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

Caltrans

CALIFORNIA DEPARTMENT OF TRANSPORTATION

DIVISION OF CONSTRUCTION

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List of Abbreviations

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

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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.
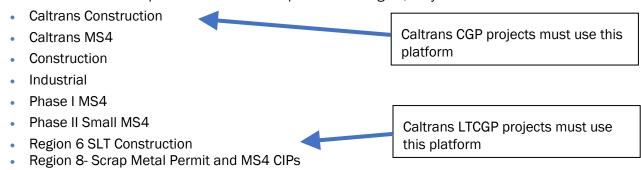
Much of the data to complete the NOI data is available in the Storm Water Data Report (SWDR) Attachment for SMARTS Input (SWDR Attachment) which should be included in the resident engineer (RE) pending file. See Appendix A for an example or visit the Division of Design's website at http://www.dot.ca.gov/design/hsd/swdr/index.html. 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 uses 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.
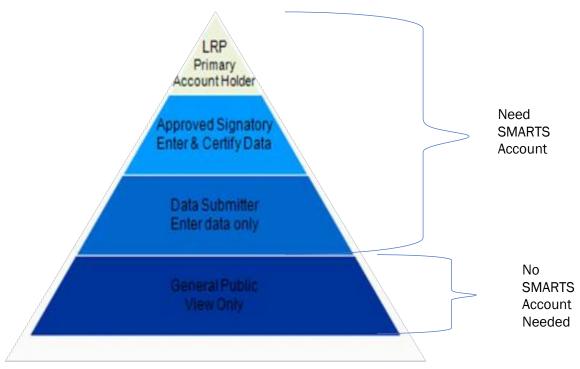

Figure 1. SMARTS Users and their access

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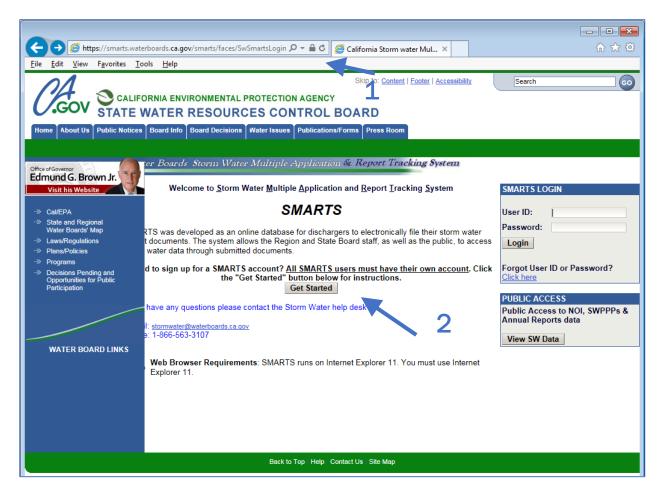
1. LRP—District Director
2. Three back up LRPs
   a. Deputy District Director (DDD) Construction
   b. DDD Environmental
   c. NPDES Branch Chief
3. Approved Signatory (AS)
   a. Construction Storm Water Coordinator
   b. Resident Engineer
   c. NPDES Coordinator
4. Data Entry Person (DEP)
   a. Water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

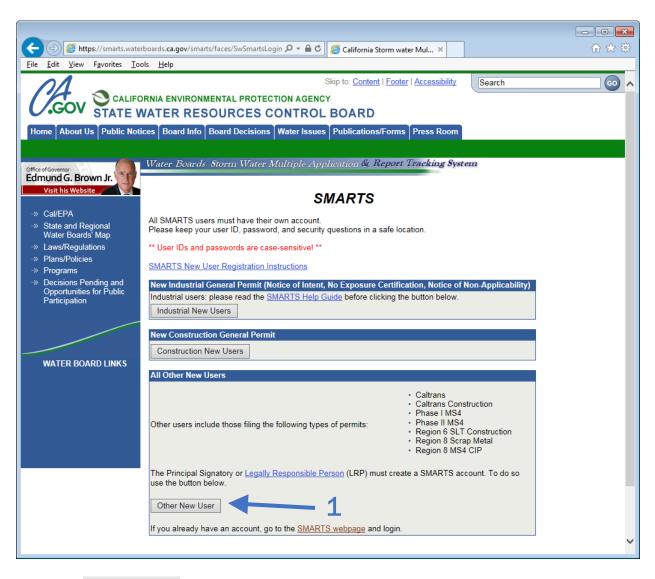## Step 1.1 Starting the Process

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
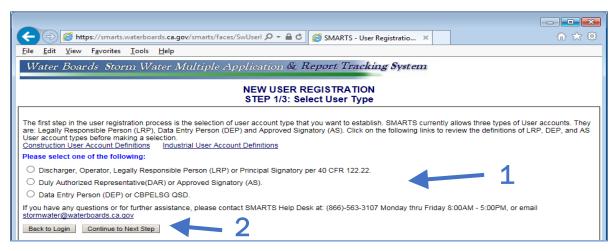2. First time users must click on the Get Started button to begin the process.

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

Step 1.2 Selecting an access level

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:

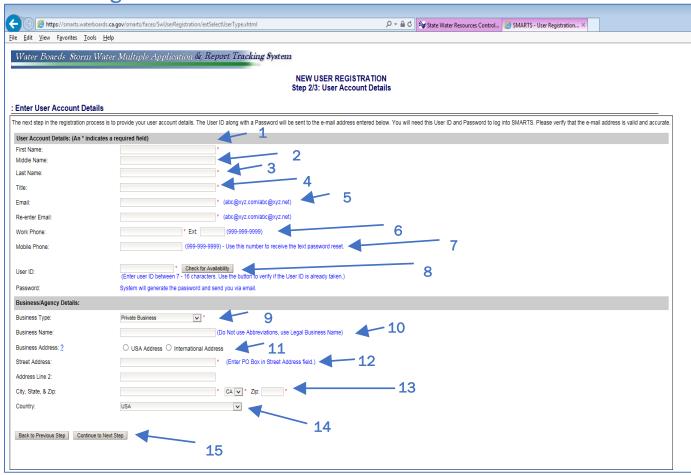Table 1: SMARTS user profiles and their access rights

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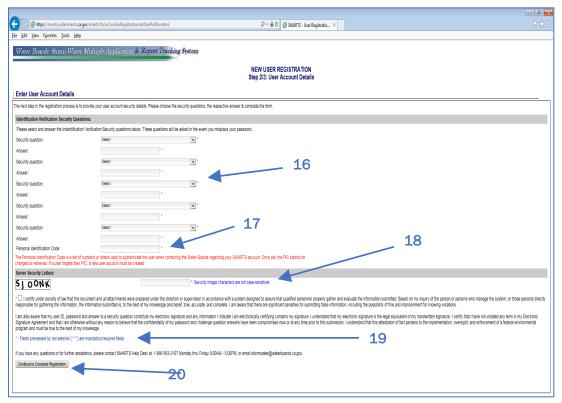
Step 1.3 Filling out the information for completing the new user registration

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 LRPs, use the district office address. For AS or DEP, use your office address.

