project risk level. If the dates are inconsistent, the resident engineer should discuss with the DCSWC, PE, and NPDES Coordinator to determine if a new risk level is appropriate for the project. IT IS RECOMMENDED TO USE THE CALCULATOR TO CHECK THE PREVIOUSLY CALCULATED RISK LEVEL, AS THE DATES USED IN THE SWDR MIGHT NO LONGER BE ACCURATE.
2. SMARTS can be used to calculate the erosivity value. Click on Erosivity Calculator.
3. Enter the K factor, this can be populated by choosing Populate K Factor, otherwise, you must attach documentation showing its calculation. This can also be obtained by SWDR Attachment (item #13), some SWDR might have calculations included.
4. Enter the LS factor, this can be populated by choosing Populate LS Factor, otherwise, you must attach documentation showing its calculation. This can also be obtained by SWDR Attachment (item #13), calculations included.
5. Once the information for 1, 2 and 3 is entered, the watershed erosion estimate will self-populate along with the site sediment risk factor.
6. Enter Yes or No for the receiving water risk based on its location, this information can be obtained by SWDR Attachment (item #13). This can also be found by clicking on the Statewide Map of High Receiving Water Risk Watershed or by using the Water Quality Planning Tool available at <http://svctenvims.dot.ca.gov/wqpt/wqpt.aspx>.

Once you select yes or no, the information for the Risk Level will self-populate. You will get a message showing the following (if you did not select the self-populate for the K, LS and receiving water).



## Step 2.5 Additional Site Info

**Water Boards Storm Water Multiple Application & Report Tracking System**

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

Navigate To:

**Additional Site 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".

WDID/App ID: - 491738      Owner: Caltrans District 10      Certified Date:       
 Status: Not Submitted      1976 East Martin Luther King Jr Blvd Stockton CA 95205      Processed Date:       
 Order No: 2009-0009-DWQ      Site:      NOT Effective       
 Permit Type: Caltrans Construction - NOI      Date:      Previous ID: -

**Owner Info** **Developer Info** **Site Info** **Risk** **Addl. Site Info** **Post Construction** **Billing Info** **Attachments** **Certification** **Reports** **Inspections** **Print** **Status History**

**Linked Users** **NOTs** **COIs**

**Regulatory Status**

If applicable, has the local agency reviewed/approved a required erosion/sediment control plan? ☐ Yes ☐ No ☐ N/A

Does the erosion/sediment control plan address construction activities such as infrastructure and structures? ☐ Yes ☐ No ☐ N/A

Name of Local Agency:

Phone:  (999-999-9999)

Is this project or any part thereof, subject to conditions imposed under a CWA Section 404 Water Quality Certification? ☐ Yes ☐ No

If yes, provide details:

**Receiving Water Information**

Name of receiving water: (river, lake, creek, stream, bay, ocean)

Does the storm water runoff from the construction site discharge to (check all that apply):

☐ Indirectly to waters of the US

☐ Storm drain system - Enter owner's name:

☐ Directly to waters of the US (e.g, river, lake, creek, stream, bay, ocean, etc)

**Qualified SWPPP Developer (QSD)**

First Name:  \*

Last Name:  \*

QSD Certification No:  \*

Fields marked with \* are mandatory fields.

### REGULATORY STATUS

1. Generally, the answer will be N/A, a local agency typically does not review Caltrans construction projects. There might be instances where the project is an oversight project and this might be applicable.
2. Same as item 1 above.
3. Leave blank unless the previous answer was Yes.
4. Enter a phone number if there is a local agency reviewing the ESCP.
5. Chose Yes or No depending on whether there is a CWA 401 application or a Water Quality Certification (WQC) adopted by the RWQCB or not.

- If yes, provide the WDID number for the 401 WQC.

#### RECEIVING WATER INFORMATION

- Enter The name of the receiving water, this can also be obtained by SWDR Attachment (item #12).
- Click on all that apply, this information can also be obtained by SWDR Attachment (item #12).

#### QUALIFIED SWPPP DEVELOPER (QSD)

- Enter First and Last Name as well as the QSD Certification Number for the Qualified SWPPP developer (QSD) who prepared the SWPPP. There is a lookup QSD button that can be used to ensure the QSD's certification is current.

## Step 2.6 Post-Construction

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **sayra hurley - Brown and Caldwell.**  
If this account does not belong to you, please log out.

Navigate To:

**Post Construction**

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".

WDID/App ID: 5S39C379776 - 486146      Owner: Caltrans District 10  
Status: Active      1976 East Martin Luther King Jr Blvd Stockton CA 95205  
Order No: 2009-0009-DWQ      Site: 10-1C421 Arch Road Ramp Widening  
Permit Type: Caltrans Construction - NOI      Hwy 99 @ Arch Road Stockton CA 95215

Certified Date: 05/04/2017  
Processed Date: 05/09/2017  
NOT Effective Date:  
Previous ID: -

**Owner Info** **Developer Info** **Site Info** **Risk** **Addl. Site Info** **Post Construction** **Billing Info** **Attachments** **Certification** **Requirements** **Reports**

**Inspections** **Print** **Status History** **Linked Users** **NOTs** **COIs**

Is the project located within a permitted Phase I or Phase II Municipal Separate Storm Sewer System (MS4) area?  [Audit History](#)

**Note: Non-traditional small MS4s that lie within a Phase I or II MS4 area but are NOT designated must comply with the Construction General Permit post construction calculator.**

Does the Phase I or Phase II MS4 have an approved Stormwater Management Plan (SWMP) that includes post-construction requirements?

[Upload documentation to demonstrate compliance with the Phase I or Phase II MS4 post-construction requirements](#)

Fields marked with \* are mandatory fields.

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- Caltrans has a statewide NPDES Phase I MS4 permit, the answer to this question will always be Yes for Caltrans construction projects.
- Caltrans has an approved statewide Stormwater Management Plan, SWMP (July 2016) which includes post-storm water requirements (Section 5). Moreover, the project by completing the PPDG's Appendix E Evaluation Document Form (EDF) satisfies this requirement. This is also available from the SWDR Attachment (item #14).
- To satisfy this requirement, the EDF can be uploaded to show that an analysis was completed, or if the project has incorporated Treatment Controls, the pertinent contract plans can be uploaded as noted in the SWDR Attachment (item #15).

## Step 2.7 Billing Information

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **sayra hurley - Brown and Caldwell**.  
If this account does not belong to you, please log out.

**Billing 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".

WDID/App ID: - 491738      Owner: Caltrans District 10      Certified Date:      Processed Date:      NOT Effective Date:      Previous ID: -  
Status: Not Submitted      1976 East Martin Luther King Jr Blvd Stockton CA 95205

Order No: 2009-0009-DWQ      Site:      Permit Type: Caltrans Construction - NOI

**Billing Information** | Same as Owner | Same as Developer | Clear Billing Info | If different, enter below. Bill Month: Bill Hold:

Billing Name: \*      Contact First Name: \*      Contact Last Name: \*      Title: \*      Phone: \*      Ext: (999-999-9999)

Street Address: \*      Address Line 2:      City/State/Zip: CA      E-mail: \* (abc@xyz.com)

Save & Exit      Save & Continue

Fields marked with \* are mandatory fields.

SWRCB Tax ID: 68-0281986  
The following are the Invoices and Payments associated with this NOI.

Invoices:  
The Fee Statement for this application (NOI) filing is available after the application is submitted. Questions regarding the NOI application fee, please call the Stormwater Unit at (916) 341-5536 or email at [stormwater@waterboards.ca.gov](mailto:stormwater@waterboards.ca.gov)

Invoice No	Invoice Date	Fiscal Year	Invoice Amount	Original Invoice Amount	Invoice Status	Status Date	Prepare Form-X
SW0135190	08/10/2017	2016	\$861.00	\$861.00	Done - Paid	09/11/2017	

1. You can populate this tab by selecting Same as Owner, if in fact the invoice is to be sent to the same person and address as the Owner selected in step 2.1, otherwise continue entering the information.
2. Enter Billing Name of the person who should receive the invoice.
3. Enter the Street Address of where the invoice should be sent to.
4. Enter the City, State and Zip code of where the invoice should be sent to.
5. Enter the email of the person who should receive the invoice.
6. Enter the First Name of where the invoice should be sent to.
7. Enter the Last Name of where the invoice should be sent to.
8. Enter the email of the person who should receive the invoice.
9. Enter the Phone number of the person who should receive the invoice.

SWRCB Tax ID: 68-0281986  
The following are the Invoices and Payments associated with this NOI.

Invoices:  
For a copy of the original invoice please email [feebbranch@waterboards.ca.gov](mailto:feebbranch@waterboards.ca.gov) or call (916) 341-5247

Invoice No	Invoice Date	Fiscal Year	Invoice Amount	Original Invoice Amount	Invoice Status	Status Date	Prepare Form-X
SW0135190	08/10/2017	2016	\$861.00	\$861.00	Done - Paid	09/11/2017	

In future years, once the invoice has been paid, it will show in the Billing Info Tab, as the example shown below.



## Step 2.8 Attachments

Use this tab when it is necessary to upload risk analysis calculations, the SWPPP and other relevant documents. Although portions of the SWDR might be uploaded (RL, EDF or TBMP plan sheets), the entire document should not be included as an attachment.

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **sayra hurley - Brown and Caldwell.**  
If this account does not belong to you, please log out.

Navigate To:

**Attachments**

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".

WDID/App ID: - 491738      Owner: Caltrans District 10      Certified Date:       
 Status: Not Submitted      1976 East Martin Luther King Jr Blvd Stockton CA 95205      Processed Date:       
 Order No: 2009-0008-DWQ      Site:      NOT Effective Date:       
 Permit Type: Caltrans Construction - NOI      Previous ID: -

Owner Info | Developer Info | Site Info | Risk | Addl. Site Info | Post Construction | Billing Info | **Attachments** | Certification | Reports | Inspections | Print | Status History | Linked Users | NOTs | COIs

Please click on "Upload Attachment" button to upload the corresponding files. [Upload Attachment](#)

Attached files: The following are the current documents related to the NOI. Click on the Attachment ID to view them.

Attachment ID	Attachment For	File Type	File Title	File Description	Document Date	Part No	Date Attached	Upload By	Delete

Save & Exit | Save & Continue

Fields marked with \* are mandatory fields.

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1. Click Upload Attachment.
2. If this is a new NOI, this field will have no attachments.

**SMARTS File Upload**

WDID: N/A      Owner: Caltrans District 10      1976 East Martin Luther King Jr Blvd Stockton, CA 95205

Please provide the following details to upload the corresponding files.

Attachment File Type	Attachment Title	File Description	Part	Document Date	File Name	Progress Bar
[SELECT] Cover/Explanation Letter E-mail Correspondence Enforcement Document Facility/Site Map Laboratory Results Memo Other Photograph Post Construction Plan/Calcs SWPPP Supporting Documentation Telephone Record/Log			Part 1 of 1		Browse...	

MB. Those greater than 75MB will not be uploaded. MS Office, PDF, and Picture files are accepted. (PDF is recommended)

File Size      Estimated Time  
 5 MB      3 - 5 min.  
 25 MB      15 - 20 min.  
 75 MB (max size)      25 - 30 min.

Attached files: The following are the current documents related to the NOI. Click on the link to view them.

Attachment ID	File Type	File Title	File Desc	Part #
No Data Found.				

1. This pull-down menu allows selection of a description of the attachment Pull down menu choices such as:
  - a. Cover/Explanation letter
  - b. Email correspondence



- c. Enforcement Document
- d. Facility/Site map
- e. Laboratory Results
- f. Memo
- g. Other
- h. Photograph
- i. Post-Construction Plans/Calcs
- j. SWPPP
- k. Supporting Documentation
- l. Telephone Record Log

Other Supporting Documentation could include hand calculations for the K, post-construction water balance or ATS design and certification.

2. Enter document title.
3. Insert a description of the content of the file.
4. Documents may need to be uploaded in several parts due to a file size limitation of 75 MB. For documents exceeding this amount, divide the attachment and upload each part separately following this process. Adjust file names to reflect multiple parts.
5. Click browse for file selection.
6. Select the identified file and click Upload File (next screen). Repeat 1 through 6 for additional documents or for the separate parts of one document.
7. The Progress Bar will show the time it takes to upload and show it from 0% to 100% as it uploads depending on size of the file.

After the progress bar completes, follow the next 2 steps to complete uploading the attachment

Water Boards Storm Water Multiple Application & Report Tracking System 2

**SMARTS File Upload**

WDID: N/A Owner: Caltrans District 10  
1976 East Martin Luther King Jr Blvd Stockton, CA 95205

Please provide the following details to upload the corresponding files.

