

Existing Procedure

At least 30 days before the start of construction on a project subject to the CGP, either form CEM-2002, “Notification of Construction” or CEM-2004, “Notification of Construction (Desert Areas),” is filed with the appropriate RWQCB to provide notice of the project. At project completion and achievement of final stabilization, the resident engineer files form CEM-2090, “Notice of Completion of Construction” with the RWQCB to terminate CGP coverage. Although there is no specific format for special notices, such as notices of discharges, the district submits them to the RWQCBs during the life of the project as events occur. An annual report is prepared and kept on file in the project records. Certification of some of these documents is required and performed at the time of submittal.

New Procedure

For projects awarded after April 1, 2012, requests to start construction under the CGP (enrolling under the permit), requests for termination of a project under the CGP, and interim reporting, will be performed through SMARTS. Projects initiated with a NOC will continue to process reporting documents using the existing procedures unless the district determines that recreating the NOC documentation in SMARTS will benefit Caltrans. Districts may start enrolling projects in SMARTS before this date.

Establishing a SMARTS Profile

The CGP and SMARTS require the establishment of certain responsibilities that include the Legally Responsible Person (LRP), the Approved Signatory, and a Data Entry Person (DEP). For Caltrans, the LRP is the district director—although up to three backup LRPs may be designated to perform the same duties. The LRP is responsible for permit compliance and designating the Approved Signatory for the project. Assignment of an Approved Signatory is accomplished through completion of form CEM-2006, “Legally Responsible Person Authorization of Approved Signatory” and by the linking process for establishing this delegation as detailed in the *SMARTS Manual*.

A project can have more than one Approved Signatory. The resident engineer is responsible for the project data submitted in SMARTS and must be designated an Approved Signatory. The LRP may link other Approved Signatories to the project as necessary to support project delivery. The Approved Signatory is responsible for submitting PRDs and the NOI, annual reports, ad-hoc reporting, and NOT certification. However, documentation for SMARTS submittals comes from various members of a project development team.

A DEP may be any Caltrans staff member designated to input information into SMARTS for the project. The contractor must not be designated as either an Approved Signatory or a DEP for a Caltrans project.

Notice of Intent

The NOI provides the RWQCBs with details about the project and is a request for coverage under the CGP. The NOI process involves filing PRDs including project related information and the project’s Storm Water Pollution Prevention Plan (SWPPP). Obtain information necessary to complete the SMARTS NOI from the

project's "Storm Water Data Report Attachment for SMARTS Input." Get the attachment from the project engineer, project SWPPP, or on the Division of Design's website:

<http://www.dot.ca.gov/hq/oppd/stormwtr/swdr.htm>

Project Reporting

Reporting in SMARTS is accomplished by entering data into specific tabs or by uploading an Adobe Acrobat version of a document. For example, the NOI is created by entering data in the fields under the NOI tab while the project's SWPPP and its amendments are uploaded into the system. Adobe Acrobat versions of documents must include the Qualified SWPPP Developer's certification when applicable. The Approved Signatory certifies submittals by executing the upload in SMARTS. Screens are also included for discharge reporting, annual reports, and other permit-related project reports. Maintain hard copies of these documents in the project files.

Notice of Termination

Filing a NOT should coincide with the acceptance of the construction contract but project conditions may justify a different submittal time. Section II.D "Conditions for Termination of Coverage" of the CGP details when a project is complete for CGP purposes. Project specific information regarding conditions to satisfy permit requirements are detailed in the contract, SWPPP, and in the project's Storm Water Data Report. Consult with the project engineer to ensure the conditions have been satisfied.

Training regarding SMARTS input and use will be offered in the near future. Also, the *SMARTS Manual* contains guidance on how to enter project information into the system. The manual is posted on the Division of Construction's stormwater training website:

http://www.dot.ca.gov/hq/construc/stormwater/swppp_training.html

If you have any questions or comments about SMARTS, please contact Sarah Picker, Division of Construction, at sarah_picker@dot.ca.gov or (916) 653-2833. For questions or comments about the CGP and storm water issues, contact Hamid Hakim, Division of Construction, at hamid_hakim@dot.ca.gov or (916) 653-7289.