13. For LRPs, 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.

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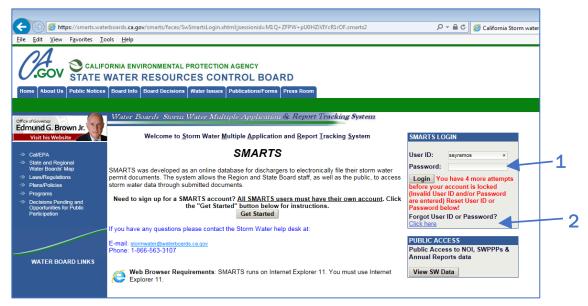
19. Read certification statement and check box. Note that by establishing this profile, you are agreeing that your certification of documents is the same as if you signed the documents yourself in ink.

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

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).
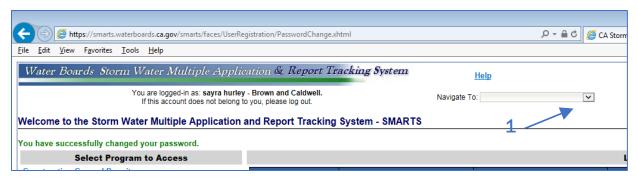
Step 1.5 Completing the user registration

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.
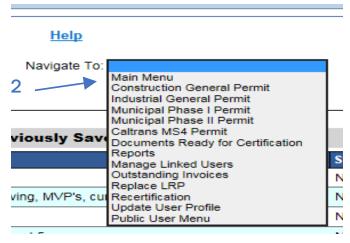

1. Click Print eAuthorization Form. Print Form, Select your user role (Legally Responsible Person or Approved Signatory). Sign, date and mail (addresses for standard and express mail are included on the form.)

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.

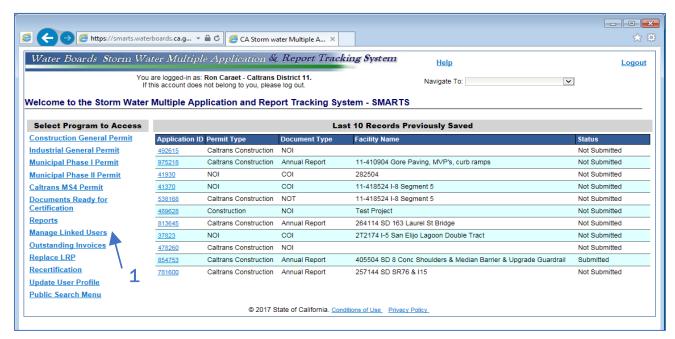| Table 2-2. Navigate To Page Descriptions	
Navigate Page Name	**General Description**
Construction General Permit	Construction projects subject to CGP SWPPP (other than Caltrans)
Industrial General Permit (IGP)	Sites that meet one of the SIC codes included in Appendix A of the IGP
Municipal Phase I 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.

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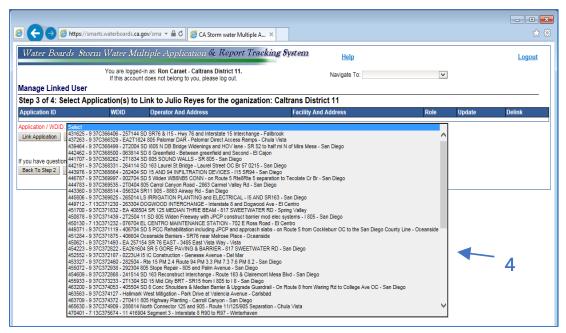
1. Enter the user ID of the staff you are linking.

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

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.
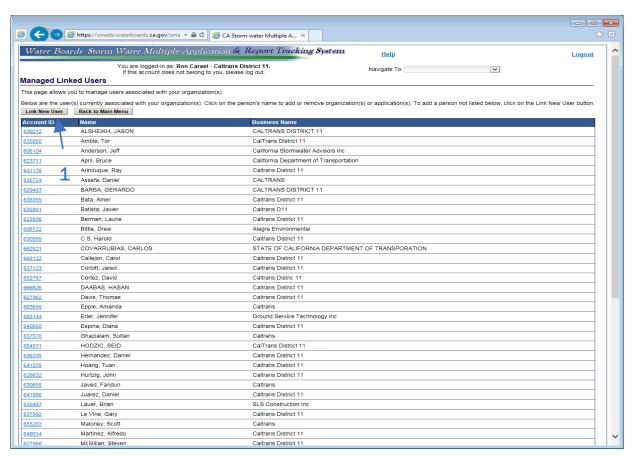

5. The LRP, backup LRP or the AS could select to link the user to all future applications.

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.
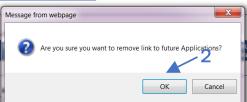
1. This is an example of the screen that can be viewed by an AS or the LRP when they click Manage Linked Users. The next screen will show you a AS user, they will automatically be linked in all future applications.
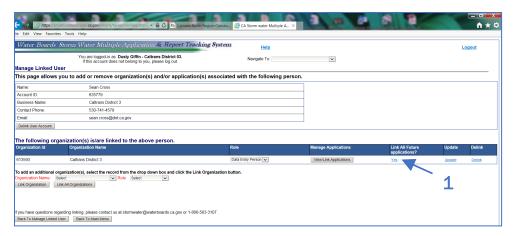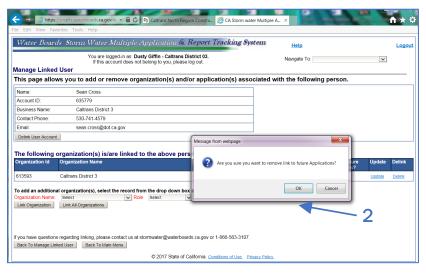
1. Click on the specific user whose access rights need modification. You can delink him from the organization completely.

2. You will get a message asking whetther 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.
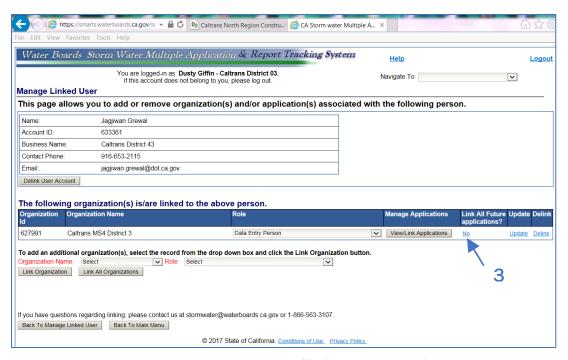
1. This DEP is currently linked to all future projects.