Attachment File Type *	Attachment Title *	File Description	Parts *	Document Date	File Name	Progress Bar
[SELECT]			Part 1 of 1		Browse...	

Upload File

File size should be less than 75MB. Those greater than 75MB will not be uploaded. MS Office, PDF, and Picture files are accepted. (PDF is recommended)

Fields marked with \* are mandatory fields.

Please be advised that preliminary tests of the upload function suggest that large files could take a long time to upload. Our estimated upload times for a FAST connection is as follows:

File Size	Estimated Time
5 MB	3 - 5 min.
25 MB	15 - 20 min.
75 MB (max size)	25 - 30 min.

Attached files: The following are the current documents related to the NOI. Click on the link to view them.

Attachment Id	File Type	File Title	File Desc	Part #
No Data Found.				

1. Click Upload File.

2. All Files/Attachments uploaded will appear here as a list.
3. After filling in the blanks on the previous tabs and uploading any documents, click **Close Window**.

## Step 2.9 Certification

The screenshot shows the SMARTS Caltrans Construction User's Manual interface. The browser address bar shows the URL: <https://smarts.waterboards.ca.gov/smarts/faces/EnrollmentConstruction/NoiConMai>. The page title is "Water Boards Storm Water Multiple Application & Report Tracking System". The user is logged in as "sayra hurley - Brown and Caldwell". The page displays the "Certification" tab, which is highlighted in green. The "Perform Completion Check" button is located at the bottom of the page, and a blue arrow points to it with a large blue number "1".

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **sayra hurley - Brown and Caldwell**.  
If this account does not belong to you, please log out.

Navigate To:

**Certification**

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".

**WDID/App ID:** - 491738 **Owner:** Caltrans District 10 **Certified Date:**  
**Status:** Not Submitted **Site:** 1976 East Martin Luther King Jr Blvd Stockton CA 95205 **Processed Date:**  
**Order No:** 2009-0009-DWQ **NOT Effective Date:**  
**Permit Type:** Caltrans Construction - NOI **Previous ID:** -

**Owner Info** **Developer Info** **Site Info** **Risk** **Addl. Site Info** **Post Construction** **Billing Info** **Attachments** **Certification** **Reports** **Inspections** **Print** **Status History** **Linked Users** **NOTs** **COIs**

Perform the completion check to verify that all required information is completed. Click the button below to start completion check.

**Perform Completion Check**

Fields marked with \* are mandatory fields.

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This screen shows the results of a completion check. If there were no errors, SMARTS will go directly to the certification screen (next page). Return to the indicated tabs, make corrections as indicated, return to the completion check screen and run the check again. Repeat until the certification screen appears.

**Certification**

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".

**WDID:**  
**Application ID:** 478039  
**Status:** Not Submitted  
**Previous ID:**

**Owner/Operator:** Caltrans District 9  
 500 South Main Street Bishop CA 93514  
**Site/Facility:** Independence Material Site  
 SR 395 PM 75 Independence CA 93526

**Certified Date:**  
**Processed Date:**  
**NOT Effective Date:**  
**Permit Type:** Caltrans Construction - NOI

Owner Info   Developer Info   Site Info   Risk   Addtl Site Info   Post Construction   Billing Info   Attachments   Certification   Inspections   Print  
 Status History   Linked Users   NOTs   COIs

**Note: Caltrans and Region 8 MS4 projects do not have application fee.**

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:

1

☒ \* 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:**

<b>Certifier Name:</b> Robert Sanchez	<b>Date:</b> 09/29/2016
<b>Certifier Title:</b> Construction Engineer	

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

Who was your childhood hero?

Please enter your password

2

3

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.

Either the LRP or the designated AS must certify the NOI submittal after reading the statements and ensuring the submittal is complete.

1. Read the statement and click the boxes.
2. Enter the password and the security question.
3. Click Certify.

Please note, only an AS or the LRP can certify the NOI.

Once the document is certified, you will see the next screen showing it was successfully received by the SWRCB

**Water Boards Storm Water Multiple Application & Report Tracking System** [Help](#) [Logout](#)

You are logged-in as: Mark Doroudian - Caltrans District 12.  
If this account does not belong to you, please log out.

Navigate To:

**Certification**

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".

WDID/App ID: 8 30C380514 - 484376      Owner: Caltrans District 12      Certified Date: 07/18/2017  
 Status: Active      1750 E 4th Street Santa Ana CA 92705      Processed Date: 07/21/2017  
 Order No: 2009-0009-DWQ      Site: 0M3504      NOT Effective Date:  
 Permit Type: Caltrans Construction - NOI      1405 Irvine CA 92612      Previous ID: -

[Owner Info](#) [Developer Info](#) [Site Info](#) [Risk](#) [Addl. Site Info](#) [Post Construction](#) [Billing Info](#) [Attachments](#) **Certification** [Requirements](#) [Reports](#) [Inspections](#) [Print](#) [Status History](#) [Linked Users](#)

[NOIs](#) [COIs](#)

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

SWRCB Application No.	SA484376
Permit Type:	Caltrans Construction
Submission/Certify Date	07/18/2017
Certifier Name	
Certifier Title	Resident Engineer

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

[Download Copy of Record](#)

## Step 2.10 Printing the NOI

Select the Print tab to print out the various documents created in or uploaded into SMARTS.

[Back](#) [Forward](#) [Refresh](#) [Print](#) [Close](#) [Home](#) [Search](#) [Help](#) [Logout](#) [CA Storm water Multiple A](#)

**Water Boards Storm Water Multiple Application & Report Tracking System** [Help](#)

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

Navigate To:

**Print**

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".

WDID/App ID: 2 07C381061 - 490929      Owner: Caltrans District 4      111 Grand Avenue Oakland CA 94623  
 Status: Active      EA 4J3404 Richmond Overlay  
 Order No: 2009-0009-DWQ      Site: I-80 fr Ala -CC County Line to 80/4 Separation Richmond CA 94803  
 Permit Type: Caltrans Construction - NOI

[Owner Info](#) [Developer Info](#) [Site Info](#) [Risk](#) [Addl. Site Info](#) [Post Construction](#) [Billing Info](#) [Attachments](#) [Certification](#) [Requirements](#) [Reports](#) [Inspections](#) **Print** [Status History](#)

**Print NOI Copy**

Fee Statement	Fee Statement
Original NOI	Initially Submitted NOI
Submitted NOI	Submitted NOI
Current NOI	Current NOI
Receipt Letter	Receipt Letter
Return Letter	Return Letter
Waiver Letter	Waiver Letter

Fields marked with \* are mandatory fields.

1. Click Original NOI, to obtain a hard copy of the NOI with the WDID for the project files. If it is approved by the RWQCB, then a receipt letter will be uploaded into the project's on-line file and the Receipt Letter box will become accessible. Rejected submittals will receive a return letter and require resubmitting the NOI.

## Section 3

# Step 3 - Ad Hoc Reporting and Continuous Reporting

Ad Hoc reporting is ongoing or continuous reporting of non-visible and effluent monitoring data and exceedances. Be prepared to enter Ad Hoc reports after the NOI is certified and approved by the RWQCB. Ad Hoc information is used as raw data for the annual report, but the CGP also requires certain notifications be made on a real-time basis, such as qualifying rain event sampling and analysis and exceedances based on the Risk Level determination.

The resident engineer (RE) or DEP enters Ad Hoc information into SMARTS; however, Ad Hoc information is prepared by the contractor and submitted to the Caltrans via CEM forms as noted in the projects SWPPP.

Ad Hoc reports can be either — in-progress or — submitted. In-progress reports are drafts and can be deleted. Once submitted, reports may only be remanded (the rejection of the document and its return for amendment). The LRP or AS can remand a submittal from a DEP while only the RWCQB can also remand a LRP/AS submitted report. A LRP can remand a DEP-submitted Annual Report as long as it is before September 1. After September 1, only the RWQCB can remand an Annual Report.

Each Ad Hoc report consists of a:

- General information tab
- Monitoring locations tab
- Raw Data tab
- Daily Averages tab
- Attachments tab
- Certify tab

Entering Ad Hoc report data provides the basis for the SWRCB's Storm Water Ad Hoc Report Monitoring (SWARM) database. Raw data consists of results of each sampling event for a specific monitoring location based on date and time, percentage of discharge, parameter, unit entry, analytical method, and method detection limit. A data summary table shows the raw data. Note there is a delete button that allows for deletion of information during input. Once an LRP/AS has certified the report, it can only be remanded by the RWCQB.

## Step 3.1 Creating an Ad Hoc Report

Ad Hoc reporting is a subset of Annual Reporting. From the main menu, if you are not already in a specific record:

Water Boards Storm Water Multiple Application & Report Tracking System

You are logged-in as: sayra hurley - Brown and Caldwell. If this account does not belong to you, please log out. Navigate To: Reports

Welcome to Storm Water Multiple Application Reporting and Tracking System - SMARTS

Construction Permit Menu		Applications You Are Associate		
<a href="#">New NOI/Waiver Application</a>	<a href="#">Application ID</a>	<a href="#">Application Type</a>	<a href="#">Status</a>	<a href="#">Owner/Operator</a>
<a href="#">Active NOIs</a>	491736	Caltrans Construction - NOI	Not Submitted	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205
<a href="#">Pending NOIs/NOTs/COIs</a>	491737	Caltrans Construction - NOI	Not Submitted	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205
<a href="#">Terminated NOIs</a>	491303	Caltrans Construction - NOI	Not Submitted	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205
<a href="#">Annual/Ad hoc Reports</a>	490929 2 07C381061	Caltrans Construction - NOI	Active	Caltrans District 4 111 Grand Avenue Oakland CA 94623
<a href="#">CBPEL SG - QSD</a>	486642 5550C380275	Caltrans Construction - NOI	Active	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205
<a href="#">Back to Main Menu</a>	486146 5539C379776	Caltrans Construction - NOI	Active	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205
	486143 5550C379777	Caltrans Construction - NOI	Active	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205
	486137 2 48C379797	Caltrans Construction - NOI	Active	Caltrans District 4 111 Grand Avenue Oakland CA 94623
	485668 5505C379587	Caltrans Construction - NOI	Active	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205
	484849 2 28C379526	Caltrans Construction - NOI	Active	Caltrans District 4 111 Grand Avenue Oakland CA 94623

First Prev Next Last Current Page:1 Total Pages:5

[Show Hidden Applications](#)

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1. Click Annual/Ad Hoc Reports.

This is the main reports search page.

Water Boards Storm Water Multiple Application & Report Tracking System

You are logged-in as: sayra hurley - Brown and Caldwell. If this account does not belong to you, please log out. Navigate To: Reports

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: Select Reporting Year \*

WDID: \*

Report Status: \* [Tests are mandatory](#)

Application ID: \*

Region: AR

Search

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

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1. Select the reporting year. This is the report that will be due by September 1, this is the screen that will appear to select, the AR that will be due the nearest appears on top.
2. Enter the WDID number for the record you need to input or edit the adhoc report.

Select Reporting Year

- 2017 - 2018
- 2016 - 2017
- 2015 - 2016
- 2014 - 2015
- 2013 - 2014
- 2012 - 2013
- 2011 - 2012
- 2010 - 2011

3. Select whether this is a future record (new adhoc report) or whether you need to modify (Not Submitted). If you have already entered some information in the Ad Hoc report, you will also see that listed in the initial menu.
4. Click Search, it will take you to the next screen.

Water Boards Storm Water Multiple Application & Report Tracking System

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

**Storm Water Annual Report Monitoring (SWARM)**

Site Name:	EA 4J3404 Richmond Overlay	Owner:	Caltrans District 4	WDID:	2 07C381061
Report Period:	2017-18	Report Status:	Future	Risk:	Level2

**Annual Report:**  
Click on the "Construction Annual Report" button below to access the Construction Annual Report. The electronic Annual Report screens are used to submit project site information demonstrating compliance with the Construction General Permit for each reporting year.

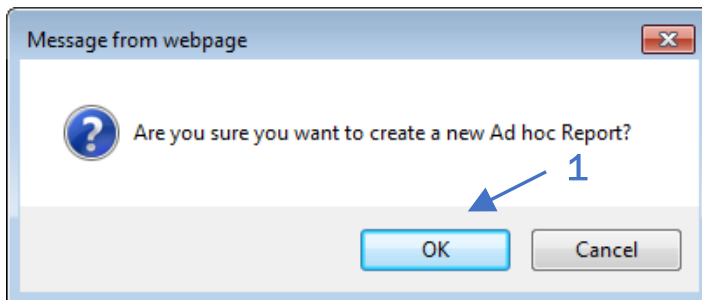
**Ad Hoc Report:**  
Click on the "New Ad Hoc Report" button below to start a new Construction Ad Hoc Report. The electronic Ad Hoc Report screens are used to enter Rain Event and Non-Storm Water Discharge Event sampling/monitoring data collected.