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

3.   This image shows the user was designated No for linking to all future projects.
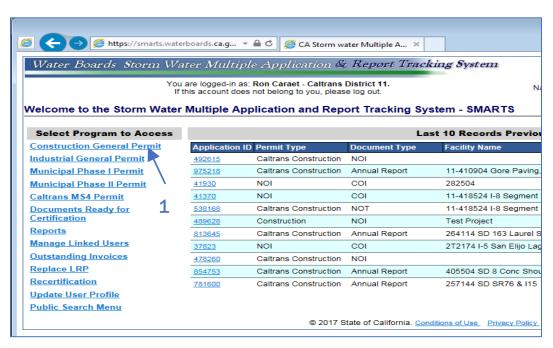
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Section 2

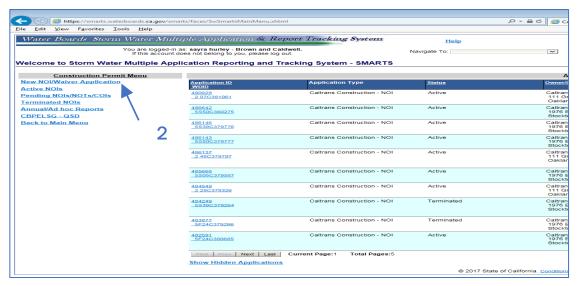# Step 2 - Notice of Intent Submittal and Certification

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.
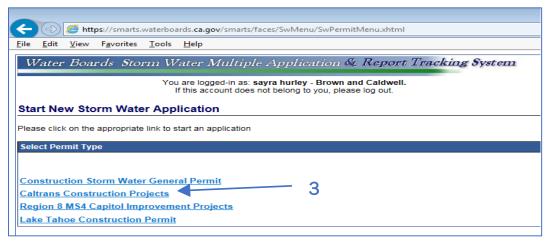

1. Click Construction General Permit, it will open another screen to determine under which CGP Permit you are seeking coverage.
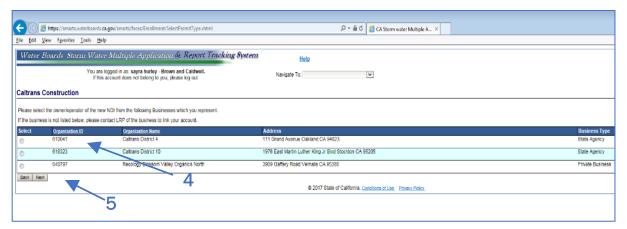
2. Select New NOI/Waiver Application to begin the process. The next screen will appear which will allow you to select for which platform or permit you want to apply for permit coverage
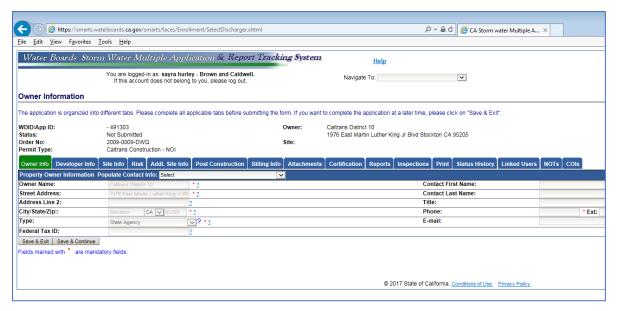

3. Select Caltrans Construction Projects to seek coverage for a new Caltrans construction project under the CGP

4. 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.

5. 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.

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:
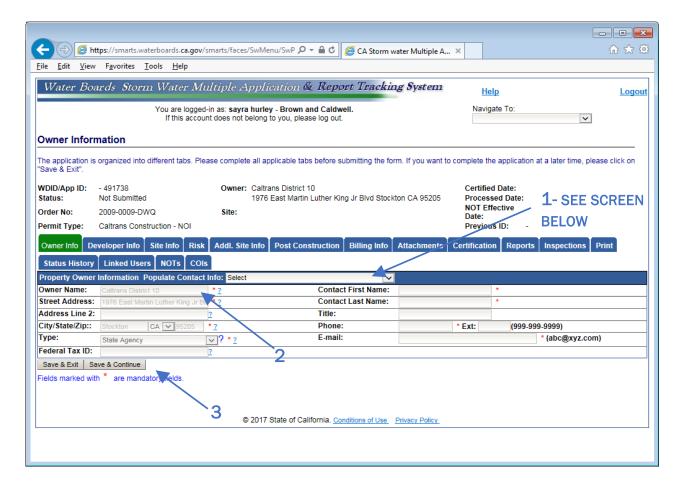
- Reports
- Inspections
- NOT
- COI

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

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.
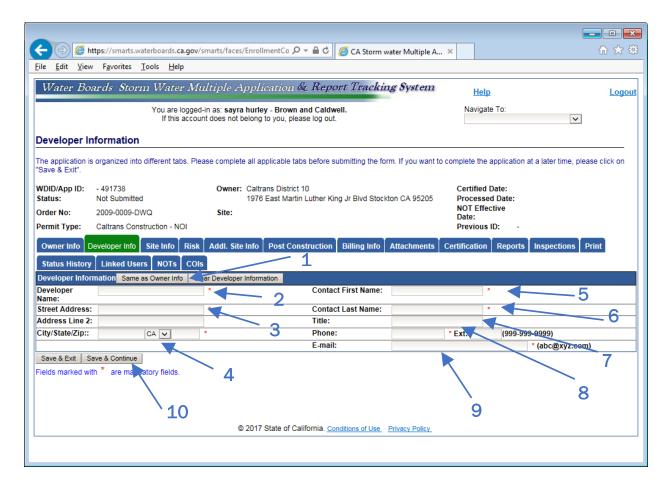
3. Click Save & Continue- it will take you to the next tab. The Save & Exit will result in the system retaining the information entered so far but taking you back to the main menu rather than the next tab under the NOI.

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.
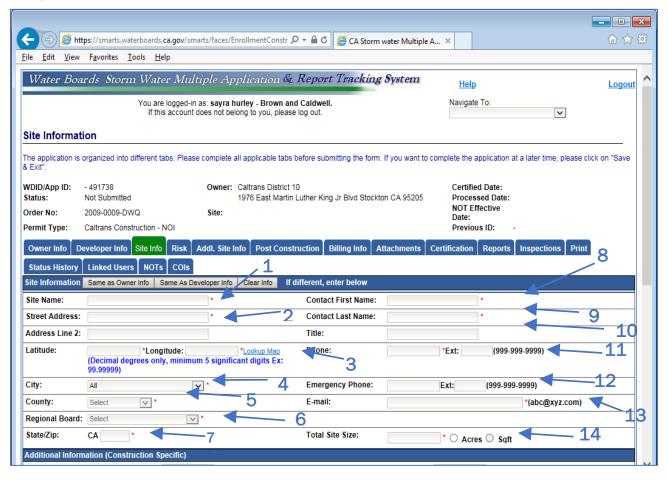
Step 2.2 Developer/Contractor Information

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.
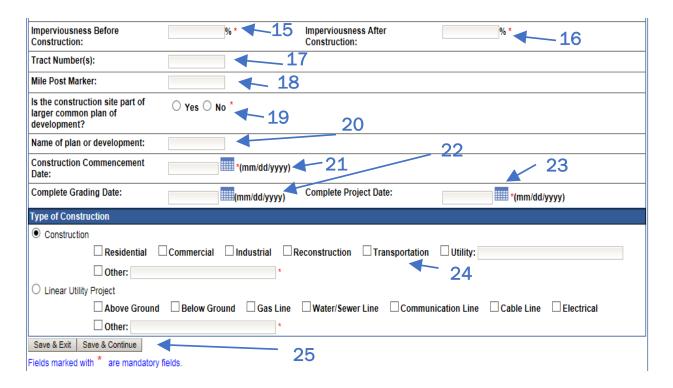10. Click Save & Continue. This will take you to the next tab Site Info

Step 2.3 Site Info

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).
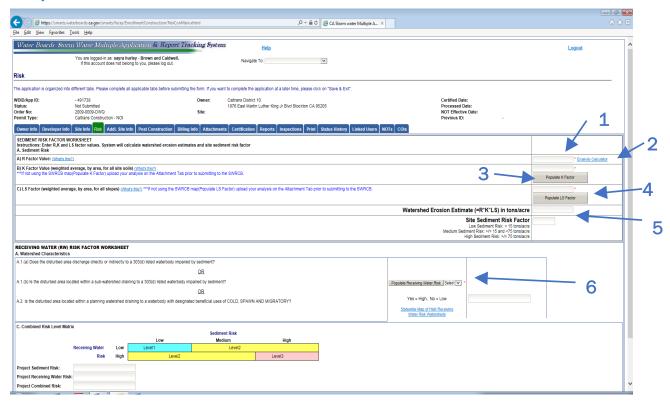

15. Enter the Total disturbed soil area. Should be available from the SWDR Attachment (item #3).

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.
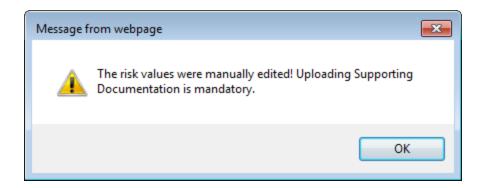
Step 2.4 Risk

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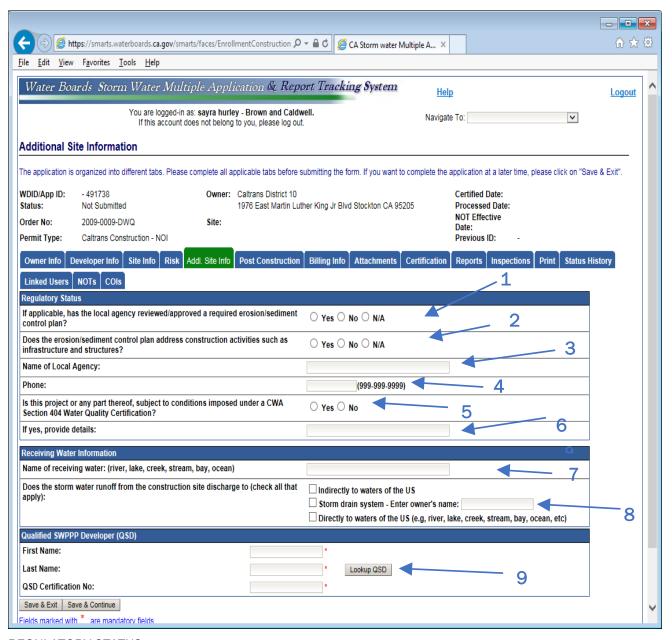
Once you select yes or no, the information for the Risk Level will self-populate. You will get a message showing the following (if you did not select the self-populate for the K, LS and receiving water).

Step 2.5 Additional Site Info

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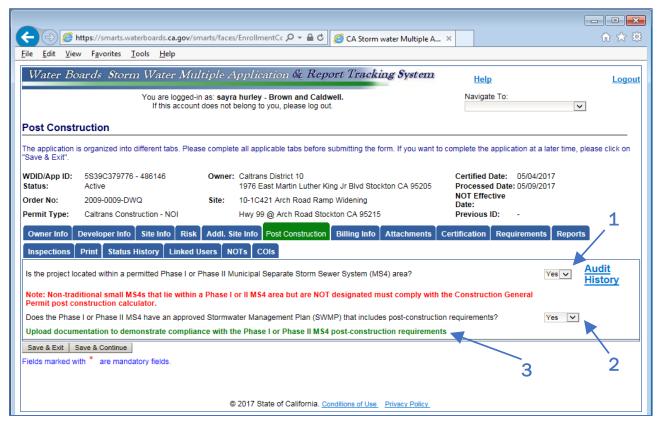
6. If yes, provide the WDID number for the 401 WQC.

RECEIVING WATER INFORMATION

7. Enter The name of the receiving water, this can also be obtained by SWDR Attachment (item #12).

8. Click on all that apply, this information can also be obtained by SWDR Attachment (item #12).

QUALIFIED SWPPP DEVELOPER (QSD)

9. 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.
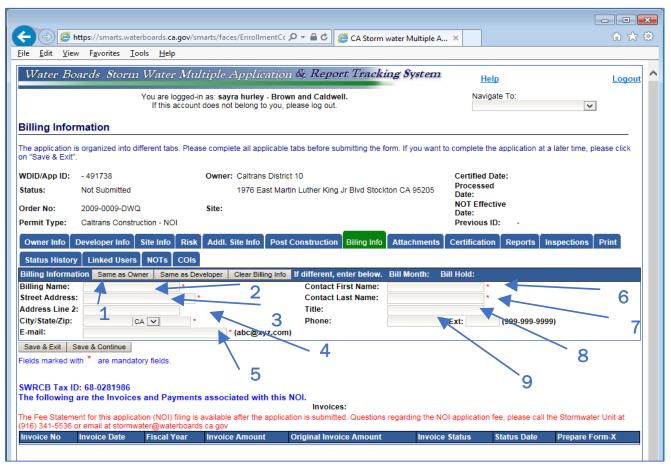
Step 2.6 Post-Construction

1. Caltrans has a statewide NPDES Phase I MS4 permit, the answer to this question will always be Yes for Caltrans construction projects.