**New Ad Hoc Report** ← 1

**Ad Hoc Reports:**  
Ad Hoc Reports associated with this annual report are listed below. The electronic Ad Hoc Report screens are used to enter Rain Event and Non-Storm Water Discharge Event sampling/monitoring data collected. 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

1. Click New Ad Hoc Report.



1. Click OK to create a new Ad Hoc Report, the next screen will appear to allow you to enter data, starting with the event details.

If there are adhoc reports, they would be listed, as shown below

Water Boards Storm Water Multiple Application & Report Tracking System

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

**Storm Water Annual Report Monitoring (SWARM)**

Site Name:	340424 TU106 East Bonora Bypass Stage II	Owner:	Caltrans District 10	WDID:	055C367554
Report Period:	2013-14	Report Status:	Submitted	Risk:	Level2

**Annual Report:**  
Click on the "Construction Annual Report" button below to access the Construction Annual Report. The electronic Annual Report screens are used to submit project site information demonstrating compliance with the Construction General Permit for each reporting year.

**Ad Hoc Report:**  
Click on the "New Ad Hoc Report" button below to start a new Construction 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:**  
Ad Hoc Reports associated with this annual report are listed below. The electronic Ad Hoc Report screens are used to enter Rain Event and Non-Storm Water Discharge Event sampling/monitoring data collected. 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
022125	Rain Event	04202014 09:00	04252014 00:00	Submitted	04092014		
022126	Rain Event	04242014 10:00	04252014 22:00	Submitted	05012014		
022200	Rain Event	03312014 00:00	04022014 00:00	Submitted	04092014		

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It is advisable, that you have a spreadsheet to compile qualifying rain events to ease the input of data input into smart, something similar to the table below.

Sampling Data 2015-16							
Rain Event No.	Event Dates	Starting Time	Ending Time	Rain Totals/Day (Inches)	Rain Event Total (Inches)	Dates Sampled	# of Days with Discharge
1							
Sunday	11/1/2015	11:58 AM		0.07		Weekend	
Monday	11/2/2015		4:58 PM	0.39	0.46	11/2/2015	1
2							
Sunday	11/8/2015	8:58 AM		0.04		Weekend	
Monday	11/9/2015			0.34		11/9/2015	1
Tuesday	11/10/2015		12:58 AM	0.01	0.39	No runoff	
3							
Thursday	12/3/2015	11:58 AM	7:58 PM	0.29	0.29	12/3/2015	1

## Step 3.2 Event Details

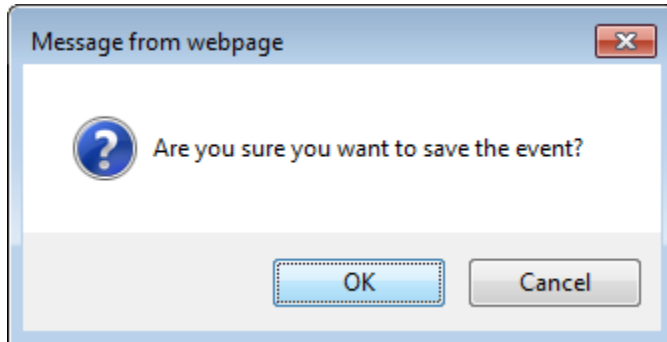
The screenshot shows the SWARM web application interface. The top navigation bar includes 'Water Boards Storm Water Multiple Application & Report Tracking System', 'Help', and 'Logout'. Below this is a login status message and a 'Navigate To' dropdown. The main section is titled 'Storm Water Adhoc Report Monitoring (SWARM)'. It contains a form with the following fields: Site Name (SR 132 at Kasson Road Intersection Improvement), Report Period (2017-18), Owner (Caltrans District 10), Report Status (Future), WDD (5850C380275), Risk (Level 1), Event Type (dropdown), Event Period (dropdown), Event Status (dropdown), and No of Business days (dropdown). The 'Event Type' dropdown is highlighted with a blue arrow labeled '1'. The 'Event Start Date/Time' field is highlighted with a blue arrow labeled '2'. The 'Event End Date/Time' field is highlighted with a blue arrow labeled '3'. The 'Rainfall Amount' field is highlighted with a blue arrow labeled '4'. The 'Save Event Details' button is highlighted with a blue arrow labeled '5'. The 'Back' button is highlighted with a blue arrow labeled '6'. The 'Home' button is highlighted with a blue arrow labeled '7'.

1. From the pull-down menu from Event Type: select Rain Event or Non-Storm Water Discharge Event.
2. Select or type the Event Start Date and Time.
3. Select or type the Event End Date and Time.
4. Enter the Rainfall Amount.

Select  
Rain Event  
Non-Storm Water Discharge Event



5. Number of Business Days with Discharge.
6. After all the information has been inputted, click **Save Event Details**. After you click on this, it will ask you to confirm you want to save that event.



Once you save the event, the following screen appears with additional tabs to fill out. The tabs are as follows:

- General Info
- Event Details
- Monit Locs
- Raw Data
- Data Summary
- Daily Averages
- Attachments
- Certify
- Status History
- Back to Main Home Page

The General Info contains the projects information from the NOI, it is already populated.

1. Once the information is entered in Event Details, you can click next to move onto Monit Locs tab.

## Step 3.3 Monitoring Locations

The facility/Site will auto populate form the NOI.

1. Select the type of discharge point type from the pull-down menu.
2. Select Yes or No depending on whether this is an ATS Monitoring Location, and the sample data related to it.
3. Enter the Monitoring Location Name- this is the name that should be in Section 700 of the SWPPP.
4. Fill out any specific description that might be applicable.
5. The monitoring point latitude and longitude should be entered, a lookup Map can be used to populate this field.
6. Select accuracy of the latitude and longitude.
7. Select the datum for the latitude and longitude.
8. Select whether this monitoring point is active or inactive.
9. Click Save or Cancel as appropriate.

Here is a sample of the monitoring locations for a Project in District 10, consistent with the applicable SWPPP.

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **sayra hurley - Brown and Caldwell**.  
If this account does not belong to you, please log out.

Site Name: 349424 TU108 East Sonora Bypass Stage II  
Report Period: 2013-14  
Owner: Caltrans District 10  
Report Status: Submitted  
WDID: 585C387554  
Risk: Level2  
Event Type: Rain Event  
Event Period: 04/24/2014 - 04/25/2014  
Event Status: Submitted  
No of Business days: 1

**Storm Water Adhoc Report Monitoring (SWARM)**

Monitoring Location Name	Discharge Point Type	Description	Latitude	Longitude	Status	Delete
DL1 W8 Rte 108	Effluent Monitoring	West end of project limits. Station 180+00	37.981333	-120.325667	Active	Delete
DL2	Effluent Monitoring	Peaceful Oak Rd Basin Outlet	37.979444	-120.316111	Active	Delete
DL3 EB Rte 108	Effluent Monitoring	Little Creek Rd. Station 225+00	37.981111	-120.323056	Active	Delete
DL4 EB Rte 108	Effluent Monitoring	Station 231+04	37.981111	-120.308889	Active	Delete
DL5 EB Rte 108	Effluent Monitoring	Station 235+58	37.981111	-120.3075	Active	Delete
DL6	Effluent Monitoring	Mono Way UC, Station 243+00	37.981369	-120.305278	Active	Delete
DL7 EB Rte 108	Effluent Monitoring	Station 251+60	37.981667	-120.302778	Active	Delete
DL8 Mono Way Rd	Effluent Monitoring	Intersection of Mono Way and Rte 108	37.983333	-120.296111	Active	Delete
R02 Chusale Lane Way	Influent Monitoring	Run-on onto Mono Way UC	37.982847	-120.304975	Active	Delete
BAS	Effluent Monitoring	Stage 1 basin outlet point ROW	37.978631	-120.345778	Active	Delete
DL10 Lodi	Influent Monitoring	flows coming from offsite road	37.981562	-120.306228	Active	Delete

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## Step 3.4 Raw Data

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **sayra hurley - Brown and Caldwell**.  
If this account does not belong to you, please log out.

Site Name: SR 132 at Kasson Road Intersection Improvement  
Report Period: 2017-18  
Owner: Caltrans District 10  
Report Status: Future  
WDID: 5850C380275  
Risk: Level1  
Event Type: Non-Storm Water Discharge Event  
Event Period: 10/12/2017 - 10/15/2017  
Event Status: Not Submitted  
No of Business days: 0

**Storm Water Adhoc Report Monitoring (SWARM)**

Enter the sample data along with measurements (lab results) for the event.

Save & Stay | Save & Add New Sample | Save & Back To List | Delete Sample

Monitoring Location:  Sample Date/Time:  Qualified SWPPP practitioner:

% of Total Discharge:

Parameter	NO Entry Result Qualifier	Result	Unit	Conversion Units	Analytical Method	Method Detection Limit (MDL)	Analyzed By	Delete
pH	<input type="text"/>	<input type="text"/>	SU	<input type="text"/>	pH_Paper	<input type="text"/>	Lab	<input type="text"/>
Turbidity	<input type="text"/>	<input type="text"/>	NTU	<input type="text"/>	A2130B	<input type="text"/>	Lab	<input type="text"/>

Add Additional Parameter

Save & Stay | Save & Add New Sample | Save & Back To List | Delete Sample

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1. Select the Monitoring Location for the Rain Event.
2. Select the Sample Date and time.
3. Enter the Project's QSP who is responsible for the SWPPP implementation.
4. Enter the percentage of the total discharge.
5. The CGP requires sampling of pH and Turbidity, select the parameter if not present.
6. Enter the result of the data.
7. Enter the Analytical Method conducted for the sample.
8. Enter the Method Detection Limit (MDL) from the monitoring equipment used to analyze the sample.
9. Select whether the sample was analyzed by the Lab or Field.

10. If the sample was analyzed for additional parameters, select **Add Another Parameter**.

11. For Additional parameters, click on Parameter Reference List

12. Click **Search**.

The following table will open and you can determine what the PCS number.

Pcs Parameter Code	Wq Element Code	Attribute Desc
38547	Siduron	Siduron
38554	Sweep	Sweep
38564	Prothiofos	Tokuthion
38696	Strophos	Strophos
38691	2,3,7,8-Tetrachlorodibenzofuran	2,3,7,8-Tetrachlorodibenzofuran
38710	Bentazon	Bentazon
38715	Sulprofos	Bolstar
38740	Chlorpyrifos-methyl	Chlorpyrifos Methyl
38745	2,4-DB	2,4-DB
38770	Dichlorofenthion	Dichlorofenthion
38810	Fluometuron	Fluometuron
38855	Naled	Naled
38865	Oxamyl	Oxamyl
38897	Trichloronate	Trichloronate
51200	Endothal	Endothal
39013	Fonofos	Dyfonate
39033	Altrazine	Altrazine
39051	Methomyl	Methomyl
39055	Simazine	Simazine
39357	Ronnel	Ronnel
39388	Endosulfans, Sum	Endosulfans, Sum
39398	Ethion	Ethion
39480	Methoxychlor	Methoxychlor
82080	Trihalomethane, Total	Total Trihalomethanes (TTHM)
00070	Turbidity	Turbidity
78218	Phenol	Phenols, Non-chlorinated
74015	Phenol	Phenols, Chlorinated
48000	Phenol	Phenols, Total
50058	Chlorine	Chlorine Dose
81400	Chlorine	Chlorine Usage
50064	Chlorine	Chlorine, Free Available
82098	Oxygen	TCOD Equivalents
81010	Oxygen	BOD5 @ 20 Deg. C, Percent Removal
00310	Oxygen	Biochemical Oxygen Demand (BOD) (5-day @ 20 Deg. C)
81017	Oxygen	Chemical Oxygen Demand (COD)
80091	Oxygen	Carbonaceous Biochemical Oxygen Demand (CBOD) (5-day @ 20 Deg. C), Percent Removal
80082	Oxygen	Carbonaceous Biochemical Oxygen Demand (CBOD) (5-day @ 20 Deg. C)
00154	Sulfate	Sulfate, Total (as S)
74000	Acute Toxicity	Acute Toxicity
79855	Adsorbable Organic Halides	Adsorbable Organic Halides (AOX)
00430	Alkalinity	Alkalinity, Carbonate (as CaCO3)
00410	Alkalinity	Alkalinity, Total (as CaCO3)
00425	Alkalinity	Alkalinity, Bicarbonate (as CaCO3)
74055	Coliform	Fecal Coliform
74056	Coliform	Total Coliform

1. Enter the PCS Number based on table above and the applicable parameter for the monitoring conducted. Repeat steps above for all the monitoring taken for the specific event.