2. 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).

3. 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

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.
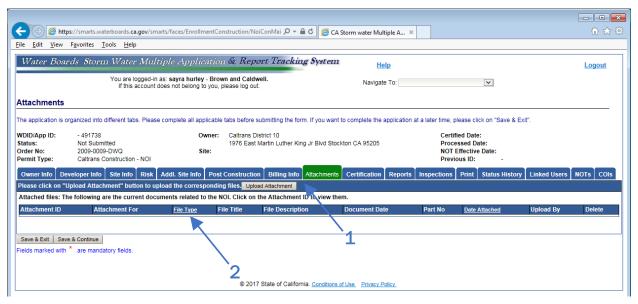9. Enter the Phone number of the person who should receive the invoice.

In future years, once the invoice has been paid, it will show in the Billing Info Tab, as the example shown below.
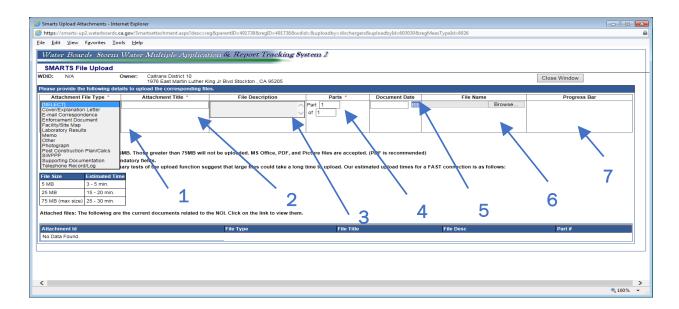
Step 2.8 Attachments

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.

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

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

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

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:	**Owner/Operator:** Caltrans District 9	**Certified Date:**
Application ID: 478039	500 South Main Street Bishop CA 93514	**Processed Date:**
Status: Not Submitted	**Site/Facility:** Independence Material Site	**NOT Effective Date:**
Previous ID: -	SR 395 PM 75 Independence CA 93526	**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:

Certifier Name:	Robert Sanchez	Date:	09/29/2016
Certifier Title:	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

[Certify Application]

3

[Certify Later]

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.

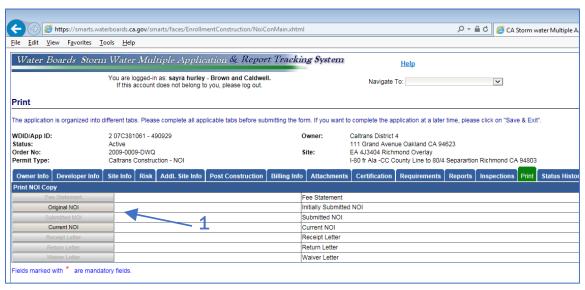Please note, only an AS or the LRP can certify the NOI.

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

Step 2.10 Printing the NOI

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

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:

1. Click Annual/Ad Hoc Reports.

This is the main reports search page.

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.
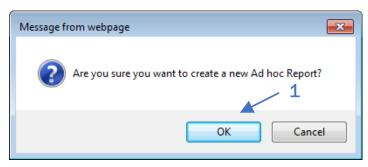2. Enter the WDID number for the record you need to input or edit the adhoc report.

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.

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

It is advisable, that you have a spreadsheet to compile qualifying rain events to ease the input of data input into smarts, 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

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.

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.

Step 3.4 Raw Data

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.

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.

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.

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.
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

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.
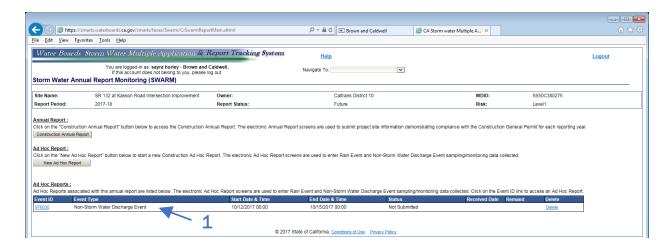
Step 3.9 Status History

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

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

Step 3.10 Back to Report Home Page

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 1st 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.

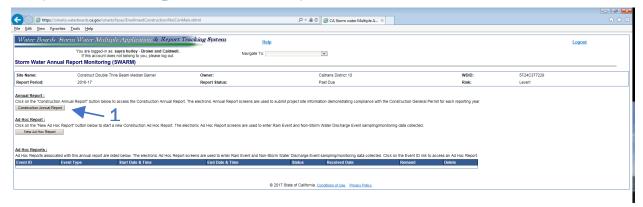See Appendix C for annual report forms 1, 2 and 3.

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.
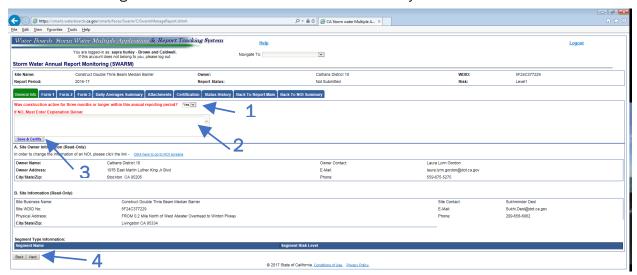
Step 4.1 Creating an Annual Report

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

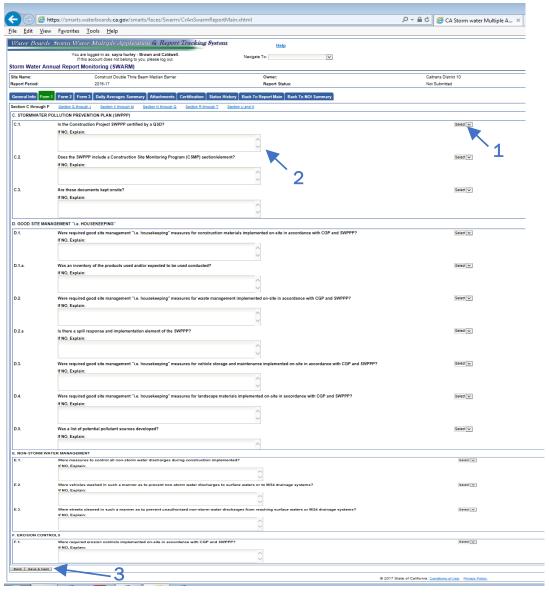This screen is the general information tab that will be autofilled by SMARTS.

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 30th. 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.
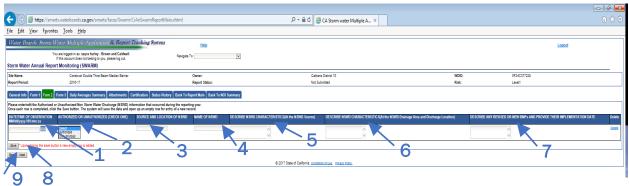

Form 1 consists of Sections C to V.

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.
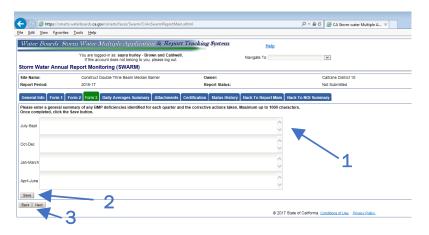

Fill in the fields as indicated.

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.
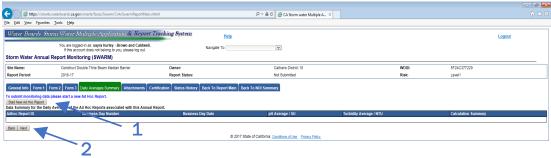
1. For each quarter, enter the BMP type, what the issue was, and how it was corrected. There can be multiple lines of information or no information (if no deficiencies found) in each box. This information should be available from the contractor's submittal but make sure all deficiencies are noted (CEM-2035).

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.
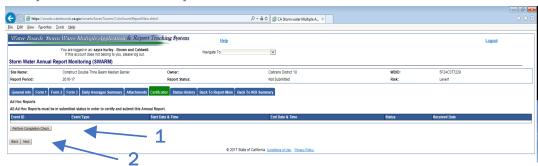

1. Click Upload Attachments.

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

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.

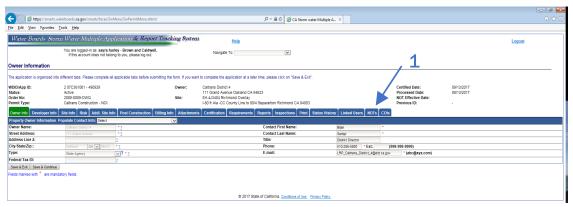2. If no error messages, click Next. The remaining certification steps are similar to Step 2.9.

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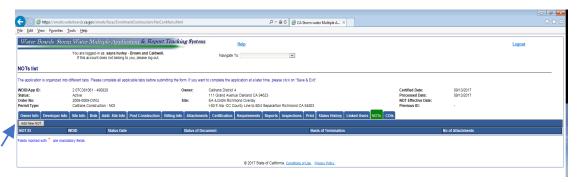
Once the documentation for closeout and final stabilization is complete, the LRP or AS will submit and certify the NOT in SMARTS. SMARTS will not accept an NOT application without a submitted Annual Report.

Step 5.1 Starting an NOT

Go to the Project main tabs
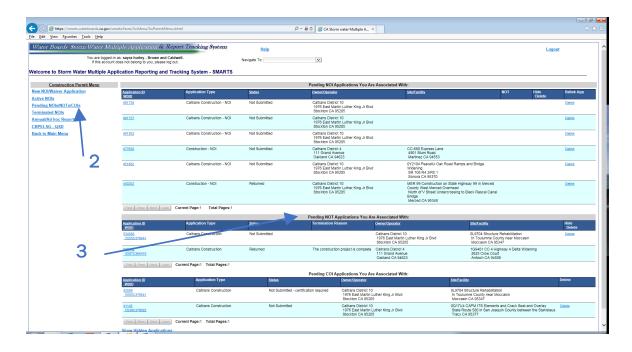
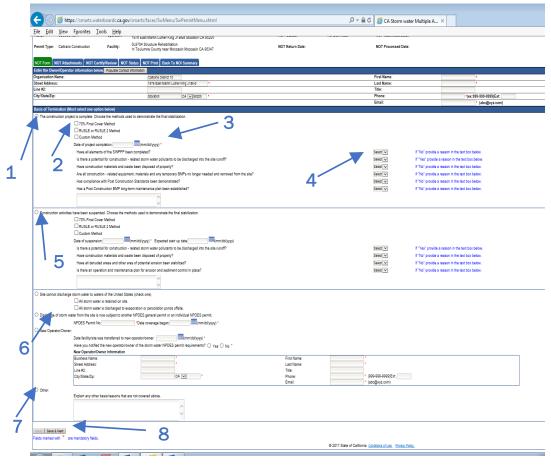1. Click on NOTs, the next screen will open

1. Click Add New NOT

Or

2. Go to main menu and click on Pending NOIs/NOTs/COIs.

3. 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

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 were 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.

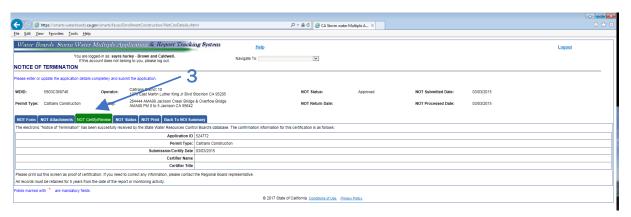7. Use if there is a reason to terminate permit coverage that does not fit into one of the previous reasons.

8. Click Save and Next.

1. Upload attachments (see Step 2.8).
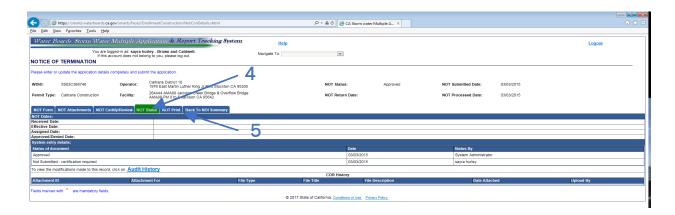2. Once all documents have been uploaded, click Next.

Step 5.3 NOT Certification

3. Click NOT Certification.

Follow the steps in Step 2.9 to complete the certification.

This screen is the result of certification and is the documentation that the NOT has been submitted for consideration by the RWQCB.

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).
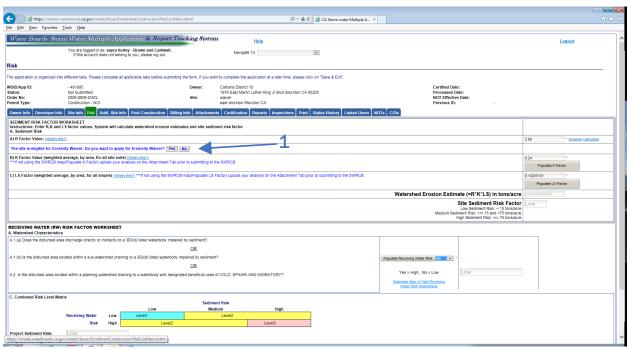
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Section 6

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.