Once all the raw data is inputted, the next screen is the Data Summary.

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged in as: **sayra hurley - Brown and Caldwell**.  
If this account does not belong to you, please log out.

Site Name: 340424 TU108 East Sonora Bypass Stage II  
Report Period: 2013-14  
Owner: Caltrans District 10  
Report Status: Submitted  
WQID: 5555C367554  
Risk: Level2

Event Type: Rain Event  
Event Period: 04/24/2014 - 04/25/2014  
Event Status: Submitted  
No of Business days: 1

**Storm Water Adhoc Report Monitoring (SWARM)**

Enter the sample data along with measurements (lab results) for the event.

Monitoring Location: DL3 EB Rte 108-Active  
Sample Date/Time: 04/25/2014 09:54  
Qualified SWPPP practitioner: Shurley

% of Total Discharge: 226

Parameter	NO Entry Result Qualifier	Result	Unit Conversions Units	Analytical Method	Method Detection Limit (MDL)	Analyzed By	Delete
pH	=7.7	7.68	SU	GRAB		SELF	Delete
Turbidity	=226	226	NTU	GRAB		SELF	Delete

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## Step 3.5 Data Summary

This screen provides a summary of all the raw data submitted to allow you to review it before you proceed to daily averages and certification.

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged in as: **sayra hurley - Brown and Caldwell**.  
If this account does not belong to you, please log out.

Site Name: 340424 TU108 East Sonora Bypass Stage II  
Report Period: 2013-14  
Owner: Caltrans District 10  
Report Status: Submitted  
WQID: 5555C367554  
Risk: Level2

Event Type: Rain Event  
Event Period: 04/24/2014 - 04/25/2014  
Event Status: Submitted  
No of Business days: 1

**Storm Water Adhoc Report Monitoring (SWARM)**

Enter the sample data along with measurements (lab results) for the event.

Monitoring Location: DL3 EB Rte 108-Active  
Sample Date/Time: 04/25/2014 09:54  
Qualified SWPPP practitioner: Shurley

% of Total Discharge: 226

Monitoring Location	Sample Date/Time	% of Total Discharge	Parameter	Result in Units	Analytical Method	Method Detection Limit (MDL)	Analyzed By	QSP Practitioner
DL1 WB Rte 108	04/25/2014 10:47:00		pH	=7.47 SU	GRAB		LAB	Shurley
DL1 WB Rte 108	04/25/2014 10:47:00		Turbidity	=104 NTU	GRAB		SELF	Shurley
DL3 EB108	04/24/2014 11:17:00		pH	=7.86 SU	GRAB		SELF	Shurley
DL3 EB108	04/24/2014 11:17:00		Turbidity	=555 NTU	GRAB		SELF	Shurley
DL4 EB Rte 108	04/25/2014 11:25:00		pH	=7.83 SU	GRAB		SELF	Shurley
DL4 EB Rte 108	04/25/2014 11:25:00		Turbidity	=62.9 NTU	GRAB		SELF	Shurley
DL5 EB Rte 108	04/25/2014 09:54:00		pH	=7.68 SU	GRAB		SELF	Shurley
DL5 EB Rte 108	04/25/2014 09:54:00		Turbidity	=226 NTU	GRAB		SELF	Shurley
DL7 EB Rte 108	04/25/2014 11:41:00		pH	=7.73 SU	GRAB		SELF	Shurley
DL7 EB Rte 108	04/25/2014 11:41:00		Turbidity	=205 NTU	GRAB		SELF	Shurley
DL8 Mono Way Rd	04/25/2014 10:32:00		pH	=7.95 SU	GRAB		SELF	Shurley
DL8 Mono Way Rd	04/25/2014 10:32:00		Turbidity	=140 NTU	GRAB		SELF	Shurley
BAS	04/25/2014 08:58:00		pH	=7.4 SU	GRAB		SELF	Shurley
BAS	04/25/2014 08:58:00		Turbidity	=20.9 NTU	GRAB		SELF	Shurley

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1. This summary provides all the data entered and it allows the DEP, AS or LRP to review it prior to finalizing and certifying it.
2. If there are no changes needed, click **Next**. Otherwise click **Back** and revise the data.

## Step 3.6 Daily Averages

1. For every sampling day, enter the daily average. The SWRCB has prepared worksheet to calculate average pH. It can be accessed at [www.waterboards.ca.gov/water\\_issues/.../bulletin\\_2013\\_1att.xlsx](http://www.waterboards.ca.gov/water_issues/.../bulletin_2013_1att.xlsx).
2. Enter the average turbidity value for every sampling day.
3. Describe the methodology used for calculating the daily averages.
4. Once the data has been inputted, click **Next**.

## Step 3.7 Attachments

1. Follow the instructions enumerated under Step 2.8 Attachments for uploading any documents for the COI.

## Step 3.8 Certify

The screenshot shows the 'Storm Water Adhoc Report Monitoring (SWARM)' interface. The user is logged in as 'sayra hurley - Brown and Caldwell'. The interface displays various report details including Site Name, Report Period, Owner, Report Status, WDDID, Risk, Event Type, Event Period, Event Status, and No of Business days. A navigation bar at the bottom includes tabs for General Info, Event Details, Mon Locs, Raw Data, Data Summary, Daily Averages, Attachments, Certify, Status History, and Back to Report Home Page. The 'Perform Completion Check' button is highlighted with a blue arrow and the number 1.

1. If the document is ready to be submitted, click on **Perform Completion Check** to ensure all the requirements needed are included before having the AS or LRP certify the submittal.

## Step 3.9 Status History

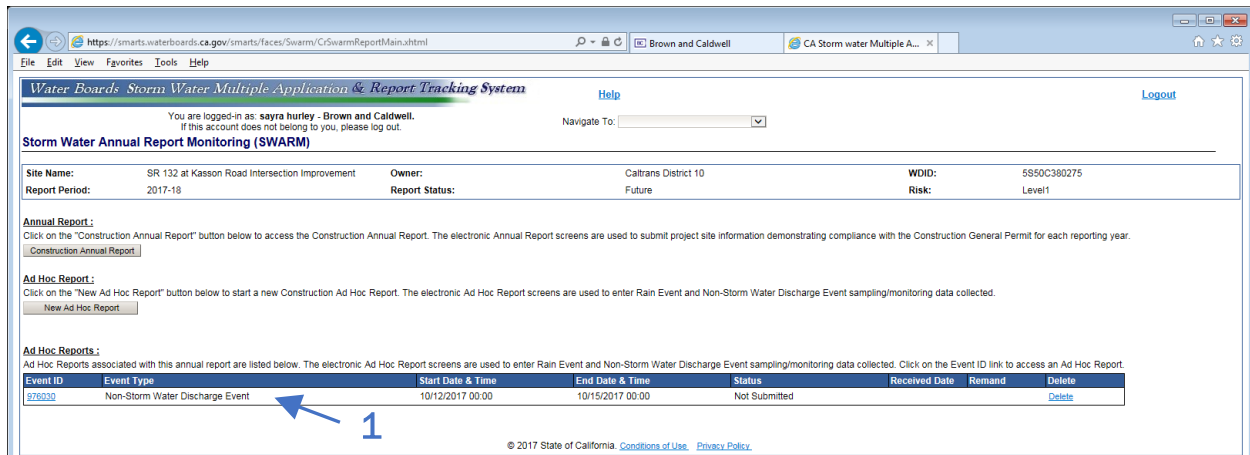
To check the status history, click on the tab and it will show you

The screenshot shows the 'Storm Water Adhoc Report Monitoring (SWARM)' interface with the 'Status History' tab selected. The 'Status History Table' is displayed, showing the status of the document as 'Not Submitted', the date as '10/15/2017', and the status by 'sayra hurley'. A blue arrow points to the 'Status History' tab with the number 1.

Status of Document	Date	Status By
Not Submitted	10/15/2017	sayra hurley

1. A table will appear showing all the documents available.

## Step 3.10 Back to Report Home Page



**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **sayra hurley - Brown and Caldwell**.  
If this account does not belong to you, please log out.

Navigate To:

**Storm Water Annual Report Monitoring (SWARM)**

<b>Site Name:</b>	SR 132 at Kasson Road Intersection Improvement	<b>Owner:</b>	Caltrans District 10	<b>WQID:</b>	5850C380275
<b>Report Period:</b>	2017-18	<b>Report Status:</b>	Future	<b>Risk:</b>	Level1

**Annual Report:**  
Click on the "Construction Annual Report" button below to access the Construction Annual Report. The electronic Annual Report screens are used to submit project site information demonstrating compliance with the Construction General Permit for each reporting year.  
[Construction Annual Report](#)

**Ad Hoc Report:**  
Click on the "New Ad Hoc Report" button below to start a new Construction 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.  
[New Ad Hoc Report](#)

**Ad Hoc Reports:**  
Ad Hoc Reports associated with this annual report are listed below. The electronic Ad Hoc Report screens are used to enter Rain Event and Non-Storm Water Discharge Event sampling/monitoring data collected. 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
<a href="#">976030</a>	Non-Storm Water Discharge Event	10/12/2017 00:00	10/15/2017 00:00	Not Submitted			<a href="#">Delete</a>

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1. The home page will show you all the listed items available.



## Section 4

# Step 4 - Annual Report

Each year, an annual report must be submitted to the SWRCB for the project(s) subject to the CGP. The report covers the period from July 1 through June 30 of the following year. Reports are due to the SWRCB no later than September 1<sup>st</sup> of each year. Any project active more than three months during the period must file an annual report. Either the LRP or the AS must certify the annual report.

The CGP (Section XVI Annual Reporting Requirements) requires the annual report to include:

- A summary and evaluation of all sampling and analysis, original laboratory report, chain of custody forms.
- The analytical method(s), method reporting unit(s), and method detection limit(s) of each analytical parameter.
- A summary of all corrective actions taken during the period.
- The identification of compliance activities or corrective actions that were not implemented.
- A summary of all violations of the CGP.
- Names of those who performed visual inspections, measurements, sampling, and tested collected samples.
- The date, time, place of inspections, sampling, and measurements including precipitation.
- Visual observation and sample collection exception records.
- Documentation of all training for persons responsible for implementing the CGP.

Information submitted on an ongoing basis as Ad Hoc reports become a subset of the annual report. The annual report is a series of manually entered SMARTS forms and other information. This is a time-consuming process. It is therefore advantageous to make necessary reporting as soon as results become available instead of entering the data at the end of the year. Sites with modest complexity can take 3 to 4 hours to complete data input. See Step 3 for details on Ad Hoc reporting.

SMARTS Annual Reports are divided into forms and report tabs and are described below:

- Form 1: General information and site address and Questions C through V.
- Form 2: Record for each authorized and unauthorized release (a.k.a. discharge).
- Form 3: Quarterly Summary of BMP Deficiencies (for completeness, it should also list the corrective actions taken to rectify the deficiencies).
- Daily Average Summary—comes from raw data tab in SMARTS Ad Hoc reporting.
- Attachments.

See Appendix C for annual report forms 1, 2 and 3.

File a hard copy of the annual report in Category 20 of the project records.

SMARTS will not accept an NOT application without first filing an annual report unless the construction project has less than three months of active construction. For example, a project commencing soil disturbance on December 5, 2017, and completing on January 29, 2018, would not be required to submit an annual report September 1, 2018. A project starting on April 15, 2017, and completing on August 28, 2017, would need to submit an annual report on September 1, 2017,

for the period April 15 to June 30 but would not need to submit a report for the period from July 1 to August 28 as it was less than three months in the reporting period.

## Step 4.1 Creating an Annual Report

The screenshot shows the 'Water Boards Storm Water Multiple Application & Report Tracking System' interface. The user is logged in as 'saya hurley - Brown and Caldwell'. The 'Storm Water Annual Report Monitoring (SWARM)' section is active. The 'Annual Report' button is highlighted with a blue arrow and the number 1. The 'Ad Hoc Report' button is also visible. The 'Ad Hoc Reports' table is empty.

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

1. Click on **Construction Annual Report**, it will open a series of tabs, all the data is included in CEM-2075.

## Step 4.2 General Info Tab

This screen is the general information tab that will be autofilled by SMARTS.

The screenshot shows the 'General Info' tab of the 'Storm Water Annual Report Monitoring (SWARM)' system. The 'Was construction active for three months or longer within this annual reporting period?' field is highlighted with a blue arrow and the number 1. The 'Save & Certify' button is highlighted with a blue arrow and the number 2. The 'Owner Name' field is highlighted with a blue arrow and the number 3. The 'Next' button is highlighted with a blue arrow and the number 4.