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.

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.

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.
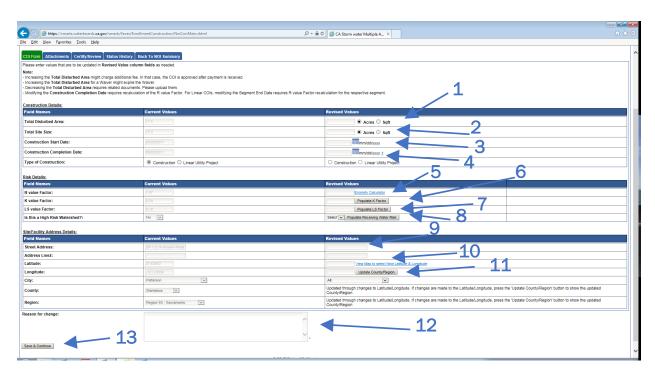
Section 7

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 Informaiton (COI) must be submitted along with the relevant attachments.

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

Step 7.1 COI Form

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.
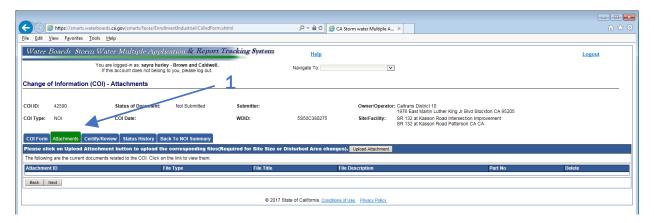4. If there is a change in the Construction End Date, enter the revision, you must recalculate the R value and possibly the project's Risk Level.

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.
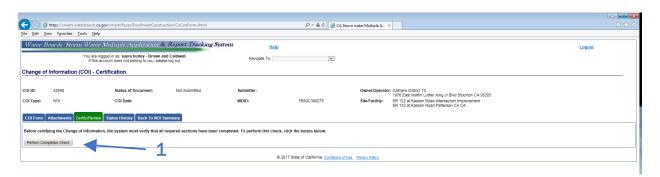4. Click Save & Continue to take you to the next screen

Step 7.2 Attachments

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

Step 7.3 Certify/Review

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.
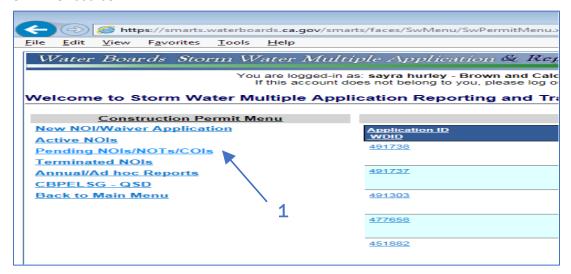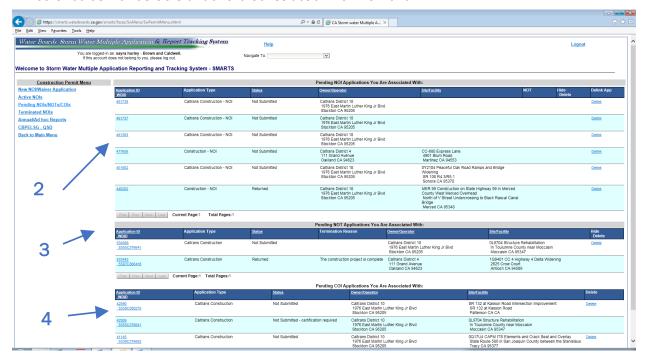
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Section 8
Step 8 - File Management

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

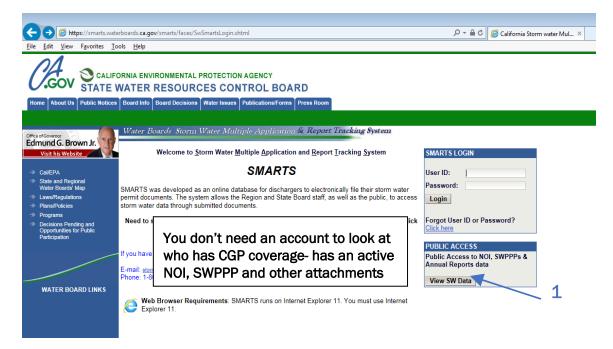4. The last list of applications are for COIs that have yet to be certified and can be selected to work on.

Section 9

Step 9 - Public User Access

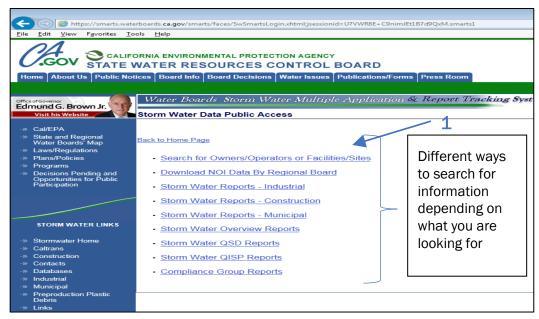ACCESSING CGP SMARTS INFORMATION VIA PUBLIC ACCESS (NO ACCOUNT OR LOGIN REQUIRED)
Go to https://smarts.waterboards.ca.gov/smarts/faces/SwSmartsLogin.xhtml.

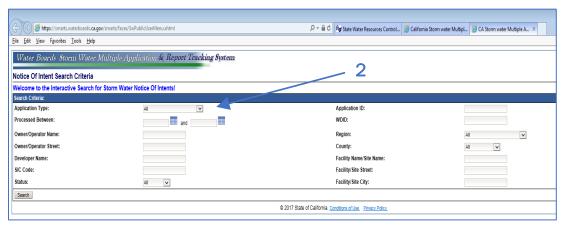## Step 9.1   Accessing Data

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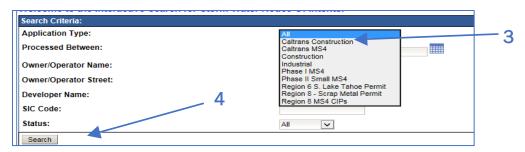
1. The first option allows you to see all the sites by either the LRP or the same operator.
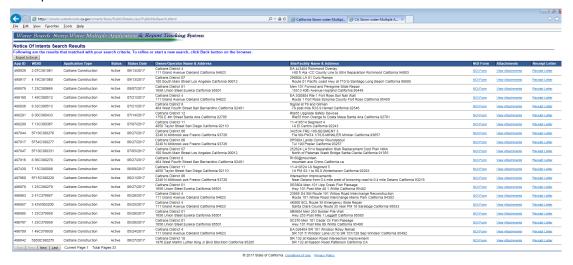