Segment Type Information:	Segment Name	Segment Risk Level
---------------------------	--------------	--------------------

1. The item that will need to be answered is whether the construction was active for three months or longer within the period from July 1 to June 30<sup>th</sup>. Select Yes or No.
2. If no, enter an explanation, i.e. the project did not start construction until 2 months before the end of the reporting period and therefore no Annual report is required.
3. If the answer to 1 above was No, click **Save & Certify**.
4. If the answer to 1 was Yes, then click **Next**.

## Step 4.3 Annual Report – Form 1

The Annual Report is composed of various forms. Form 1, shown below, consists of questions regarding the project and the SWPPP compliance. Work through each section answering the questions based on contractor submitted information, CEM forms. If the answer meets the exception requirements, provide an explanation in the box.

Water Boards Storm Water Multiple Application & Report Tracking System

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

Site Name: Construct Double Thrie Beam Median Barrier  
Report Period: 2016-17  
Owner: Caltrans District 10  
Report Status: Not Submitted

General Info **Form 1** Form 2 Form 3 Daily Averages Summary Attachments Certification Status History Back To Report Main Back To NOI Summary

Section C through F [Section C through J](#) [Section K through M](#) [Section N through Q](#) [Section R through T](#) [Section U and V](#)

**C. STORMWATER POLLUTION PREVENTION PLAN (SWPPP)**

C.1. Is the Construction Project SWPPP certified by a QSD?  
If NO, Explain:

C.2. Does the SWPPP include a Construction Site Monitoring Program (CSMP) section/element?  
If NO, Explain:

C.3. Are these documents kept onsite?  
If NO, Explain:

**D. GOOD SITE MANAGEMENT (i.e. HOUSEKEEPING)**

D.1. Were required good site management (i.e. housekeeping) measures for construction materials implemented on-site in accordance with CGP and SWPPP?  
If NO, Explain:

D.1.a. Was an inventory of the products used and/or expected to be used conducted?  
If NO, Explain:

D.2. Were required good site management (i.e. housekeeping) measures for waste management implemented on-site in accordance with CGP and SWPPP?  
If NO, Explain:

D.2.a. Is there a spill response and implementation element of the SWPPP?  
If NO, Explain:

D.3. Were required good site management (i.e. housekeeping) measures for vehicle storage and maintenance implemented on-site in accordance with CGP and SWPPP?  
If NO, Explain:

D.4. Were required good site management (i.e. housekeeping) measures for landscape materials implemented on-site in accordance with CGP and SWPPP?  
If NO, Explain:

D.5. Was a list of potential pollutant sources developed?  
If NO, Explain:

**E. NON-STORM WATER MANAGEMENT**

E.1. Were measures to control all non-storm water discharges during construction implemented?  
If NO, Explain:

E.2. Were vehicles washed in such a manner as to prevent non-storm water discharges to surface waters or to M54 drainage systems?  
If NO, Explain:

E.3. Were streets cleaned in such a manner as to prevent unauthorized non-storm water discharges from reaching surface waters or M54 drainage systems?  
If NO, Explain:

**F. EROSION CONTROLS**

F.1. Were required erosion controls implemented on-site in accordance with CGP and SWPPP?  
If NO, Explain:

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Form 1 consists of Sections C to V.

1. Select Yes, No or N/A depending on the correct answer.
2. If No, provide further explanation.
3. Click **Save & Next** to move onto other Sections of Form 1.

## Step 4.4 Annual Report – Form 2

Form 2 asks about authorized and unauthorized non-storm water discharges (NSWD). This information should be available from the contractor's submittal (CEM-2075) but any discharge from the project not reported by the contractor should be included.

Fill in the fields as indicated.

1. Date of discharge.
2. Use the pull-down menu to select the classification of the discharge (see CGP Fact Sheet II.E, Order I.E and III.B among other sections).
3. Source and location of discharge.
4. Name (or type of Non-Stormwater discharge (NSWD).
5. Characteristics of the source.
6. Characteristics of the location.
7. Corrective actions and implementation dates.
8. Click Save. The information just entered will be saved and a new line for the next discharge will appear. Repeat steps 1 thru 7 for each discharge.
9. When all discharge information has been entered, click Next.

## Step 4.5 Annual Report – Form 3

Form 3 requests information regarding deficiencies in BMPs. In addition to ensuring compliance with the CGP, this information is also used to determine BMP effectiveness.

1. For each quarter, enter the BMP type, what the issue was, and how it was corrected. There can be multiple lines of information or no information (if no deficiencies found) in each box. This information should be available from the contractor's submittal but make sure all deficiencies are noted (CEM-2035).
2. Click Save. This is to ensure that the information is saved into the system and not erased when going to the next entry screen.
3. Click Next.

## Step 4.6 Annual Report – Daily Average Summaries

The Daily Average Summary tab will be filled automatically by SMARTS. The table is based on Ad Hoc reporting.

1. If the information is not accurate or if known information is not listed, an Ad Hoc report will need to be created before the annual report is certified and submitted (follow Step 3 instructions).
2. Click Next.

## Step 4.7 Annual Report Attachments

This tab allows for the uploading of special documents, such as contractors' training logs, sample test results, photographs, relevant letters, and other applicable documents.

1. Click Upload Attachments.
2. Select the format of the file from the pull-down menu – preferably PDF. While photographs (jpeg) can be uploaded, imbed them in a PDF document accompanied by adequate description of what the photograph is and why it is being submitted.

Attached files are listed at the bottom of the tab. Repeat these steps until all files are uploaded.

## Step 4.8 Annual Report Certification and Submittal

Water Boards Storm Water Multiple Application & Report Tracking System

You are logged-in as: **sayra.hurley - Brown and Caldwell**.  
If this account does not belong to you, please log out.

Navigate To:

**Storm Water Annual Report Monitoring (SWARM)**

Site Name: Construct Double Thrie Beam Median Barrier  
Report Period: 2016-17  
Owner: Caltrans District 10  
Report Status: Not Submitted  
WQID: SF24C377229  
Risk: Level1

General Info | Form 1 | Form 2 | Form 3 | Daily Averages Summary | Attachments | **Certification** | Status History | Back To Report Main | Back To MCA Summary

Ad Hoc Reports

All Ad Hoc Reports must be in submitted status in order to certify and submit this Annual Report.

Event ID	Event Type	Start Date & Time	End Date & Time	Status	Received Date
Perform Completion Check					

Back | Next

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1. Click on the Certification tab and this screen appears after the system runs a check on the submitted data. If there are errors or incomplete data, SMARTS will list them as shown here. Return to the previous tabs to make corrections and then return to the Certification tab.
2. If no error messages, click Next. The remaining certification steps are similar to Step 2.9.

## Section 5

# Step 5 - Notice of Termination

The CGP requires notification to the RWQCB that the project is complete, that the construction project poses no further risk to state or federal waters, and that the NOI can be closed out with respect to the project. This is done through the NOT. Assistance in selecting the best method of demonstrating that final stabilization is obtained may be requested from the project engineer and landscape architect.

Once the documentation for closeout and final stabilization is complete, the LRP or AS will submit and certify the NOT in SMARTS. SMARTS will not accept an NOT application without a submitted Annual Report.

## Step 5.1 Starting an NOT

The screenshot shows the 'Owner Information' tab in the SMARTS system. The user is logged in as 'sayra hurley - Brown and Caldwell'. The page displays various project details including WQID, Order No., Permit Type, Owner, and Site. A blue arrow labeled '1' points to the 'NOTs' tab in the navigation bar.

Owner Name	Address	City/State/Zip	Phone	E-mail
111 Grand Avenue	111 Grand Avenue	Oakland, CA 94623	510-296-5000	LRP_Caltrans_District_4@dot.ca.gov

Go to the Project main tabs

1. Click on NOTs, the next screen will open

The screenshot shows the 'NOTs list' tab in the SMARTS system. The user is logged in as 'sayra hurley - Brown and Caldwell'. The page displays a list of NOTs with columns for NOT ID, WQID, Status Date, Status of Document, Basis of Termination, and No of Attachments. A blue arrow labeled '1' points to the 'Add New NOT' button.

NOT ID	WQID	Status Date	Status of Document	Basis of Termination	No of Attachments
--------	------	-------------	--------------------	----------------------	-------------------

1. Click Add New NOT

Or

The screenshot displays the SMARTS Caltrans Construction User's Manual interface. The browser address bar shows the URL: <https://smarts.waterboards.ca.gov/smarts/faces/SwMenu/SwPermitMenu.xhtml>. The page title is "Water Boards Storm Water Multiple Application & Report Tracking System". The user is logged in as "sara hurley - Brown and Caldwell".

The main content area is titled "Welcome to Storm Water Multiple Application Reporting and Tracking System - SMARTS". It features a "Construction Permit Menu" on the left and three tables of applications on the right.

**Construction Permit Menu:**

- New NOI/Waiver Application
- Active NOIs
- Pending NOIs/NOTs/COIs
- Terminated NOIs
- Annual/Ad hoc Report
- CBPEL SG - QSD
- Back to Main Menu

**Pending NOI Applications You Are Associated With:**

Application ID	Application Type	Status	Owner/Operator	Site/Facility	NOT	Hide	Delete
491230	Caltrans Construction - NOI	Not Submitted	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205				<a href="#">Delete</a>
491237	Caltrans Construction - NOI	Not Submitted	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205				<a href="#">Delete</a>
491303	Caltrans Construction - NOI	Not Submitted	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205				<a href="#">Delete</a>
476658	Construction - NOI	Not Submitted	Caltrans District 4 111 Grand Avenue Oakland CA 94623	CC-680 Express Lane 4901 Blum Road Martinez CA 94553			<a href="#">Delete</a>
451692	Caltrans Construction - NOI	Not Submitted	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205	0Y2104 Peaceful Oak Road Ramps and Bridge Widening SR 108 R4 3R5.1 Sonoma CA 95370			<a href="#">Delete</a>
482032	Construction - NOI	Returned	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205	MER 99 Construction on State Highway 99 in Merced County West Merced Overhead North of V Street Undercrossing to Black Rascal Canal Bridge Merced CA 95348			<a href="#">Delete</a>

**Pending NOT Applications You Are Associated With:**

Application ID	Application Type	Status	Termination Reason	Owner/Operator	Site/Facility	Hide	Delete
344388 35592376641	Caltrans Construction	Not Submitted		Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205	0,3704 Structure Rehabilitation In Tuolumne County near Moccasin Moccasin CA 95347		<a href="#">Delete</a>
355923766416	Caltrans Construction	Returned	The construction project is complete	Caltrans District 4 111 Grand Avenue Oakland CA 94623	103401 CC 4 Highway 4 Delta Widening 2825 Crow Court Antioch CA 94509		

**Pending COI Applications You Are Associated With:**

Application ID	Application Type	Status	Owner/Operator	Site/Facility	Delete
42559 35592376641	Caltrans Construction	Not Submitted - certification required	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205	0,3704 Structure Rehabilitation In Tuolumne County near Moccasin Moccasin CA 95347	
41143 35592376692	Caltrans Construction	Not Submitted	Caltrans District 10 1976 East Martin Luther King Jr Blvd Stockton CA 95205	007704 CAPRA ITS Elements and Crack Seal and Overlay State Route 580 in San Joaquin County between the Stanislaus Tracy CA 95377	<a href="#">Delete</a>

Navigation links: [First](#) [Previous](#) [Next](#) [Last](#) | Current Page: 1 | Total Pages: 1

[Show Hidden Applications](#)

- Go to main menu and click on Pending NOIs/NOTs/COIs.
- A list of projects for which you are the LRP, AS, or a DEP will appear. Click on the project application ID for your project. If there are no projects listed or the project you are seeking is not listed, you are either do not have authority for that project or an NOI has not been established for that project.