2. If you want Caltrans construction projects, select it from the pull-down menu: you can query by Construction CGP Projects, Caltrans Construction, Lake Tahoe CGP, IGP, etc. Pull down-menu as shown below:

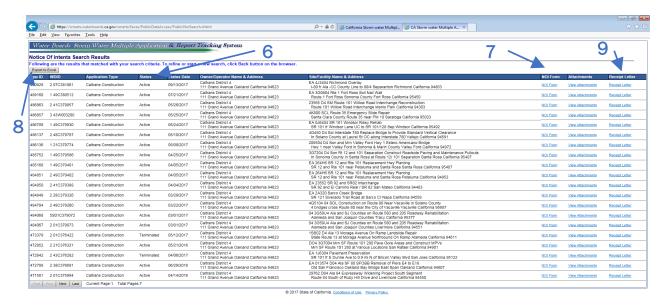3. If you select Caltrans Construction from the pulldown menu.

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.

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.
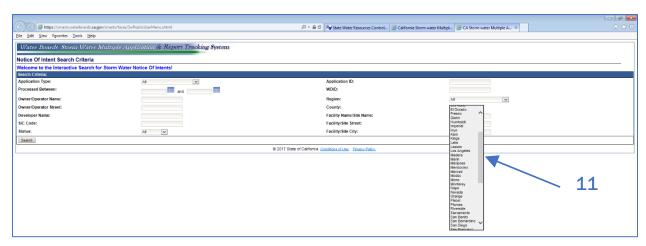
6. This will populate the following screen: there are several pages of records where D4 has filed for coverage of either a SWPPP or an Erosivity Waivers. This list shows all records of Active, Terminated and Expired (Erosivity Waivers).

7. 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).

8. 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.

9. 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.

10. 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.

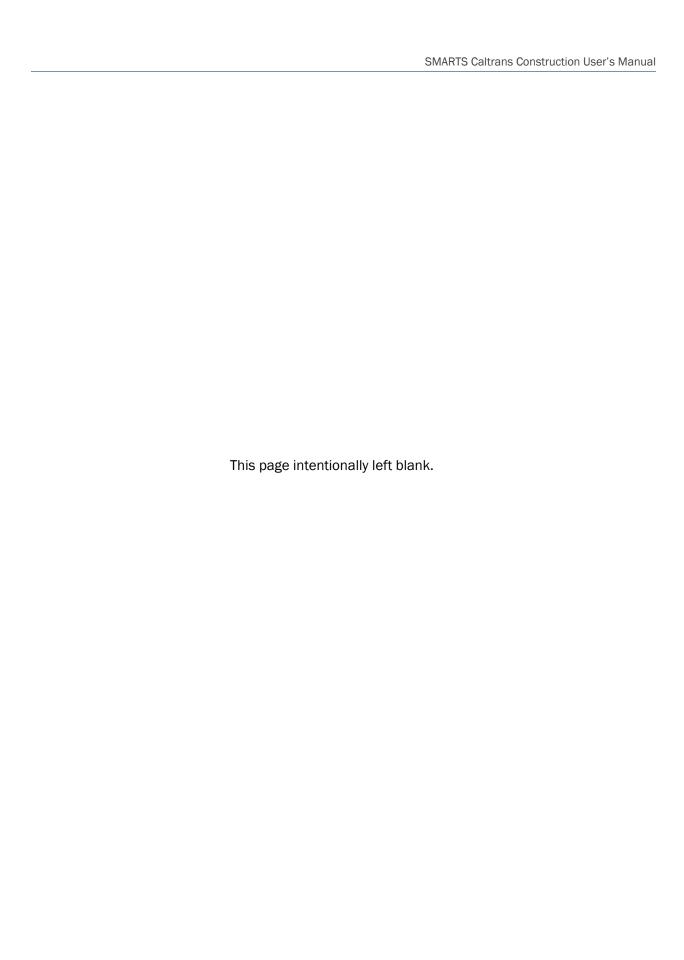11. You can also query the information for a specific county.
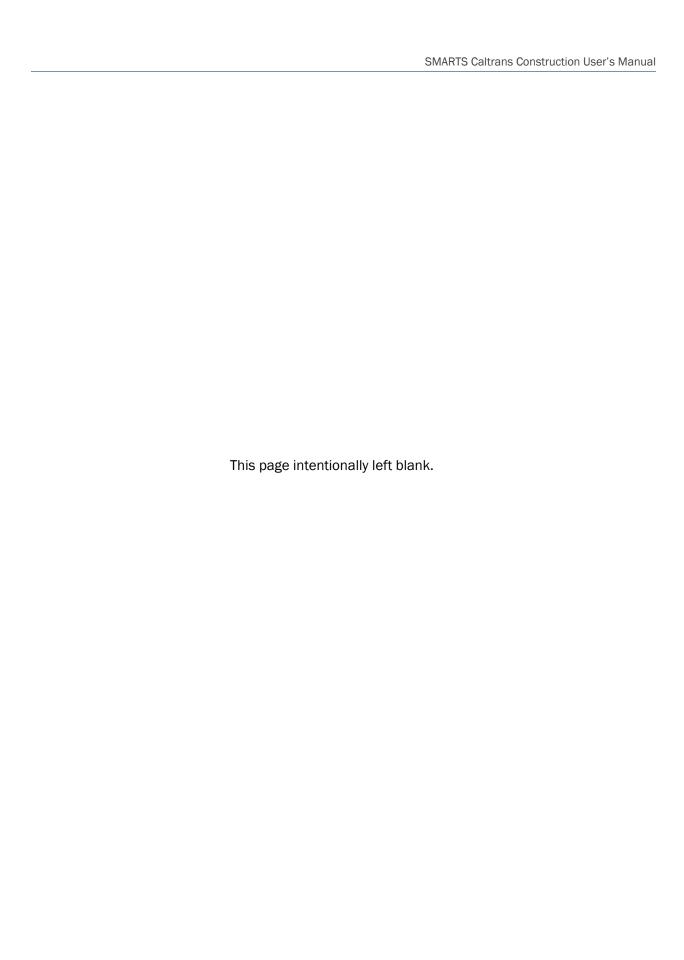
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Appendix A: Storm Water Data Report (SWDR) Attachment for SMARTS Input

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Appendix B: Caltrans Email Addresses

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Appendix C: CGP Annual Report Forms

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