## Step 5.2 Completing an NOT

The screenshot shows the 'NOT Form' in the SMARTS system. The form is divided into several sections, each with a radio button for selection. The sections are:

- NOT Form** (Selected): This section contains fields for Organization Name, Street Address, Line #, City/State/Zip, First Name, Last Name, Title, Phone, and Email. It also includes a 'NOT Status' tab and a 'NOT Final Cover Method' section with options for 70% Final Cover Method, RUSLE or RUSLE 2 Method, and Custom Method. It also has a 'NOT Final Cover Method' section with a date of completion and a 'NOT Final Cover Method' section with a date of suspension.
- NOT Status**: This section contains a 'NOT Status' tab and a 'NOT Final Cover Method' section.
- NOT Final Cover Method**: This section contains a 'NOT Final Cover Method' section with a date of completion and a 'NOT Final Cover Method' section with a date of suspension.
- NOT Final Cover Method**: This section contains a 'NOT Final Cover Method' section with a date of completion and a 'NOT Final Cover Method' section with a date of suspension.
- NOT Final Cover Method**: This section contains a 'NOT Final Cover Method' section with a date of completion and a 'NOT Final Cover Method' section with a date of suspension.
- NOT Final Cover Method**: This section contains a 'NOT Final Cover Method' section with a date of completion and a 'NOT Final Cover Method' section with a date of suspension.
- NOT Final Cover Method**: This section contains a 'NOT Final Cover Method' section with a date of completion and a 'NOT Final Cover Method' section with a date of suspension.
- NOT Final Cover Method**: This section contains a 'NOT Final Cover Method' section with a date of completion and a 'NOT Final Cover Method' section with a date of suspension.

SMARTS will auto-fill the section as the information was created as part of the NOI. If any of the information is incorrect, return to Step 2 and make corrections.

1. Click the bubble indicating the project is complete.
2. Using the, SWDR, SWDR Attachment or after verifying with the PE, fill in the appropriate box or boxes for the method used to demonstrate final stabilization. Normally, only one box will be checked.
3. Insert date project completed.
4. Answer the six questions. Note that an answer may require explanation in the following text box.
5. Complete this section if the project is going into suspension. This would be used during winter suspensions or other long-term suspensions when the contractor will demobilize from the project. The RWQCB will not provide complete release from the permit but it will provide notice that the project is temporarily inactive. It is not necessary to complete this section if the project is completed.
6. Use if the property or parts of property are transferred to another owner. Rarely used for Caltrans projects but may arise in projects where there is work both on and off the state highway and the non-state highway work is being transferred back to the control of another agency.
7. Use if there is a reason to terminate permit coverage that does not fit into one of the previous reasons.



4. Click NOT Status. You will need to check this tab periodically to know when the RWQCB has approved the NOT. No other documentation will be provided. A RWQCB may return the notice in which case it will be necessary to provide additional documentation or take other actions as directed in the RWQCB's response.

5. Click NOT Print.

A dark grey box indicates that the RWQCB has provided a response. Click the desired box and a PDF document will appear. Activate the print process in that window to print the document, take the appropriate action required by the letter, and file a copy in the Caltrans project records (category 20).

This page intentionally left blank.

## Section 6

# Step 6 - Erosivity Waiver

If a project's R factor is less than or equal to five and the disturbed area is under five acres, an erosivity waiver may be sought. Approval results in exempting the project from CGP requirements. The timing of the erosivity waiver application can occur at any point in the project delivery process, but it is best determined before PS&E so that the appropriate specifications are included enabling contractors to bid accordingly.

Submitting an erosivity waiver in SMARTS is the same as creating an NOI up until the risk level data entry tab. Step 2 of this manual describes the process.

The screenshot shows the SMARTS application interface. The 'Risk' tab is active. The 'R Factor Value' is 2.69, and the 'Site Sediment Risk Factor' is Low. A blue arrow points to the 'Yes' button for the question 'The site is eligible for Erosivity Waiver, Do you want to apply for Erosivity Waiver?'. The 'Project Sediment Risk' is Low.

1. When an R factor of five or less is entered in the risk tab, a screen will appear prompting the user to apply of an erosivity waiver.

The Rainfall Erosivity Factor calculator can be found at:

<https://www.epa.gov/npdes/rainfall-erosivity-factor-calculator-small-construction-sites#getTool>. If manual calculation is necessary, the EPA Fact Sheet (revised 2012) can be accessed via <https://www.epa.gov/sites/production/files/2015-10/documents/fact3-1.pdf>.

## Step 6.1 Erosivity Waiver application

Complete the NOI as described in Step 2 above through to the Risk tab and enter the R factor from the SWDR Attachment (item#13). If it is equal to or less than five, SMARTS will show the notice at the bottom of the screen. If there is a probability that a change in projects conditions will move the project under CGP conditions, click Submit NOI. Otherwise, click Submit Erosivity Waiver.

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **sara hurley - Brown and Caldwell**.  
If this account does not belong to you, please log out.

Navigate To:

**Certification**

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".

WDID/App ID: - 491995  
Status: Not Submitted  
Order No: 2009-0009-DWQ  
Permit Type: Construction - Waiver

Owner: Caltrans District 10  
Site: 1976 East Martin Luther King Jr Blvd Stockton CA 95205  
waiver  
east stockton Stockton CA

Certified Date:  
Processed Date:  
NOT Effective Date:  
Previous ID:

**Attachments** **Certification** **Reports** **Inspections** **Print** **Status History** **Linked Users** **COIs**

**Eligible for Erosivity Waiver**

- The R Factor Value of the site is less than or equal to 5.
- The Total area to be disturbed is less than or equal to 5 acres.

This site is eligible for erosivity waiver. It was indicated that you want to submit the erosivity waiver. However, you can still cancel that choice and [Submit the NOI by clicking here](#)

Perform the completion check to verify that all required information is completed. Click the button below to start completion check.

**Perform Completion Check - Erosivity Waiver**

Fields marked with \* are mandatory fields.

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1. Upload relevant attachments (see Step 4.3), including the project-specific EPA Erosivity Waiver form, vicinity map, R factor calculation.
2. Perform the completion check for the waiver followed by the certification of the request. See Step 2.4.

**Water Boards Storm Water Multiple Application & Report Tracking System**

You are logged-in as: **sara hurley - Brown and Caldwell**.  
If this account does not belong to you, please log out.

Navigate To:

**Certification**

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".

WDID/App ID: - 491995  
Status: Not Submitted  
Order No: 2009-0009-DWQ  
Permit Type: Construction - Waiver

Owner: Caltrans District 10  
Site: 1976 East Martin Luther King Jr Blvd Stockton CA 95205  
waiver  
east stockton Stockton CA 95201

Certified Date:  
Processed Date:  
NOT Effective Date:  
Previous ID:

**Attachments** **Certification** **Reports** **Inspections** **Print** **Status History** **Linked Users** **COIs**

**Eligible for Erosivity Waiver**

- The R Factor Value of the site is less than or equal to 5.
- The Total area to be disturbed is less than or equal to 5 acres.

This site is eligible for erosivity waiver. It was indicated that you want to submit the erosivity waiver. However, you can still cancel that choice and [Submit the NOI by clicking here](#)

**Review Waiver** Your Application Fee is \$300

The Application appears to be complete. A Data Entry Person cannot certify the application. Please contact the Legally Responsible Person, Approved Signatory, or Duty Authorized Representative to certify and submit the application.

**Send Email to LRP/IAS**

On Clicking the Send Email to LRP/IAS button, the status of the document is updated as Not Submitted - certification required. An email is sent to the LRP/IAS informing them that the data entry is complete.

Fields marked with \* are mandatory fields.

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Print copies of the submittal for the project records and to document the request. Visit the Status History tab until the RWQCB either grants or declines the request.

## Section 7

# Step 7 - Change of Information (COI)

If a SWPPP Construction Project needs to modify any of the information submitted in the original NOI, a Change Of Information (COI) must be submitted along with the relevant attachments.

Water Boards Storm Water Multiple Application & Report Tracking System

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

Navigate To:

**COIs list**

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".

WDID/App ID: - 417963  
Status: Not Submitted  
Order No: 2009-0009-DWQ  
Permit Type: Caltrans Construction - NOI

Owner: City of Calexico  
608 Heber Ave Calexico CA 92231  
Site: testtest  
testing Rio Vista CA

Certified Date:  
Processed Date:  
NOT Effective Date:  
Previous ID: -

Owner Info | Developer Info | Site Info | Risk | Addl. Site Info | Post Construction | Billing Info | Attachments | Certification | Reports | Inspections | Print | Status History | Linked Users | NOTs | **COIs**

Change Of Information (COI) is submitted to the Water Board for updating certain fields of the NOI.

The following are the COIs associated with this NOI. Click on the COI ID to view the details.

COI ID	WDID	Submitter	Submitted Date	Status of Document	Delete
--------	------	-----------	----------------	--------------------	--------

Fields marked with \* are mandatory fields.

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1. Click on the COIs tab to start a new Change Of Information

## Step 7.1 COI Form

**Construction Details:**

Field Names	Current Values	Revised Values
Total Disturbed Area:	11.5	<input type="text"/> Acres <input type="radio"/> Sqft
Total Site Size:	12.5	<input type="text"/> Acres <input type="radio"/> Sqft
Construction Start Date:	06/06/2017	<input type="text"/> mm/dd/yyyy
Construction Completion Date:	06/06/2017	<input type="text"/> mm/dd/yyyy 2
Type of Construction:	<input checked="" type="radio"/> Construction <input type="radio"/> Linear Utility Project	<input type="radio"/> Construction <input type="radio"/> Linear Utility Project

**Risk Details:**

Field Names	Current Values	Revised Values
R value Factor:	1.89	<input type="text"/> <a href="#">Erosivity Calculator</a>
K value Factor:	0.24	<input type="text"/> <a href="#">Populate K Factor</a>
LS value Factor:	0.18	<input type="text"/> <a href="#">Populate LS Factor</a>
Is this a High Risk Watershed?:	No <input type="checkbox"/>	Select <input type="checkbox"/> <a href="#">Populate Receiving Water Risk</a>

**Site/Facility Address Details:**

Field Names	Current Values	Revised Values
Street Address:	15W 112nd St, Klamath Falls	<input type="text"/>
Address Line2:		<input type="text"/>
Latitude:	37.63672	<input type="text"/> <a href="#">View Map to select New Latitude &amp; Longitude</a>
Longitude:	-121.24506	<input type="text"/> <a href="#">Update County/Region</a>
City:	Paterson	All <input type="text"/>
County:	Stanislaus	<input type="text"/>
Region:	Region 55 - Sacramento	<input type="text"/>

Reason for change:

[Save & Continue](#)

### Construction Details:

1. If there is a change in the amount of total disturbed area, enter the revised acreage.
2. If there is a change in the amount of total site size area, enter the revised acreage.
3. If there is a change in the Construction Start Date, enter the revision, you must recalculate the R value and possibly the project's Risk Level.
4. If there is a change in the Construction End Date, enter the revision, you must recalculate the R value and possibly the project's Risk Level.

### Risk Details:

1. Enter the new R value Factor, you can use the Erosivity Calculator, make sure you pdf the page so that it can be uploaded as an Attachment under Step 7.2.
2. Enter the K value Factor, either by using a map or the **Populate K Factor** option.
3. Enter the LS value Factor, either by using a map or the **Populate LS Factor** option.
4. Select yes/no for is this a High Risk Watershed. If there is a revision needed- modify accordingly, or you can **Populate Receiving Water Risk**.

### Site/Facility Address Details

1. If there is a revision in the Street Address enter the new one. Update the Latitude or Longitude if there is a change, you can use the View Map to select New Latitude & Longitude.
2. The system will automatically update the county and region by clicking on **Update County/Region**.
3. Enter a reason for change- such as construction timeframe was extended.
4. Click **Save & Continue** to take you to the next screen



## Step 7.2 Attachments

Water Boards Storm Water Multiple Application & Report Tracking System

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

**Change of Information (COI) - Attachments**

COI ID: 42590 Status of Document: Not Submitted Submitter: Caltrans District 10  
 COI Type: NOI COI Date: WDID: 5850C380275 Site/Facility: 1976 East Martin Luther King Jr Blvd Stockton CA 95205  
 SR 132 at Kasson Road Intersection Improvement  
 SR 132 at Kasson Road Patterson CA CA

COI Form **Attachments** Certify/Review Status History Back To NOI Summary

Please click on Upload Attachment button to upload the corresponding files(Required for Site Size or Disturbed Area changes). Upload Attachment

The following are the current documents related to the COI. Click on the link to view them.

Attachment ID	File Type	File Title	File Description	Part No.	Delete

Back Next

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1. Follow the guidance enumerated under Step 2.8 Attachments for uploading any documents for the COI.

## Step 7.3 Certify/Review

Water Boards Storm Water Multiple Application & Report Tracking System

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

**Change of Information (COI) - Certification**

COI ID: 42590 Status of Document: Not Submitted Submitter: Caltrans District 10  
 COI Type: NOI COI Date: WDID: 5850C380275 Site/Facility: 1976 East Martin Luther King Jr Blvd Stockton CA 95205  
 SR 132 at Kasson Road Intersection Improvement  
 SR 132 at Kasson Road Patterson CA CA

COI Form Attachments **Certify/Review** Status History Back To NOI Summary

Before certifying the Change of Information, the system must verify that all required sections have been completed. To perform this check, click the button below:

Perform Completion Check

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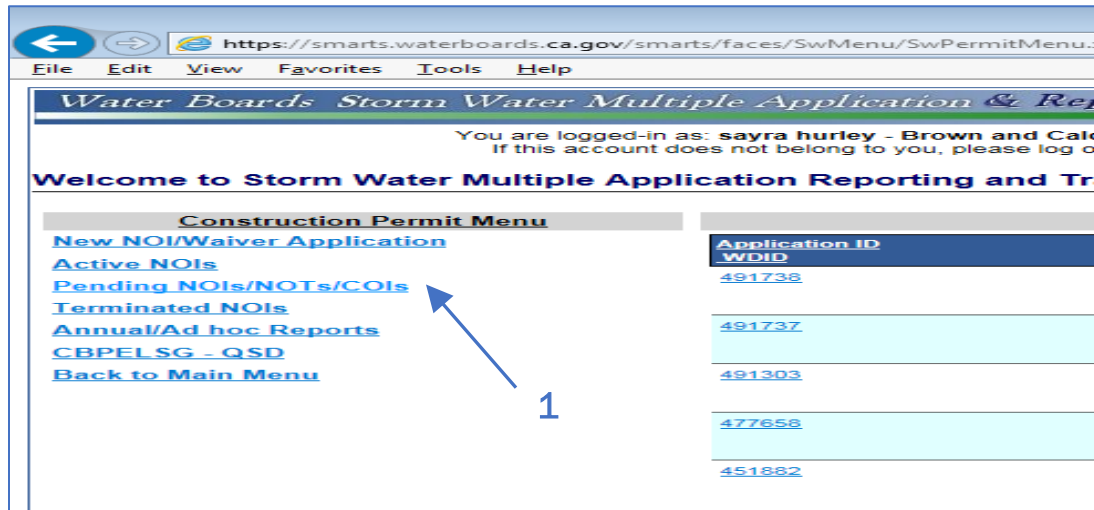
1. Before certifying the COI, click **Perform Completion Check**, this will inform you if there are any missing information that is needed. Once the completion check states that no additional information is necessary, you can certify the document and submit it to SMARTS so that it can be reviewed by the RWQCB.

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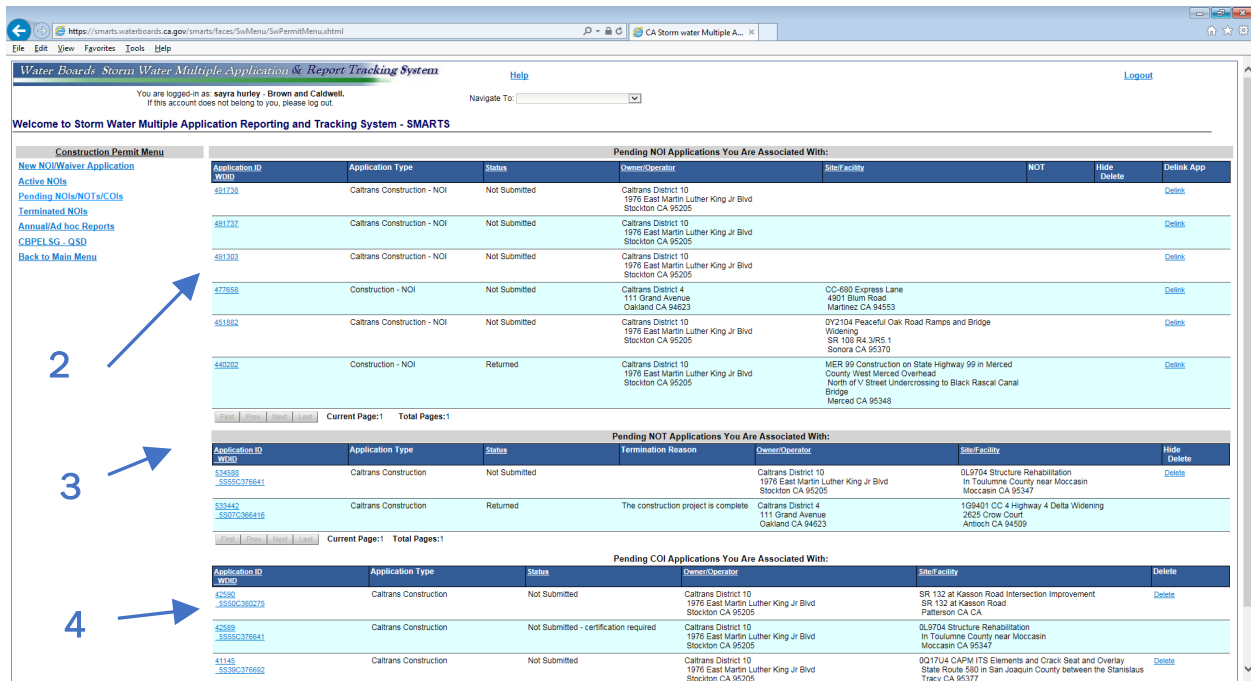
## Section 8

# Step 8 - File Management

This Section provides more information for AS, backup LRP or the LRP who manages the Districts SMARTS records.



1. You can manage the list of projects which have a pending NOI, or NOTs that have not been certified as well as COIs under the Construction Permit Menu.



2. The Menu will open up with the list of Pending NOI Applications that you are associated with and you can select the one you want to work on
3. The Menu will also provide a list of Pending NOT Applications that you are associated with, you can select the individual application you want to edit or modify
4. The last list of applications are for COIs that have yet to be certified and can be selected to work on.

## Section 9

# Step 9 - Public User Access

ACCESSING CGP SMARTS INFORMATION VIA PUBLIC ACCESS (NO ACCOUNT OR LOGIN REQUIRED)

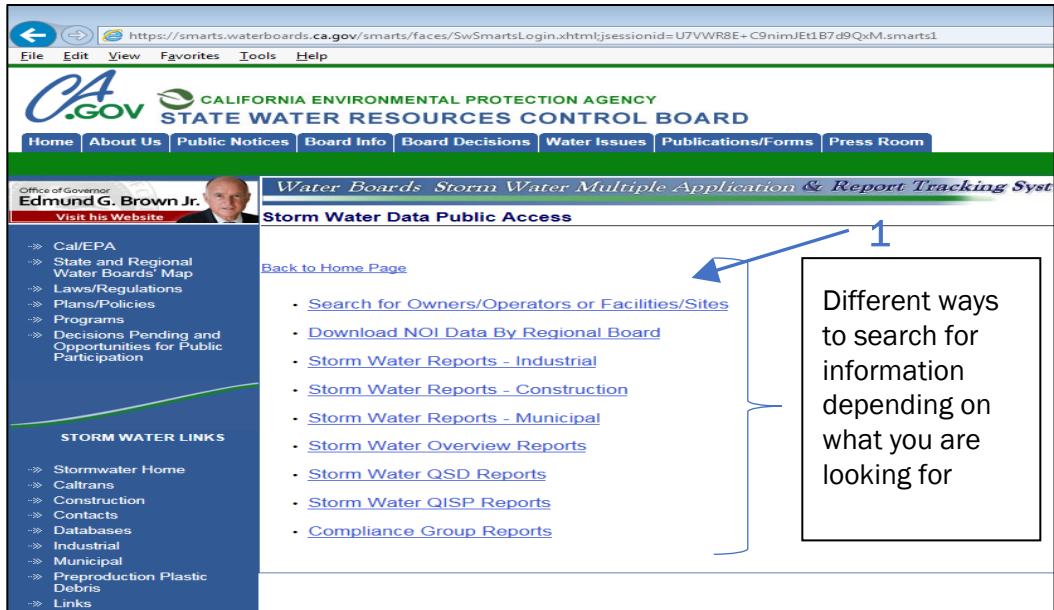
Go to <https://smarts.waterboards.ca.gov/smarts/faces/SwSmartsLogin.xhtml>.

## Step 9.1 Accessing Data

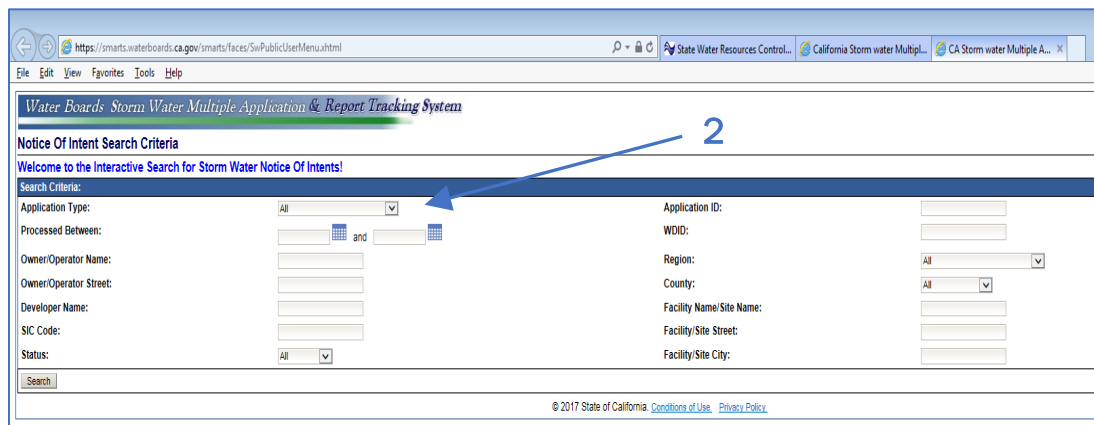
The screenshot shows a web browser window with the URL <https://smarts.waterboards.ca.gov/smarts/faces/SwSmartsLogin.xhtml>. The page header includes the California Environmental Protection Agency logo and the text "STATE WATER RESOURCES CONTROL BOARD". A navigation bar contains links: Home, About Us, Public Notices, Board Info, Board Decisions, Water Issues, Publications/Forms, and Press Room. Below this is a banner for "Water Boards Storm Water Multiple Application & Report Tracking System" featuring Governor Edmund G. Brown Jr. and a "Visit his Website" link. The main content area is titled "Welcome to Storm Water Multiple Application and Report Tracking System" and "SMARTS". It describes SMARTS as an online database for storm water permit documents. A text box with a black border and white background states: "You don't need an account to look at who has CGP coverage- has an active NOI, SWPPP and other attachments". To the right, there is a "SMARTS LOGIN" section with fields for "User ID:" and "Password:", a "Login" button, and a link for "Forgot User ID or Password?". Below the login section is a "PUBLIC ACCESS" section with the text "Public Access to NOI, SWPPPs & Annual Reports data" and a button labeled "View SW Data". A blue arrow points from the number "1" to the "View SW Data" button. At the bottom, there is a "Web Browser Requirements" section stating that SMARTS runs on Internet Explorer 11.

1. Go to bottom right box that says PUBLIC ACCESS- click on **View SW Data**.

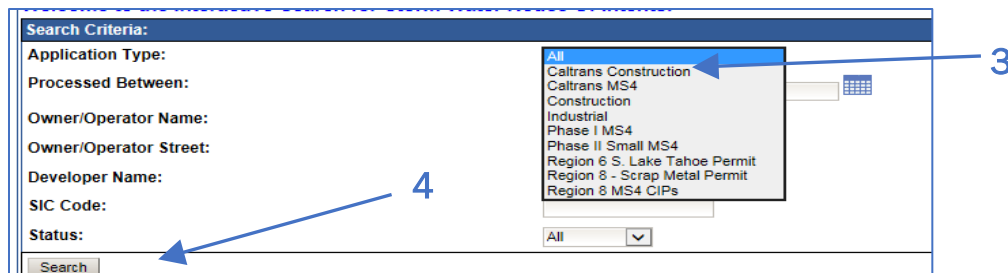
The next screen will open, this allows you to search in different ways depending on what information you have or what you want to see.



1. The first option allows you to see all the sites by either the LRP or the same operator.



2. If you want Caltrans construction projects, select it from the pull-down menu: you can query by Construction CGP Projects, Caltrans Construction, Lake Tahoe CGP, IGP, etc. Pull down-menu as shown below:



3. If you select Caltrans Construction from the pulldown menu.

4. Click **Search**- the screen will populate with all the records where Caltrans has filed for coverage under the CGP- NOI (without further specificity, you will get 30+ pages of records). If you want a specific District – see next instruction and screenshot below.

Water Boards Storm Water Multiple Application & Report Tracking System

**Notice Of Intent Search Results**  
Following are the results that matched with your search criteria. To refine or start a new search, click Back button on the browser.

Export to Excel

App ID	WQID	Application Type	Status	Status Date	Owner/Operator Name & Address	Unit/Agency Name & Address	NOI Form	Attachments	Receipt Letter
489929	2 07C381061	Caltrans Construction	Active	09/13/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 44204 Richmond Overlay 1400 P Ala -CO County Line to 804 Separation Richmond California 94803	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
490917	4 19C381060	Caltrans Construction	Active	09/13/2017	Caltrans District 07 100 South Main Street Los Angeles California 90012	200804 LA 01 Court House Route 01 Pacific Coast Hwy at 710 to Santiago Long Beach California 90805	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
489679	1 23C380665	Caltrans Construction	Active	09/07/2017	Caltrans District 01 1550 Union Street Eureka California 95501	Men 101 Formosa and Penguin Side Repair 15513 40th Avenue Hopland California 95649	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
489160	1 49C380512	Caltrans Construction	Active	07/21/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 300804 Rte 1 Fort Ross Sol Nal Wall Route 1 Fort Ross Sonoma County Fort Ross California 95450	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
488836	8 33C380513	Caltrans Construction	Active	07/21/2017	Caltrans District 8 484 West Fourth Street San Bernardino California 92401	Signal at 79 and Gilman 79 east Hwy 933.9 Hemet California 92546	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
488281	8 30C380433	Caltrans Construction	Active	07/14/2017	Caltrans District 12 1750 E. 4th Street Santa Ana California 92705	Road Upgrade Safety Devices Rd65 from Orange to Costa Mesa Santa Ana California 92701	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
488209	7 13C380867	Caltrans Construction	Active	07/07/2017	Caltrans District 11 4050 Taylor Street San Diego California 92110	1-418614 Segment 4 1-418614 Segment 4	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
487944	5F19C380276	Caltrans Construction	Active	06/27/2017	Caltrans District 06 3240 N Millbrook Ave Fresno California 93726	342534 FRE-100-SEGMENT 3 Fre 100-PAVIA 176 S-MINKLER Intersect California 93657	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
487917	5F54C380277	Caltrans Construction	Active	06/27/2017	Caltrans District 06 3240 N Millbrook Ave Fresno California 93726	9P5504 Lovers Corner Roundabout Tul 190 Postar California 93257	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
487847	5F19C380331	Caltrans Construction	Active	07/05/2017	Caltrans District 07 100 South Main Street Los Angeles California 90012	200804 LA 01A Separation San Replacement Cold Plan H&A North of Palomas Wash Bridge Santa Clara California 91355	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
487816	8 36C380278	Caltrans Construction	Active	06/27/2017	Caltrans District 07 484 West Fourth Street San Bernardino California 92401	1-418614 Segment 4 1-418614 Segment 4	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
487430	7 13C380869	Caltrans Construction	Active	06/09/2017	Caltrans District 11 4050 Taylor Street San Diego California 92110	1-418614 Segment 4 1-418614 Segment 4	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
487060	5F19C380220	Caltrans Construction	Active	06/21/2017	Caltrans District 06 3240 N Millbrook Ave Fresno California 93726	Intersection Improvements Near Delano from 0.4 mile west of browning road to 0.4 mile Delano California 93215	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
486878	1 23C380279	Caltrans Construction	Active	06/27/2017	Caltrans District 01 1550 Union Street Eureka California 95501	033804 Men-101 Upp Creek Fish Passage Hwy 101 Post Mile 45.1 Wills California 95482	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
486863	2 41C379957	Caltrans Construction	Active	05/26/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	23665 D4 SM Route 101 Willow Road Interchange Reconstruction Route 101 Willow Road Interchange Merced Park California 94303	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
486657	3 43W003200	Caltrans Construction	Active	05/25/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	44000 SCL Route 35 Emergency Slide Repair Santa Clara County Route 35 Near PH 10 Saratoga California 95033	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
486065	1 23C379958	Caltrans Construction	Active	05/26/2017	Caltrans District 01 1550 Union Street Eureka California 95501	065604 Men 253 Soldier Pile Wall Hwy 253 Post Mile 1 Leggett California 95555	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
487927	1 23C379959	Caltrans Construction	Active	05/26/2017	Caltrans District 01 1550 Union Street Eureka California 95501	063735 Men 101 Cedar Cr Fish Passage Hwy 101 Post Mile 89 Wills California 95480	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
486709	1 49C379930	Caltrans Construction	Active	05/24/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 038404 BR 101 Windsor Hwy Rain BR 101 Windsor Lane UC to BR 101/123 Sep Windsor California 95492	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
486642	5850C380275	Caltrans Construction	Active	06/27/2017	Caltrans District 10 1970 East Martin Luther King Jr Blvd Stockton California 95205	BR 132 at Kassen Road Intersection Improvement BR 132 at Kassen Road Patterson California CA	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>

Current Page: 1 Total Pages: 33

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Water Boards Storm Water Multiple Application & Report Tracking System

**Notice Of Intent Search Criteria**  
Welcome to the Interactive Search for Storm Water Notice Of Intent!

**Search Criteria:**

**Application Type:** Caltrans Construction

**Processed Between:** [ ] and [ ]

**Owner/Operator Name:** Caltrans District 4

**Owner/Operator Street:** [ ]

**Developer Name:** [ ]

**SIC Code:** [ ]

**Status:** All

**Search**

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5. You can further specify – if you only want a specific District, for example Caltrans District 4, you can query that info by putting that information under Owner/Operator Name as shown in screenshot.

Water Boards Storm Water Multiple Application & Report Tracking System

Notice Of Intent Search Results

Export to Excel

Following are the results that matched with your search criteria. To refine or start a new search, click Back button on the browser.

NOI ID	WDID	Application Type	Status	Status Date	Owner/Operator Name & Address	Site/Facility Name & Address	NOI Form	Attachments	Receipt Letter
40929	2 07C381061	Caltrans Construction	Active	09/13/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 43804 Richmond Overlay 4307 P Alca CC County Line to SR4 Separation Richmond California 94803	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
459160	1 49C389512	Caltrans Construction	Active	07/12/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 50804 Rte 1 Fort Ross Soil Nail Wall Route 1 Fort Ross Sonoma County Fort Ross California 95450	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
466863	2 41C379957	Caltrans Construction	Active	05/26/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	22655 D4 SR Route 101 Willow Road Interchange Reconstruction Route 101 Willow Road Interchange Merito Park California 94303	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
466857	3 43W003200	Caltrans Construction	Active	05/25/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	4K000 SCL Route 35 Emergency Slide Repair Santa Clara County Route 35 near PM 10 Saratoga California 95033	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
466709	1 49C379930	Caltrans Construction	Active	05/24/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 04604 SR 101 Windsor Road Repair SR 101 Windsor Lane UC to SR 101/126 Sep Windsor California 95492	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
466137	2 48C379797	Caltrans Construction	Active	05/10/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	40450 D4 Sol Interstate 780 Replace Bridge to Provide Standard Vertical Clearance In Solano County at Laurel SR OC along Interstate 780 Vallejo California 94591	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
466136	1 21C379774	Caltrans Construction	Active	05/09/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	209504 D4 Son and San Valley Ford Hwy 1 Estero Americano Bridge Hwy 1 near Valley Ford in Sonoma & Marin County Valley Ford California 94972	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
465752	1 49C379586	Caltrans Construction	Active	04/25/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	307204 D4 Son Rte 12 and 101 Separation Construct Roadside Paving and Maintenance Pullouts In Sonoma County in Santa Rosa at Route 12/ 101 Separation Santa Rosa California 95407	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
465168	1 49C379401	Caltrans Construction	Active	04/05/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 26446 SR 12 and Rte 101 Replacement Hwy Planting SR 12 and Rte 101 near Petaluma and Santa Rosa California 95407	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
464851	2 49C379402	Caltrans Construction	Active	04/05/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 26446 SR 12 and Rte 101 Replacement Hwy Planting SR 12 and Rte 101 near Petaluma and Santa Rosa California 95407	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
464850	2 41C379388	Caltrans Construction	Active	04/04/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 23532 SR 92 and SR92 Interchange SR 92 and El Camino Real / SR 92 San Mateo California 94403	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
464849	2 28C379326	Caltrans Construction	Active	03/29/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 24320 Sarco Creek Bridge SR 121 Siverado Trail Road at Sarco Cr Napa California 94558	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
464704	2 48C379260	Caltrans Construction	Active	03/22/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	405104 D4 SOL Construction on Route 80 Near Vacaville in Solano County 4 bridges cross Route 80 near the City of Vacaville California 95687	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
464068	580C379072	Caltrans Construction	Active	03/01/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	D4 305904 Ala and SJ Counties on Route 580 and 205 Roadway Rehabilitation Alameda and San Joaquin Counties Livermore California 94551	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
464067	2 01C379073	Caltrans Construction	Active	03/01/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	15802 D4 Ala 13 Moraga Avenue On Ramp Landslide Repair State Route 13 at Moraga Avenue Northbound On Ramp Alameda California 94611	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
473379	2 01C376422	Caltrans Construction	Terminated	05/12/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	State Route 13 at Moraga Avenue Northbound On Ramp Alameda California 94611	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
472952	2 21C376321	Caltrans Construction	Active	05/12/2016	Caltrans District 4 111 Grand Avenue Oakland California 94623	DO4 307004 Min SF Route 101 280 Pave Gore Areas and Construct MPV's Min SF Route 101 280 at Various Locations San Rafael California 94901	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
472842	2 43C376282	Caltrans Construction	Terminated	04/06/2017	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 146304 Pavement Preservation SR 101 E Dume Ave to 0.9 mi N of Silicon Valley Blvd San Jose California 95122	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
472789	2 38C376691	Caltrans Construction	Active	06/29/2016	Caltrans District 4 111 Grand Avenue Oakland California 94623	EA 013574 D04 Ala SF 80 SF/OSB Removal of Piers E4 to E10 Old San Francisco Oakland Bay Bridge East Span Oakland California 94607	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>
471581	2 01C375994	Caltrans Construction	Active	04/14/2016	Caltrans District 4 111 Grand Avenue Oakland California 94623	29762 D04 Ala 84 Expressway Widening Project South Segment Route 84 South of Ruby Hill Drive and Livermore California 94550	NOI Form	<a href="#">View Attachments</a>	<a href="#">Receipt Letter</a>

Current Page: 1 Total Pages: 7

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- This will populate the following screen: there are several pages of records where D4 has filed for coverage of either a SWPPP or an Erosivity Waivers. This list shows all records of Active, Terminated and Expired (Erosivity Waivers).
- From this screen, you can click on right hand side for each record you are interested in and see the NOI form- pdf will open; Attachments- whatever has been attached for the specific WDID such as SWPPP, RL, Annual Reports, adhoc monitoring data (depending on risk level).
- Also, note that at the top of the screen above there is an Export to Excel option (arrow), this can provide you with a file you can download to your computer and you can use to compare/ manipulate the information in excel.
- Click on Receipt Letter, it will show the date the NOI was processed by the applicable RWQCB and includes NOI information such as site information, contractor, etc. along with the WDID given to the construction project.

Water Boards Storm Water Multiple Application & Report Tracking System

Notice Of Intent Search Criteria

Welcome to the Interactive Search for Storm Water Notice Of Intent!

Search Criteria:

Application Type:  All  and

Processed Between:  and

Owner/Operator Name:

Owner/Operator Street:

Developer Name:

SIC Code:

Status:  All

Application ID:

WDID:

Region:

County:

Facility Name/Site Name:

Facility/Site Street:

Facility/Site City:

Region 1 - North Coast  
Region 2 - San Francisco Bay  
Region 3 - Central Coast  
Region 4 - Los Angeles  
Region 5 - Fresno  
Region 6 - Redding  
Region 7 - Sacramento  
Region 8 - South Lake Tahoe  
Region 9 - Sacramento  
Region 10 - Colorado River Basin  
Region 11 - Santa Ana  
Region 12 - San Diego  
State Board

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- Going back to step 4 above, other ways to search for NOIs can be via specific regional board, this will give you all the projects within a regional board, including Caltrans, CGP, IGP, might be too much information that you need to decipher/sort through.



Water Boards Storm Water Multiple Application & Report Tracking System

Notice Of Intent Search Criteria

Welcome to the Interactive Search for Storm Water Notice Of Intent!

Search Criteria:

Application Type:  and

Processed Between:  and

Owner/Operator Name:

Developer Name:

SIC Code:

Status:

Application ID:

WID:

Region:

County:

Facility Name/Site Name:

Facility/Site Street:

Facility/Site City:

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11. You can also query the information for a specific county.

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## Appendix A: Storm Water Data Report (SWDR) Attachment for SMARTS Input

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## Appendix B: Caltrans Email Addresses

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## Appendix C: CGP Annual Report Forms

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